

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 2000

**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 the County of Santa Barbara

**PHA Number:** CA021

**PHA Fiscal Year Beginning: (mm/yyyy)** 01/2000

**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: The Housing Authority of the County of Santa Barbara's mission is to provide good quality housing for low-income households in environments supporting economic opportunity and independence.

**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:
- Apply for additional rental vouchers:
  - Reduce public housing vacancies:
  - Leverage private or other public funds to create additional housing opportunities:
  - Acquire or build units or developments
  - X Other (list below): Increase housing choices for families and individuals.
- X PHA Goal: Improve the quality of assisted housing  
Objectives:
- Improve public housing management: (PHAS score)
  - Improve voucher management: (SEMAP score)
  - Increase customer satisfaction:

- Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)
- Renovate or modernize public housing units:
- Demolish or dispose of obsolete public housing:
- Provide replacement public housing:
- Provide replacement vouchers:
- X Other: (list below): Maintain safe, decent, sanitary units and improve quality of life for residents in public housing developments.

X PHA Goal: Increase assisted housing choices

Objectives:

- Provide voucher mobility counseling:
- Conduct outreach efforts to potential voucher landlords
- Increase voucher payment standards
- Implement voucher homeownership program:
- Implement public housing or other homeownership programs:
- Implement public housing site-based waiting lists:
- Convert public housing to vouchers:
- X Other: (list below): Balance service delivery in all housing market areas.

**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:
- Implement public housing security improvements:
- Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
- X Other: (list below): Maintain safe, decent, sanitary units and improve quality of life for residents living in public housing developments.

**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.
- X Other: (list below): Create additional economic independence opportunities for families and individuals.

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

- X PHA Goal: Ensure equal opportunity and affirmatively further fair housing Objectives:
  - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
  - Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
  - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
  - X Other: (list below): Promote equal housing opportunities.

**Other PHA Goals and Objectives: (list below)**

Deter and eliminate program fraud.

**Annual PHA Plan**  
**PHA Fiscal Year 2000**  
[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**  
 **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)]

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

**iii. Annual Plan Table of Contents**

[24 CFR Part 903.7 9 (r)]

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

**Table of Contents**

Page #

**Annual Plan**

- i. Executive Summary
- ii. Table of Contents
  - 1. Housing Needs
  - 2. Financial Resources
  - 3. Policies on Eligibility, Selection and Admissions
  - 4. Rent Determination Policies
  - 5. Operations and Management Policies
  - 6. Grievance Procedures
  - 7. Capital Improvement Needs
  - 8. Demolition and Disposition
  - 9. Designation of Housing
  - 10. Conversions of Public Housing
  - 11. Homeownership
  - 12. Community Service Programs

- 13. Crime and Safety
- 14. Pets (Inactive for January 1 PHAs)
- 15. Civil Rights Certifications (included with PHA Plan Certifications)
- 16. Audit
- 17. Asset Management
- 18. Other Information

**Attachments**

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

**Required Attachments:**

- Admissions Policy for Deconcentration (**CA021a05 and CA021a06**)
- FY 2000 Capital Fund Program Annual Statement (**CA021a03**)
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

**Optional Attachments:**

- PHA Management Organizational Chart (**CA021a01**)
- FY 2000 Capital Fund Program 5 Year Action Plan (**CA021a03**)
- 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>
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
	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>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents X check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development X check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies X check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures X check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures X check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for	Annual Plan: Capital Needs

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
	any active CIAP grant	
X	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 disposition of public housing	Annual Plan: Demolition 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 <input type="checkbox"/> 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
	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	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
	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	9,718	5	5	5	2	5	5
Income >30% but <=50% of AMI	8,110	5	5	5	2	5	5
Income >50% but <80% of AMI	9,771	4	5	3	1	4	5
Elderly	3,440	4	5	3	4	2	3
Families with Disabilities	1,500	5	5	4	5	4	5
Hispanic	10,500	5	5	5	2	5	5
Race/Ethnicity							
Race/Ethnicity							
Race/Ethnicity							

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: 1995-2000
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data  
Indicate year:
- Other housing market study  
Indicate year:
- Other sources: (list and indicate year of information)

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

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

<b>Housing Needs of Families on the Waiting List</b>			
Waiting list type: (select one)			
<input checked="" type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> 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	41		
Extremely low income <=30% AMI	35	85%	
Very low income (>30% but <=50% AMI)	6	15%	
Low income (>50% but <80% AMI)	0	0	
Families with children	5	12%	
Elderly families	1	2.4%	
Families with Disabilities	41	100%	
Race/ethnicity	29 white/8 hispanic	70% white/19% hispanic	
Race/ethnicity	3 black	7%	
Race/ethnicity	0 American Indian	0%	
Race/ethnicity	2 Asian	4%	
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			

<b>Housing Needs of Families on the Waiting List</b>			
5+ BR			
Is the waiting list closed (select one)? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)? 58 (since November 1994)			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			

**For Public Housing: See Attachment CA021a02**

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

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- Other: (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
- X Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- X 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

- X 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

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

- X Funding constraints
- X Staffing constraints
- Limited availability of sites for assisted housing
- X Extent to which particular housing needs are met by other organizations in the community

- X Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- X Influence of the housing market on PHA programs
- X Community priorities regarding housing assistance
- X Results of consultation with local or state government
- X Results of consultation with residents and the Resident Advisory Board
- X 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: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 2000 grants)</b>		
a) Public Housing Operating Fund	825,000	
b) Public Housing Capital Fund	1,300,000	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	15,000,000	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	142,000	
g) Resident Opportunity and Self-Sufficiency Grants		
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
<b>3. Public Housing Dwelling Rental Income</b>	1,400,000	PH Operations
<b>4. Other income (list below)</b>		
Interest/Investment Income	36,000	PH Operations
<b>4. Non-federal sources (list below)</b>		
<b>Total resources</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) Five (5).
- When families are within a certain time of being offered a unit: (state time)
- Other: (describe)

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

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

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

**(2)Waiting List Organization**

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- Community-wide list
- Sub-jurisdictional lists
- Site-based waiting lists
- Other (describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office
- PHA development site management office
- Other (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)

X One

Two

Three or More

b. X 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 X 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)

X Emergencies

X Overhoused

X Underhoused

X Medical justification

X Administrative reasons determined by the PHA (e.g., to permit modernization work)

Resident choice: (state circumstances below)

Other: (list below)

c. Preferences

1. X 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)

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:

- 3 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)

- 3 Working families and those unable to work because of age or disability
- 2 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)

4. Relationship of preferences to income targeting requirements:

- 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) 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)

- X The PHA-resident lease
- X The PHA's Admissions and (Continued) Occupancy policy
- X 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)

- X At an annual reexamination and lease renewal
- X Any time family composition changes
- X At family request for revision
- Other (list)

**(6) Deconcentration and Income Mixing**

- a. X 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. X 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:

X Employing waiting list “skipping” to achieve deconcentration of poverty or income mixing goals at targeted developments  
If selected, list targeted developments below:  
CA021-002, CA021-003 and CA021-005

Employing new admission preferences at targeted developments  
If selected, list targeted developments below:

Other (list policies and developments targeted below)

d. X 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)

X Additional affirmative marketing

X Actions to improve the marketability of certain developments

X 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)

X 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)

X 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
- X More general screening than criminal and drug-related activity (list factors below)
- Other (list below)
- b.  Yes X No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c.  Yes X No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d.  Yes X 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)
- X Criminal or drug-related activity
- X Other (describe below) Rent Payment History/Housekeeping/Damages

### (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)
- X 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)

- X PHA main administrative office
- X Other (list below): All site management offices.

