

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

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# PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004  
Annual Plan for Fiscal Year 2002

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

**PHA Plan  
Agency Identification**

**PHA Name: Housing Authority of Frankfort, Kentucky**

**PHA Number: KY 003**

**PHA Fiscal Year Beginning: 01/01/02**

**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.

- X The PHA's mission is: **to provide drug free, decent, safe and sanitary housing for eligible families and to create opportunities for residents to promote self sufficiency and economic independence and assure fiscal integrity.**

**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.**

- X PHA Goal: Expand the supply of assisted housing  
Objectives:
- X Apply for additional rental vouchers:
  - X Reduce public housing vacancies: **FHA will reduce vacancies by 10% over the next five years.**
  - X Leverage private or other public funds to create additional housing opportunities: **Complete development and operate 20 units of Section 8 based housing through it's 501(c)(3).**  
Acquire or build units or developments  
Other (list below)
- X PHA Goal: Improve the quality of assisted housing  
Objectives:
- X Improve public housing management: (PHAS score) **FHA will improve its PHAS score by 6 points over the next 5 years.**  
Improve voucher management: (SEMAP score)

- X Increase customer satisfaction: **FHA will increase its RASS score to over 60% in each area over the next 5 years**  
Concentrate on efforts to improve specific management functions:  
(list; e.g., public housing finance; voucher unit inspections)
- X Renovate or modernize public housing units: **FHA will spend at least 50% of its Capital Funds on direct modernization of units over the next 5 years**
- X Demolish or dispose of obsolete public housing: **FHA will demolish 3 buildings at KY 3-3 by 2003 FYE.**  
Provide replacement public housing:  
Provide replacement vouchers:  
Other: (list below)
  
- X PHA Goal: Increase assisted housing choices  
Objectives:
  - Provide voucher mobility counseling:
  - X Conduct outreach efforts to potential voucher landlords – **FHA will add 10 new Section 8 landlords by 2005.**  
Increase voucher payment standards  
Implement voucher homeownership program:  
Implement public housing or other homeownership programs:  
Implement public housing site-based waiting lists:
  - X Convert public housing to vouchers: **FHA will replace demolished housing with Section 8 vouchers.**  
Other: (list below)

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

- X 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:
  - X Implement public housing security improvements: **If funded, FHA will continue to provide additional police patrols in its communities.**  
Designate developments or buildings for particular resident groups (elderly, persons with disabilities)  
Other: (list below)

**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**

X PHA Goal: Ensure equal opportunity and affirmatively further fair housing

Objectives:

X Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability: **FHA will market to traditionally underserved populations on an annual basis through flyers and public access television.**

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: (list below)**

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

**i. Annual Plan Type:**

Select which type of Annual Plan the PHA will submit.

**Standard Plan**

**Streamlined Plan:**

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

**Troubled Agency Plan**

**ii. Executive Summary of the Annual PHA Plan**

[24 CFR Part 903.7 9 (r)]

**The Annual Plan, which is attached, was developed by the Housing Authority of Frankfort in accordance with the Rules and Regulations promulgated by HUD.**

**The goals and objectives of the HA are contained in the Five-Year Plan and the ACOP/Section 8 Administrative Plan. These were written to comply with the HUD guidelines, rules, regulations and Federal Law. The basic goals and objectives are outlined in our Mission Statement which reads: Our goal is to provide drug free, decent, safe and sanitary housing for eligible families and to create opportunities for residents and promote self-sufficiency and economic independence and assure fiscal integrity.**

**In order to achieve this mission we will: Recognize residents as our ultimate customer; Improve HA management and service delivery efforts through effective and efficient management of staff; Seek problem-solving relationships with residents, community, government leadership and law enforcement agencies; Apply HA resources to the effective and efficient management and operation of public and assisted housing programs, taking into account changes in Federal funding.**

### **iii. Annual Plan Table of Contents**

[24 CFR Part 903.7 9 (r)]

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

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#### **Attachments**

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

#### Required Attachments

- A** Admissions Policy for Deconcentration
- B** FY 2002 Capital Fund Program Annual Statement  
Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)
- Brief Statement of Progress in Meeting the Five-Year Plan Mission and Goals**
- Deconcentration and Income Mixing Analysis**
- Announcement of Membership of the PHA Governing Board**
- Resident Membership of the PHA Governing Board**
- Definition of Substantial Deviation and Significant Amendment or**

**Modification**

- X Voluntary Conversion Analysis**
- X C Performance and Evaluation Reports for all open Modernization Programs**
- X D FY 2002 Capital Fund Program 5 Year Action Plan**

Optional Attachments:

- PHA Management Organizational Chart
- FY 2002 Capital Fund Program 5 Year Action Plan (above)

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 (List below, providing each attachment name)

**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.

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
<b>X</b>	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
<b>X</b>	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
<b>X</b>	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
<b>X</b>	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
<b>X</b>	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
<b>X</b>	Public Housing Admissions and (Continued) Occupancy	Annual Plan: Eligibility,



