

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

PHA Plans

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

ROCKFORD HOUSING AUTHORITY IL-022
223 S. WINNEBAGO ST.
ROCKFORD, ILLINOIS 61102

RHA BOARD OF COMMISSIONERS

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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: *Rockford Housing Authority*

PHA Number: *1106-PO22*

PHA Fiscal Year Beginning: *10/2000*

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.

The PHA's mission is: (state mission here)

Contribute to human growth and dignity through the effective use of available resources by providing a defined quality living environment to eligible people within the Rockford Community while creating opportunities for an improved quality of life.

This will be accomplished through the mutual effort and contribution of residents, employees, Commissioners, and the community.

B. Goals

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

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

PHA Goal: Expand the supply of assisted housing

Objectives:

Apply for additional rental vouchers: (200 vouchers)

Reduce public housing vacancies: (100 units)

Leverage private or other public funds to create additional housing opportunities: (54 units)

Acquire or build units or developments (20 units)

Other (list below)

- PHA Goal: Improve the quality of assisted housing
- Objectives:
- Improve public housing management: (PHAS score) 90
 - Improve voucher management: (SEMAP score) 90
 - Increase customer satisfaction: (*Improve PHAS Score*)
 - Concentrate on efforts to improve specific management functions: (*Reduce Public Housing Unit Turnaround Time and improve PHAS financial scores*) (list; e.g., public housing finance; voucher unit inspections)
 - Renovate or modernize public housing units: (*50 Units*)
 - Demolish or dispose of obsolete public housing: (*288 Units*)
 - Provide replacement public housing: (*288 Units*)
 - Provide replacement vouchers: (*200 vouchers*)
 - Other: (list below)

- PHA Goal: Increase assisted housing choices
- Objectives:
- Provide voucher mobility counseling: (*300 people*)
 - Conduct outreach efforts to potential voucher landlords (*25 new landlords*)
 - Increase voucher payment standards
 - Implement voucher homeownership program: (*10 units*)
 - Implement public housing or other homeownership programs: (*89 units*)
 - Implement public housing site-based waiting lists:
 - Convert public housing to vouchers:
 - Other: (list below)

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

- PHA Goal: Provide an improved living environment
- Objectives:
- Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments: (*increase to 10% of development*)
 - 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: (*security lighting*)
 - Designate developments or buildings for particular resident groups (elderly, persons with disabilities) (*Designate 2 high rises as elderly only*)
 - Other: (list below)

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

- PHA Goal: Promote self-sufficiency and asset development of assisted households
Objectives:
 - Increase the number and percentage of employed persons in assisted families: *(increase to 30% of Households)*
 - Provide or attract supportive services to improve assistance recipients' employability: *(contract \$50,000 per year to provide employment training and placement)*
 - Provide or attract supportive services to increase independence for the elderly or families with disabilities. *(provide \$80,000 per year for Service Coordinator Services)*
 - Other: (list below)

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

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing
Objectives:
 - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability: *(Addressed in fair housing policies in the Admissions and Occupancy Policy)*
 - 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: *(Addressed in fair housing policies in the Admissions and Occupancy Policy)*
 - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required: *(Addressed in fair housing policies in the Admissions and Occupancy Policy)*
 - Other: (list below)

Other PHA Goals and Objectives: (list below)

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.

The Rockford Housing Authority (RHA) has \$20 plus million in annual budgets and serves more than 3,210 families per year at a cost of approximately \$6,230 per family unit or \$519 per family unit month. The RHA employs 130 regular fulltime positions and 4 Step Up participants who maintain 2,010 units of affordable (LIPH) public housing and administer more than 1,200 Section 8 vouchers, certificates and various other HAP contracts.

Over the next 5 years the RHA plans to develop 54 units of new single and multifamily housing in the Concord Commons Area Community. RHA currently manages Concord Commons, a 216 unit 221 (d) (3) Substantial Rehab Project Based Section 8 Development. It is 30 years old and in serious need of revitalization. We also intend to implement an Energy Performance Contract for the LIPH Developments, develop a Section 5 (h) Homeownership Program in 3 - Scattered Sites Projects (IL22-012, 016 & 017), apply for HOPE VI Funds for Fairgrounds Valley and Jane Addams Village Multifamily Projects (IL22-007 & 005), designate housing for Elderly Only for N. Main Manor & Olesen Plaza High Rise Projects (IL22-006 & 009), develop Community Standards with the City of Rockford and update RHA policies and procedures.

The RHA's primary objectives include;

- Increase the availability of Decent, Safe and Affordable Housing*
- Improve Community Quality of Life and Economic Vitality*
- Increase the number of working families in Public Housing from 15% to 30%*
- Ensure Equal Opportunity in Housing for all Americans*

Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)] Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

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Attachments

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

Required Attachments:

<input checked="" type="checkbox"/>	Admissions Policy for Deconcentration - Attachment A	A 1
<input checked="" type="checkbox"/>	FY 2000 Capital Fund Program Annual Statement – Attachment B	B 1
<input checked="" type="checkbox"/>	Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)–Attachment C	C 1

Optional Attachments:

<input checked="" type="checkbox"/>	PHA Management Organizational Chart - Attachment D	D 1
<input checked="" type="checkbox"/>	FY 2000 Capital Fund Program 5 Year Action Plan – Attachment E.....	E 1
<input checked="" type="checkbox"/>	Public Housing Drug Elimination Program (PHDEP) Plan- Attachment F.....	F 1

- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text) (*Included in plan*)
- Other (List below, providing each attachment name)

Option Public Housing Asset Management Table – Attachment G..... G 1

Supporting Documents Available for Review

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
XX	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
XX	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
XX	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
XX	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
XX	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
XX	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
XX	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
XX	Public housing rent determination policies, including the methodology for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing	Annual Plan: Rent Determination

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	A & O Policy	
XX	Schedule of flat rents offered at each public housing development <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
XX	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> 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
XX	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
XX	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
XX 708	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
XX	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
XX	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
XX	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
XX	The most recent Public Housing Drug Elimination Program	Annual Plan: Safety and Crime

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	(PHEDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Prevention
XX	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 903.79 (a)]

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

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

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Acces-s-ibility	Size	Location
Income <= 30% of AMI	4,853	3	2	3	3	5	2
Income >30% but <=50% of AMI	3,142	3	3	3	3	3	2
Income >50% but <80% of AMI	2,338	3	5	3	3	3	2
Elderly	3,374	3	2	3	3	1	4
Families with Disabilities	6,385	5	4	5	5	4	5
Race/Ethnicity – White	69,883	2	2	5	3	3	2
Race/Ethnicity – Black	7,749	3	3	3	3	3	2
Race/Ethnicity – Hispanic	2,472	3	3	3	3	3	2
Race/Ethnicity - Other	1,204	3	3	3	3	3	2

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: 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)

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

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

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<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	977		
Extremely low income <=30% AMI			
Very low income (>30% but <=50% AMI)			
Low income (>50% but <80% AMI)			
Families with children			
Elderly families			
Families with Disabilities			
Race/ethnicity- White	240	25%	
Race/ethnicity – Black	733	75%	
Race/ethnicity – Indian	1		
Race/ethnicity – Asian	3		
Characteristics by Bedroom Size (Public Housing Only)			
1BR	N/A		
2 BR	N/A		
3 BR	N/A		
4 BR	N/A		
5 BR	N/A		
5+ BR	N/A		
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)? 24 months			
Does the PHA expect to reopen the list in the PHA Plan year? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List

Waiting list type: (select one)

- Section 8 tenant-based assistance
 Public Housing
 Combined Section 8 and Public Housing
 Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/subjurisdiction:

	# of families	% of total families	Annual Turnover
Waiting list total	328		
Extremely low income <=30% AMI			
Very low income (>30% but <=50% AMI)			
Low income (>50% but <80% AMI)			
Families with children			
Elderly families			
Families with Disabilities			
Race/ethnicity – White	117	36%	
Race/ethnicity- Black	203	62%	
Race/ethnicity-Asian	8	2%	
Race/ethnicity			

Characteristics by Bedroom Size (Public Housing Only)

1BR	114	35%	
2 BR	156	48%	
3 BR	50	15%	
4 BR	7	2%	
5 BR	1	-	
5+ BR	0		

Is the waiting list closed (select one)? 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

C. Strategy for Addressing Needs

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

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

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

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

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
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other: (list below)

Local Preference for Disabilities

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

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

Select if applicable

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

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

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

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

(2) Reasons for Selecting Strategies

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

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

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2000 grants)		
a) Public Housing Operating Fund	6,282,746	
b) Public Housing Capital Fund	4,126,230	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	8,376,710	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	460,051	
g) Resident Opportunity and Self-Sufficiency Grants	500,000	
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
Family Self Sufficiency Coordinator	46,350	Section 8 supportive services
Service Coordinator Program	56,442	Public Housing supportive services
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income	1,795,833	
4. Other income (list below)		
4. Non-federal sources (list below)		
Total resources	21,644,362	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

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

(1) Eligibility

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

- When families are within a certain number of being offered a unit: (state number)
 When families are within a certain time of being offered a unit: (state time)
 Other: (describe)

When the application is submitted.

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? 0
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 – Section 8; LIPH; Scattered Sites; Concord Commons
4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)? N/A
- PHA main administrative office
 - All PHA development management offices
 - Management offices at developments with site-based waiting lists
 - At the development to which they would like to apply
 - Other (list below)

(3) Assignment

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

(4) Admissions Preferences

a. Income targeting:

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

b. Transfer policies:

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

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

c. Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection **(5) Occupancy**)

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

Former Federal preferences:

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

Other preferences: (select below)

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

Elderly and Near Elderly

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.