**(3) Search Time**

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

If yes, state circumstances below: Documented “shopping list”, indicating refusal by contacted landlords and/or higher rents than accepted.

**(4) Admissions Preferences**

a. Income targeting

Yes X 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. X 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

- X 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)

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

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

1      Date and Time

Former Federal preferences

- 3      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)

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

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)

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

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

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

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

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

- X 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  
X \$1-\$25  
 \$26-\$50

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

3. If yes to question 2, list these policies below: **See Attachment CA021a04**

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

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

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

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

- For the earned income of a previously unemployed household member  
 For increases in earned income  
 Fixed amount (other than general rent-setting policy)  
If yes, state amount/s and circumstances below:

- Fixed percentage (other than general rent-setting policy)  
If yes, state percentage/s and circumstances below:

- For household heads
- For other family members
- For transportation expenses
- For the non-reimbursed medical expenses of non-disabled or non-elderly families
- Other (describe below)

e. Ceiling rents

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

- Yes for all developments
- Yes but only for some developments
- No

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

- For all developments
- For all general occupancy developments (not elderly or disabled or elderly only)
- For specified general occupancy developments
- For certain parts of developments; e.g., the high-rise portion
- For certain size units; e.g., larger bedroom sizes
- Other (list below)

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

- Market comparability study
- Fair market rents (FMR)
- 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)

- X Annually
- X Other (list below): More often if changes in rental market prices are noted.

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- X Success rates of assisted families
- X Rent burdens of assisted families
- Other (list below)

## **(2) Minimum Rent**

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

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

b. X Yes  No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

**See Attachment CA021a04.**

## **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. **Attachment CA021a01**
- 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 at Attachment (state name)

-or-

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

#### **Attachment 3**

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

b. If yes to question a, select one:

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

-or-

- X 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)

### Attachment 3

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

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

[24 CFR Part 903.7 9 (i)]

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

1.  Yes X 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:	
	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 <input type="checkbox"/>
3. Application status (select one)	
	Approved; included in the PHA’s Designation Plan <input type="checkbox"/>
	Submitted, pending approval <input type="checkbox"/>
	Planned application <input type="checkbox"/>
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. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)	
4. Status of Conversion Plan (select the statement that best describes the current status)	<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**

**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:	<input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one)	<input type="checkbox"/> Approved; included in the PHA's Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> 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)	<input type="checkbox"/> Part of the development <input type="checkbox"/> 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 (1)]

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? DD/MM/YY

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



**(2) Family Self Sufficiency program/s**

a. Participation Description

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

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

**C. Welfare Benefit Reductions**

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)
- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
  - Informing residents of new policy on admission and reexamination
  - Actively notifying residents of new policy at times in addition to admission and reexamination.
  - Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
  - Establishing a protocol for exchange of information with all appropriate TANF agencies
  - Other: (list below)

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

**13. PHA Safety and Crime Prevention Measures**

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are

participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

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

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

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

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

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

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

**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)

**C. Coordination between PHA and the police**

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

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- Other activities (list below)

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

**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.

- X Yes  No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes X No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?
- Yes X No: This PHDEP Plan is an Attachment. (Attachment Filename: \_\_\_\_)

**14. RESERVED FOR PET POLICY**

[24 CFR Part 903.7 9 (n)]

**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. X 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. X Yes  No: Was the most recent fiscal audit submitted to HUD?
3.  Yes X 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. X 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)  
X Provided below: The Resident Advisory Board endorsed the plans.
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:  
X Other: (list below)  
No action necessary.

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

1. X 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: (provide name here): Santa Barbara County – HOME Consortium, City of Lompoc and City of Santa Maria.
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.
- X 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.
- X Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

- Other: (list below)

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

HOME Consortium established and maintained to provide HOME entitlement funds.

CDBG grants obtained through State competitive process for county housing rehabilitation loan programs.

CDBG funds from entitlement cities are available for affordable housing through competitive NOFA process.

CDBG, HOME and local funds are available through countywide competitive NOFA process. Top priority is to use those funds to leverage other funds toward increasing supply of affordable rental housing. This is accomplished both by new construction, acquisition and rehabilitation.

Stated funding priorities and commitments include:

- 1) Large family rental housing
- 2) Homeowner rehabilitation loan programs
- 3) Special needs housing
- 4) Rental housing for the elderly
- 5) Opportunities for homeownership
- 6) Acquisition of rental units “at risk” of conversion to market rate

**D. Other Information Required by HUD**

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

## **Attachments**

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

CA021a01 – Organizational Chart

CA021a02 – Public Housing Waiting List Information

CA021a03 – Capital Fund Information

CA021a04- Minimum Rent Exemption Policies

CA021a05 – Admission Policy for Deconcentration (Public Housing)

CA021a06 – Admission Policy for Deconcentration (Section 8)

CA021a07 – Substantial Deviation Definition

# PHA Plan Table Library

## Component 7 Capital Fund Program Annual Statement Parts I, II, and II

### Annual Statement Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number      FFY of Grant Approval: (MM/YYYY)

Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	
2	1406 Operations	
3	1408 Management Improvements	
4	1410 Administration	
5	1411 Audit	
6	1415 Liquidated Damages	
7	1430 Fees and Costs	
8	1440 Site Acquisition	
9	1450 Site Improvement	
10	1460 Dwelling Structures	
11	1465.1 Dwelling Equipment-Nonexpendable	
12	1470 Nondwelling Structures	
13	1475 Nondwelling Equipment	
14	1485 Demolition	
15	1490 Replacement Reserve	
16	1492 Moving to Work Demonstration	
17	1495.1 Relocation Costs	
18	1498 Mod Used for Development	
19	1502 Contingency	
20	<b>Amount of Annual Grant (Sum of lines 2-19)</b>	
21	Amount of line 20 Related to LBP Activities	
22	Amount of line 20 Related to Section 504 Compliance	
23	Amount of line 20 Related to Security	
24	Amount of line 20 Related to Energy Conservation Measures	

