



# HOUSING AUTHORITY OF THE CITY OF SANTA ANA COMPREHENSIVE PLANS

Annual Plan for Fiscal Year Beginning  
July 1, 2001 – June 30, 2002

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**Housing Authority of the City of Santa Ana Plan  
Agency Identification**

**PHA Name:** Housing Authority of the City of Santa Ana (SAHA)

**PHA Number:** CA093

**PHA Fiscal Year Beginning:** July 1, 2001 (July 1 – June 30, 2002)

**Public Access to Information**

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

- Main administrative office of the PHA: 20 Civic Center Plaza, Santa Ana, CA 2<sup>nd</sup> Floor.
- PHA development management offices – Not Applicable
- PHA local offices – Not Applicable

**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: Same as above.
- PHA development management offices – Not Applicable
- PHA local offices: Same as above.
- Main administrative office of the local government: Same as above.
- Main administrative office of the County government – Not Applicable
- Main administrative office of the State government – Not Applicable
- Public library:
  - Santa Ana Public Library Main Branch 26 Civic Center Plaza, Santa Ana, CA.
- PHA website: [www.ci.santa-ana.ca.us/todo/calendar](http://www.ci.santa-ana.ca.us/todo/calendar)
- Other (list below)

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

- Main business office of the PHA: Same as above.
- PHA development management offices – Not Applicable
- Other (list below)
  - Santa Ana Public Library, Main Branch, 26 Civic Center Plaza, Santa Ana, CA.

**Annual PHA Plan**  
**PHA Fiscal Year 2001-2002**  
[24 CFR Part 903.7]

**i. Annual Plan Type:**

Select which type of Annual Plan the PHA will submit.

**Standard Plan**

**Streamlined Plan:**

**High Performing PHA**

**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 Quality Housing and Work Responsibility Act of 1998 established requirements for Public Housing Authorities to prepare a Five-Year and Annual Plan. The Five-Year Plan describes the mission of the Housing Authority of the City of Santa Ana (Authority), and the Authority's long-range goals and objectives for achieving its mission over the subsequent five years. The Annual Plan provides details about the Authority's immediate operations, program participants, programs and services, and the agency's strategy for handling operational concerns and program participant concerns and needs for the upcoming fiscal year.

**Program regulations do not require the Housing Authority of the City of Santa Ana to prepare an executive summary of this annual plan.**

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

[24 CFR Part 903.7 9 (r)]

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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:

- Admissions Policy for Deconcentration
  - **Not Applicable**
- FY 2000 Capital Fund Program Annual Statement
  - **Not Applicable**
- Most recent board-approved operating budget (Required Attachment for troubled PHAs or PHAs at risk of being designated troubled ONLY)
  - **Not Applicable**

- PHA Management Organizational Chart:
  - **See Attachment 1**
- FY 2000 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text):
  - **See Attachment 2**
- Other (List below, providing each attachment name)
  - **General Certifications** **Attachment 3**
  - **Proof of Publication** **Attachment 4**
  - **Section 8 Homeownership Capacity Statement** **Attachment 5**
  - **Progress Report, Five Year Plan** **Attachment 6**
  - **Resident Membership of the PHA Governing Board** **Attachment 7**
  - **Membership of the Resident Advisory Board** **Attachment 8**

**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.

All of the items marked with an “X” in the “Applicable & On Display” column are included in this plan and/or are available for public review. These documents are on display at the main administrative office located at 20 Civic Center Plaza, Santa Ana, CA, 2<sup>nd</sup> Floor and at the Santa Ana Public Library, Main Branch located at 26 Civic Center Plaza, Santa Ana, CA.

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
<b>X</b>	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations <b>(Included as Attachment 3)</b>	5 Year and Annual Plans
<b>X</b>	State/Local Government Certification of Consistency with the Consolidated Plan <b>(Included as Attachment 3)</b>	5 Year and Annual Plans
<b>X</b>	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair	5 Year and Annual Plans

### List of Supporting Documents Available for Review

Applicable & On Display	Supporting Document	Applicable Plan Component
	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. <b>(Available for Review)</b>	
<b>X</b>	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction <b>(Available for Review)</b>	Annual Plan: Housing Needs
<b>NA</b>	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
<b>NA</b>	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
<b>X</b>	Section 8 Administrative Plan <b>(Available for Review)</b>	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>NA</b>	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>NA</b>	Public housing rent determination policies, including the methodology for setting public housing flat rents <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
<b>NA</b>	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
<b>X</b>	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan <b>(Available for Review)</b>	Annual Plan: Rent Determination
<b>NA</b>	Public housing management and maintenance policy documents, including policies for prevention or eradication	Annual Plan: Operations and Maintenance

### List of Supporting Documents Available for Review

Applicable & On Display	Supporting Document	Applicable Plan Component
	of pest infestation (including cockroach infestation)	
NA	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan <b>(Available for Review)</b>	Annual Plan: Grievance Procedures
NA	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
NA	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
NA	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
NA	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
NA	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
NA	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
NA	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
NA	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
X	Policies governing any Section 8 Homeownership program <input checked="" type="checkbox"/> check here if included in the Section 8 Administrative Plan <b>(Available for Review)</b>	Annual Plan: Homeownership
NA	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan(s) for public housing and/or Section 8 <b>(Available for Review)</b>	Annual Plan: Community Service & Self-Sufficiency
NA	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
NA	Most recent Public Housing Drug Elimination Program (PHEDEP) semi-annual performance report for any open grant & most recently submitted PHDEP application	Annual Plan: Safety and Crime Prevention

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
<b>X</b>	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 <b>(Available for Review)</b>	Annual Plan: Annual Audit
<b>NA</b>	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
<b>NA</b>	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

# 1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

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

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

The table on the following page has been completed with the assistance of Santa Ana's **Tenant Advisory Board** (also known as the Resident Advisory Board), and is based upon information contained in the City of Santa Ana's 2000-2004 Consolidated Plan and other available data. This table was completed in the following manner. The "Overall" needs column provides an estimated number of renter families that have housing needs. The remaining "characteristics" have been rated based on the impact of that factor on the housing needs for each family type. Ratings range from 1 to 5, with 1 being "no impact" and 5 being "severe impact." N/A is used to indicate that no information is available upon which the Housing Authority of Santa Ana can make the assessment.