(4) Date and Time

Former Federal preferences:

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

Other preferences (select all that apply)

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

Elderly & Near Elderly

4. Relationship of preferences to income targeting requirements:

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

(5) Occupancy

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

- The PHA-resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source (list)
Resident Handbook

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

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

(6) Deconcentration and Income Mixing

a. Yes No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

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

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

Adoption of site-based waiting lists
If selected, list targeted developments below:

Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:

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

Other (list policies and developments targeted below)
Increasing priority points for "working families"

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

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

Additional affirmative marketing
 Actions to improve the marketability of certain developments
 Adoption or adjustment of ceiling rents for certain developments
 Adoption of rent incentives to encourage deconcentration of poverty and income-mixing

Other (list below)
Economic self sufficiency programs

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

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

List (any applicable) developments below:
All

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

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

List (any applicable) developments below:

B. Section 8

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

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

(1) Eligibility

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

- Criminal or drug-related activity only to the extent required by law or regulation
- Criminal and drug-related activity, more extensively than required by law or regulation
- More general screening than criminal and drug-related activity (list factors below)

A former tenant who still owes for previous housing

A record of disturbance of neighbors, destruction of property or housekeeping habits at prior residences.

Involvement in criminal activity on the part of any family member involving crimes of physical violence to persons or property.

A record of eviction from housing or termination from residential programs.

An applicant's ability and willingness to comply with the terms of the PHA lease.

An applicant's misrepresentation of any information related to eligibility, family composition or rent.

Other (list below)

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

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

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

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

- Criminal or drug-related activity
- Other (describe below)

Name of previous/current landlord

(2) Waiting List Organization

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

- None
- Federal public housing
- Federal moderate rehabilitation
- Federal project-based certificate program
- Other federal or local program (list below)

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

- PHA main administrative office
- Other (list below)
Community locations

(3) Search Time

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

If yes, state circumstances below:

Extenuating circumstances such as hospitalization or a family emergency. – Verification is required.

Upon submittal of appropriate documentation that the family has made a reasonable effort to locate a unit.

The family was prevented from finding a unit due to disability accessibility requirements or large size bedroom unit requirement.

(4) Admissions Preferences

a. Income targeting

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

b. Preferences

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

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

Former Federal preferences

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

Other preferences (select all that apply)

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

Elderly or Person W/Disabilities

Near Elderly

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

(1) Date and Time

Former Federal preferences

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

Other preferences (select all that apply)

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

Elderly or Persons w/Disabilities
Near Elderly

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

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

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

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

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

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

(5) Special Purpose Section 8 Assistance Programs

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

Newspapers, Flyers, Community Agencies, Churches, & Posting

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

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

(1) Income Based Rent Policies

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

a. Use of discretionary policies: (select one)

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

---or---

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

b. Minimum Rent

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

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

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

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

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

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

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

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

- For the earned income of a previously unemployed household member
- For increases in earned income
- Fixed amount (other than general rent-setting policy)
If yes, state amount/s and circumstances below:
- Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:
- For household heads
- For other family members
- For transportation expenses
- For the non-reimbursed medical expenses of non-disabled or non-elderly families
- Other (describe below)
Child Support for child who does not reside in home.

e. Ceiling rents

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

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

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

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

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

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

f. Rent re-determinations:

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

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

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

(2) Flat Rents

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

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

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

- a. What is the PHA's payment standard? (select the category that best describes your standard)
- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)
- b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply) *N/A*
- 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) *N/A*
- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)
- d. How often are payment standards reevaluated for adequacy? (select one)
- Annually
- Other (list below)
- e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)
- Success rates of assisted families
- Rent burdens of assisted families
- Other (list below)

(2) Minimum Rent

- a. What amount best reflects the PHA's minimum rent? (select one)
- \$0
- \$1-\$25
- \$26-\$50

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

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

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

A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

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

B. HUD Programs Under PHA Management

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

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	1767	550
Section 8 Vouchers	285	120
Section 8 Certificates	858	0
Section 8 Mod Rehab	315	120
Special Purpose Section 8 Certificates/Vouchers (list individually)	60	12
Public Housing Drug Elimination Program (PHDEP)	640	200
Other Federal Programs(list individually)		
EDSS	640	200
CGP	2010	550
Service Coordinator	514	151
Section 8 FSS Coordinator	100	15

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)

Admissions and Occupancy Policy
RHA Lease Agreement
Resident Handbook
Pest Control Policy

(2) Section 8 Management: (list below)

Administrative Plan
Section Eight Lease Agreement
HAP Contract

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 - *Applicants*
 - PHA development management offices - *Residents*
 - 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:

None

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 (*Attachment B*)

-or-

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

(2) Optional 5-Year Action Plan

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

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

b. If yes to question a, select one:

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

-or-

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

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

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

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

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

- Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
- If yes, list development name/s below:
IL022-007 Fairgrounds Valley
IL022-005F Jane Addams

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

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

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

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

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

2. Activity Description

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

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

2. Activity Description

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

Designation of Public Housing Activity Description
1a. Development name: 1b. Development (project) number:
2. Designation type: Occupancy by only the elderly <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)

Part of the development

Total development

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.79(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.

Conversion of Public Housing Activity Description	
1a. Development name:	Brewington Oaks and Jane Addams
1b. Development (project) number:	IL022-005
2. What is the status of the required assessment?	<input type="checkbox"/> Assessment underway <input checked="" type="checkbox"/> Assessment results submitted to HUD – 4-1-99 <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 checked="" 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)

- Units addressed in a pending or approved demolition application (date submitted or approved: _____)
- Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____)
- Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____)

Requirements no longer applicable: vacancy rates are less than 10 percent

Requirements no longer applicable: site now has less than 300 units

Other: (describe below)

Did cost analysis with the result of the development being more economical to have as Public Housing than Section 8 vouchers.

Plan to submit a HOPE VI revitalization plan April, 2001.

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

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

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

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

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

2. Activity Description

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

Public Housing Homeownership Activity Description (Complete one for each development affected)	
1a. Development name:	
1b. Development (project) number:	
2. Federal Program authority:	
<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 (l)]

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

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

- Yes No: Has the PHA 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)

In kind seminars for staff and residents

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

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

(select all that apply)

- Public housing rent determination policies
 Public housing admissions policies
 Section 8 admissions policies
 Preference in admission to section 8 for certain public housing families
 Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
 Preference/eligibility for public housing homeownership option participation
 Preference/eligibility for section 8 homeownership option participation
 Other policies (list below)

b. Economic and Social self-sufficiency programs

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

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)
Family Magic	30/yr	Voluntary	West Middle School	Both
Monday Morning Job Club	250/yr	Voluntary	PHA Main Office	Both
HomeOwnership Class	60/yr	FSS Participation	PHA Main Office	Both
Job Fairs	200+/yr	Voluntary	Development Centers	Both
Certified Day Care Assistant Class	14/yr	Voluntary/GED or H.S. diploma	PHA Main Office & the Abilities Center	LIPH
Step Up – Construction	6/yr	YouthBuild Graduate	PHA Main Office & YouthBuild	LIPH
Step-Up – Other	18/yr	Voluntary	PHA Main Office & the Abilities Center	LIPH

(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	40	89 Current & 53 Former as of 02/24/00
Section 8	240 (including 100 Family Unification vouchers)	106 Current & 45 Former as of 02/24/00

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:
N/A - The caseload is double the minimum program size.

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)

- IL022-001 Blackhawk Courts
- IL022-003 Orton Keyes
- IL022-005 Brewington Oaks & Jane Addams
- IL022-007 Fairgrounds Valley

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)

- IL022-001 Blackhawk Courts
- IL022-003 Orton Keyes
- IL022-005 Brewington Oaks & Jane Addams
- IL022-007 Fairgrounds Valley

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)

Rockford Housing Authority Police operate under a community oriented policing (COP) format by being assigned to one Family Development and one High Rise per officer. They regularly attend Resident Council meetings, and have offices at each of the family developments.

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

- IL022-001 Blackhawk Courts
- IL022-003 Orton Keyes
- IL022-005 Brewington Oaks & Jane Addams
- IL022-007 Fairgrounds Valley

D. Additional information as required by PHDEP/PHDEP Plan

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

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

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

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

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

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock , including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?

2. What types of asset management activities will the PHA undertake? (select all that apply)

- Not applicable
- Private management
- Development-based accounting
- Comprehensive stock assessment
- Other: (list below)

3. Yes No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)

Attached at Attachment (File name)

Provided below:

1. The wait list is as of when? – (*May 15, 2000*)
2. What is the % of handicapped on the waiting list? – (*Those stats are not kept on the waiting list.*)
3. Under disposition, is the one for one replacement rule mandatory?
(*No*)
4. When does the Section 3 policy take effect? (*It has been in place several years.*)
5. Will the lease be revised for the requirement of working 8 hours?
(*The revision is in the process of being implemented*)

6. Can the guest's length of stay as stated in the lease be enforced?
(Yes)
7. Will the PHDEP be receiving more funding so that we can have our security services restored? *(At this point in time we do not think there will be an increase in PHDEP.)*
8. Is there money for the Neighborhood Watch Program for binoculars to monitor the parking lot from our apartment, also radios or walkie-talkies? *(There is \$1,200 planned for this next year.)*
9. If I was to use the pepper spray, would I be arrested? *(Check with the local police.)*
10. The laundry rooms are too hot. Can new air conditioners be installed? *(We will look into a new exhaust system through the performance contract proposals.)*
11. Can the low-rises for the disabled have front load washers installed? It is too difficult for someone in a wheelchair to do their laundry in a top loader. *(We will contact Fishers and inform them the front loaders are required under ADA.)*
12. Do the present security cameras all tape? *(Some do, but not all.)*
13. Park Terrace needs a ramp out front instead of curbing. I see the elderly falling down tripping over the curbing. *(There is a ramp already there. We will consider installing a hand rail.)*
14. Can there be an electric eye put on the outside lighting. It keeps coming on at 4:00 p.m. and now it is light out until 8:00 p.m. *(This will probably be done through the energy performance contract. We will reset the timers ASAP.)*

3. In what manner did the PHA address those comments? (select all that apply)

- Considered comments, but determined that no changes to the PHA Plan were necessary.
- The PHA changed portions of the PHA Plan in response to comments
List changes below:
- Other: (list below)

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

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

3. Description of Resident Election Process

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

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

b. Eligible candidates: (select one)

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

c. Eligible voters: (select all that apply)

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

C. Statement of Consistency with the Consolidated Plan

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

1. Consolidated Plan jurisdiction: (provide name here)

City of Rockford, Illinois

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

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

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

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

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

Other: (list below)

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

None

D. Other Information Required by HUD

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

Community Service Requirement

Draft – Amendment to the Admissions and Occupancy Policy. Will be posted and recommended for Approval at the August or September, 2000 Board of Commissioners' meeting.