**Annual Statement**  
**Capital Fund Program (CFP) Part II: Supporting Table**

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost

**Annual Statement  
 Capital Fund Program (CFP) Part III: Implementation Schedule**

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)

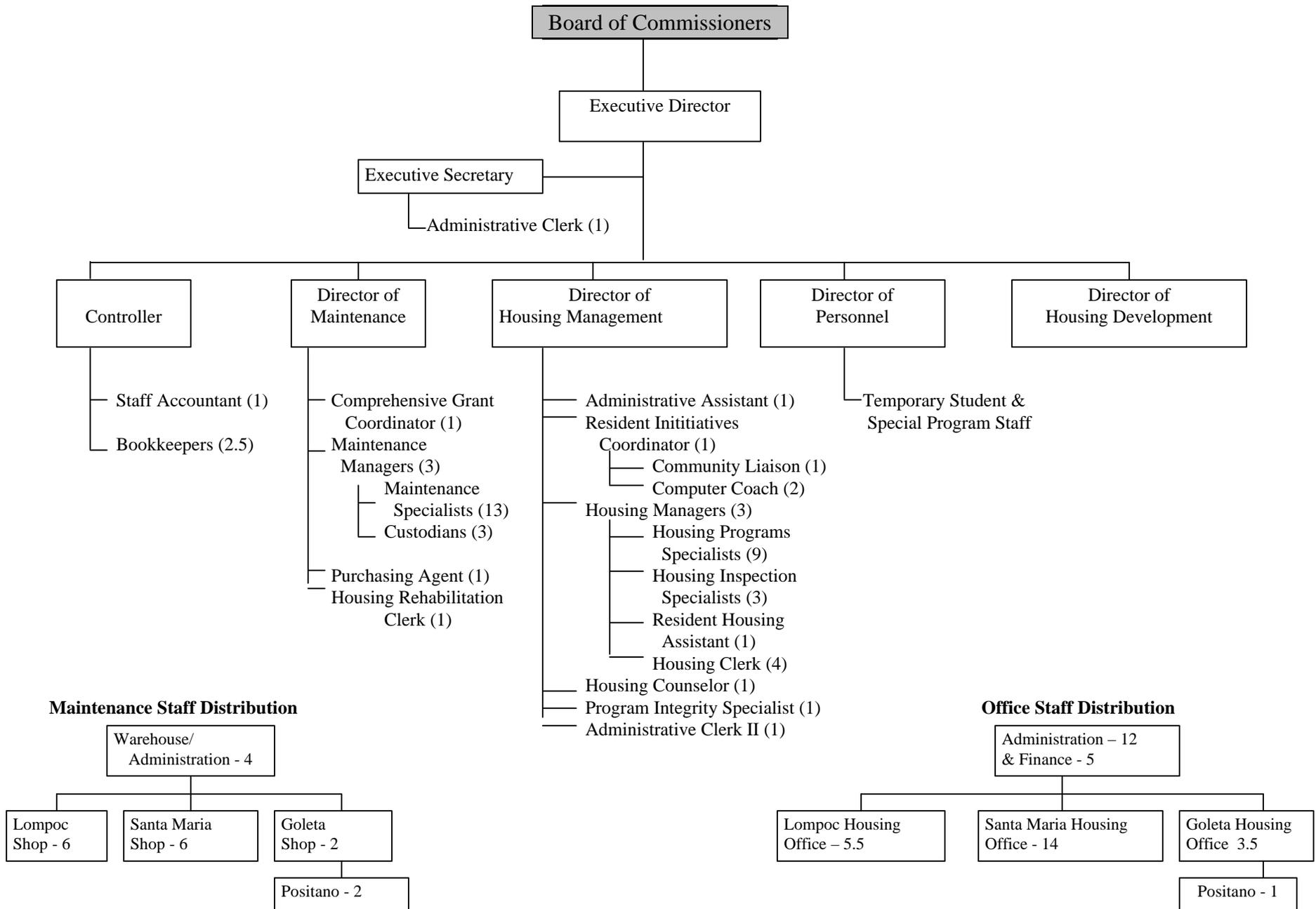
## Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Total estimated cost over next 5 years</b>				



# Housing Authority of the County of Santa Barbara Organizational Chart



**Housing Needs of Families on the Waiting List  
ATTACHMENT CA021a02**

Waiting list type: (select one)

- Section 8 tenant-based assistance  
 Public Housing  
 Combined Section 8 and Public Housing  
 Public Housing Site-Based or sub-jurisdictional waiting list (optional)  
 If used, identify which development/subjurisdiction:

	# of families	% of total families	Annual Turnover
Waiting list total	2517		
Extremely low income <=30% AMI	1861	74%	
Very low income (>30% but <=50% AMI)	516	20%	
Low income (>50% but <80% AMI)	140	6%	
Families with children	1810	72%	
Elderly families	234	9%	
Families with Disabilities	354	14%	
Race/ethnicity	886 White 1246 Hispanic	35% White 50% Hispanic	
Race/ethnicity	204 Black	8%	
Race/ethnicity	95 American Indian	4%	
Race/ethnicity	86 Asian	3%	
Characteristics by Bedroom Size (Public Housing Only)			
1BR	707	28%	3%
2 BR	964	38%	7%
3 BR	710	28%	6%
4 BR	136	6%	4%
5 BR	0	0	0
5+ BR	0	0	0

**Housing Needs of Families on the Waiting List**  
**ATTACHMENT CA021a02**

Is the waiting list closed (select one)? X No  Yes

If yes:

How long has it been closed (# of months)?