*{Space intentionally left blank, go to next page}*

**Housing Needs of Families in the Jurisdiction  
by Family Type**

Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI <sup>1</sup>	7,994	5	5	4	4	3	4
Income >30% but <=50% of AMI <sup>1</sup>	8,073	5	5	4	5	2	3
Income >50% but <80% of AMI <sup>1</sup>	6,082	N/A	N/A	N/A	N/A	N/A	N/A
Elderly <sup>1</sup>	2,558	5	5	3	3	3	3
Families with Disabilities <sup>1</sup>	14,500	5	4	3	3	3	4
White Race/Ethnicity <sup>2</sup>	489	5	3	4	4	4	4
White Hispanic Race/Ethnicity <sup>2</sup>	1,597	5	4	3	4	3	4
Asian-Pacific Islander Race/Ethnicity <sup>2</sup>	2,915	5	4	3	3	3	3
African American Race/Ethnicity <sup>2</sup>	310	5	4	3	4	3	3
American Indian Race/Ethnicity <sup>2</sup>	108	5	4	3	4	3	3

1. Source of data is Draft 2000-2004 City of Santa Ana Consolidated Plan  
2. Source of data is Current Section 8 Wait List as of September 1999

The Housing Authority of the City of Santa Ana utilized the following sources of information to conduct this analysis. (Items that are checked apply. These materials are available for public inspection.)

- Consolidated Plan of the Jurisdiction: City of Santa Ana Consolidated Plan  
Indicate year: 2000-2004
- 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)
  - **Section 8 Wait List, October 1999**
  - **Orange County HIV/AIDS Housing Plan, December 1999**

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

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

The table on the following page provides a summary of the housing needs of the families on the City of Santa Ana’s Section 8 Housing waiting list.

*{Space intentionally left blank, go to next page}*

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	3,800		204
Extremely low income <=30% AMI	3,648	96%	
Very low income (>30% but <=50% AMI)	152	4%	
Low income (>50% but <80% AMI)	0	0%	
Families with children	2,356	62%	
Elderly families	532	14%	
Families with Disabilities	1,064	28%	
White Non-Hispanic	342	9%	
White Hispanic	1,102	29%	
Asian-Pacific Islander Non-Hispanic	2,014	53%	
African American Non-Hispanic	228	6%	
American Indian Non-Hispanic	76	2%	
Other Race/Ethnicity <b>Not Reported</b>	38	1%	
Characteristics by Bedroom Size ( <b>Public Housing Only</b> )			
	Not Applicable	Not Applicable	Not Applicable
1BR	↑ A	↑ A	↑ A
2 BR	↑ A	↑ A	↑ A
3 BR	↑ A	↑ A	↑ A
4 BR	↑ A	↑ A	↑ A
5 BR	↑ A	↑ A	↑ A
5+ BR	↑ A	↑ A	↑ 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)? 18 months			
Does the PHA expect to reopen the list in the PHA Plan year? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
<del>Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No</del>			
FY Beginning July 1, 2001 Annual Plan			

(July 1, 2001 – June 30, 2002)

### 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.

The Housing Authority of the City of Santa Ana has developed the following strategy to address the housing needs of families in the City of Santa Ana and those on the waiting list for the upcoming program year (i.e., July 1, 2001 through June 30, 2002).

#### (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

#### **Progress in FY 2000-2001:**

***March 2000: Requested HUD allow an increase in the payment standard for tenants owning a mobile home and renting space to 120% of the fair market rent. Request pending HUD approval.***

***March 1, 2001: Fair Market Rent set at 50<sup>th</sup> percentile as required by HUD rule dated October 2, 2000.***

- 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

**Progress in FY 2000-2001:**

*October 2000: Conducted two owner's briefings which resulted in 33 owners attending. Respondents to a follow-up quality survey revealed that all respondents rated the briefings as "highly effective."*

*Spring 2001: Efforts to increase owner participation have been included in the Housing Authority's Strategic Plan. Efforts to streamline owner paperwork, marketing efforts, and financial incentives to participate will be undertaken in FY 2002. {Note: HUD funds will not be utilized for the "financial incentives" efforts}*

- 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

**Progress in FY 2000-2001:**

*January 2001: Applied for 500 Housing Choice Vouchers through the HUD Fair Share Funding Announcement dated December 13, 2000. Application pending approval as of March 1, 2001.*

*April 2001: In progress of applying for Mainstream Housing Opportunities for Persons with Disabilities Vouchers through the HUD SuperNOFA. Application due July 20, 2001.*

- 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

**Progress in FY 2000-2001:**

*No special purpose vouchers for the elderly were made 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

**Progress in FY 2000-2001:**

***April 2001: In progress of applying for Mainstream Housing Opportunities for Persons with Disabilities Vouchers through the HUD SuperNOFA. Application due July 20, 2001.***

- Affirmatively market to local non-profit agencies that assist families with disabilities:

**Progress in FY 2000-2001:**

***Community Housing Resources, Inc. (CHRI) : Entered into MOU with CHRI to assist persons with developmental disabilities. CHRI will assist developmentally disabled persons in obtaining and maintaining their Section 8 rental voucher through one-on-one counseling. MOU includes deconcentration counseling.***

***Dayle McIntosh Center (DMC) : Entered into MOU with DMC to assist persons with disabilities. DMC will assist disabled persons in obtaining and maintaining their Section 8 rental voucher through one-on-one counseling. MOU includes deconcentration counseling.***

- Other: (list below)
  - ***Future “new construct” housing units assisted by the Housing Authority’s bonding authority will be required to provide a minimum of 20% units that are accessible to persons with physical disabilities. Rehabilitation projects will be evaluated on a case-by-case basis; however, a goal of 10% to 20% accessible units per project will be sought.***

**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 all that apply

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

**Progress in FY 2000-2001:**

*On-Going: Continue to make the majority of printed material available in the following three languages: English, Vietnamese, and Spanish. Continue to employ only Housing Specialists that are bilingual in two of the languages previously listed.*

- 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

**Progress in FY 2000-2001:**

*Spring 2001: Efforts to increase owner participation have been included in the Housing Authority's Strategic Plan. Efforts to streamline owner paperwork, marketing efforts, and financial incentives to participate will be undertaken over the next year. {Note: HUD funds will not be utilized for the " financial incentives" efforts}*

- Other: (list below)

**Progress in FY 2000-2001:**

1. ***Staff Training***  
*A representative from the Fair Housing Council of Orange County presented a training session at the Santa Ana Housing Authority for all staff members. The training included an update on recent state and federal fair housing legislation and regulations and trends in Orange*

*County housing discrimination. The training session included a lengthy question and answer session.*

**Progress in FY 2000-2001:**

*Domestic Violence added as a preference for receiving Section 8 rental assistance.*

**Mercy House :** *Entered into MOU with Mercy House Transitional Living Centers to make available Section 8 Housing Choice Vouchers to graduates of the Mercy House Support Transitional Living Program. Mercy House Transitional Living Centers provide a variety of transitional housing and supportive services for the benefit of homeless individuals and families in Orange County, California. Mercy House graduates that receive a Section 8 Housing Choice Voucher receive one-year of case management services by Mercy House after-care personnel.*

**(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:
  - Fair Housing Council of Orange County
- 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.