COMMUNITY SERVICE REQUIREMENT POLICY

INTRODUCTION

Section 512 of QHWRA, Public Housing Community Service Requirements, imposes a requirement on all adult public housing residents, with important exceptions, to participate for at least 8 hours per month in community service or in an economic self-sufficiency program. The RHA may not renew or extend any lease, or provide any new lease, for a dwelling unit in public housing for any household that includes an adult member who was subject to the requirement and failed to comply with his/her requirement. **Notwithstanding any other provision of law, this requirement is effective 10/01/00.**

REQUIREMENTS

All adult public housing household members shall contribute:

1. Eight hours (8) per month of community service (not including political activities) within the local community in which that adult resides; or
2. Participate in an economic self-sufficiency program approved by the RHA for eight (8) hours per month.

The resident will be responsible for providing management with monthly certification of community service hours in a timely manner in an acceptable format.

TYPES OF COMMUNITY SERVICE

Community Service is defined as any volunteer activity designed to improve the quality of life in the City of Rockford, Illinois. Such activities may include but are not limited to the following:

1. Resident Council membership activities;
2. Participation in local community clean-up activities;
3. Participation in PTA, church, school activities or other local community service organization or governmental body;
4. Any other local community service activity approved by the Rockford Housing Authority.

EXEMPTIONS

Exemptions are given to any individual who:

1. Is 62 years of age or older, or
2. Is a blind or disabled individual, as defined in Section 216 or 1614 of the Social Security Act, and who is unable to comply with this section, or who is a primary caretaker of such individual; or
3. Is working or exempted from work by the State of Illinois
4. Is receiving assistance and is in compliance with State requirements.

A. ANNUAL DETERMINATIONS

The RHA shall review and determine compliance of the resident's household for this requirement 30 days before expiration of each lease term (annually).

B. NONCOMPLIANCE

If the RHA determines that a resident subject to the requirement has not complied with the community service requirement, the RHA may not renew or extend the resident's lease upon expiration of the lease term and shall take such action as is necessary to terminate the tenancy of the household. Nothing in the Act shall prevent a resident from seeking timely redress in court for failure to renew based on such noncompliance.

The RHA shall notify the head of household

1. of the noncompliance;
2. that the determination of noncompliance is subject to the RHA Grievance Procedure; and
3. that, unless the resident enters into an agreement to remedy the noncompliance, the lease will not be renewed.

C. REMEDY OF THE NONCOMPLIANCE

In order for the resident to remedy the noncompliance, the resident must enter into an agreement, before the expiration of the lease term, to complete the community service requirement by contributing as many additional hours as the resident needs to comply in aggregate with such requirement over the 12 month term of the lease.

Minutes of Public Hearing

The RHA held a series of Public Hearings. They were held on May 24, 2000 at 9:00 a.m.; May 31, 2000 at 3:00 p.m. and June 28, 2000 at 3:00 p.m.

The meetings were all represented in attendance by RHA staff, Community Representatives, City Representatives, and RHA Residents.

Barry Long presented the 5-year and annual plan. Copies of the plan were available as handouts. Arson Rayford also made a presentation regarding the PHAS Resident Survey and expressed the importance of Residents responding to the survey.

Here is a listing of the questions and comments that were received and the response.

- Q. Can Concord Commons Residents participate in Family Self-Sufficiency?
R. *No. Unfortunately Concord is Project Based Section 8 and its Residents are not eligible.*
- Q. How did you arrive at the context of the Plan?
R. HUD supplied the Template for the plan. Carol Albrecht distributed the plan and sent each executive staff their portion to fill out and return to her. Upon receipt of the information, Carol completed the data entry onto the Plan Template. Once the draft Plan was completed, Residents and Staff reviewed it.
- Q. When will the new construction begin at Concord Commons?
R. *In about one or two years. First, the Board of Commissioners must approve a Development Contract. Then, design concepts are developed through meetings with the Community, Staff, Residents, and City, and finally, financing must be secured.*
- Q. How many units is the Winnebago County Housing Authority intending to build under they're HOPE IV application?
R. *They are planning to build 290 units in Single Family and Duplex homes southwest of Concord Commons.*
- Q. Will there be an opportunity to preview the development presentation that will be presented to the Board of Commissioners?
R. *Yes, and meetings will be held with Residents and the Community.*
- Q. What is the rent policy to encourage work?
R. *There will be an earned income disregard for 12 months with a phase in of 50% disregard for the following 12 months for Residents that meet the criteria set forth in the Admissions and Occupancy Policy.*
- Q. You used the phrase "Improve Quality of Life?" What does that mean?
R. *We use it primarily in connection with living space i.e.: adding a garage, larger living area, air conditioning, and more bathrooms. Also, neighborhood conditions including security and availability of services.*
- Q. Do the developers already know that they have to include plans for economic opportunities?
R. *Yes. It was stated in the RFP that Section 3 would have to be adhered to and goals established.*
- Q. Would the new units that would be built in the Concord Community be part of Scattered Sites?

- R. *Yes. Some could also be home ownership units.*
- Q. What about crime in the scattered sites area?
- R. *It is no more prevalent than in other areas of the city. The RHA PHDEP police patrol the developments, but the scattered sites are patrolled the same as the rest of the City.*
- Q. Has crime decreased at Concord Commons after it was made a gated community?
- R. *Yes, crime is on the decline at Concord Commons. The most prevalent arrests are for warrants and trespassing.*
- Q. The deconcentration policy says that there will be 30% very low-income residents. What is the maximum number of very low-income residents you can have in a development.
- R. *40% is the target but the actual percentage could be much higher. Through the QHWRA, HUD is requiring the deconcentration of poverty and requires PHA's to take steps to promote higher-level income residents.*
- Q. Will we turn very low-income people away because we already have 40%?
- R. *No. But we will offer services to them through the EDSS employment training and placement program or the Family Magic Program and encourage participation in the Family Self Sufficiency Program.*
- Q. How did RHA determine which Scattered Site developments would be converted to home-ownership opportunities?
- R. *It was based on those developments that had single-family units that the RHA has had for the longest time.*
- Q. How would the home ownership program work?
- R. *Many of our residents in the scattered site developments are also involved in the Family Self-Sufficiency Program where a portion of their rent is put into escrow. The Scattered Sites developments experience the lowest turnover rate. Residents like the neighborhood they are living in and wish to purchase the home they are in. So instead of having them eventually move out the Section 5 (h) Program would provide a way for those families to purchase their home. RHA would utilize the proceeds to purchase or build newer units and repeat the process.*
- Q. Under section 5. Operations and Management part B HUD Programs Under PHA Management, why do the Section 8 Certificates show zero turnovers?
- R. *On Oct 1, 1999 HUD converted certificates to vouchers. There will be no renewal of certificates, they will all be called vouchers and therefore would not show as a turnover.*
- C The west side of town really needs small outlet malls.
- Q. If someone is banned at one development, are they banned on all developments?
- R. *Yes.*
- Q. As new homes are built around Concord Commons, will some of the units at Concord Commons be demolished?
- R. *Probably. The plan is not fully developed yet but, we expect to have partial demolition.*
- Q. Would the replacement dwellings be single or multi-family?
- R. *Some multifamily units would be built first. Single-family units would be phased in.*
- Q. When would this building begin?

- R. *Maybe as early as the summer of 2001. It would be financed with tax credits and trust fund dollars. There has to be a plan and design in place first.*
- Q. *When would the Homeownership sale of the 012, 016, and 017's begin?*
R. *Later this year we will begin by applying to HUD for conversion to Homeownership.*
S. *That is great. I know people who would love to purchase their Scattered Site House.*
- Q. *What would be some of the possibilities for tenant owned business?*
R. *At present we are providing training for licensed home day care providers.*
- Q. *Do you have the mayor's support for redeveloping Concord Commons?*
R. *Yes. It fits into the City's plans for the community.*
- Q. *Has there been an increase of applicants that have over 30% of medium income.*
R. *I do not think that there has been. We are experiencing an increase in the number of low-income families living in our public housing developments*
- Q. *How many families are being turned down because of criminal records?*
R. *Approximately 30% of the families who make an application are recommended for fingerprinting. Families are only fingerprinted when local records indicate that there would be a probable record. 40% of those being asked to be fingerprinted never show up. Of those that are fingerprinted, 67% are being turned down because of a recent past criminal record that would make them ineligible.*
- Q. *What is the average age of the elderly?*
R. *We do not have that data with us, but the number of elderly residents in RHA developments is decreasing. Our elderly population is being replaced with young disabled individuals.*

Certifications

PHA Certifications of Compliance with the PHA Plans and Related Regulations Board Resolution to Accompany the PHA Plan

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the 5-Year Plan and Annual Plan for PHA fiscal year beginning 10-01-2000, hereinafter referred to as the Plan of which this document is a part and make the following certifications and agreements with the Department of Housing Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
4. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
5. The PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
6. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
7. For PHA Plan that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's MTCS in an accurate, complete and timely manner (as specified in PIH Notice 99-2);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).

PHA Certifications of Compliance with the PHA Plans and Related Regulations

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8. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
9. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
10. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low- or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
11. The PHA has submitted with the Plan a certification with regard to a drug free workplace required by 24 CFR Part 24, Subpart F.
12. The PHA has submitted with the Plan a certification with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.
13. For PHA Plan that includes a PHDEP Plan as specified in 24 CFR 761.21: The PHDEP Plan is consistent with and conforms to the "Plan Requirements" and "Grantee Performance Requirements" as specified in 24 CFR 761.21 and 761.23 respectively and the PHA will maintain and have available for review/inspection (at all times), records or documentation of the following:
 - Baseline law enforcement services for public housing developments assisted under the PHDEP plan;
 - Consortium agreement/s between the PHAs participating in the consortium and a copy of the payment agreement between the consortium and HUD (applicable only to PHAs participating in a consortium as specified under 24 CFR 761.15);
 - Partnership agreements (indicating specific leveraged support) with agencies/organizations providing funding, services or other in-kind resources for PHDEP-funded activities;
 - Coordination with other law enforcement efforts;
 - Written agreement(s) with local law enforcement agencies (receiving any PHDEP funds); and
 - All crime statistics and other relevant data (including Part I and specified Part II crimes) that establish need for the public housing sites assisted under the PHDEP Plan.
14. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
15. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
16. The PHA will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58.
17. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
18. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
19. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
20. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments.).
21. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan..

22. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and attachments at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.

Rockford Housing Authority
PHA Name

IL022
PHA Number

Signed Copy on file at the HUD Chicago Field Office June 30, 2000
Signed/Dated by PHA Board Chair or other authorized PHA official

C E R T I F I C A T E

I, Gary Verni-Lau, am the duly appointed, qualified and acting Secretary of the Rockford Housing Authority and the keeper of the records thereof, do hereby certify that I have compared the annexed complete unapproved Minutes with the original copy of said complete unapproved Minutes as recorded by me and retained in the records of said Authority, and certify that it is a true, complete, correct transcript of said complete unapproved Minutes including attachments or exhibits made a part of these Minutes.

I further certify that if the Minutes are subsequently corrected or amended, I shall forward promptly such correction or amendment and a copy of the attachments or exhibits made a part of these Minutes.

I further certify that said meeting was at 223 SOUTH WINNEBAGO STREET on JUNE 22, 2000 at the regular meeting place of the Authority and that the roll call showed the following members to be present and absent:

Present: Commissioners Thomas Kisting, John Beck, Clarence Foote,
Barbara Roman, L. Peggy Hicks

Absent: None

IN WITNESS WHEREOF, I have hereunto set my hand and the seal of said Authority this
28th day of June, 2000.

Signed copy on file at HUD Chicago Field Office

EXTRACT OF THE MINUTES OF A
MEETING OF THE BOARD OF COMMISSIONERS OF
ROCKFORD HOUSING AUTHORITY

The Board of Commissioners of the Rockford Housing Authority met in a REGULAR MEETING
session at 223 SOUTH WINNEBAGO STREET, ROCKFORD, ILLINOIS at 4:00 p.m. on

JUNE 22, 2000 . The meeting was called to order by the Chairman, and upon roll call, those
present and absent were as follows:

Present: Commissioners Kisting, Beck, Foote, Roman, Hicks

Absent: None

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

I, Charles Box the Mayor of the City of Rockford certify
that the Five Year and Annual PHA Plan of the Rockford Housing Authority is
consistent with the Consolidated Plan of the City of Rockford prepared
pursuant to 24 CFR Part 91.

Signed copy on file at HUD Chicago Field Office June 30, 2000

Signed / Dated by Appropriate State or Local Official

*Certification by State and Local Official of PHA Plans Consistency with the Consolidated Plan to Accompany
the HUD 50075*

OMB Approval No. 2577-0226
Expires 03/31/2002
(7/99)
Page 1 of 1

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Rockford Housing Authority

Program/Activity Receiving Federal Grant Funding

5 yr Agency Plan & Annual Plan, Capital Fund and PHDEP

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

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

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

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

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

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

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

(1) Abide by the terms of the statement; and
(2) *Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;*

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. *Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.*

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

Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)
 IL22-001 Blackhawk Courts - 338-15th Ave IL22-003 Orton Keyes - 633 Ranger St. IL22-004 Park Terrace - 1000 Chamberlain IL22-006 N. Main Manor - 505 N. Main St. IL22-009 Olesen Plaza - 511 N. Church IL22-007 Fairgrounds - 1015 W. Jefferson
 IL22-005 Brewington Oaks\Jane Adams - 505-515 & 510 Seminary St. IL22-014 Buckbee Apts - 4124 Harrison Ave
 IL22-008 - IL22-012 - IL22-013 - IL22-016 - IL22-017 - IL22-019 - IL22-020 - All Scattered Sites IL22-011 - Concord Commons -
 Check here if there are workplaces on file that are not identified on the attached sheets.

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

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.

(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official Gary Verni-Lau	Title Executive Director
Signature X Signed copy on file at Chicago HUD field office.	Date June 30, 2000

form HUD-50070 (3/98)
ref. Handbooks 7417.1, 7475.13, 7485.1 & .3

Not applicable

Certification of Payments to Influence Federal Transactions

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

Applicant Name

Rockford Housing Authority

Program/Activity Receiving Federal Grant Funding

5-Year and Annual Agency Plan, Capital Fund and PHDEP

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

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

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

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and no more than \$100,000 for each such failure.

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

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

Name of Authorized Official

Gary Verni-Lau

Title

Executive Director

Signature

X Signed copy on file at HUD Chicago Field Office

Date

June 30, 2000

Previous edition is obsolete

form HUD 50071 (3,
ref. Handbooks 7417.1, 7475.13, 7485.1, & 748

Attachments

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

Attachment A

DECONCENTRATION OF POVERTY

The RHA has committed to a proactive plan to deconcentrate poverty in its Low Income Public Housing and Concord Commons developments. Attachment “H” shows both the average income and the distribution of income levels for each of the RHA’s owned and managed developments. The average income of RHA families ranges from \$8,515 to \$14,450. Therefore in order to achieve HUD’s goal to deconcentrate poverty the RHA must develop strategies that will attract higher income residents into its properties.

In order to achieve this goal the RHA is taking the following actions.

- Revised the Admissions and Occupancy Policy to establish a local preference for working families.
- Develop plans for selective demolition of some of the buildings in targeted family developments for the purpose of lowering resident density and as a result increasing the viability and attractiveness of the development and the surrounding neighborhood.
- Through the RHA’s security program encourage the development of “neighborhood watch” programs on each of its developments.
- Develop a marketing plan that targets working families.
- Utilize PHDEP funding and CGP “Management Improvement” funds to maintain a security presence in the RHA’s developments.
- Revised the Admissions and Occupancy Policy to allow police officers to live on RHA sites.
- Encourage develop resident economic self-sufficiency through RHA programs such as “Family Magic” and “Family Self Sufficiency”.
- Continue to modernize RHA’s housing stock through Comprehensive Grant Program funding.

The RHA desires that all of its developments attain a higher percentage of working families in order to achieve its deconcentration goals. The strategies detailed above are intended to increase the percentage of working families from 15% to 30% over a five year period and is consistent with the strategies and goals established in the RHA’s “Five Year Plan” as submitted to HUD.

Attachment B
 Component 7A
 Capital Fund Program Annual Statement
 Parts I, II, and II

Annual Statement

Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number 709 FFY of Grant Approval: (10/2000)

Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	
2	1406 Operations	412,623
3	1408 Management Improvements	649,223
4	1410 Administration	412,623
5	1411 Audit	
6	1415 Liquidated Damages	
7	1430 Fees and Costs	337,030
8	1440 Site Acquisition	
9	1450 Site Improvement	151,000
10	1460 Dwelling Structures	1,154,000
11	1465.1 Dwelling Equipment-Nonexpendable	141,000
12	1470 Nondwelling Structures	90,000
13	1475 Nondwelling Equipment	140,731
14	1485 Demolition	
15	1490 Replacement Reserve	
16	1492 Moving to Work Demonstration	
17	1495.1 Relocation Costs	38,000
18	1498 Mod Used for Development	600,000
19	1502 Contingency	
20	Amount of Annual Grant (Sum of lines 2-19)	4,126,230
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	393,283
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
HA Wide	Grounds Maintenance Equipment	1475	30,000
	Snow Removal Equipment	1475	9,731
	Computers	1475	60,000
	Sub Total		99,731
IL06-P022-001 Blackhawk			
IL06-P022-003 Orton Keys	Security Lighting	1450	36,000
	Exterior Rehab–Windows&Doors–Force Acct	1460	25,000
	Building Systems – Plumbing Distributions	1460	15,000
	Sub Total		76,000
IL06-P022-004 Park Terrace	Exterior Rehab – Siding – Trim – Gutters\Downspouts	1460	20,000
	Exterior Rehab – Lighting (Security)	1450	50,000
	Community Buildings\Rooms – Force Account	1470	5,000
	Sub Total		75,000
IL06-P022-005 Brewington Oaks & Jane Addams	Interior Rehab – Force Account	1460	210,000
	Plumbing Distributions – Force Account	1460	80,000
	Relocation	1495.1	16,000
	Sub Total		306,000
IL06-P022-006 North Main Manor	Interior Rehab – Force Account	1460	191,000
	Plumbing Distributions-Force Account	1460	100,000
	Relocation	1495.1	18,000
	Security Cameras	1475	6,000
	Building Systems – HVAC	1460	25,000
	Sub Total		340,000
IL06-P022-006 North Main Manor	Site Improvements – Security Lighting	1450	15,000
	Exterior Rehab – Windows & Doors	1460	10,000

	Building Systems – Plumbing Distributions	1470	50,000
	Community Buildings\Rooms	1470	30,000
	Community Room Furnishings	1475	5,000
	Sub Total		110,000

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
IL06-P022-007 Fairgrounds	Building Systems – HVAC	1465.1	60,000
	Sub Total		60,000
IL06-P022-008 Scattered Sites Duplexes	Site Improvements – Concrete – Sidewalks	1450	20,000
	Site Improvements – Earthwork- Drainage	1450	30,000
	Exterior Rehab – Roofing – Ventilation	1460	50,000
	Exterior Rehab – Siding – Trim – Gutters & Downspouts	1460	50,000
	Interior Rehab – Force Account	1460	100,000
	Sub Total		250,000
IL06-P022-009 Olesen Plaza	Exterior Rehab – Water Proofing, Canopy	1470	5,000
	Security Cameras	1475	10,000
	Sub Total		15,000
IL06-P022-012 Scattered Sites	Exterior Rehab – Siding – Trim – Gutters & Downspouts	1460	80,000
	Sub Total		80,000
IL06-P022-013 Scattered Sites	Exterior Rehab – Roofing	1460	13,000
	Exterior Rehab – Siding – Trim – Gutters & Downspouts	1460	50,000
	Exterior Rehab – Windows & Doors – Force Account	1460	50,000
	Sub Total		113,000
IL022-014 Low Rises	Interior Rehab – Force Account	1460	85,000
	Appliances	1465.1	81,000
	Water Softener	1475	20,000
	Relocations	1495.1	4,000
	Sub Total		190,000
IL022-016 Scattered Sites	None Planned this year		0
	Sub Total		0
IL022-017 Scattered Sites	None Planned this year		0
	Sub Total		0