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

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

**ATTACHMENT CA021A03 – AGENCY PLAN**  
**Component 7**  
**Capital Fund Program Annual Statement**  
**Parts I, II, and III**

**Annual Statement**  
**Capital Fund Program (CFP) Part I: Summary**

Capital Fund Grant Number: CA16-PO21-909

FFY of Grant Approval: 2000

Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	.00
2	1406 Operations	62,787.00
3	1408 Management Improvements	10,000.00
4	1410 Administration	125,573.00
5	1411 Audit	.00
6	1415 Liquidated Damages	.00
7	1430 Fees and Costs	98,000.00
8	1440 Site Acquisition	.00
9	1450 Site Improvement	468,652.00
10	1460 Dwelling Structures	324,600.00
11	1465.1 Dwelling Equipment-Nonexpendable	.00
12	1470 Nondwelling Structures	106,000.00
13	1475 Nondwelling Equipment	13,000.00
14	1485 Demolition	.00
15	1490 Replacement Reserve	.00
16	1492 Moving to Work Demonstration	.00
17	1495.1 Relocation Costs	.00
18	1498 Mod Used for Development	.00
19	1502 Contingency	47,119.00
20	<b>Amount of Annual Grant (Sum of lines 2-19)</b>	<b>1,255,731.00</b>
21	Amount of line 20 Related to LBP Activities	93,000.00
22	Amount of line 20 Related to Section 504 Compliance	.00
23	Amount of line 20 Related to Security	60,800.00
24	Amount of line 20 Related to Energy Conservation Measures	.00

**Annual Statement**  
**Capital Fund Program (CFP) Part II: Supporting Table**

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost
CA21-002 Guadalupe Ranch Acres	Plant trees.	1450	2,500
	SUB-TOTAL		<u>2,500</u>
CA21-003 Guadalupe Ranch Acres	Install perimeter fence.	1450	27,000
	Plant trees.	1450	2,500
	SUB-TOTAL		<u>29,500</u>
CA21-004 Lompoc Terrace	Re-landscape.	1450	99,352
	Re-model maintenance shop.	1470	106,000
	A/E Services (re-landscape).	1430	10,000
	A/E Services (re-model).	1430	13,000
	SUB-TOTAL		<u>228,352</u>
CA21-005 Guadalupe Ranch Acres	Install perimeter fence.	1450	27,000
	Plant trees.	1450	2,500
	SUB-TOTAL		<u>29,500</u>
CA21-006 Evans Park	Security Services.	1430	30,000
	A/E Services re-landscape.	1430	7,500
	Re-surface parking areas.	1450	36,000
	Upgrade plumbing system.	1460	30,000
	Re-landscape grounds.	1450	75,000
	Replace sinks/faucets in bathrooms.	1460	11,000
	Replace sheetrock in h20 closets.	1460	25,000
	Lead based paint abatement (gas meters).	1450	41,000
	Install peepholes in exterior doors.	1460	1,200
	SUB-TOTAL		<u>256,700</u>
CA21-007 Evans Park	Security Services.	1430	30,000
	A/E Services – Re-landscape.	1430	7,500
	Re-landscape grounds.	1450	75,000
	Replace bathroom sinks/faucets.	1460	13,200
	Lead based paint abatement (gas	1450	52,000

	meters). Install block wall (fill gaps between development and outlet center). SUB-TOTAL		16,000  <u>193,700</u>
CA21-013 Miller Plaza	Interior painting. Install walkway.  SUB-TOTAL	1450 1460 1450	18,000 12,000  <u>30,000</u>
CA21-015 Aparicio Apts. I	Replace kitchen and bath sinks/faucets. Re-model kitchens. Install security lighting.  SUB-TOTAL	1460 1460 1450	3,600 92,000 800  <u>96,400</u>
CA21-020 Aparicio Apts. II	Replace kitchen and bath sinks/faucets. Remodel kitchens.  SUB-TOTAL	1460 1460	2,300 53,000  <u>55,300</u>
CA021-021 Aparicio Apts. III	Replace kitchen and bath sinks/faucets. Replace heating. Remodel kitchens.  SUB-TOTAL	1460 1460 1460	2,300 20,000 53,000  <u>75,300</u>
PHA-Wide	Operating Budget.  SUB-TOTAL	1406	62,787  <u>62,787</u>
PHA-Wide	Professional Development Training. Resident Training.  SUB-TOTAL	1408 1408	5,000 5,000  <u>10,000</u>
PHA-Wide	Administrative salaries and benefits.  SUB-TOTAL	1410	125,573  <u>125,573</u>
PHA-Wide	Purchase vehicle for maintenance dept.  SUB-TOTAL	1475	13,000  13,000
PHA-Wide	Contingency.  SUB-TOTAL	1502	47,119  <u>47,119</u>



**Annual Statement**  
**Capital Fund Program (CFP) Part III: Implementation Schedule**

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Fund Expended (Quarter Ending Date)
CA16-PO21-002 Guadalupe Ranch Acres	03/31/2002	09/30/2003
CA16-PO21-003 Guadalupe Ranch Acres	03/31/2002	09/30/2003
CA16-PO21-004 Lompoc Terrace	03/31/2002	09/30/2003
CA16-PO21-005 Guadalupe Ranch Acres	03/31/2002	09/30/2003
CA16-PO21-006 Evans Park	03/31/2002	09/30/2003
CA16-PO21-007 Evans Park	03/31/2002	09/30/2003
CA16-PO21-013 Miller Plaza	03/31/2002	09/30/2003
CA16-PO21-015 Aparicio Apts. I	03/31/2002	09/30/2003
CA16-PO21-020 Aparicio Apts. II	03/31/2002	09/30/2003
CA16-PO21-021 Aparicio Apts. III	03/31/2002	09/30/2003

**Annual Statement**

**Capital Fund Program (CFP) Part III: Implementation Schedule**

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Fund Expended (Quarter Ending Date)
PHA-Wide Management Improvements	03/31/2002	09/30/2003

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**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
PHA-Wide	Management Improvements	N/A	N/A	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Professional development training.			5,000	2001
Resident training.			5,000	2001
Professional development training.			5,000	2002
Resident training.			5,000	2002
Purchase computer software.			20,000	2002

Total estimated cost over next 5 years	40,000	
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### Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
	<b>Non-Physical/Management Improvement Costs</b>	N/A	N/A	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Security Services (Development CA16-PO21-006)			31,500	2001
Security Services (Development CA16-PO21-007)			31,500	2001
Operating Budget (5%)			62,787	2001
Administration (10%)			125,573	2001
Contingency			47,119	2001
Security Services (Development CA16-PO21-006)			30,000	2002
Security Services (Development CA16-PO21-007)			30,000	2002
Operating Budget (5%)			62,787	2002
Administration (10%)			125,573	2002
Contingency			47,119	2002
A/E Services to Design Housing Office/Community Bldg/Maintenance Shop (CA16-PO21-004)			85,000	2003
Operating Budget (5%)			62,787	2003
Administration (10%)			125,573	2003
Contingency			47,119	2003
Operating Budget (5%)			62,787	2004
Administration (10%)			125,573	2004
Contingency			47,119	2004
Total estimated cost over next 5 years			1,149,916	

### Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-PO21-034		2	9.09%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Replace roofs.			48,000	2001
Replace water heaters.			9,000	2001
Replace kitchen sinks and faucets.			6,500	2001
Replace bathroom sinks and faucets.			4,420	2001
Replace kitchen cabinets.			66,000	2001
Replace concrete driveways.			14,000	2002
Replace heating units.			68,200	2002
Replace fences			77,000	2003
Replace stoves.			6,600	2004
Exterior painting.			40,000	2004
Install security screen doors.			3,388	2004
Replace flooring.			28,600	2004
Total estimated cost over next 5 years			371,708	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-002	Guadalupe Ranch Acres	1	6.25%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Upgrade electrical system.			48,000	2002
Install clean-outs in kitchens.			4,800	2002
Install security lighting on west side of property.			20,000	2002
Paint fences (three coats).			10,000	2002
Extend fencing.			11,000	2002
Replace windows.			39,000	2002
Total estimated cost over next 5 years			148,600	

### Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-003	Guadalupe Ranch Acres	0	0%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Upgrade electrical system.			60,000	2002
Install clean-outs in kitchens.			6,000	2002
Replace sidewalks.			6,000	2002
Replace sidewalks.			12,000	2002
Paint fencing (three coats).			14,000	2002
Extend fencing.			49,000	2002
Replace windows.				
Replace stoves.			6,000	2003
Add additional bathroom to four bedroom units.			173,000	2004
Total estimated cost over next 5 years			326,000	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-004	Lompoc Terrace	8	16%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Replace toilets.			10,000	2001
Install playground equipment.			16,000	2002
Install garbage disposals.			9,600	2003
Construct housing office/community building/maintenance shop.			425,000	2003
Install security screen doors.			8,000	2003
<b>Total estimated cost over next 5 years</b>			<b>468,600</b>	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-005	Guadalupe Ranch Acres	1	5%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Install fencing in front of units (Tenth St.).			5,312	2002
Install clean-outs in kitchens.			6,000	2002
Replace windows.			50,000	2002
Pour additional cement in backyards.			20,000	2002
Upgrade electrical system.			60,000	2002
Extend fencing.			14,000	2002
Paint fencing (three coats).			12,000	2002
Replace stoves.			6,000	2003
Install sidewalks.			18,000	2003
Add additional bathroom to four-bedroom units.			180,000	2004
Total estimated cost over next 5 years			371,312	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-006	Evans Park	0	0%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)

Replace windows.	26,000	2001
Exterior painting.	49,000	2001
Replace stucco.	83,000	2001
Replace flooring.	173,500	2002
Install clean-outs in kitchens.	13,800	2003
Install play area (West Cox).	12,000	2003
Replace stoves.	20,700	2004
Remove patio doors.	7,000	2004
Install picnic area with overhead shelter.	2,500	2004
Install benches at play areas.	1,000	2004
<b>Total estimated cost over next 5 years</b>	<b>388,500</b>	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA16-P021-007	Evans Park	0	0%

Description of Needed Physical Improvements or Management Improvements	Estimated Cost	Planned Start Date (HA Fiscal Year)
Replace windows.	35,000	2001
Replace stucco.	101,000	2001
Exterior painting.	59,000	2001
Install playground equipment.	4,200	2001
Replace stoves.	26,734	2004
<b>Total estimated cost over next 5 years</b>	<b>225,934</b>	

### Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
CA16-P021-013	Miller Plaza	1	4.17%

Description of Needed Physical Improvements or Management Improvements	Estimated Cost	Planned Start Date (HA Fiscal Year)
Construct carports.	6,500	2001
Construct storage sheds.	35,000	2001
Replace sprinkler system.	5,000	2003
Install pressure regulators.	3,600	2003
<b>Total estimated cost over next 5 years</b>	<b>50,100</b>	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development

CA16-P021-014	Stanley Horn Homes	1	2.27%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Replace window coverings.			13,000	2001
Construct carports.			22,000	2001
Replace flooring in kitchens and bathrooms.			27,000	2001
Replace fencing.			75,000	2001
Replace kitchen cabinets.			54,000	2002
Install fluorescent lighting in kitchens.			4,000	2002
Install security screen doors.			6,776	2003
Replace main water line valves.			4,000	2003
Interior painting.			33,000	2004
Tree removal.			2,000	2004
Install additional lighting in parking area.			8,000	2004
Total estimated cost over next 5 years			248,776	

### Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables
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Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-015	Aparicio Apartments I	0	0%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Install fire sprinkler system.			28,000	2002
Exterior painting.			22,000	2004
Total estimated cost over next 5 years			50,000	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-016	Lompoc Gardens I	4	10%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Construct storage sheds.			55,432	2001
Interior painting.			32,000	2004
Replace exterior doors.			15,000	2004
Exterior painting.			60,000	2004
Total estimated cost over next 5 years			162,432	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-017	Lompoc Gardens II	2	5.71%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Construct storage sheds.			48,000	2001
Construct carports.			34,000	2001
Upgrade plumbing system.			16,000	2004
Interior painting.			30,000	2004
Replace kitchen cabinets.			39,000	2004
Exterior painting.			50,000	2004
Replace bathroom exhaust fans.			28,000	2004
Total estimated cost over next 5 years			245,000	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

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Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-020	Aparicio Apartments II	0	0%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Install fire sprinkler system.			16,000	2002
Total estimated cost over next 5 years			16,000	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-021	Aparicio Apartments III	2	25%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Replace water heaters.			2,000	2001
Install fire sprinkler system.			16,000	2002
Replace fence.			1,500	2003
Install window in laundry room.			1,200	2003
Interior painting.			7,000	2004
Total estimated cost over next 5 years			27,700	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-022	L. C. Grossman Homes	0	0%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Install water meters.			11,000	2001
Construct carports.			10,000	2001
Install water shut-off valves.			1,300	2003
Replace flooring.			18,500	2004
Replace kitchen cabinets and counter tops.			42,000	2004
Total estimated cost over next 5 years			82,800	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-023	Aparicio Apartments IV	0	0%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Replace roofs.			35,000	2001
Re-landscape.			876	2003
Install fire sprinkler system.			63,000	2003
Install curbs, gutters, and sidewalks.			15,000	2004
Total estimated cost over next 5 years			113,876	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-024	Aparicio Apartments V	0	0%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Replace windows (120 Magnolia Avenue).			31,200	2001
Install fire sprinkler system.			165,000	2003
Repair eaves on garage (120 Magnolia Avenue).			2,300	2004
Install security screen doors.			4,466	2004
Total estimated cost over next 5 years			202,966	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
CA16-P021-025	Beattie Apartments I and Leland Park Apartments	3	12%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Install decking.			28,000	2001
Replace stoves.			4,800	2003
Install fire sprinkler system.			32,000	2003
Replace roofs.			24,000	2004
Install security screen doors.			2,464	2004
Install perimeter fence.			80,000	2004
*All above work items are scheduled for Leland Park Apartments, Orcutt.				
Total estimated cost over next 5 years			171,264	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
PHA-Wide	Physical Improvements			
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Purchase vehicle for maintenance department.			13,000	2001
Purchase vehicle for maintenance department.			13,000	2002
Replace furniture in housing offices with modular-type.			80,440	2002
Purchase computer equipment.			30,000	2003
Purchase documents conversion system.			25,000	2003
<b>Total estimated cost over next 5 years</b>			<b>161,440</b>	

**Optional Table for 5-Year Action Plan for Capital Fund (Component 7)**

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Option 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Total estimated cost over next 5 years				

## **ATTACHMENT CA210a04**

### **Discretionary Minimum Rent Hardship Exemption Policy**

The Quality Housing and Work Responsibility Act of 1998 provides that a Family can request an exemption to the Minimum Rent due to the following circumstances:

1. The family has lost eligibility for or is awaiting an eligibility determination for a Federal, State, or local assistance program;
2. The family would be evicted as a result of the imposition of the minimum rent requirement;
3. The income of the family has decreased because of changed circumstances, including loss of employment; and
4. A death in the family has occurred.