<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
	Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Selection, and Admissions Policies
<b>X</b>	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>X</b>	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
<b>X</b>	Public housing rent determination policies, including the methodology for setting public housing flat rents <b>X</b> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
<b>X</b>	Schedule of flat rents offered at each public housing development <b>X</b> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
<b>X</b>	Section 8 rent determination (payment standard) policies <b>X</b> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
<b>X</b>	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
<b>X</b>	Public housing grievance procedures <b>X</b> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
<b>X</b>	Section 8 informal review and hearing procedures <b>X</b> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
<b>X</b>	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
	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
	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
	Approved or submitted applications for demolition and/or	Annual Plan: Demolition

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
	disposition of public housing	and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	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
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
<b>X</b>	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
<b>X</b>	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
<b>X</b>	The most recent Public Housing Drug Elimination Program (PHEDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
<b>X</b>	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
	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.

<b>Housing Needs of Families in the Jurisdiction by Family Type</b>							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI	<b>958</b>	N/A	N/A	N/A	N/A	N/A	N/A
Income >30% but <=50% of AMI	<b>831</b>	N/A	N/A	N/A	N/A	N/A	N/A
Income >50% but <80% of AMI	<b>1130</b>	N/A	N/A	N/A	N/A	N/A	N/A
Elderly	<b>761</b>	N/A	N/A	N/A	N/A	N/A	N/A
Families with Disabilities	N/A	N/A	N/A	N/A	N/A	N/A	N/A
White	<b>3693</b>	N/A	N/A	N/A	N/A	N/A	N/A
African-American	<b>688</b>	N/A	N/A	N/A	N/A	N/A	N/A
Hispanic	<b>42</b>	N/A	N/A	N/A	N/A	N/A	N/A
Asian	N/A	N/A	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

Indicate year:

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

American Housing Survey data

Indicate year:

Other housing market study

Indicate year:

Other sources: (list and indicate year of information)

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

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

<b>Housing Needs of Families on the Waiting List</b>			
Waiting list type: (select one) Section 8 tenant-based assistance <input checked="" type="checkbox"/> 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	<b>25</b>		<b>75%</b>
Extremely low income <=30% AMI	<b>21</b>	<b>84%</b>	
Very low income (>30% but <=50% AMI)	<b>3</b>	<b>12%</b>	
Low income (>50% but <80% AMI)	<b>1</b>	<b>4%</b>	
Families with children	<b>21</b>	<b>84%</b>	
Elderly families	<b>2</b>	<b>8%</b>	
Families with Disabilities	<b>4</b>	<b>16%</b>	
Caucasian	<b>24</b>	<b>96%</b>	
African American	<b>1</b>	<b>4%</b>	
Race/ethnicity			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	<b>4</b>		
2 BR	<b>18</b>		
3 BR	<b>3</b>		
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

<b>Housing Needs of Families on the Waiting List</b>			
Waiting list type: (select one) <input checked="" type="checkbox"/> 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:			

<b>Housing Needs of Families on the Waiting List</b>			
	# of families	% of total families	Annual Turnover
Waiting list total	<b>135</b>		<b>33%</b>
Extremely low income <=30% AMI	<b>105</b>	<b>78%</b>	
Very low income (>30% but <=50% AMI)	<b>23</b>	<b>17%</b>	
Low income (>50% but <80% AMI)	<b>7</b>	<b>5%</b>	
Families with children	<b>69</b>	<b>51%</b>	
Elderly families	<b>12</b>	<b>8%</b>	
Families with Disabilities	<b>10</b>	<b>7%</b>	
Caucasian	<b>100</b>	<b>74%</b>	
African American	<b>35</b>	<b>25%</b>	
Race/ethnicity			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	<b>65</b>		
2 BR	<b>45</b>		
3 BR	<b>23</b>		
4 BR	<b>2</b>		
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed?			
<input type="checkbox"/> No <input type="checkbox"/> 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

- X Employ effective maintenance and management policies to minimize the number of public housing units off-line
- X Reduce turnover time for vacated public housing units
- X 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
- X 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
- X Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

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

Select all that apply

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

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

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

Select all that apply

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

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

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

Select all that apply

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

**Need: Specific Family Types: The Elderly**

**Strategy 1: Target available assistance to the elderly:**

Select all that apply

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

**Need: Specific Family Types: Families with Disabilities**

**Strategy 1: Target available assistance to Families with Disabilities:**

Select all that apply

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

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

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

Select if applicable

Affirmatively market to races/ethnicities shown to have disproportionate housing needs

Other: (list below)

**Strategy 2: Conduct activities to affirmatively further fair housing**

Select all that apply

Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units

Market the section 8 program to owners outside of areas of poverty /minority concentrations

Other: (list below)