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
IL022-019 Scattered Sites	None Planned this year		0
	Sub Total		0
IL022-020 Scattered Sites	None Planned this year		0
	Sub Total		0
IL022 Central Office	None Planned this year		0
	Sub Total		0
IL022 Management Improvements	Resident & Staff Training, HTVN	1408	40,000
	Service Coordinator @ High Rise	1408	80,000
	Security	1408	280,000
	Computer Software Upgrades	1408	50,000
	Resident Education & Employment Training	1408	60,000
	Security Coordinator	1408	60,000
	PHMAP / Unit Turnaround	1408	79,223
	Sub Total		649,223
IL022 Mod Used For Development	Mixed Finance Development of 54 units	1498	600,000
	Sub Total		600,000

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)
HA-Wide	03-31-02	09-30-03
IL06-P022-001 Blackhawk Courts	03-31-02	09-30-03
IL06-P022-003 Orton Keyes	03-31-02	09-30-03
IL06-P022-004 Park Terrace	03-31-02	09-30-03
IL06-P022-005 Brewington Oaks & Jane Addams	03-31-02	09-30-03
IL06-P022-006 North Main Manor	03-31-02	09-30-03
IL06-P022-007 Fairgrounds Valley	03-31-02	09-30-03
IL06-P022-008 Scattered Sites	03-31-02	09-30-03
IL06-P022-009 Olesen Plaza	03-31-02	09-30-03
IL06-P022-012 Scattered Sites	03-31-02	09-30-03
IL06-P022-013 Scattered Sites	03-31-02	09-30-03
IL06-P022-014 Low Rises	03-31-02	09-30-03
IL06-P022-016 Scattered Sites	03-31-02	09-30-03
IL06-P022-017 Scattered Sites	03-31-02	09-30-03
IL06-P022-019 Scattered Sites	03-31-02	09-30-03
IL06-P022-020 Scattered Sites	03-31-02	09-30-03
Management	03-31-02	09-30-03

Improvements		
Mod Used For Development	03-31-02	09-30-03

Component 7B
Capital Fund Program Annual Statement
Replacement Housing Factor
Parts I, II, and II

Annual Statement

Capital Fund Program (CFP) Part I: Summary

Replacement Housing Factor (RHF) 2000 FFY of Grant Approval: (10/2000)

IL06R02250100

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	28,347
16	1492 Moving to Work Demonstration	
17	1495.1 Relocation Costs	
18	1498 Mod Used for Development	
19	1502 Contingency	
20	Amount of Annual Grant (Sum of lines 2-19)	28,247
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	

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Attachment C
Most Recent Board Approved Operating Budget

Rockford Housing Authority	Budget Amount
OPERATING RECEIPTS	
Grant Income	
Dwelling Rentals	1,795,833
Excess Utilities	
Nondwelling Rentals	
Total Rental Income	1,795,833
Interest on General Fund Investments	23,099
Other Operating Receipts	90,230
TOTAL OPER. RECEIPTS. EXCL. HUD CONTRIB.	1,909,162
OPERATING EXPENDITURES:	
ADMINISTRATION:	
Administrative Salaries	1,618,088
Administrative Expense Other Than Salary	459,118
TOTAL ADMINISTRATIVE EXPENSE	2,077,206
TENANT SERVICES:	
Salaries – AFSCME	21,322
Recreation, Publications and Other Services	1,012
Contract Costs	5,824
Total Tenant Services Expenses	28,158
UTILITIES:	
Total Utilities Expenses	875,990
ORDINARY MAINTENANCE AND OPERATION:	
Labor	1,977,663
Materials	345,848
Contract Costs	474,117
Total Ordinary Maintenance and Operation Exp.	2,797,628
GENERAL EXPENSES:	
Insurance	481,833
Payments in Lieu of Taxes	41,216
Terminal Leave Payments	48,979
Employee Benefit Contributions	1,396,244
Collection Losses	40,419
Other General Expenses	10,638
Total General Expenses	2,019,329
TOTAL ROUTINE EXPENSES	7,798,311

Attachment C
Most Recent Board Approved Operating Budget – (Continued)

NONROUTINE EXPENDITURES:	
Extraordinary Maintenance	
Replacement of Equipment	10,000
Betterments and Additions	10,000
Other Nonroutine Expenditures	0
TOTAL NONROUTINE EXPENDITURES	20,000
OTHER EXPENDITURES:	
Prior Year Adjustments	
Other Deductions	41,510
Total Other Expenditures	
TOTAL OPERATING EXPENDITURES	7,859,821
RESID. RECPTS (OR DEFICIT) BEFORE HUD CONTRIB. AND PROVISION FOR OPERATING RESERVE:	(5,950,659)
OTHER HUD CONTRIBUTIONS	
Operating Subsidy	6,282,746

**Calculation of Performance
Funding System Operating Subsidy
PHA/IHA-Owned Rental Housing**

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

OMB Approval No. 2577-
0029 (exp. 5/30/2001)

Name and Address of Public Housing Agency / Indian Housing Authority (PHA/IHA) Rockford Housing Authority 223 S. Winnebago St. Rockford, Ill 61102	<input type="checkbox"/> Budget submission to HUD required
Type of Submission <input checked="" type="checkbox"/> Original <input type="checkbox"/> Revision No. _____	

No. of HA Units 1984	Unit Months Available (UMAs) 23,808	Subject Fiscal Year 2001	ACC Number C-952	PAS/LOCCS Project No. IL022-001-995	Submission Date 07/14/2000
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Line No.	Description	Requested by PHA/IHA (PUM)	HUD Modifications (PUM)
----------	-------------	----------------------------	-------------------------

Part A. Allowable Expenses and Additions

01	Previous allowable expense level (line 07 of form HUD-52723 for previous fiscal year)	291.51	
02 a	Line 01 multiplied by .005	1.46	
02 b	Delta from form HUD-52720-B, if applicable (see instructions)		
03	"Requested" year units from latest form HUD-52720-A(see instructions)		
04	Add-ons to allowable expense level from previous fiscal year (see instructions)		
05	Total of lines 01, 02a, 02b, and 04	292.97	
06	Inflation factor	1.0240	
07	Revised allowable expense level (AEL)(line 05 times line 06)	300.00	
07a	Transition Funding		
07b	Increase to AEL		
08	Allowable utilities expense level from form HUD-52722-A	39.10	
09	<input type="checkbox"/> Actual or <input type="checkbox"/> Estimated PUM cost of Independent Audit (IA) during subject fiscal year	1.03	
10	Costs attributable to deprogrammed units		
11	Total Allowable Expenses and Additions (sum of lines 07 thru 10)	340.13	

Part B. Dwelling Rental Income

12	Total rent roll (as of __06 / _01 / _00_)	\$157,546	
13	Number of occupied units as of rent roll date	1,791	
14	Average monthly dwelling rental charge per unit (line 12 divided by line 13)	87.97	
15	Change factor	1.024	I.
16	Projected average monthly dwelling rental charge per unit (line 14 times line 15)	90.80	
17	Projected occupancy percentage (see instructions)	94%	%
18	Projected average monthly dwelling rental income per unit (line 16 times line 17)	85.35	

Part C. Non-dwelling Income

19	Estimated Investment Income (EII)	0.00	
20	Other income	0.00	
21	Total non-dwelling income (line 19 plus line 20)	0.00	
22	Total operating receipts (line 18 plus line 21)	85.35	
23	PUM deficit or (Income) (line 11 minus line 22)	254.78	
24	Deficit or (Income) before add-ons (line 23 times UMAs shown in heading)	6,065,802	

Part D. Add-ons for changes in Federal law or regulation and other eligibility

25	FICA contributions	201,716	
26	Unemployment compensation	26,819	
27	Flood insurance premiums		
28	Total Other (specify in Remarks section)		

28a	Add-on for Family Self Sufficiency Program	59,445	
28b	Other Add-ons for Federal law or regulations		
28c	Unit reconfiguration		
28d	Non-dwelling units		
28e	Long-term vacant units		
29	Total add-ons (sum of lines 25 thru 28)		287,980

Previous edition is obsolete for PHA/IHA Fiscal
Years beginning 1/1/95 and thereafter