The table below provides a list the financial resources that are anticipated to be available to the Housing Authority of the City of Santa Ana to support its Federal tenant-based Section 8 rental assistance program during the 2001-2002 Plan Year. Please note, this table assumes that Federal tenant based Section 8 assistance grant funds will be expended for eligible purposes; therefore, the uses of these funds is not stated. For "Other Income," a notation has been entered that indicates the use for the subject funds as one of the following categories: Section 8 tenant-based assistance, Section 8 supportive services or other.

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants</b> (FY 2001 grants)	\$16,859,310	
a) Public Housing Operating Fund	NA	
b) Public Housing Capital Fund	NA	
c) HOPE VI Revitalization	NA	
d) HOPE VI Demolition	NA	
e) Annual Contributions for Section 8 Tenant-Based Assistance	\$16,859,310	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	NA	
g) Resident Opportunity and Self-Sufficiency Grants	NA	
h) Community Development Block Grant	NA	NA
i) HOME	NA	NA

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
J) Other Federal Grants Family Self-Sufficiency Coordinator Grant	\$47,700	Salary and benefits for FSS Coordinator staff position
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>	NA	NA
<b>3. Public Housing Dwelling Rental Income</b>	NA	NA
<b>4. Other income (list below)</b>		
Housing Authority Operating Reserve <sup>1</sup>	\$150,000	Housing assistance payment reserve and other eligible program costs.
Fraud Recovery	\$100,000	Program Operation
FSS Escrow Forfeiture	\$100,000	Program Operation
Bond Project monitoring fees <sup>2</sup>	\$250,525	Program Operation
CalWORKS	\$562,500	Supportive Services for Welfare to Work
<b>4. Non-federal sources (list below)</b>		
Local Tax Increment	\$280,000	Administration
<b>Total resources</b>	<b>\$18,350,035</b>	

<sup>1</sup> The Housing Authority of the City of Santa Ana is required to maintain a minimum of one month of housing assistance payments (HAP) in reserve. Current HAP reserve equals \$1,000,000. Balance of Housing Authority Administrative Reserves may be used for other eligible administrative expenses.

<sup>2</sup> This funding source has been decreasing as affordability terms of bond funded projects expire.

### **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.

**AS A SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING SECTION 3A. PLEASE SKIP TO SECTION 3B.**

#### **(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)

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**

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a. Which methods does the PHA plan to use to organize its public housing waiting list

(select all that apply)

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

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

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

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year?

2.  Yes  No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?  
If yes, how many lists?

3.  Yes  No: May families be on more than one list simultaneously  
If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- PHA main administrative office
- All PHA development management offices
- Management offices at developments with site-based waiting lists
- At the development to which they would like to apply
- Other (list below)

**(3) Assignment**

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- One
- Two
- Three or More

b.  Yes  No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

**(4) Admissions Preferences**

a. Income targeting:

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

b. Transfer policies:

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

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

c. Preferences

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

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

Former Federal preferences:

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

Other preferences: (select below)

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

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

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

Date and Time

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

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)

4. Relationship of preferences to income targeting requirements:

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

**(5) Occupancy**

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

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

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

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

**(6) Deconcentration and Income Mixing**

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

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

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

- Adoption of site-based waiting lists  
If selected, list targeted developments below:
- Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments  
If selected, list targeted developments below:
- Employing new admission preferences at targeted developments  
If selected, list targeted developments below:
- Other (list policies and developments targeted below)

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

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

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments

- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
  - Other (list below)
- f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)
- Not applicable: results of analysis did not indicate a need for such efforts
  - List (any applicable) developments below:
- g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)
- Not applicable: results of analysis did not indicate a need for such efforts
  - List (any applicable) developments below:

## B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

As a tenant-based Section 8 only agency, the Housing Authority of the City of Santa Ana is required to complete this section. As of October 1, 1999, the process to merge all Section 8 vouchers and certificates into one program has been initiated. The information listed below is relevant to the merged program.

### (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
    - **The Santa Ana Housing Authority conducts background criminal checks on all Section 8 applicants 18 years of age and older.**
  - More general screening than criminal and drug-related activity (list factors below)
    - **The Santa Ana Housing Authority conducts department of motor vehicles, credit and tenancy background checks on all Section 8 applicants.**
  - 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)
  - Tenancy records
  - Previous landlords

**(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)
  - The Housing Authority of the City of Santa Ana wait list is not open on an on-going basis. The wait list was opened August 1999, and closed September 1999.

The Santa Ana Housing Authority anticipates opening the waiting list Spring 2002. Once the waiting list is opened, the Santa Ana Housing Authority will keep the waiting list open on a continual basis.

Exception to Spring 2002 Expected Opening: The Santa Ana Housing Authority has applied for 500 Housing Choice Vouchers under the December 2000 HUD NOFA. If all 500 Vouchers (or a significant number) are awarded, the waiting list will be opened in the fall of 2001.

When the application process is open, potential applicants may obtain applications at Santa Ana City Hall, Santa Ana libraries, Orange County Social Services Agency, and local community service agencies and community churches. Applications may be returned via fax, mail, or dropped off at predetermined 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:

The Housing Authority of the City of Santa Ana grants time extensions under the following circumstances:

- Tenant is unable to locate a unit due to an illness.
- Tenant is unable to locate a unit due to a shortage of large family units (e.g., three- and four-bedroom units).
- Tenant is unable to locate a unit due to a lack of available housing units in the community resulting from a low vacancy rate.

**(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**)
- Mobile Home coach owners
  - Family Unification Program referrals from the Orange County Social Services Agency.
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

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- 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)
  - Persons displaced by City of Santa Ana community Development Agency actions
  - Any specialized City programs (e.g., YES program)

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

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

**(1) Victims of domestic violence**

Substandard housing  
Homelessness  
High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- (1)  Veterans and veterans' families**

- (1)  **Residents who live and/or work in your jurisdiction**
- Those enrolled currently in educational, training, or upward mobility programs
  - Households that contribute to meeting income goals (broad range of incomes)
  - Households that contribute to meeting income requirements (targeting)
  - Those previously enrolled in educational, training, or upward mobility programs
- (1)  **Victims of reprisals or hate crimes**
- Other preference(s) (list below)**
- (1) Mobile home coach owners
  - (1) Persons displaced by City of Santa Ana Community Development Agency actions
  - (1) Any specialized City programs (e.g., YES program)
  - (1) Orange County Social Services Agency Family Unification program participants.