**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.

<b>Financial Resources: 2002 Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 2002 grants)</b>		
a) Public Housing Operating Fund	<b>336,000</b>	
b) Public Housing Capital Fund	<b>456,754</b>	Improvements
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	<b>1,613,245</b>	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	<b>59,703</b>	Public Housing Safety & Security Programs
g) Resident Opportunity and Self-Sufficiency Grants	<b>21,524</b>	FSS
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		
PHDEP	<b>12,848</b>	Drug Prevention
Capital Funds	<b>22,120</b>	Modernization
<b>3. Public Housing Dwelling Rental Income</b>	<b>385,176</b>	
<b>4. Other income (list below)</b>		
Excess Utilities	<b>12,456</b>	
Gym Rent	<b>2,000</b>	
<b>4. Non-federal sources (list below)</b>		
<b>Total resources</b>	<b>2,921,826</b>	

### **3. PHA Policies Governing Eligibility, Selection, and Admissions**

[24 CFR Part 903.7 9 (c)]

#### **A. Public Housing**

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

##### **(1) Eligibility**

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

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

When families are within a certain time of being offered a unit: (state time)

Other: (describe) **Due to short waiting list, when application is made and updated prior to occupancy**

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

**(3) Assignment**

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

**(4) Admissions Preferences**

a. Income targeting:

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

b. Transfer policies:

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

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

c. Preferences

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

Former Federal preferences:

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

Other preferences: (select below)

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

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

Victims of reprisals or hate crimes

Other preference(s) (list below)

**Elderly, Near Elderly, and Handicapped/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:

1 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)

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

1 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

1 Other preference(s) (list below)

**Elderly, Near Elderly, Handicapped/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: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

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

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

Adoption of site based waiting lists

If selected, list targeted developments below:

Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments

If selected, list targeted developments below:

Employing new admission preferences at targeted developments

If selected, list targeted developments below:

Other (list policies and developments targeted below)

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

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

Additional affirmative marketing

Actions to improve the marketability of certain developments

Adoption or adjustment of ceiling rents for certain developments

Adoption of rent incentives to encourage deconcentration of poverty and income-mixing

Other (list below)

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

Not applicable: results of analysis did not indicate a need for such efforts

List (any applicable) developments below:

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

Not applicable: results of analysis did not indicate a need for such efforts

List (any applicable) developments below:

## **B. 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)

**Check to see if applicant owes monies to FHA or any other Federally subsidized program and other PH agencies**

- 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)
- Allowable information shared upon request**

**(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:

**Upon request and when verifiable documentation of applicant effort to find a unit is provided or known.**



**(4) Admissions Preferences**

a. Income targeting

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

b. Preferences

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

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

Former Federal preferences

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

Other preferences (select all that apply)

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

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

same number next to each. That means you can use “1” more than once, “2” more than once, etc.

**2** Date and Time

Former Federal preferences

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

Other preferences (select all that apply)

- 1** Working families and those unable to work because of age or disability
- 1** Veterans and veterans’ families
- 1** 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)  
**Elderly, Near Elderly, Handicapped/Disabled**

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

- X** 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)

- X** This preference has previously been reviewed and approved by HUD  
**(in last plan which was approved)**  
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
- X** Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

**(5) Special Purpose Section 8 Assistance Programs**

- a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)
  - The Section 8 Administrative Plan
  - Briefing sessions and written materials
  - Other (list below)
  
- b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?
  - Through published notices
  - Other (list below)

**4. PHA Rent Determination Policies**

[24 CFR Part 903.7 9 (d)]

**A. Public Housing**

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

**(1) Income Based Rent Policies**

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

- a. Use of discretionary policies: (select one)

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

---or---

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

- b. Minimum Rent

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

\$0

\$1-\$25

- \$26-\$50

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

**Minimum rent hardship exemptions are those required by CFR.**

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

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

1. **X** 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:

**Flat Rents**

<b>Efficiency</b>	<b>\$200</b>	<b>3 BR</b>	<b>\$530</b>
<b>1 BR</b>	<b>\$320</b>	<b>4 BR</b>	<b>\$685</b>
<b>2 BR</b>	<b>\$400</b>		

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

**X** For the earned income of a previously unemployed household member

**X** 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

**X** 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)

95<sup>th</sup> 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)
- 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)
- Minimum rent exemptions are those required by CFR.**

**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:

**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.)

<b>Program Name</b>	<b>Units or Families Served at Year Beginning</b>	<b>Expected Turnover</b>
Public Housing		
Section 8 Vouchers		
Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs(list individually)		

**C. Management and Maintenance Policies**

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

- (1) Public Housing Maintenance and Management: (list below)
- (2) Section 8 Management: (list below)



## **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 **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 **Attachment C**

-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:

- 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.)

<b>Demolition/Disposition Activity Description</b>
1a. Development name: <b>Riverview</b>
1b. Development (project) number: <b>KY 3-3</b>
2. Activity type: Demolition <input checked="" type="checkbox"/> Disposition
3. Application status (select one) Approved Submitted, pending approval Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <b><u>when announced</u></b>
5. Number of units affected: <b>30</b>
6. Coverage of action (select one) Part of the development Total development <input checked="" type="checkbox"/>
7. Timeline for activity: a. Actual or projected start date of activity: <b>unknown</b> b. Projected end date of activity:

**9. Designation of Public Housing for Occupancy by Elderly Families or 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.