If a family requests a hardship exemption, the minimum rent requirement is immediately suspended. The minimum rent is suspended until a determination is made whether:

1. There is a hardship covered by the Act; and
2. The hardship is temporary or long-term.

If the PHA determines that there is no hardship covered by the Act, minimum rent is imposed (including back-payment for minimum rent from the time of suspension).

If the PHA determines that the hardship is temporary, the minimum rent is also imposed (including back-payment for minimum rent from the time of suspension), but the family cannot be evicted for non-payment during the 90-day period commencing on the date the family's request for exemption of minimum rent in excess of the tenant rent otherwise payable. A reasonable re-payment agreement must be offered for any such rent not paid during that period. If the family thereafter demonstrates that the financial hardship is of long-term duration, the PHA shall retroactively exempt the family from the minimum rent requirement. Families are eligible to apply through the grievance process for determination made of exemption status.

**ATTACHMENT CA021a05**  
**Public Housing Statement of Policies**

**SECTION IV**

**TENANT SELECTION AND ASSIGNMENT PLAN (TSAP)**

In keeping with the geographical nature of the County and consistent with Title VI of the Civil Rights Act of 1964, the Housing Authority of the County of Santa Barbara will divide Santa Barbara into three areas, each with its own waiting list for the Low-Income Public Housing Program. This Tenant Selection and Assignment Plan (TSAP) outlines the procedures by which applicants will receive one offer of housing instead of three.

**1. OFFER OF HOUSING**

An applicant may decline an offer of housing if good cause is cited. In such cases where good cause is determined, another unit may be offered. Pursuant to HUD's Public Housing Occupancy Handbook, good cause may be:

- a. The unit is not of the proper size and type and the applicant would be able to reside there only temporarily.
- b. The unit contains lead-based paint and accepting the offer could result in subjecting the applicant's children under seven years of age to lead-based paint poisoning.
- c. The applicant is unable to move at the time of the offer and presents clear evidence which substantiates this to the Authority's satisfaction. Examples:
  - i.) A doctor verifies that the applicant has just undergone major surgery and needs a period to recuperate;
  - ii.) A court verifies that the applicant is serving on a jury which has been
- d. Accepting the offer would result in undue hardship to the applicant not related to consideration of race, color, national origin, or language, such as making employment or daycare facilities inaccessible and the applicant presents clear evidence which substantiates this to the Authority's satisfaction.

**2. SUB-AREAS OF SANTA BARBARA COUNTY**

Santa Barbara County will consist of three localities. Applicants have the right to enroll on any and all lists, but they will be placed on the bottom of all lists if they refuse an offer without good cause. The three localities, size, and type of housing units available in each area office address are as follows:

**AREA 1: GOLETA** (cities/communities include Carpinteria, Summerland, Montecito, Santa Barbara, Goleta, Isla Vista, UCSB, and Gaviota)

**Area Office:** 5575 Armitos Avenue, Goleta

**Size, Number, and Type of housing units:**

1 Bdrm. 44 Units(family)  
2 Bdrm. 39 Units(family)  
3 Bdrm. 1 Unit (family)

Total Number of units in Area 1: 84

**AREA 2: LOMPOC** (cities/communities include Santa Ynez, Solvang, Buellton, Lompoc, Mission Hills, Vandenberg Village, and Los Alamos)

**Area Office:** 917 West Ocean Avenue, Lompoc

**Size, Number, and Type of housing units:**

1 Bdrm. 64 Units(elderly)  
1 Bdrm. 12 Units(family)  
2 Bdrm. 4 Units (elderly)  
2 Bdrm. 56 Units(family)  
3 Bdrm. 74 Units(family)  
4 Bdrm. 10 Units(family)

Total Number of units in Area 2: 220

**AREA 3: SANTA MARIA** (cities/communities include Guadalupe, Orcutt, and Santa Maria)

**Area Office:** 200 West Williams, Santa Maria

**Size, Number, and Type of housing units:**

1 Bdrm. 4 Units (elderly)  
1 Bdrm. 34 Units(family)  
2 Bdrm. 66 Units(family)  
3 Bdrm. 88 Units(family)  
4 Bdrm. 40 Units(family)

Total Number of units in Area 3: 232

**3. METHOD OF ADMINISTERING THE APPLICATION PROCESS AND THE WAITING LIST**

Pursuant to the CFRs and HUD Handbooks, eligible applicants will be assigned dwelling units in accordance with the Public Housing Occupancy Policy of the Housing Authority of the County of Santa Barbara.

**a. Assignment of Accessible Units**

The PHA will ensure that information regarding the availability of accessible units reaches eligible individuals with handicaps, the following additional procedures will be followed:

1. Eligible individuals with handicaps will be informed of the availability of accessible units and appropriate steps will be taken to tenant those units with eligible individuals whose disabilities require the accessibility features of the units. When an accessible unit becomes vacant, the PHA, before offering such a unit to a non-handicapped applicant, will offer that unit in the following order:
  - a. FIRST, to a PHA tenant family currently occupying a unit in the same project as the vacant accessible unit, or occupying a unit in a comparable project under the Authority's control, that has a family member with a handicap requiring the accessibility features of the vacant unit and that currently occupies a unit not having those features.

- b. SECOND, to an eligible qualified applicant family on the PHA's waiting list that has a family member with a handicap requiring the accessibility features of the vacant unit.
- c. THIRD, to an eligible qualified person or family having a handicap requiring the accessibility features of the vacant unit who applies as the result of notification by the PHA to a community organization serving the handicapped that an accessible unit is available.
- d. FOURTH, to an applicant not having handicaps requiring the accessibility features of the unit. When offering the unit to an applicant not requiring the accessibility features, The PHA will require the applicant to agree to move to a non-accessible unit, when available, at

such time when a qualified person who needs the accessibility features applies. The PHA will incorporate this provision into the leases of all occupants of accessible units.