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)

➤ Outreach through community based organizations.

## **4. PHA Rent Determination Policies**

[24 CFR Part 903.7 9 (d)]

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

### **A. Public Housing**

**AS A SECTION 8 ONLY AGENCY, PART A IS NOT APPLICABLE TO THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA. PLEASE SKIP TO PART B.**

#### **(1) Income Based Rent Policies**

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

a. Use of discretionary policies: (select one)

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

---or---

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

b. Minimum Rent

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

\$0

\$1-\$25

\$26-\$50

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

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

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

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

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

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

- For the earned income of a previously unemployed household member
- For increases in earned income
- Fixed amount (other than general rent-setting policy)  
If yes, state amount/s and circumstances below:
- Fixed percentage (other than general rent-setting policy)  
If yes, state percentage/s and circumstances below:
- For household heads
- For other family members
- For transportation expenses
- For the non-reimbursed medical expenses of non-disabled or non-elderly families
- Other (describe below)

e. Ceiling rents

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

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

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

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

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

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

f. Rent re-determinations:

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

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

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

## **(2) Flat Rents**

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

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

## **B. Section 8 Tenant-Based Assistance**

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

As a Section 8 only agency, the Housing Authority of the City of Santa Ana is required to complete this part. As of October 1, 1999, the Housing Authority began the merger of all Section 8 vouchers and certificates into one program. The information listed below is relevant to the merged program.

**(1) Payment Standards**

Describe the voucher payment standards and policies.

The following statements describe the Housing Authority of the City of Santa Ana's 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 SET AT THE 50<sup>th</sup> PERCENTILE
- Above 100% but at or below 110% of FMR
  - For persons with disabilities as accommodation.
- Above 110% of FMR (if HUD approved; describe circumstances below)
  - The Authority has requested authorization from HUD to utilize 120% of FMR to assist mobile home coach owners. To date HUD has not formally responded to the Authority's request.

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

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)
  - **Not Applicable**

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)
  - **Not Applicable**

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)
  - Market survey

**(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)

**AS A SECTION 8 ONLY AGENCY, THE SANTA ANA HOUSING AUTHORITY IS ONLY REQUIRED TO COMPLETE PARTS A, B, AND C(2) OF THIS SECTION.**

### **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.
  - **See Attachment 1.**
- A brief description of the management structure and organization of the PHA follows:

The Housing Authority of the City of Santa Ana is a department of the City of Santa Ana. The Authority does not operate as an independent agency but as a traditional municipal department.

The Santa Ana City Council acts as the Housing Authority's governing board. The City's Redevelopment and Housing Commission provides direct resident/tenant input on the policies and operations to the City Council. The Authority's director is the executive director of the City's Community Development Agency (the City agency in which the Authority is located). The City's Housing Manager supervises the day-to-day operations of the

Authority with the assistance of the Housing Authority Coordinator. The Housing Authority Coordinator is responsible for the day-to-day supervision of the Authority's 17 member staff. Staff is comprised of various supervisory, technical and support staff. A diagram outlining the Housing Authority's organization structure is provided in **Attachment 1**.

**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.)

Below is a list of the Federal programs administered by the Housing Authority of the City of Santa Ana. Information provided includes the number of families to be served at the beginning of the upcoming fiscal year, and the expected turnover in each program. "NA" is used to indicate that the Housing Authority of the City of Santa Ana does not operate the respective program.

<b>Program Name</b>	<b>Units or Families Served at Year Beginning</b>	<b>Expected Turnover</b>
Public Housing	NA	NA
Section 8 Vouchers	2,070	180
Section 8 Certificates <sup>3</sup>	0	0
Section 8 Mod Rehab <sup>4</sup>	0	0
Special Purpose Section 8 Certificates/Vouchers	NA	NA
Public Housing Drug Elimination Program (PHDEP)	NA	NA
Other Federal Programs	NA	NA

<sup>3</sup> Households receiving Section 8 Certificates will "turnover" to Section 8 Vouchers due to program merger that began in October 1999.

<sup>4</sup> Households receiving Section 8 Moderate Rehabilitation assistance will "turnover" to Section 8 Vouchers due to program merger that begin in October 1999.

### 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.

Below is a list of the Housing Authority of the City of Santa Ana's housing management and maintenance policy documents, manuals and handbooks that contain the Authority's rules, standards, and policies that govern maintenance and management of assisted housing units.

These documents include a description of measures necessary for the prevention or eradication of pest infestation (including cockroach infestation) and policies governing the management of the Section 8 program.

(1) Section 8 Management: (list below)

- HUD's "**Good Place To Live**" – this is a booklet that outlines HUD's Housing Quality Standards.
- **Section 8 Owners Manual** is provided to all property owners participating in the Section 8 program.
- All Santa Ana Housing Authority staff are certified Housing Inspectors (a certification obtained after completing the Nan McKay training program).

## **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**

**AS A SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING PART 6A OF THIS SECTION. PLEASE SKIP TO PART 6B OF THIS SECTION.**

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

If yes, list additions to federal requirements below:

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

### **B. Section 8 Tenant-Based Assistance**

1.  Yes  No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing

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procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)
- PHA main administrative office
    - 20 Civic Center Plaza, 2<sup>nd</sup> Floor, Santa Ana, CA.
  - 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.

**AS A SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING SECTION 7. PLEASE SKIP TO SECTION 8.**

### **A. Capital Fund Activities**

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

#### **(1) Capital Fund Program Annual Statement**

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

Select one:

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

-or-

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

**(2) Optional 5-Year Action Plan**

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

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

b. If yes to question a, select one:

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

-or-

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

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

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

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

b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- Revitalization Plan under development
- Revitalization Plan submitted, pending approval
- Revitalization Plan approved
- Activities pursuant to an approved Revitalization Plan underway

Yes  No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?

If yes, list development name/s below:

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

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

## **8. Demolition and Disposition**

[24 CFR Part 903.7 9 (h)]

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

**AS A SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING SECTION 8. PLEASE SKIP TO SECTION 9.**

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

2. Activity Description

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

<b>Demolition/Disposition Activity Description</b>	
1a. Development name:	
1b. Development (project) number:	
2. Activity type: Demolition <input type="checkbox"/>	
Disposition <input type="checkbox"/>	
3. Application status (select one)	

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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 & 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.