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

**10. Conversion of Public Housing to Tenant-Based Assistance**

[24 CFR Part 903.7 9 (j)]

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

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

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

2. Activity Description

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

<b>Conversion of Public Housing Activity Description</b>	
1a. Development name:	
1b. Development (project) number:	
2. What is the status of the required assessment?	<input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. Yes <input type="checkbox"/> No: <input type="checkbox"/> Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)	
4. Status of Conversion Plan (select the statement that best describes the current status)	<input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)	<input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved): <input type="checkbox"/> 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**

### **Voluntary Conversion Initial Assessments**

- a. How many of the PHA's developments are subject to the Required Initial Assessments? **Four**
- b. 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)? **One**
- c. How many Assessments were conducted for the PHA's covered developments? **One**
- d. Identify PHA developments that may be appropriate for conversion based on the Required Initial Assessments: **None**

## **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.)

<b>Public Housing Homeownership Activity Description (Complete one for each development affected)</b>	
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:	(DD/MM/YYYY)
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? **07/03/2001**

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>Apprenticeship Program</i>	<i>2 - 6</i>	<i>random</i>	<i>PHA main office</i>	<i>both</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 09/30/2001)
Public Housing		
Section 8	<b>18</b>	<b>15</b>

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:

**To increase the number of FSS participants, the Housing Authority will present the FSS Program to Section 8 applicants during briefings and inform them of the benefits. Persons already on the Section 8 Program will be re-evaluated as to their eligibility for FSS participation and contacted. Current participants in FSS will be used to encourage others to participate.**

### 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)

- X Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- X Informing residents of new policy on admission and reexamination
- X 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. Community Service Policy

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

## Community Service Policy

*This Policy shall become a part of the Admissions and Occupancy Policy and the Dwelling Lease by reference.*

Introduction: The Quality and Work Responsibility Act of 1998 mandates that all adults living in public housing comply with community service requirements in order to continue receiving assisted housing.

A. Requirements: Each adult resident of the Housing Authority of Frankfort shall:

- Contribute 8 hours per month of community service (not including political activities) within the community in which that adult resides; or
- Participate in an economic self-sufficiency program (defined below) for 8 hours per month; or
- Perform 8 hours per month of combined activities of the two above.

B. Exemptions: The Housing Authority of Frankfort shall provide an exemption from the community service requirement for any individual who:

- Is 62 years of age or older;
- Is a blind or disabled individual, as defined by the Social Security Act, and who is unable to comply with this section, or is a primary caretaker of such individual;
- Is engaged in a work activity at least 20 hours per week;
- Meets the requirements for being exempted from having to engage in a work activity under the State program funded under part A of the Social Security Act, or under any

- other welfare program of the State of Kentucky, including a State-administered welfare-to-work program; or
- Is in a family receiving assistance under a State program funded under part A of Title IV of the Social Security Act, or under any other welfare program of Kentucky including a State-administered welfare-to-work program and has not been found by the State or any other administering entity to be in noncompliance with such program.

The Housing Authority of Frankfort will re-verify exemption status annually except in the case of an individual who is 62 years of age or older. The Housing Authority will permit residents to change exemption status during the year if status changes.

C. Definition of Economic Self-Sufficiency Program: For purposes of satisfying the community service requirement, self-sufficiency program is defined as: any program designed to encourage, assist, train or facilitate economic independence of assisted families or to provide work for such families.

This may include job training, employment counseling, work placement, basic skills training, education, English proficiency, workfare, financial or household management counseling, apprenticeship, or any other program necessary to ready a participant to work such as substance abuse or mental health treatment. It may also include programs or activities approved by the Housing Authority of Frankfort on a case-by-case basis.

D. Annual Determination: For each public housing resident subject to the requirement of community service, the Housing Authority of Frankfort shall, 30 days before the expiration of each lease term, review and determine the compliance of the resident with the community service requirement. Family members will not be permitted to self-certify that they have complied with community service requirements.

E. Noncompliance: If the Housing Authority determines that a resident subject to this requirement has not complied, the Housing Authority shall notify the resident of such noncompliance, and that:

- The determination of noncompliance can be cured by performing the required hours of community service prior to the lease expiration date; and
- The determination of noncompliance is subject to the administrative Grievance Procedure; and
- Unless the resident enters into an agreement to comply with the community service requirement and completes such service, the lease will not be renewed; and
- The Housing Authority may not renew or extend the resident's lease upon expiration of the lease term and shall take such action as is necessary to terminate the tenancy of the household.

### **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)  
**Need to continue reducing violent and drug-related crime rate**

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)

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

**KY 3-1; KY 3-2; KY 3-3; KY 3-4**

**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)

**KY 3-1; KY 3-2; KY 3-3; KY 3-4**

**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)

**Mounted patrol employing community policing strategies**

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

**KY 3-1; KY 3-2; KY 3-3; KY 3-4**

**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 2002 in this PHA Plan?
- Yes       No: This PHDEP Plan is an Attachment. (Attachment Filename: \_\_\_\_)

## **14. RESERVED FOR PET POLICY**

[24 CFR Part 903.7 9 (n)]

### **PET POLICY**

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**Introduction:** The purpose of this policy is to establish the procedures for ownership of pets in public housing operated by the Housing Authority of Frankfort.