4. Families who are determined to be eligible for housing assistance, will be selected from an area waiting list based upon the date and time of initial application and any Local Preferences claimed.

The order of admission from the waiting list will be based upon family size and on the unit size for which the family qualifies, in addition to their position on the waiting list.

- A. Selection among Local Preference Holders will be made in the following order:

**FIRST**            **County Residents.** County Residency status will be given to an applicant who resides and receives their mail in Santa Barbara County, or who works in or who has been notified that they have been hired who work in Santa Barbara County. No preference will be given based upon an applicant's residency in any part of the area served by the PHA.

**SECOND**           **Working Families.** Working Family status will be given to an applicant whose head or co-head of household is employed (greater weight will not be given to an applicant based upon the amount of employment income); or, the head and spouse, or sole member, are age 62 or older, or receiving social security disability or supplemental security income disability benefits, or any other payments based upon an individual's disability; or, graduates of, as well as active participants in, educational and training programs that are designed to prepare individuals for a specific market career.

**THIRD**            **Veterans.** Veteran status will be given to applicants who have been enlisted or who are currently serving in active duty in the United States Armed Forces for a minimum of six (6) continuous months, and if separated from military service, received an Honorable Discharge.

Applicants are eligible for any combination of Local Preferences. The more Preferences held by an applicant, the higher their placement on the waiting list(s).

- B. Applicants who qualify for any of the identified Local Preferences, and who are Displaced by a Disaster and/or by Government Action, will be assisted ahead of other eligible applicants on the waiting list.

NOTE: All Local and Ranking Preferences will be verified by PHA staff based upon criteria and certifications predetermined by the PHA.

5. **PUBLIC HOUSING DECONCENTRATION OF POVERTY AND INCOME TARGETING PLAN**

It is the Housing Authority's policy that each applicant shall have the option of being assigned an appropriate place on the waiting list for any of the three sub-area localities within the Authority's jurisdiction, Santa Barbara County, as follows:

GOLETA  
LOMPOC  
SANTA MARIA

Applicants will be listed in sequence based upon date and time the application is received, the size and type of unit they require, and factors of preference or priority. In filling an actual or expected vacancy, the Authority will offer the dwelling unit to applicants in the appropriate sequence until it is accepted. Each applicant will be provided full disclosure of any and all options available to them with respect to the selection of specific developments in a sub-area.

The Authority will establish annual admissions goals for the purpose of deconcentration of poverty and income—mixing in public housing developments. The goals will conform to HUD guidelines for new admissions and will target eligible higher income families to occupy dwelling units in developments predominantly occupied by eligible very low-income families and vice-versa.

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**SECTION IV - TENANT SELECTION AND ASSIGNMENT PLAN (TSAP)**

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A. Implementation Of Deconcentration Of Poverty And Income Targeting Plan

Successful implementation of this plan will provide an outcome in which higher income tenants will move into lower income public housing developments and lower income tenants will move into higher income developments. The Authority will regularly analyze it's public housing unit inventory, tenant incomes, and available census tract income data to (1) determine and compare the relative tenant incomes of each development and the incomes of census tracts in which the developments are located, and (2) consider what policies, measures or incentives are necessary to bring higher income families into lower income developments (or, if appropriate to achieve the deconcentration of poverty , into developments in lower-income census tracts) and lower-income families into higher-income developments(or, if appropriate to achieve the deconcentration of poverty, into developments in higher income census tracts).

B. Deconcentration Of Poverty And Income Targeting Guidelines

For the purposes of providing deconcentration of poverty and income targeting Admittance procedures will include the following:

- (1) The authority will publicize and disseminate information to make known the availability of housing units and housing related services for very low income families on a regular basis. When the Authority's waiting list is open, the Authority will publicize the availability and nature of housing

assistance for very low-income families in a newspaper of general circulation, minority media, and by other suitable means.

To reach persons who cannot read the newspapers, the Authority will distribute fact sheets to the broadcast media, and initiate personal contacts with members of the news media and community service personnel. The Authority will also utilize public service announcements. The Authority will communicate the status of housing availability to other service providers in the community. The Authority will advise them of housing eligibility factors and guidelines in order that they can make proper referrals for families who seek housing.

- (2) Working Family Preference status will be given to an applicant whose head or co-head of household is employed (greater weight will not be given to an applicant based upon the amount of employment income); or, the head and spouse, or sole member, are age 62 or older, or receiving social security disability or supplemental security income disability benefits, or any other payments based upon an individual's permanent disability; or, graduates of, as well as active participants in, educational and training programs that are designed to prepare individuals for a specific market career.

#### **SECTION IV - TENANT SELECTION AND ASSIGNMENT PLAN (TSAP)**

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- (3) Skipping of applicants on a waiting list specifically to reach another applicant with a lower or higher income will be uniformly applied by the Authority. Such skipping will be consistent with the requirement for deconcentration of identified poverty areas and/or income-mixing.
- (4) The Authority recognizes the value of an ongoing partnership between its staff and public housing residents for the development and implementation of a resident initiatives agenda to create self-sufficiency opportunities and maintain viable, safe, and drug-free public housing developments. The Authority's Board has, therefore, adopted policies and implemented procedures to support and encourage activities in the areas of anti-drug strategy and security; resident participation; homeownership opportunities; and economic development. These supportive services and amenities enhance the Authority's efforts to achieve the goals of deconcentration and income mixing in its public housing developments.

#### **6. POSTING THE TSAP**

The PHA will post a description of the TSAP in a conspicuous place in each of its application-taking locations. A copy will be maintained on file for public inspection.

#### **7. RECORDS MAINTENANCE**

The PHA will maintain records to document the actions taken in implementing the multiple waiting lists. These records must include:

- a. The location and size (number of bedrooms) of each unit offered;

- b. The name, family size, race/ethnicity, and preference/priority weighting of all applicants receiving offers;
- c. The date of acceptance or rejection of the offer;
- d. The reasons for rejection of any offer, and the determination made by the Authority whether the rejection was made for good cause.

**SECTION IV - TENANT SELECTION AND ASSIGNMENT PLAN (TSAP)**

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**8. OUTREACH EFFORTS**

The Housing Authority of the County of Santa Barbara will make additional efforts to have a cross-section of all communities. Outreach will be through community organizations and newspapers. Statistical reports will be reviewed on a regular basis to target outreach to specific groups where representation is weakest in the sub-areas and the overall county.