**AS A SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING SECTION 9. PLEASE SKIP TO SECTION 10.**

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

2. Activity Description

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

<b>Designation of Public Housing Activity Description</b>	
1a. Development name:	
1b. Development (project) number:	
2. Designation type:	
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: (DD/MM/YY)	
5. If approved, will this designation constitute a (select one)	
<input type="checkbox"/> New Designation Plan	
<input type="checkbox"/> Revision of a previously-approved Designation Plan?	
6. Number of units affected:	
7. Coverage of action (select one)	
<input type="checkbox"/> Part of the development	
<input type="checkbox"/> Total development	

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

[24 CFR Part 903.7 9 (j)]

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

**AS A SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING SECTION 10. PLEASE SKIP TO SECTION 11.**

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

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

#### 2. Activity Description

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

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

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

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

# **11. Homeownership Programs Administered by the PHA**

[24 CFR Part 903.7 9 (k)]

## **A. Public Housing**

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

**AS A SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING PART 11A OF THIS SECTION. PLEASE SKIP TO PART 11B OF THIS SECTION.**

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

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

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

### **B. Section 8 Tenant Based Assistance**

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

**NOTE:** Under very limited circumstances, the Housing Authority of the City of Santa Ana, will allow the Housing Assistance Payment (HAP) to be used as partial

payment toward a monthly mortgage payment provided the Section 8 client meets certain eligibility criteria. See the "eligibility" criteria below.

Down payment assistance **will not** be funded by Section 8 rental assistance payments.

FSS Escrow Funds may be used as a down payment toward the purchase of a home.

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:

Income  
Credit History  
Ability to pay for a down payment  
Relationship with a not-for-profit  
Mandatory homeownership counseling prior to acquisition

## **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.

**AS A SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING PART C OF THIS SECTION .**

### **A. PHA Coordination with the Welfare (TANF) Agency**

#### **1. Cooperative agreements:**

- Yes  No: Has the PHA has entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?  
If yes, what was the date that agreement was signed? **April 30, 2001.**

- ***The County of Orange Housing and Community Development Department received funding from the County of Orange Social Services Agency (SSA) through the CalWORKS Program. The County Housing and Community Development will be distributing \$562,500 of these funds to the Santa Ana Housing Authority. The SAHA will make these funds available to assist families/individuals who have been issued a Section 8 voucher and who meet CalWORKS eligibility criteria.***

***The \$562,000 of funding will enable the SAHA to offer unique services to CalWORKS participants when they are issued a Housing Choice Voucher. Program assistance can include payment of partial or full security deposit, utility deposits, and payment of up to \$600 each for the one-time purchase of a refrigerator and/or stove. The maximum amount a family would be eligible to receive is \$2,500.***

- ***The Housing Authority of the City of Santa Ana is a member of the local Workforce Investment Board. Additionally, the Authority has completed an MOU with the Santa Ana Work Center to ensure that an Authority staff person is on site at the Work Center.***
- ***The Housing Authority has a direct link with the Orange County Social Services Agency computer system. SAHA has established a “locked” computer and modem that is in a secure office in order to obtain verification of the TANF benefits from the Orange County Social Services Agency.***

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, if vouchers are available and awarded
- Joint administration of other demonstration program
- Other (describe)

- Enhanced coordination of programs between the Housing Authority of the City of Santa Ana and the Orange County SSA. Enhanced coordination includes the following:
  - SSA will provide certification of “Welfare To Work” status.
  - Coordination will serve to minimize duplication of benefits (e.g., resources for emergency assistance, auto repairs, books, etc.).

**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)
  - Opportunities for participants to attend credit counseling, life skills, and other self-reliance educational programs.

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. )

<b>Services and Programs</b>				
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)
Workforce Investment Board (WIB) located at the Santa Ana One Stop Center 1000 Santa Ana Boulevard, Santa Ana, CA. (The WIB is responsible for implementation of the Federal Workforce Investment Act.)	150	Open to all Section 8 participants - a priority for Family Self Sufficiency program participants	Housing Authority main office will provide referral to WIB	Section 8 participants

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

a. Participation Description

<b>Family Self Sufficiency (FSS) Participation</b>
--

Program	Required Number of Participants (start of FY 2002 Estimate)	Actual Number of Participants (As of: <b>04/01/01</b> )
Public Housing	NA	NA
Section 8	185	69

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

**C. Welfare Benefit Reductions**

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

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)  
***The Housing Authority has a direct link with the Orange County Social Services Agency computer system. SAHA has established a "locked" computer and modem that is in a secure office in order to obtain verification of the TANF benefits from the Orange County Social Services Agency.***

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

The SAHA in order to promote self-sufficiency to all of our Section 8 participants has:

- **Consumer Credit Counseling courses offered throughout the year.**
- **SSA contract for supportive services including assistance**

- **Resource Fair which will provide job information and life skills training.**
- **Work with local Neighborhood Housing Services to provide on-going homeownership counseling and assistance in preparing for homeownership.**
- **Have an active FSS program which continues to have successful graduates.**
- **Received IDEA funds from the Federal Home Loan Bank to match FSS escrow accounts.**
- **Formal agreements with housing service and life skill agencies to provide supportive services for disabled clients.**
- **Formal agreement with agency to provide special after-case services for homeless.**

## **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.

**AS A SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING SECTION 13. Please skip to Section 14.**

### **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 use to determine the need for PHA actions to improve safety of residents (select all that apply).

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

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

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

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

- Contracting with outside and/or resident organizations for the provision of crime-and/or drug-prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other (describe below)

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

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

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

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action

- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- Other activities (list below)

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

**D. Additional information as required by PHDEP/PHDEP Plan**

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

- 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 Filename: \_\_\_\_)

**14. RESERVED FOR PET POLICY**

[24 CFR Part 903.7 9 (n)]

## **15. Civil Rights Certifications**

[24 CFR Part 903.7 9 (o)]

Please see the enclosed Civil Rights Certifications, which are included in the “Housing Authority of the City of Santa Ana Plan Certifications of Compliance with 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?  
➤ The latest Fiscal Audit of the Housing Authority of the City of Santa Ana was completed June 30, 2000.
  
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.