**Assistance Animals:** Pet rules will not be applied to animals assisting persons with disabilities. To be excluded from this policy, the resident must certify:

1. That there is a person with a disability in the household;
2. That the animal has been trained to assist with the specified disability.

#### **A. Management Approval of Pets**

##### **Registration of Pets**

1. All pets must be approved in advance by the Housing Authority.
2. Pet Owners must submit and enter into a Pet Agreement with the Housing Authority.
3. Pet Owners must provide a certificate signed by a licensed veterinarian or State/local authority that the pet has received all inoculations required by State or local law and that the pet has no communicable disease(s) and is pest-free.

Registration must be renewed and will be coordinated with the annual recertification date and proof of license and inoculation will be submitted at least 30 days prior annual reexamination.

4. Dogs and cats must be spayed or neutered prior to being admitted.

##### **Refusal To Register Pets**

The Housing Authority may refuse to register a pet if:

1. The pet is not a *common household pet* as defined in this policy;
2. Keeping the pet would violate Pet Rules;
3. The pet owner fails to provide complete pet registration information, or fails to update the registration annually;
4. The Housing Authority reasonably determines that the pet owner is unable to keep the pet in compliance with the pet rules and other lease obligations. The pet's temperament and behavior may be



considered as a factor in determining the owner's ability to comply with the provisions of the lease.

## **B. Standards for Pets**

### **Types of Pets Allowed**

Tenants are not permitted to have more than one pet unless, under special circumstances, approved by the Housing Authority.

1. Dogs
  - a. Maximum adult weight: 25 pounds
  - b. Must be housebroken
  - c. Must be spayed or neutered
  
2. Cats
  - a. Must be spayed or neutered
  - b. Must be trained to a litter box or other waste receptacle
  
3. Fish
  - a. Maximum aquarium size is 10 gallons
  - b. Must be maintained on an approved stand
  
4. Other

Other acceptable pets are: guinea pigs, hamsters, gerbils, turtles, birds.

## **C. Pets Temporarily on the Premises**

Pets that are not owned by a tenant will not be allowed. Tenants are prohibited from feeding (other than for wild birds) or harboring stray animals.

## **D. Additional Fees and Deposits for Pets**

The tenant shall be required to pay a pet deposit of \$100 for a cat or dog. The deposit is required in full when the pet is properly registered and brought into the apartment. The deposit will be refunded to the tenant, less any damage caused by the pet to the dwelling unit or grounds, or need for fumigation, upon removal of the pet or owner from the unit. If damages exceed the amount of the pet deposit, the tenant will be billed for this excess cost.

**E. Pet Waste and Related Charges**

A. Dogs

The tenant shall be responsible for picking up pet waste, sealing it in a plastic bag and placing it in a trashcan.

B. Cats

1. Litter boxes must be kept inside the unit.
2. Litter shall not be disposed of by being flushed down the toilet.

A separate pet waste removal charge of \$20 per occurrence will be assessed against the tenant for violations of the pet policy.

**F. Pet Care**

No pet, excluding fish, shall be left unattended in any apartment for a period in excess of twelve (12) hours. All tenants shall be responsible for adequate care, nutrition, exercise and medical attention for his/her pet.

The tenant shall be required to designate another party for the care of the pet if the health or safety of the pet is threatened by the death or incapacity of the tenant or by other factors that render the owner unable to care for the pet.

**G. General Terms of Pet Ownership in the Housing Authority of Frankfort**

1. No animals shall be tied up on the outside or left unattended. No doghouses, animal runs, etc. shall be permitted.
2. The inside of apartments must be kept free of animal odors and maintained in a clean and sanitary manner.
3. All dogs and cats outside of the apartment must be walked on a leash; pets are not allowed to run loose at any time.
4. No excessive noise will be permitted.
5. If the pet poses a nuisance, the tenant must remove the pet from the premises in the time allowed by the Housing Authority and provide proof of such removal.
6. The Housing Authority may enter a unit to have a pet transferred to the Humane Society if left unattended for more than 12 hours.
7. Tenants agree to indemnify, defend and hold management harmless from and against any and all claims, actions, suits, judgments and demands brought by any other party or

account of or in connection with any other activity of or any damage caused by any tenant's pet(s).

8. No dangerous or poisonous pets are permitted.

I/We have read the above Pet Policy and agree to abide by the terms outlined.  
I/We understand that failure on my/our part to abide by this policy will result in either my/our being required to remove my/our pet from the premises as instructed or my/our being required to move.

NOTE: This Document is made a part of the lease by reference.