An Outreach Program will be maintained to ensure that public notices and other information about the availability and nature of housing assistance through the Authority reach qualified individuals with handicaps, and organizations serving such individuals. The Outreach will include, but not be limited to:

- ◆ The advertisement of the availability of accessible units in local newspapers;
- ◆ Regular notices to organizations serving handicapped individuals;
- ◆ Public posting of information about the availability of accessible units in all area Housing Management Offices; *and*,
- ◆ Individual counseling will be provided to assist applicants being placed in suitable, accessible units.



**ATTACHMENT CA021a06**  
**Section 8 Program Administrative Plan**

**SECTION I**

**RECEIPT OF APPLICATION & ESTABLISHMENT OF WAITING LIST**

**A. Outreach To Encourage Section 8 Program Participation In Areas Without Low-Income Or Minority Concentration**

For the purpose of providing deconcentration of poverty and income mixing, the Housing Authority will establish annual admissions goals for the Section 8 Program. The admissions goals will conform to HUD guidelines for new admissions and will target extremely-low income families, as defined by HUD. Targeting will include skipping of a family on the waiting list specifically to reach another family with a lower or higher income to meet HUD established admissions goals.

The Authority will regularly review it's jurisdiction to identify areas of poverty and minority concentration in order to provide participant families with information and encouragement in seeking housing opportunities outside highly concentrated areas. Participant families will be provided maps that show various areas and information about facilities and services such as schools, transportation, and supportive and social services.

Assistance provided to participant families will include:

- ◆ Provide families with a search record form to gather and record information
- ◆ Direct contact with landlords
- ◆ Counseling with families
- ◆ Meeting with neighborhood groups to promote understanding
- ◆ Formal or informal discussions with landlord groups
- ◆ Formal or informal discussions with social service agencies
- ◆ Meet with rental referral companies or agencies
- ◆ Meet with fair housing groups or agencies
- ◆ Provide families with listing of landlords who have available units
- ◆ Provide families with information concerning portability

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(Rev. 06/99)

**B. Receipt Of Applications:** Applications for all Section 8 Programs will be taken at any Housing Authority Office handling the Section 8 Program. Applications will be accepted from families apparently eligible for any or all programs.

**C. Processing Of Applications:** The application constitutes the basic record of each family applying for assistance. Each application shall reflect the date and time received, preference status claimed, estimated family income, race, gender, ethnicity, and size of dwelling required. The application, together with all other materials relating to the family's eligibility and preference rating, etc., will be maintained in an active file for eligible applicants. Each family will be required to sign and date the application form attesting to its accuracy.

The PHA will not give a Preference to an applicant if any member of the family is a person who was evicted during the past three (3) years because of drug-related criminal activity from housing assisted under a 1937 Housing Act Program. An applicant may also be denied assistance based upon the drug-related criminal activity or violent criminal activity by family members (refer to the CFRs).

**D. Families Determined To Be Ineligible:** Admittance to the Section 8 Program will not be based upon an applicant's suitability for tenancy. If an applicant family is determined to be ineligible on the basis of income, family composition, or for any other reason, the applicant shall be notified promptly by letter of the determination; the notice shall contain a brief statement of the reasons for the decision. The applicant shall be informed in the letter of his/her right to an informal review to be requested within 10 days from the date of the letter, to make a reply or explanation, as he/she may wish. If, after the informal review, the applicant is still determined to be ineligible, the applicant shall be notified in writing.

The Housing Authority will retain inactive files for a period of three (3) years. These files will contain copies of the application and all related correspondence, and will be maintained separately from the active files.

**E. Formally Closed Waiting Lists:** If there is insufficient funding to admit all eligible applicants to participation in the PHA's Section 8 Program, the PHA may at any time suspend the acceptance or processing of new applications, or the addition of new listings to the waiting list. Any such suspension shall be publicly announced by the PHA through publication in a newspaper of general circulation as well as through minority media and other suitable means.

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Notwithstanding the fact that the PHA may not be accepting additional applications for participation because of the length of the waiting list, the PHA may not refuse to place an applicant on the waiting list if the applicant is otherwise eligible for participation and claims that he or she qualifies for a Local Preference, unless the PHA determines, on the basis of the number of applicants who are already on the waiting list and who claim a Local Preference, and the anticipated number of Certificates/Vouchers to be issued, that:

1. There is an adequate pool of applicants on the waiting list who are likely to qualify for a Local Preference; and,
2. It is unlikely that, on the basis of the PHA's system for applying the Local Preferences that the applicant claims, and the Preferences claimed by applicants on the waiting list, the applicant would qualify for assistance before other applicants on the waiting list.

**F. Placement Of Applicants On The Waiting List:**

1. A centralized waiting list for all Section 8 Programs will be maintained by the PHA. The waiting list will contain the applicant name, applicant I.D. code, the date and time of application, Local Preferences for which they are eligible, racial/ethnic designation of the head of household, and the appropriate size unit. Waiting list positions will be determined by date and time of application and Preferences qualified for.

The family at the top of the waiting list will be assisted before all others on the waiting list; this family will be admitted when sufficient funds are available. The PHA will not skip the top family to admit an applicant who qualifies for a smaller unit size. Skipping of a family on the waiting list will only be allowed to specifically reach another family with a lower or higher income for purposes of Deconcentration and Income-Mixing.

The waiting list format will contain sufficient information for proper selection by the PHA of families who are next eligible for an allocation, according to its Equal Opportunity Housing Plan (refer to Section VII, Selection of Families for Issuance of Certificates or Vouchers). It should be noted, that if a family's eligibility has been determined immediately, all income has been verified, and the appropriate size allocation is available for which no other family has been waiting, the PHA may immediately schedule a briefing.

All other families will have at least a temporary wait while income and other factors are being verified, as well as waiting for their name to be reached if other applicants are ahead of them on the waiting list. If verification occurred more than 60 days prior to selection, the information should be reverified prior to briefing and issuing of a Certificate or Voucher.

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2. The waiting list for all programs will be purged on a regular basis in order to maintain an accurate record of the number of families actually wanting assistance. An application will be *cancelled* when:
  - a. An applicant so requests in writing;
  - b. The Housing Authority is unable to contact the applicant at the address shown on their application;
  - c. The applicant fails to respond to Housing Authority requests for information;
  - d. The applicant fails to provide requested verification; or,

- e. The applicant fails to attend a briefing to obtain a certificate or voucher. If the applicant notifies the Authority of extenuating circumstances which prevented attendance, the applicant may be reinstated on the waiting list. Families may be reinstated on the waiting list in the same numerical sequence they previously occupied if such a decision is reached during an Informal Review (refer to Hearing Procedures for Applicants).

(EligSelAdm-S8-PLN.doc)  
(Rev. 06/99)

**Attachment CA021a07**

HOUSING AUTHORITY OF THE COUNTY OF SANTA BARBARA

SUBSTANTIAL DEVIATION DEFINITION

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