Page 1

Form **HUD-52723** (5/96)
ref. Handbook 7475.13

Line No.	Description	Requested by PHA/IHA (PUM)	HUD Modifications (PUM)
Part E. Calculation of Operating Subsidy Eligibility Before Year-End Adjustments			
30	Deficit or (income) before year-end adjustments (total of lines 24 and 29)	6,353,782	
31	<input type="checkbox"/> Actual or <input type="checkbox"/> Estimated cost of Independent Audit (IA) during subject fiscal year	24,640	
32	PFS operating subsidy eligibility before year-end adjustments (greater of line 30 or line 31) (If less than zero, enter zero (0))	6,378,422	
Part F. Calculation of Operating Subsidy Approvable for Subject Fiscal Year (Note: Do not revise after the end of the subject FY)			
33	Prior years' net year-end adjustments (identify individual FYs and amounts under Remarks")		
34	Additional subject fiscal year operating subsidy eligibility (specify		
35	Overobligations from prior fiscal years to be recovered in subject fiscal year	()	()
36	Unfunded eligibility in prior fiscal years to be obligated in subject fiscal year		
37	Incentive Adjustment		
38	Other (specify)		
39	Other (specify)		
40	Unfunded portion due to proration 98.50%	(95,676)	
41	Operating subsidy approvable for subject fiscal year (total of lines 32 thru 40)	6,282,746	
HUD Use Only (Note: Do not revise after the end of the subject FY)			
43	Amount of operating subsidy approvable for subject fiscal year not funded		()
44	Amount of funds obligated in excess of operating subsidy approvable for subject fiscal year		
45	Funds obligated in subject fiscal year (total of lines 41 thru 44) (Must be the same as line 690 of the Operating Budget, form HUD-52564, for the subject fiscal year)		
Part G. Memorandum of Amounts Due HUD, Including Amounts on Repayment Schedules			
46	Total amount due in previous fiscal year (line 49 of form HUD-52723 for previous fiscal year)		
47	Total amount to be collected in subject fiscal year (identify individual amounts under Remarks")	()	()
48	Total additional amount due HUD (include any amount entered on line 44) (Identify individual amounts under "Remarks")		
49	Total amount due HUD to be collected in future fiscal year(s) (Total of lines 46 thru 48) (Identify individual amounts under "Remarks")		
Part H. Calculation of Year-end Adjustment for Subject Fiscal Year This part is to be completed only after the subject fiscal year has ended			
50	Indicate the types of adjustments that have been reflected on this form: <input type="checkbox"/> Utility Adjustment <input type="checkbox"/> Target Investment Income (TII) Adjustment <input type="checkbox"/> Adjustment of Independent Audit (IA) Cost <input type="checkbox"/> Unit Months Available (UMAs) <input type="checkbox"/> Dwelling Rental Income <input type="checkbox"/> Add-ons <input type="checkbox"/> Other (specify under "Remarks")		
51	Estimated Investment Income (EII)		
52	Target Investment Income (TII)		
53	TII adjustment (line 51 minus line 52)		
54	Utility adjustment (line 22, form HUD-52722-B)		
55	Combined utility and TII adjustment (total of lines 53 and 54)		
56	Deficit or (Income) after year-end adjustments (total of lines 30 and 55)		
57	PFS operating subsidy eligibility after year-end adjustments (greater of line 31 or line 56)		
58	Line 32 of latest form HUD-52723 approved during subject FY (Do not use line 32 of this revision)		
61	Net year-end adjustment for subject fiscal year (line 57 minus line 58)		
62	Unfunded portion due to proration		
63	Prorated net year-end adjustment for subject fiscal year		

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

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

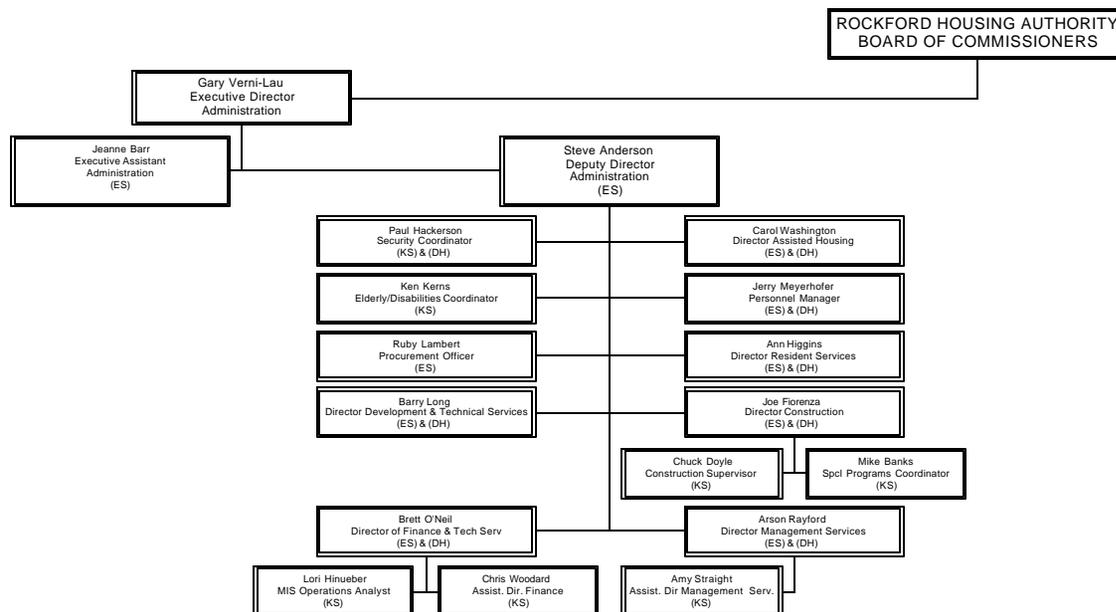
Signature of Authorized HA Representative & Date: X	Signature of Authorized Field Office Representative & Date: X
--	--

Remarks

Attachment D
Organization Chart

RHA EXECUTIVE & KEY STAFF March 2000

Executive Staff (ES) Key Staff (KS) Dept. Heads (DH)



PERSONNEL SERVICES

March 2000

Jerry Meyerhofer
Personnel Manager

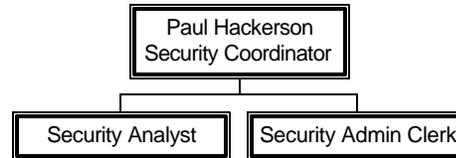
Human Resources Administrator

DEVELOPMENT & TECHNICAL SERVICES
March 2000

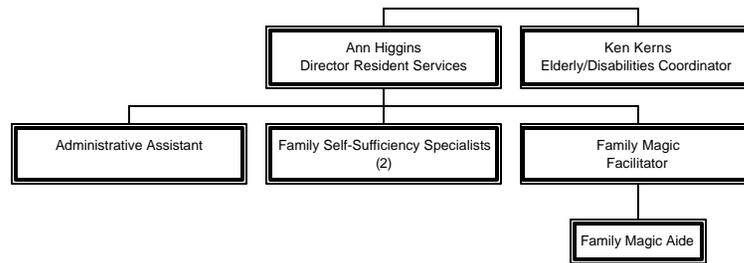


SECURITY SERVICES

March 2000

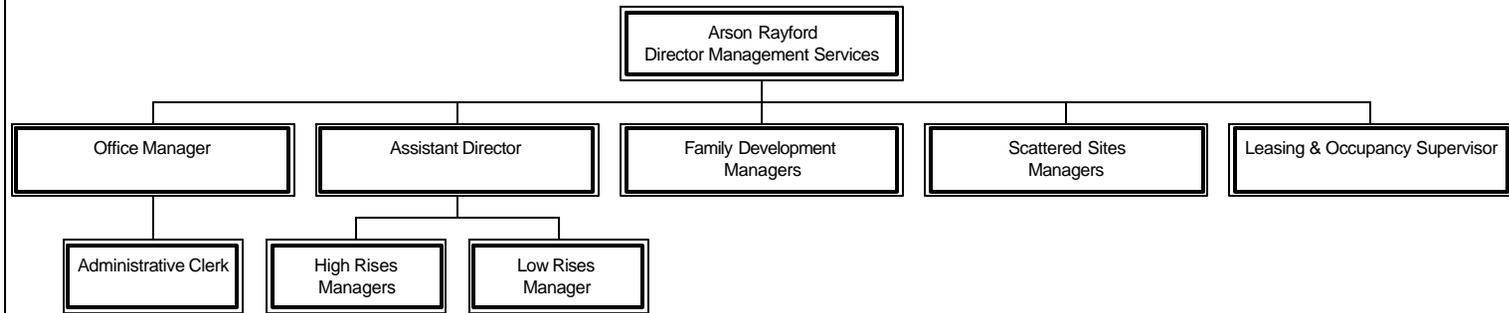


RESIDENTS SERVICES
Family/Elderly/Disabilities Services
March 2000



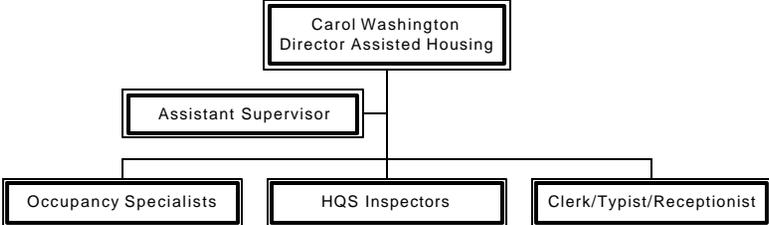
MANAGEMENT SERVICES

March 2000

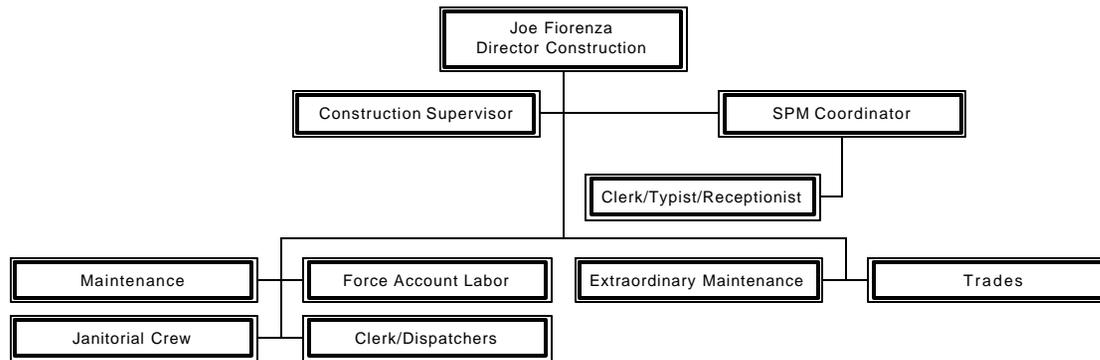


ASSISTED HOUSING SERVICES

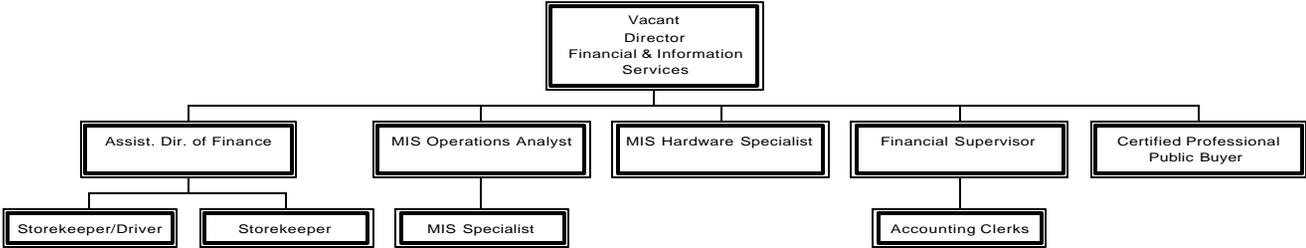
March 2000



CONSTRUCTION
March 2000



FINANCIAL & INFORMATION SYSTEMS
March 2000



Attachment E

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

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	
IL06-P022-001	Blackhawk Courts	6	3%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Exterior Rehab – Siding – Trim – Gutters & Downspouts			135,000	FY02
Building Systems – HVAC			200,000	FY02
Building Systems – Plumbing Distribution			30,000	FY02
Exterior Rehab – Doors & Windows			165,000	FY03
Site Improvements-Earthwork-Drainage-Signage			70,000	FY04
Community Room Furnishings			10,000	FY05
Storage Area			5,000	FY05
Security Lighting			44,000	FY05
Total estimated cost over next 5 years			735,000	