### **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 (File name)
  - Provided below:

**The persons who attended the public hearing suggested an alternate order for some of the proposed modernization at one of the developments.**

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: **Moved window replacement at KY 3-1 ahead of HVAC at KY 3-1.**
  - Other: (list below)

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

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

### 3. Description of Resident Election Process

- a. Nomination of candidates for place on the ballot: (select all that apply)
- Candidates were nominated by resident and assisted family organizations
  - Candidates could be nominated by any adult recipient of PHA assistance
  - Self-nomination: Candidates registered with the PHA and requested a place on ballot
  - Other: (describe)
- b. Eligible candidates: (select one)
- Any recipient of PHA assistance
  - Any head of household receiving PHA assistance
  - Any adult recipient of PHA assistance
  - Any adult member of a resident or assisted family organization
  - Other (list)
- c. Eligible voters: (select all that apply)
- All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
  - Representatives of all PHA resident and assisted family organizations
  - Other (list)

## **C. Statement of Consistency with the Consolidated Plan**

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

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

- X 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.
- X 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)
- X Other: (list below)

**As per the Consolidated Plan, 41% of KY residents are unable to afford Fair Marker Rents. FHA provides affordable housing through Section 8 and public housing. The Plan also cites the need to support working poor families. FHA addresses this need by offering flat rents and working preferences. Additionally, FHA is partnering with local government, public and private agencies to increase the supply of affordable housing.**

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

**D. Other Information Required by HUD**

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

**Resident Advisory Board:**

<b>Christie Dobbs</b>	<b>KY 3-2</b>
<b>Recardo Bruton</b>	<b>KY 3-1</b>
<b>David Fultz</b>	<b>KY 3-4</b>
<b>Connie Thompson</b>	<b>KY 3-2</b>

**Resident Membership on Governing Board:**

**At the present time, there are no resident members on the Board of Commissioners. A letter was sent to all persons receiving assistance on March 1, 2001 asking if anyone would be interested in serving on the Board of Commissioners. Two persons expressed interest. On March 13, 2001, a letter was sent to Mayor William May with the names of these two residents. Mayor May did not chose to appoint one of these persons. He reappointed the Commissioner whose term was expiring.**

**Substantial Deviation Definition:**

**Substantial Deviation is defined as: Discretionary changes or significant amendments or modifications in the plans or policies of the Housing Authority that fundamentally alter the mission, goals, or objectives of the agency and require formal approval of the Board of Commissioners.**

**Significant Amendment or Modification:**

**Significant Amendment or Modification is defined as: Changes or amendments to the Annual or 5 Year Plan that fundamentally alter the goals or objectives of the Housing Authority and require formal approval of the Board of Commissioners.**

**Goals and Objectives:**

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

PHA Goal: Expand the supply of assisted housing

Objectives:

1. Reduce public housing vacancies: **FHA will reduce vacancies by 10% over the next five years.**

*Progress: Due to units that were offline for modernization being added to the PHA's count, we have not increased the occupancy percentage this year, but will meet our goal by 2005 which was the original date.*

2. Leverage private or other public funds to create additional housing opportunities: **Complete development and operate 20 units of Section 8 based housing through it's 501(c)(3).**

*Progress: The 20 units will be ready for occupancy by November 15, 2001.*

PHA Goal: Improve the quality of assisted housing

Objectives:

1. Improve public housing management: (PHAS score) **FHA will improve its PHAS score by 6 points over the next 5 years.**

*Progress: The PHA has established a monthly unit inspection, is targeting occupancy improvement and turnaround on both work orders and unit preparation. Through continued effort, we will meet this goal.*

2. Increase customer satisfaction: **FHA will increase its RASS score to over 60% in each area over the next 5 years.**

*Progress: The PHA has employed a new Resident Initiatives Coordinator who has initiated several programs. The PHA should meet this goal as established.*

3. Renovate or modernize public housing units: **FHA will spend at least 50% of its Capital Funds on direct modernization of units over the next 5 years.**

*Progress: The PHA will spend 67% of 2001 CFP money directly on unit modernization activities and will continue to meet or exceed the established goal.*

4. Demolish or dispose of obsolete public housing: **FHA will apply for a Hope VI Demolition Grant for KY 3-3.**

*Progress: The PHA will apply when the next funding is announced.*

5. Provide replacement vouchers: **If receive the Hope VI, will apply for 30 replacement vouchers.**

*Progress: The PHA will apply for replacement vouchers in conjunction with the above application.*

#### PHA Goal: Increase assisted housing choices

##### Objectives:

1. Conduct outreach efforts to potential voucher landlords – **FHA will add 10 new Section 8 landlords by 2005.**

*Progress: The PHA has added 22 new Section 8 landlords in this Fiscal Year. We have met and exceeded this goal.*

2. Convert public housing to vouchers: **FHA will replace demolished housing with Section 8 vouchers.**

*Progress: Addressed in previous section.*



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

PHA Goal: Provide an improved living environment

Objective:

Implement public housing security improvements: **If funded, FHA will continue to provide additional police patrols in its communities.**

*Progress: Additional police patrols were funded and have continued to provide services to all developments.*

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

PHA Goal: Ensure equal opportunity and affirmatively further fair housing

Objectives:

1. Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability: **FHA will market to traditionally underserved populations on an annual basis through flyers and public access television.**

*Progress: Ads have run on public access television at various intervals during the year. Flyers have been sent for posting to Food Stamp Offices, the Salvation Army and to local shelters.*

**Voluntary Conversion:**

The Housing Authority has reviewed each of its developments currently operating as public housing. There are no developments exempt from voluntary conversion. The Housing Authority has determined voluntary conversion to be inappropriate due to the following:

1. The Housing Authority estimates that the cost of operation in conversion of public housing units to tenant-based assistance would remain essentially unchanged.