**AS A SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING SECTION 17. PLEASE SKIP TO SECTION 18.**

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

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- 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 (CA093b01) **Attachment 2**
  - Provided below:
  
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:

*Changed the homeownership component of the Annual Plan to allow, under certain events, a Section 8 client to purchase a home and retain and apply the Housing Assistance Payment to the monthly mortgage payment.*

Other: (list below)

**Progress in FY 2000 – 2001:**

- *August 30, 2000. Hosted a Tenant Advisory Committee Meeting.*
- *January 1, 2001: Hosted a Tenant Advisory Committee Meeting (comments and recommendations attached).*
- *Scheduled Resource Fair for Spring 2002 to address informational, training and employment needs expressed by Tenant Advisory Board and Annual Survey.*

**NOTE:** Section 8 program participant and Tenant Advisory Board recommendations have been incorporated into this document as **Attachment 2**. The Housing Authority of the City of Santa Ana staff will address the recommendations listed in **Attachment 2**, and to the extent feasible, and if within the control of the Authority, suggestions will be incorporated into the actions of the Authority to address goals. **Attachment 2** also contains comments from individuals and families on the Section 8 Waiting List.

**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 (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:

- The Housing Authority if the City of Santa Ana is with the jurisdiction of the City of Santa Ana thus must be compliant with the City's Consolidated Plan. See **Attachment 3** for certification.

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.
- 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)
  - Expanding affordable housing opportunities for low- and very-low income households. Authority initiatives to be undertaken that support Consolidated Plan objectives include:
    - Rental assistance for low- and very-low income households experiencing housing problems (i.e., pay more than 30% of household income for rent and utilities).
    - Bonding authority as financial resource for preservation/expansion of affordable housing opportunities.
    - Use of rental assistance to assist with relocation of displaced households as a result of actions taken by the City's Community Development Agency.

- Assist with the elimination of impediments to fair housing choice by providing access to affordable housing, direct referrals, educational materials and training to Section 8 landlords and tenants.

Other: (list below)

3. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)
  - The City of Santa Ana 2000-2004 Consolidated Plan provides numerous actions and commitments to assist with the implementation of the Housing Authority of the City of Santa Ana's Agency Plan including:
    - Resources to implement the Analysis for Impediments to Fair Housing Choice.
    - Provide other public resources to leverage Housing Authority resources, e.g., resources for rehabilitation of properties occupied by Section 8 tenants, funds for potential home buyer assistance, and staff resources for the efficient and effective administration of assisted housing funds.

#### **D. Other Information Required by HUD**

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

- HUD requires that the Housing Authority provide a definition of a **"substantial deviation"** from its Agency Plan. For the purpose of this Agency Plan, a substantial deviation is defined as the elimination of an objective or activity identified in the one-year plan, unless deviation is a result of HUD regulatory requirements or lack of HUD resources.
- HUD requires that the Housing Authority provide a definition of a **"substantial amendment"** to its five-year and one-year Agency Plan. For the purpose of this Agency Plan, a substantial amendment is defined as a change resulting from any of the following actions:
  - Changes to rent or admissions policies or organization of waiting list, unless change results from HUD regulatory requirements.
- HUD requires that the Housing Authority provide a statement of its progress toward meeting its 5-year mission and goals. Since this is the first year of the Agency Plan, this statement is not applicable at this time. In future years this area will be utilized to discuss progress.

## **Attachments**

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

**Attachment 1** – Housing Authority of the City of Santa Ana Organizational Chart

**Attachment 2** – Recommendations of Resident Advisory Committee and the Housing Authority responses.

(Includes Section 8 program participants' survey, and survey to individuals and families on the Section 8 Waiting List.

**Attachment 3** – Required Certifications

**Attachment 4** – Proof of Publication

**Attachment 5** – Section 8 Homeownership Capacity Statement

**Attachment 6** – Progress Report: 5Year Plan

**Attachment 7** – Resident Membership of the PHA Governing Board

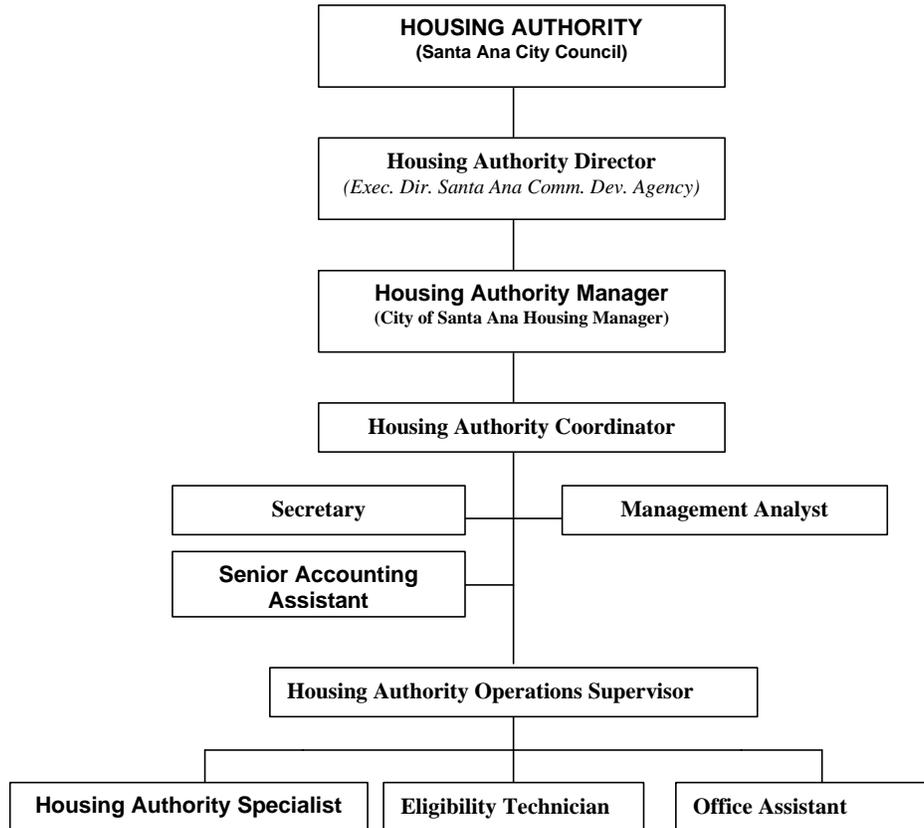
**Attachment 8** – Membership of the Resident Advisory Board

# Attachment 1

## SANTA ANA HOUSING AUTHORITY ORGANIZATIONAL CHART

**Attachment 1**

**HOUSING AUTHORITY OF THE CITY OF SANTA ANA  
ORGANIZATIONAL CHART**



# Attachment 2

RECOMMENDATIONS OF TENANT ADVISORY COMMITTEE  
AND  
HOUSING AUTHORITY RESPONSES



ANNUAL SURVEY RESULTS  
(INCLUDES SURVEY DISTRIBUTED TO 400 FAMILIES ON THE  
SECTION 8 WAITING LIST)