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

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
IL06-P022-003	Orton Keyes	6	3%
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Site Improvements – Concrete - Sidewalks - Parking Areas		80,000	FY02
Interior Rehab – Floors – Ceilings – Walls		125,000	FY02
Building Systems – HVAC		50,000	FY02
Exterior Rehab – Windows & Doors		100,000	FY03
Site Improvements – Earthwork – Drainage – Signage		50,000	FY04
Building Systems – Plumbing Distributions		125,000	FY04
Improvements – Day Care Facilities		60,000	FY05
Exterior Rehab – Roofing – Ventilation		200,000	FY05
Total estimated cost over next 5 years		865,000	

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

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	
IL06-P022-004	Park Terrace	7	4%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Interior Rehab – Force Account			677,000	FY02
Building Systems – Plumbing Distribution – Force Account			370,000	FY02
Building Systems – Elevators			20,000	FY02
Relocation			56,000	FY02
Appliances – Air Conditioners			100,000	FY04
Exterior Rehab – Water Proofing			70,000	FY05
Total estimated cost over next 5 years			1,599,000	

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

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	
IL06-P022-005	Brewington Oaks & Jane Addams	69	14%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Interior Rehab – Force Account - BO			600,000	FY02
Building Systems – Plumbing Distributions – Force Account- BO			360,000	FY02
Building Systems – Elevators-BO			40,000	FY02
Exterior Rehab– Windows – Doors –JA – Force Account			151,000	FY02
Site Improvements – Concrete – Sidewalks – Signage-BO			90,000	FY03
Exterior Rehab – Siding – Trim – Gutters – Downspouts - JA			20,000	FY04
Appliances – Air Conditioning-BO			65,000	FY04
Exterior Rehab – Water Proofing-BO			80,000	FY05
Total estimated cost over next 5 years			1,746,000	

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

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	
IL06-P022-006	North Main Manor	4	2%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Interior Rehab – Force Account			405,000	FY02
Building Systems – Plumbing Distribution			20,000	FY02
Building systems – Elevators			20,000	FY02
Building Systems – HVAC – Fire & Life Safety			30,000	FY03
Building Systems – Mail Boxes			20,000	FY03
Appliances – Air Conditioning			100,000	FY04
Site Improvements – Concrete – Sidewalks – Signage			50,000	FY05
Site Improvements – Security – Lighting			15,000	FY05
Total estimated cost over next 5 years			770,000	

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

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	
IL06-P022-007	Fairgrounds Valley	3	1%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Exterior Rehab – Windows – Doors – Force Account			128,000	FY02
Community Buildings – Rooms			55,000	FY02
Exterior Rehab – Roofing – Ventilation			50,000	FY03
Interior Rehab – Doors – Windows – Force Account			20,000	FY03
Site Improvements – Concrete – Sidewalks – Signage			81,000	FY04
Building Systems – HVAC			135,000	FY05
Total estimated cost over next 5 years			529,000	

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

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
IL06-P022-008	Scattered Sites – Duplexes	1	1%
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Interior Rehab – Force Account		800,000	FY02
Relocation		15,000	FY04
Total estimated cost over next 5 years		1,065,000	

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

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
IL06-P022-009	Olesen Plaza	3	2%
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Building Systems – Elevators		20,000	FY02
Building Systems – HVAC		60,000	FY03
Appliances – Air Conditioners		75,000	FY04
Building Systems		20,000	FY05
Community Room		15,000	FY05
Community Room Furnishings		5,000	FY05
Total estimated cost over next 5 years		210,000	

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

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	
IL06-P022-012	Scattered Sites – Rehab	0	0%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Site Improvements – Concrete – Sidewalks – Signage			50,000	FY03
Site Improvements – Earthwork – Drainage – Signage			10,000	FY03
Exterior Rehab – Roofing – Ventilation			40,000	FY03
Interior Rehab – Force Account			57,000	FY03
Relocations			4,000	FY03
Building Systems – Electrical Distributions			15,000	FY05
Total estimated cost over next 5 years			256,000	

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

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
IL06-P022-013	Scattered Sites – Rehab	0	0%
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Exterior Rehab – Roofing – Ventilation		37,000	FY02
Exterior Rehab – Siding – Trim – Gutters – Downspouts		115,000	FY02
Exterior Rehab – Windows – Doors – Force Account		115,000	FY02
Interior Rehab – Force Account		375,000	FY03
Building Systems – HVAC		80,000	FY03
Relocation		25,000	FY03
Site Improvements – Concrete – Sidewalks – Parking		50,000	FY05
Site Improvements – Earthwork – Drainage – Signage		25,000	FY05
Total estimated cost over next 5 years		935,000	

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

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
IL06-P022-014	Low Rises	2	2%
Description of Needed Physical Improvements or Management Improvements			Estimated Cost
			Planned Start Date (HA Fiscal Year)
Interior Rehab – Floors			40,000
Building Systems – Water Softener			20,000
Relocation			5,000
Exterior Rehab – Roofing – Ventilation			24,000
Building Systems – Elevators			30,000
Community Rooms – Carpeting			20,000
Interior Rehab – Door & Windows – Force Account			30,000
Building Systems – Plumbing Distributions			30,000
Hallways – Laundry Rooms – Trash Rooms – Force Account			80,000
Power Door Operators			10,000
Building Systems – HVAC			150,000
Community Room Furnishings			10,000
Total estimated cost over next 5 years			639,000

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

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
IL06-P022-016	Scattered Sites – New	0	0%
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Site Improvements – Concrete – Sidewalks – Parking		20,000	FY02
Interior Rehab – Force Account		70,000	FY04
Building Systems – HVAC		80,000	FY05
Storage Sheds		25,000	FY05
Total estimated cost over next 5 years		195,000	

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

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	
IL06-P022-017	Scattered Sites – Rehab	0	0%	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Building Systems – HVAC			80,000	FY05
Total estimated cost over next 5 years			80,000	

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

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	
IL06-P022-019	Scattered Sites	0	0	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Exterior Rehab – Roofing – Ventilation			15,000	FY04
Appliances – Stove & Refrigerator			60,000	FY04
Building Systems – HVAC			30,000	FY05
Total estimated cost over next 5 years			105,000	

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

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
IL06-P022-020	Scattered Sites	0	0
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Exterior Rehab – Roofing – Ventilation		15,000	FY04
Exterior Rehab – Siding – Trim – Gutters – Downspouts		26,000	FY04
Appliances – Stove & Refrigerator		60,000	FY04
Building Systems – HVAC		30,000	FY05
Total estimated cost over next 5 years		131,000	

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

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
IL06-P022	PHA Wide		
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Maintenance Vehicles		90,000	FY02
Grounds Maintenance Equipment		30,000	FY02
Snow Removal Equipment		27,535	FY02
Computers and Equipment		110,000	FY02
Sweeper		23,481	FY04
Communications Equipment		35,000	FY04
Total estimated cost over next 5 years		415,747	

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

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
IL06-P022	PHA Wide		
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
Management Improvements			
Computer Upgrades		69,316	FY02
MIS Technical Assistance		42,772	FY02
Resident & Staff Training & HTVN		120,000	FY02
Service Coordinator – High Rise		320,000	FY02
Security – High Rises & Low Rises		1,200,000	FY02
Resident Education and Employment Training		200,000	FY02
PHAS – Security Coordinator		240,000	FY02
Technical Assistance to Resident Councils		40,000	FY02
PHAS – Unit Turnaround Time		328,896	FY02
Sal & Ben – Energy-SPM-LBP Management		740,000	FY02
Total estimated cost over next 5 years		3,950,207	

Public Housing Drug Elimination Program Plan

Note: THIS PHDEP Plan template (HUD 50075-PHDEP Plan) is to be completed in accordance with Instructions located in applicable PIH Notices.

Annual PHDEP Plan Table of Contents:

1. General Information/History
2. PHDEP Plan Goals/Budget
3. Milestones
4. Certifications

Section 1: General Information/History

- A. Amount of PHDEP Grant \$ 460,051
- B. Eligibility type (Indicate with an "x") N1 _____ N2 XX R _____
- C. FFY in which funding is requested FFY 2000
- D. Executive Summary of Annual PHDEP Plan

In the space below, provide a brief overview of the PHDEP Plan, including highlights of major initiatives or activities undertaken. It may include a description of the expected outcomes. The summary must not be more than five (5) sentences long

The Rockford Housing Authority (RHA) will use holistic approach incorporating suppression, prevention, and intervention. This approach, Rockford Eliminating Alcohol and Drugs for Youth (READY) is based on a combination of law enforcement activities and a continuum of care model.

E. Target Areas

Complete the following table by indicating each PHDEP Target Area (development or site where activities will be conducted), the total number of units in each PHDEP Target Area, and the total number of individuals expected to participate in PHDEP sponsored activities in each Target Area.

PHDEP Target Areas (Name of development(s) or site)	Total # of Units within the PHDEP Target Area(s)	Total Population to be Served within the PHDEP Target Area(s)
High Rise Developments	Units	Population
Brewington Oaks A	209	124
Brewington Oaks B	209	192
Olesen Plaza	151	149
North Main Manor	187	188
Park Terrace	183	155
TOTALS	939	808
Family Developments	Units	Population
Blackhawk	196	409
Fairgrounds Valley	210	702
Jane Addams	84	260
Orton Keys	175	558
TOTALS	665	1929

F. Duration of Program

Indicate the duration (number of months funds will be required) of the PHDEP Program proposed under this Plan (place an "x" to indicate the duration of program by # of months. For "Other", identify the # of months).