2. There would be no principal benefit to the residents if converted to tenant-based assistance.

3. While we have not done an extensive study, it is doubtful that the rental market in Franklin County could absorb these converted units.

A. How many of the PHA's developments are subject to the Required Initial Assessments? 4

B. 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)? 1

C. How many Assessments were conducted for the PHA's covered developments? 1

D. Identify PHA developments that may be appropriate for conversion based on the Required Initial Assessments: none

E. If the PHA has not completed the Required Initial Assessments, describe the status of these assessments. N/A

## **Attachments**

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

### **Attachment A**

#### **SECTION XXVI. DECONCENTRATION RULE**

1. Objective - The objective of the Deconcentration Rule for public housing units is to ensure that families are housed in a manner that will prevent a concentration of poverty families and/or a concentration of higher income families in any one development. The specific objective of the housing authority is to house no less than 40 percent of its public housing inventory with families that have income at or below 30% of the area median income by public housing development. Also the housing authority will take actions to insure that no individual development has a concentration of higher income

families in one or more of the developments. To insure that the housing authority does not concentrate families with higher income levels, it is the goal of the housing authority not to house more than 60% of its units in any one development with families whose income exceeds 30% of the area median income. The housing authority will track the status of family income, by development, on a monthly basis by utilizing income reports generated by the housing authority's computer system.

2. Actions - . Actions. Actions. Actions To accomplish the deconcentration goals, the housing authority will take the following actions:

- A. At the beginning of each housing authority fiscal year, the housing authority will establish a goal for housing 40% of its new admissions with families whose incomes are at or below the area median income. The annual goal will be calculated by taking 40% of the total number of move-ins from the previous housing authority fiscal year.
- B. To accomplish the goals of:
  - (1) Housing not less than 40% of its public housing inventory on an annual basis with families that have incomes at or below 30% of area median income, and
  - (2) Not housing families with incomes that exceed 30% of the area median income in developments that have 60% or more of the total household living in the development with incomes that exceed 30% of the area median income, the housing authority's Tenant Selection and Assignment Plan, which is a part of this policy, provides for skipping families on the waiting list to accomplish these goals.
  - (3) In order to insure the deconcentration of poverty and income-mixing at all of our sites, the following incentives may be offered to encourage and recruit higher income families: a security deposit installment plan, one child per bedroom, first month rent free, (for families paying more than \$300 per month in rent), waiting list skipping, and a local preference for working families..."

## Attachment B

### Capital Fund Program Annual Statement Parts I, II, and II

### CAPITAL FUND PROGRAM TABLES START HERE

<b>Annual Statement/Performance and Evaluation Report</b>					
<b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
PHA Name: Housing Authority of Frankfort		Grant Type and Number Capital Fund Program Grant No: <b>KY36P00350102</b> Replacement Housing Factor Grant No:			Federal FY of Grant: <b>2002</b>
<b>X Original Annual Statement</b>		<b>Reserve for Disasters/ Emergencies</b>		<b>Revised Annual Statement (revision no:)</b>	
<b>Performance and Evaluation Report for Period Ending:</b>		<b>Final Performance and Evaluation Report</b>			
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	<b>75,000</b>			
3	1408 Management Improvements	<b>15,000</b>			
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	<b>19,754</b>			
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	<b>275,000</b>			
11	1465.1 Dwelling Equipment—Nonexpendable	<b>36,000</b>			
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment	<b>36,000</b>			
14	1485 Demolition				

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

<b>PHA Name: Housing Authority of Frankfort</b>	<b>Grant Type and Number</b> Capital Fund Program Grant No: <b>KY36P00350102</b> Replacement Housing Factor Grant No:	<b>Federal FY of Grant:</b> <b>2002</b>
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**X Original Annual Statement Reserve for Disasters/ Emergencies Performance and Evaluation Report for Period Ending:**      **Revised Annual Statement (revision no:) Final Performance and Evaluation Report**

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	<b>456,754</b>			
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				