**Notes from Tenant Advisory Committee Meeting**  
**January 9, 2001**  
**6:00pm – 8:00pm**

**HOUSING AUTHORITY RESPONSE:**

In response to recommendations and points of concern of the Tenant Advisory Board and responses to the 2001 Annual Survey, the Santa Ana Housing Authority has implemented or undertaken the following:

- Will host a Resource Fair in August 2001. Fair will consist of “booths” from various community businesses or organizations and mini-workshops or seminars. The top 5 priority topics requested by Section 8 participants through the Annual Survey are: 1) utility bill assistance; 2) job opportunities; 3) homeownership; 4) resources for the elderly; and 5) medical assistance.
- Actively monitoring utility rate increases and will pursue increases to the utility allowance as appropriate.
- Entering into agreements with Consumer Credit Counseling and the Fair Housing Council to offer homeownership and credit counseling courses for Section 8 participants.
- Applied for IDEA funds through the Federal Home Loan Bank to augment Family Self-Sufficiency funds in the event an FSS graduate is qualified to purchase a residential unit.
- Featuring “spotlight” articles in the Tenant Newsletter and FSS marketing materials to highlight success stories of Section 8 tenants.
- Provided Neighborhood Association meeting information to all Section 8 participants.
- Featuring articles in the Tenant Newsletter regarding local activities for children and adults.
- Initiated a survey to determine level of interest in entrepreneurial training courses.

## Major Points or Points of Concern

- Ability to own a home was a major theme for each focus group.
- Check on Parks and Recreation flyers regarding free programs, etc. Flyers and information may not be getting to Section 8 tenants.
- Try to improve marketing success stories. Tenants interested in hearing how other people have been successful and become self-sufficient. Motivates them.

### English

- Concerned with getting training and education that would be immediate. 1- and 2-year training is too hard to finish because Section 8 participant cannot see immediate change in status.
- Committee member recommended that information be made available on how to enroll in high school or college in the United States. Many Section 8 participants have a diploma or training from their native land but they do not know the process for having the education or training endorsed/sanctioned by the United States.
- Would like classes or information on homeownership. How do go about trying to own a home, what it takes financially to own a home.
- Three components of getting off Section 8: Education, Job, and Good Health.
- Term limits should not be for everyone. Disabled and Elderly should be exempt.
- Why aren't incarcerated people given training while in prison so when they are released they have skills?
- Waiting List: Confusing where to apply and when preferences take into effect, etc. Maybe clean up waiting lists if people knew which housing authority to apply at.
- Need tenant newsletter more often.
- Would like to more success stories, especially under FSS.
- Would like more information about Neighborhood Associations.

- HA could do a better job advertising what's available for free in the city. Parks and Recreation flyers are not getting to tenants. Cultural events that are going on.
- How much money do I need to make to live on my own? Own my own home?
- Moving to a less expensive part of the country was not an option people thought about when asked what they would do if their section 8 housing was eliminated in x number of years.

#### **Spanish**

- Majority of questions were on home ownership.
- Is there anyway to buy a home through the city and that way the city gets money back?
- Purchasing homes important – renting is not stabilizing – owner can sell property anytime then where will they go?
- Owners sometimes want to sell home – how can we purchase the home?
- Loans for down payment?
- Need more information on:\
  - new construction grants
  - scholarships for kids
  - citizenship lessons,
  - ability to study at home; people sick or must stay at home because of disabled children.
- How can I do volunteer work? Who do you call?

#### **Vietnamese**

- Interested in a “buy to own” program for Section 8 tenants to become self-sufficient for family with ability to earn income. Would encourage work and also give a time limits (e.g. 10 years).
- Purchase low-income housing if available in area; with low mortgage payment and low interest rate or assist with down payment.
- Give more time on voucher; speed up paperwork processing to approve lease/contract.

**ANNUAL SURVEY RESULTS**  
**SURVEY CONDUCTED JANUARY 2001**

**At - A- Glance**

Total Surveys Returned	429 (19% of total distributed)	
Total Annual Surveys Returned	331 (18% of total distributed)	
Total Waiting List Surveys Returned	98 (25% of total distributed)	
Top 5 Resource Fair Workshops	Utility Bill Assistance (146 responses)	
	Job Opportunities (111 responses)	
	Home Ownership (108 responses)	
	Resources for Elderly (94 responses)	
	Medical Assistance (72 responses)	
Knowledge about the WORK Center?	YES	30%
	NO	61%
Knowledge of Local Preference?	YES	64%
	NO	28%
Age 62 and Older?	YES	33%
	NO	63%
If under 62 years of age, enrolled in specialized training?	YES	21%
	NO	72%
Are you working?	YES	40%
	NO	54%
If unemployed, want to work?	YES	16%
	NO	72%
Serve on Tenant Advisory Committee?	YES	18%
	NO	68%
Attend Resource Fair?	YES	70%

# Attachment 3

CONSISTENCY WITH CONSOLIDATED PLAN



COMPLIANCE WITH THE PHA PLANS AND  
RELATED REGULATIONS



CERTIFICATE FOR A DRUG-FREE WORKPLACE



CERTIFICATION OF PAYMENTS TO  
INFLUENCE FEDERAL TRANSACTIONS



DISCLOSURE OF LOBBYING ACTIVITIES

CONSISTENCY WITH CONSOLIDATED PLAN  
(DOCUMENT IN HARD COPY FOR ORIGINAL SIGNATURE)

CERTIFICATION OF COMPLIANCE WITH PHA PLANS AND  
RELATED REGULATIONS  
BOARD RESOLUTION TO ACCOMPANY PLAN  
(DOCUMENT IN HARD COPY FOR ORIGINAL SIGNATURE)

PAGE 2  
(SEE PREVIOUS PAGE)

PAGE 3  
(SEE PREVIOUS PAGE)

CERTIFICATE FOR A DRUG FREE WORKPLACE  
(DOCUMENT IN HARD COPY FOR ORIGINAL SIGNATURE)

CERTIFICATION OF PAYMENTS TO  
INFLUENCE FEDERAL TRANSACTIONS  
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# Attachment 4

PROOF OF PUBLICATION

Proof of Publication  
(Document in Hard Copy)

# Attachment 5

SECTION 8 HOMEOWNERSHIP PROGRAM  
CAPACITY STATEMENT

ORIGINAL DOCUMENT SENT IN HARD  
COPY WITH ORIGINAL SIGNATURE

# Section 8 Homeownership Capacity Statement

I, John P. Reekstin, the Executive Director of the Community Development Agency of the city of Santa Ana, certify that the Housing Authority of the city of Santa has the capacity to administer a Section 8 Voucher Homeownership Program and will employ the following provision:

“Establish a minimum homeowner downpayment requirement of at least three (3) percent and require that at least one (1) percent of the downpayment come from the family’s resources.”

and

“Requiring that financing for purchase of a home under its section 8 homeownership program will: be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards.”