6 Months _____ 12 Months _____ 18 Months _____ 24 Months XX Other _____

G. PHDEP Program History

Indicate each FY that funding has been received under the PHDEP Program (place an "x" by each applicable Year) and provide amount of funding received. If previously funded program has not been closed out at the time of this submission, indicate the fund balance and anticipated completion date. For grant extensions received, place "GE" in column or "W" for waivers.

Fiscal Year of Funding	PHDEP Funding Received	Grant #	Fund Balance as of Date of this Submission	Grant Extensions or Waivers	Anticipated Completion Date
FY 1995	507,250	IL06DEP0220195	-0-		02-97
FY 1996	0.0	N/A			
FY 1997	523,380	IL06DEP0220197	-0-		02-99
FY 1998	546,780	IL06DEP0220198	51,646		02-00
FY 1999	442,123	IL06DEP0220199	421,111		02-01

Section 2: PHDEP Plan Goals and Budget

A. PHDEP Plan Summary

In the space below, summarize the PHDEP strategy to address the needs of the target population/target area(s). Your summary should briefly identify: the broad goals and objectives, the role of plan partners, and your system or process for monitoring and evaluating PHDEP-funded activities. This summary should not exceed 5-10 sentences.

The Rockford Housing Authority has partnered with the City of Rockford Police Department with a Housing Police Unit consisting of Officers. The core of this unit is using Community Oriented Policing (COP) to get to know the tenants in the high-rise and family developments. The Officers use this knowledge to eradicate drug dealing, and make referrals to drug counseling. The Northern Illinois Center for Governmental Studies evaluates the program on an annual basis.

B. PHDEP Budget Summary

Enter the total amount of PHDEP funding allocated to each line item.

FY <u>00</u> PHDEP Budget Summary	
Budget Line Item	Total Funding
9110 - Reimbursement of Law Enforcement	313,981.00
9120 - Security Personnel	0.0
9130 - Employment of Investigators	0.0
9140 - Voluntary Tenant Patrol	1,200.00
9150 - Physical Improvements	0.00
9160 - Drug Prevention	37,000.00
9170 - Drug Intervention	6,000.00
9180 - Drug Treatment	0.00
9190 - Other Program Costs	101,870.00
TOTAL PHDEP FUNDING	460,051.00

C. PHDEP Plan Goals and Activities

In the tables below, provide information on the PHDEP strategy summarized above by budget line item. Each goal and objective should be numbered sequentially for each budget line item (applicable). Use as many rows as necessary to list proposed activities (additional rows may be inserted in the tables). PHAs are not required to provide information in shaded boxes. Information provided must be concise—not to exceed two sentences in any column. Tables for line items in which the PHA has no planned goals or activities may be deleted.

9110 - Reimbursement of Law Enforcement				Total PHDEP Funding: \$ 313,981			
Goal(s)	To operate a Community Oriented Policing Program on Housing Property						
Objectives	To assign each officer to 1 high rise and 1 family development so they can work hand in hand to eradicate drug use and trafficking with the tenants living in those developments.						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount/Source)	Performance Indicators
1. Community Policing			10-01-00	09-30-01	299,981		Provide 8,500 hours of law enforcement
2. Attendance of Resident Council Meetings.			10-01-00	09-30-01			Attend all Resident Council Meetings
3. Attendance of Neighborhood Watch Meetings.			10-01-00	09-30-01			Attend all Neighborhood Watch Meetings.
4. Walking Patrols in both the family and high rise developments.			10-01-00	09-30-01			Provide 30 hours per month Vertical Patrol to the High-rises. Provide 30 hours per month to Bicycle Patrolling in Family Developments from May thru Sept.
5. Gun Buyback			10-01-00	09-30-01	14,000		To get 280 guns off the streets

9120 - Security Personnel				Total PHDEP Funding: \$ 00			
Goal(s)	To provide security at 5 high rise and 1 family development.						
Objectives	To provide Residents with a sense of security. To provide a means of identifying those persons entering the property.						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Identify and sign in guests			10-01-00	09-30-01	-0-	CFP \$273,022	Decrease crime in high rise developments
2.							
3.							

9130 - Employment of Investigators				Total PHDEP Funding: \$ 00			
Goal(s)	N/A						
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9140 - Voluntary Tenant Patrol					Total PHDEP Funding: \$ 1,200		
Goal(s)	To reduce criminal activity in the high-rise and family developments.						
Objectives	To empower the tenants to become more involved in improving their community.						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Develop Neighborhood Watch Organizations			10-01-00	9-30-01	1,200	0	To organize 2 neighborhood watch programs.
2.							
3.							

9150 - Physical Improvements					Total PHDEP Funding: \$		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9160 - Drug Prevention					Total PHDEP Funding: \$ 37,000		
Goal(s)	To reduce the use of alcohol and narcotics among Resident youth.						
Objectives	To provide education regarding drugs and alcohol and provide recreational activities.						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Provide early prevention and education in the area of gang activity, drug and alcohol resistance through the C.H.O.I.C.E.S. (Children Having Options in Choosing Environments) program.	in 100	5-8 year old children	10-1-00	9-30-01	35,000		5 Sessions provided per year, up to 20 children per session.
2. Provide recreational activities and computer training through the Rockford Boys & Girls Club.		7-18 year old children	10-1-00	9-30-01	2,000	United Way	Provide year long program

9170 - Drug Intervention					Total PHDEP Funding: \$ 6,000		
Goal(s)	To provide education & training to RHA Police Officers and Staff.						
Objectives	To educate the RHA Police Officers and Security Staff in the latest techniques for drug eradication and identification						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Educational Training regarding drug eradication and identification.	11	RHA Police Officers and Staff	10-01-00	9-30-01	6,000	Rockford Police Department	Send 11 RHA Police Officers to training regarding latest techniques for drug eradication and identification.
2.							

9180 - Drug Treatment					Total PHDEP Funding: \$ 00		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							

9190 - Other Program Costs					Total PHDEP Funds: \$ 101,870		
Goal(s)	To provide logistical data.						
Objectives	To provide support staff and equipment to maintain data.						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Computer Upgrades and Equipment			10-01-00	9-30-01	17,928		
1. PHAS/Security Coordinator			10-01-00	9-30-01	0	60,000 – CGP	
1. Security Analyst Wages & Fringe			10-01-00	9-30-01	43,000		
2. Administrative Clerk Wages & Fringe			10-01-00	9-30-01	35,000		
3. Program Evaluation			9-30-01	3-31-02	5,942		

Section 3: Expenditure/Obligation Milestones

Indicate by Budget Line Item and the Proposed Activity (based on the information contained in Section 2 PHDEP Plan Budget and Goals), the % of funds that will be expended (at least 25% of total grant award) and obligated (at least 50% of the total grant award) within 12 months of grant execution.

Budget Line 09-30-01 Item #	25% Expenditure of Total Grant Funds By Activity #	Total PHDEP Funding Expended (sum of the activities)	50% Obligation of Total Grant Funds by Activity #	Total PHDEP Funding Obligated (sum of the activities)
<i>e.g. Budget Line Item # 9120</i>	<i>Activities 1, 3</i>		<i>Activity 2</i>	
9110		313,981	1 – 2 – 3 – 4	
9120				
9130				
9140	Activity 1	1,200		
9150				
9160	Activity 2	2,000	Activity 1	35,000
9170	Activity 1			6,000
9180				
9190		95,928	Activity 3	5,942
TOTAL		\$ 413,109		\$ 46,942

Section 4: Certifications

A comprehensive certification of compliance with respect to the PHDEP Plan submission is included in the “PHA Certifications of Compliance with the PHA Plan and Related Regulations.”

Attachment G

Optional Public Housing Asset Management Table

See Technical Guidance for instructions on the use of this table, including information to be provided.

Public Housing Asset Management								
Development Identification		Activity Description						
Name, Number, and Location	Number and Type of units	Capital Fund Program Parts II and III <i>Component 7a</i>	Development Activities <i>Component 7b</i>	Demolition / disposition <i>Component 8</i>	Designated housing <i>Component 9</i>	Conversion <i>Component 10</i>	Home-ownership <i>Component 11a</i>	Other (describe) <i>Component 17</i>
001 Blackhawk Courts	196	Forms attached	NA	NA	NA	NA	NA	
003 Orton Keys	175	Forms attached	NA	NA	NA	NA	NA	
004 Park Terrace	183	Forms attached	NA	NA	NA	NA	NA	
005 Brewington Oaks & Jane Addams	502	Forms attached	To be included in planned HOPE VI application	To be included in planned HOPE VI application	NA	Assessment submitted to HUD 4-1-99	NA	
006 North Main Manor	187	Forms attached	NA	NA	Plan to apply for elderly only designation	NA	NA	
007 Fairgrounds Valley	210	Forms attached	To be included in planned HOPE VI application	To be included in planned HOPE VI application	NA	NA	NA	

Attachment G (Continued)

Optional Public Housing Asset Management Table

See Technical Guidance for instructions on the use of this table, including information to be provided.

Public Housing Asset Management

Development Identification		Activity Description						
Name, Number, and Location	Number and Type of units	Capital Fund Program Parts II and III <i>Component 7a</i>	Development Activities <i>Component 7b</i>	Demolition / disposition <i>Component 8</i>	Designated housing <i>Component 9</i>	Conversion <i>Component 10</i>	Home-ownership <i>Component 11a</i>	Other (describe) <i>Component 17</i>
009 Olesen Plaza	151	Forms attached	NA	NA	Plan to apply for elderly only designation	NA	NA	
012 Scattered Sites Rehab	10	Forms attached	NA	NA	NA	NA	Planned Application	
013 Scattered Sites	46	Forms attached	NA	NA	NA	NA	NA	
014 Low-Rises	100	Forms attached	NA	NA	NA	NA	NA	
016 Scattered Sites – New	49	Forms attached	NA	NA	NA	NA	Planned Application	
017 Scattered Sites – Rehab	30	Forms attached	NA	NA	NA	NA	Planned Application	
019 Scattered Sites – FSS	20	Forms attached	NA	NA	NA	NA		
020	20	Forms attached	NA	NA	NA	NA		

Scattered Sites								
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