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

PHA Name: <b>Housing Authority of Frankfort</b>		Grant Type and Number Capital Fund Program Grant No: <b>KY36P00350102</b> Replacement Housing Factor Grant No:			Federal FY of Grant: <b>2002</b>			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
<b>HA Wide</b>	<b>Operations</b>	<b>1406</b>		<b>75,000</b>				
<b>HA Wide</b>	<b>Preschool Misc.</b>	<b>1408</b>		<b>15,000</b>				
<b>HA Wide</b>	<b>A &amp; E/Consultant</b>	<b>1430</b>		<b>19,754</b>				
<b>KY 3-1</b>	<b>Roof Replacement</b>	<b>1460</b>		<b>90,000</b>				
<b>KY 3-1</b>	<b>Replace Windows</b>	<b>1460</b>		<b>175,000</b>				
<b>KY 3-6</b>	<b>Paint Common Areas</b>	<b>1460</b>		<b>10,000</b>				
<b>KY 3-6</b>	<b>Wall HVAC Units</b>	<b>1465</b>		<b>16,000</b>				
<b>HA Wide</b>	<b>Stoves &amp; Refrigerators</b>	<b>1465</b>		<b>20,000</b>				
<b>HA Wide</b>	<b>Sewer Machine</b>	<b>1475</b>		<b>1,000</b>				
<b>HA Wide</b>	<b>Misc. Maintenance Equipment</b>	<b>1475</b>		<b>15,000</b>				
<b>HA Wide</b>	<b>Copiers (2)</b>	<b>1475</b>		<b>20,000</b>				







## Attachment C

<b>Annual Statement/Performance and Evaluation Report</b> <b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
<b>PHA Name: Housing Authority of Frankfort</b>		<b>Grant Type and Number</b> Capital Fund Program Grant No: <b>KY36P00350101</b> Replacement Housing Factor Grant No:			<b>Federal FY of Grant:</b> <b>2001</b>
<b>Original Annual Statement</b>		<b>Reserve for Disasters/ Emergencies</b>		<b>Revised Annual Statement -</b>	
<b>Performance and Evaluation Report for Period Ending: 6/30/01</b>		<b>Final Performance and Evaluation Report</b>			
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	<b>27,001</b>			
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	<b>20,000</b>			
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	<b>368,708</b>			
11	1465.1 Dwelling Equipment—Nonexpendable	<b>41,045</b>			
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collaterization or Debt Service				
20	1502 Contingency				

<b>Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
<b>PHA Name: Housing Authority of Frankfort</b>		<b>Grant Type and Number</b> Capital Fund Program Grant No: <b>KY36P00350101</b> Replacement Housing Factor Grant No:			<b>Federal FY of Grant:</b> <b>2001</b>
<b>Original Annual Statement Reserve for Disasters/ Emergencies Performance and Evaluation Report for Period Ending: 6/30/01</b>			<b>Revised Annual Statement - Final Performance and Evaluation Report</b>		
<b>Line No.</b>	<b>Summary by Development Account</b>	<b>Total Estimated Cost</b>		<b>Total Actual Cost</b>	
		<b>Original</b>	<b>Revised</b>	<b>Obligated</b>	<b>Expended</b>
21	Amount of Annual Grant: (sum of lines 2 – 20)	<b>456,754</b>			
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				



## Attachment D

### Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name <b>Housing Authority of Frankfort</b>					<b>X Original 5-Year Plan</b>	
					<b>Revision No:</b>	
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: <b>2003</b> PHA FY: <b>2003</b>	Work Statement for Year 3 FFY Grant: <b>2004</b> PHA FY: <b>2004</b>	Work Statement for Year 4 FFY Grant: <b>2005</b> PHA FY: <b>2005</b>	Work Statement for Year 5 FFY Grant: <b>2006</b> PHA FY: <b>2006</b>	
	Annual Statement					
KY 3-1		<b>309,400</b>	<b>120,000</b>		<b>188,000</b>	
KY 3-2		<b>9,000</b>	<b>210,500</b>	<b>205,000</b>	<b>125,000</b>	
KY 3-4		<b>6,400</b>		<b>96,000</b>	<b>25,000</b>	
KY 3-6						
HA Wide		<b>131,954</b>	<b>126,254</b>	<b>155,754</b>	<b>118,754</b>	
CFP Funds Listed for 5-year planning		<b>456,754</b>	<b>456,754</b>	<b>456,754</b>	<b>456,754</b>	
Replacement Housing Factor Funds						

Capital Fund Program Five-Year Action Plan

**Part II: Supporting Pages—Work Activities**

Activities for Year 1	Activities for Year : 2003 FFY Grant: PHA FY:			Activities for Year: 2004 FFY Grant: PHA FY:		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See	KY 3-1	HVAC	300,000	KY 3-2	Closet Doors	71,000
Annual		Outside Door Locks	9,400		Screen Doors	30,000
Statement	Subtotal		309,400		Mechanical Room Doors	4,500
					Flooring	100,000
				Subtotal		210,500
		Outside Door Locks	9,000	KY 3-1	HVAC (complete	120,000
	Subtotal		9,000	Subtotal		120,000
	KY 3-4	Outside Door Locks	6,400	HA Wide	A & E	20,254
	Subtotal		6,400		Operations	75,000
					Preschool	15,000
	HA Wide	A & E	15,954		Stoves/Refrigerators	6,000
		Operations	75,000		Lawn Tractor	10,000
				Subtotal		126,254
		Preschool	15,000			
		Stoves/Refrigerators	6,000			
		Maintenance Truck	20,000			
	Subtotal		131,954			
Total CFP Estimated Cost			\$456,754			\$456,754