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John P. Reekstin, Executive Director  
Community Development Agency  
City of Santa Ana

April 23, 2001  
Date

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# Attachment 6

PROGRESS REPORT: 5 YEAR PLAN

# Attachment 6

## Progress Report

### Five Year Plan

Activities completed or expected to be conducted\* between July 1, 2000 and June 30, 2001 that have lead to significant completion of the Five Year Goals are:

{\*Expected to be conducted: The update to the Annual Plan was developed March 1, 2001. This is four months before the end of the current fiscal year. This status report includes activities already completed or initiated and those that have an execution date between March 1 and June 30, 2001.}

- Summer 2000: The SAHA sent a copy of the city codes to all Section 8 owners. A comparison of city codes to HUD HQS is currently under review.
- August 30, 2000  
January 1, 2001 Hosted two Tenant Advisory Committee Meetings.
- October 2000: Conducted two Owner's Briefings which resulted in 33 owners attending. Respondents to a follow-up survey revealed that all respondents rated the briefings as "highly effective."
- October 2000: Hired a full-time staff member to actively pursue grant funding and build partnerships that would result in increased number of rental units for disabled individuals and families.
- November 2000: Extensive survey of all Section 8 owners to determine extent of interest to modify units to be accessible for disabled persons.
- January 2001: Applied for 500 Housing Choice Vouchers through the HUD Fair Share Funding Announcement dated December 13, 2000. Application pending approval.

- January 2001: The SAHA conducted a survey of all Section 8 clients to, among other things, determine what the SAHA can do to assist clients in becoming self-sufficient. Survey results have been compiled and feasible actions will be implemented during the next four years.
- February 2001: Agency fully supported special needs housing goal by including this objective in the city's Five Year Strategic Plan. In so doing, this action allows the Housing Authority full access to necessary staff and available city funds in order to meet stated goal.
- February 8, 2001 : Entered into MOU with CHRI to assist persons with developmental disabilities. CHRI will assist developmentally disabled persons in obtaining and maintaining their Section 8 rental voucher through one-on-one counseling. MOU includes deconcentration counseling.
- February 8, 2001 : Entered into MOU with Dayle McIntosh Center to assist persons with disabilities. DMS will assist disabled persons in obtaining and maintaining their Section 8 rental voucher through one-on-one counseling. MOU includes deconcentration counseling.
- February 8, 2001: A representative from the Fair Housing Council of Orange County presented a training session at the Santa Ana Housing Authority for all staff members. The training included an update on recent state and federal fair housing legislation and regulations and trends in Orange County housing discrimination. The training session included a lengthy question and answer session.
- March 2001: Requested (March 2000) that HUD allow an increase in the payment standard for tenants owning a mobile home and renting space to 120% of the fair market rent. Request pending HUD approval.
- March 2001: Three homeownership counseling programs identified.
- 1) Consumer Credit Counseling.
  - 2) Orange County Teacher's Federal Credit Union.
  - 3) Fair Housing Council of Orange County.

- March 2001: The SAHA included an information flyer in the Tenant Newsletter. The flyer contained information on all fifty-five neighborhood associations with the city of Santa Ana and directions on how to get more information about joining or attending an association meeting.
- March 1, 2001: Fair Market Rent set at 50<sup>th</sup> percentile as required by HUD rule dated October 2, 2000.
- April 2001: Awarded \$50,000 in IDEA funds from the Federal Home Loan Bank to augment Family Self-Sufficiency escrow accounts upon graduation and purchase of a home. IDEA funds match FSS escrow funds 1:1 up to \$10,000.
- Spring 2001: Because there has been an increased number of Section 8 clients interested in purchasing a home and because the rental rates in Orange County have increased dramatically to almost be equal with a mortgage payment (in certain circumstances), the SAHA will now consider allowing, on a very limited basis, a Section 8 client to purchase a home while retaining the monthly Housing Assistance Payment. The HAP will be used to pay a portion of the clients monthly mortgage payment. Efforts to initiate this program will begin in earnest in FY 2001.
- Spring 2001: Intense marketing campaign for the FSS Program under development. Expected launch of marketing efforts: May 2001.
- Spring 2001: Development of a draft MOU with the Vietnamese Community Center completed. During FY 2002, efforts will be taken to execute the MOU.
- On-going: Working very effectively to access Empowerment Zone funding to increase the number of rental units that are accessible for disabled persons. Have conducted research to determine the level of interest among owners of rental units to make such modifications. Partnered effectively with a not-for-profit to make application to the Empowerment Zone to access funds. If approved funds would be made available to owners to make modifications with stipulation that owner would accept Section 8 disabled clients and families. Application to Empowerment Zone pending submission and approval.

On-going:

The Santa Ana Housing Authority has made significant progress toward the completion of an "Auditor's Notebook." The Auditor's Notebook is a compilation of the fourteen SEMAP indicators detailing and documenting the SAHA operating procedures. Expected first audit is October 2001.

# **Attachment 7**

## **Resident Membership of the PHA Governing Board**

Name: Faustina Sotomeyer

Term: 2-year term

Method of Selection: Letter of Interest must be submitted followed by appointment

# Attachment 8

## Membership of the Resident Advisory Board

Sam Ath Chao
Alicia Salazar
Antonio Ponce
Aychell De Roux
Carlos E. Morales
Carlos Rodriguez
Carmen S. Vargas
Claudia Riewaldt
Dat Tien Nguyen
Diep N. Nguyen
Felicitas Munoz
Filiberto Gonzalez
Han Van Nguyen
Huy Ngoc Vu
Hy Duc Nguyen
Jesus Solis
Jim Watson
Luis M. Alcocer
Luyen Hoang
Maria A. Felix
Maria D. Garcia
Maria E. Bonilla
Maria E. Bonilla
Maria L. Lopez
Maria Sanchez
Martha Serrano
Muoi Van Nguyen
Rafaela Lopez
Ridel Chan Sambuo
Roxanna Mangili
Susan Euske

Teresa Perez
Truong T. Vu
Vui Cao

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and

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\_\_\_\_\_  
John P. Reekstin, Executive Director  
Community Development Agency  
City of Santa Ana

April 23, 2001  
Date