

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

Small PHA Plan Update
Annual Plan for Fiscal Year: 2002

Housing Authority of Mt. Sterling
P.O. Box 245, 335 Barnard Avenue
Mt. Sterling, KY 40353
Phone: 859-498-5592
Fax: 859-498-8906
E-mail: hams@kih.net

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

**PHA Plan
Agency Identification**

PHA Name: Housing Authority of Mt. Sterling, Kentucky

PHA Number: KY020

PHA Fiscal Year Beginning: (mm/yyyy) 01/2002

PHA Plan Contact Information:

Name: **Ron Clark**

Phone: **1-859-498-5592**

TDD: **1-800-648-6056**

Email (if available): **hams@kih.net**

Public Access to Information

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

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

Display Locations For PHA Plans and Supporting Documents

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

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

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

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

PHA Programs Administered:

- Public Housing and Section 8 Section 8 Only Public Housing Only

**Annual PHA Plan
Fiscal Year 2002**

[24 CFR Part 903.7]

i. Table of Contents

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

Contents	<u>Page #</u>
Annual Plan	
i. Annual Plan Information	1
ii. Executive Summary (optional)	2
iii. Table of Contents	
1. Description of Policy and Program Changes for the Upcoming Fiscal Year	9
2. Capital Improvement Needs	9
3. Demolition and Disposition	9
4. Homeownership: Voucher Homeownership Program	10
5. Crime and Safety: PHDEP Plan	11
6. Other Information:	
A. Resident Advisory Board Consultation Process	11
B. Statement of Consistency with Consolidated Plan	12
C. Criteria for Substantial Deviations and Significant Amendments	13
Attachments	
<input checked="" type="checkbox"/> Attachment <u>A</u> : Supporting Documents Available for Review	
<input checked="" type="checkbox"/> Attachment <u>A-1</u> : Capital Fund Program Annual Statement	
<input checked="" type="checkbox"/> Attachment <u>A-2</u> : Capital Fund Program 5 Year Action Plan	
<input type="checkbox"/> Attachment: Capital Fund Program Replacement Housing Factor Annual Statement	
<input type="checkbox"/> Attachment: Public Housing Drug Elimination Program (PHDEP) Plan	
<input checked="" type="checkbox"/> Attachment <u>A-4</u> : Resident Membership on PHA Board or Governing Body	
<input checked="" type="checkbox"/> Attachment <u>A-5</u> : Membership of Resident Advisory Board or Boards	
<input checked="" type="checkbox"/> Attachment <u>A-6</u> : Comments of Resident Advisory Board or Boards & Explanation of PHA Response (must be attached if not included in PHA Plan text)	
<input checked="" type="checkbox"/> Other (List below, providing each attachment name)	
Attachment <u>A-7</u> : Results of Voluntary Conversion Required Initial Assessments	
Attachment <u>A-8</u> : Results of Deconcentration and Income Mixing Assessments	
Attachment <u>A-9</u> : Performance & Evaluation Reports for all open modernization programs	

ii. Executive Summary

[24 CFR Part 903.7 9 (r)]

At PHA option, provide a brief overview of the information in the Annual Plan

MISSION STATEMENTS

HOUSING AUTHORITY OF MT. STERLING, KY

1. The mission of Housing Authority of Mt. Sterling is to promote adequate, affordable housing, economic opportunity, and a suitable living environment for the families we serve, without discrimination.
2. The Housing Authority of Mt. Sterling is committed to providing quality, affordable housing in a safe environment. Through partnerships with our residents and other groups we will provide opportunities for those we serve to become self-sufficient.
3. The mission of the Housing Authority of Mt. Sterling is to be the community's affordable housing of choice. We provide and maintain safe, quality housing in a cost-effective manner.
4. The Housing Authority of Mt. Sterling is committed to providing quality, affordable housing and services in an efficient manner.
5. The mission of the Housing Authority of Mt. Sterling is to serve the citizens of Mt. Sterling by:
 - Providing affordable housing opportunities in a safe environment.
 - Revitalizing and maintaining neighborhoods.
 - Forming effective partnerships to maximize social and economic opportunities.

The mission shall be accomplished by a fiscally responsible organization committed to excellence in public service.

1. Our mission is to provide quality housing to eligible people in a professional, fiscally prudent manner and be a positive force in our community by working with others to assist these families with appropriate supportive services.
2. The mission of the Housing Authority of Mt. Sterling is to assist low-income families with safe, decent, and affordable housing opportunities as they strive to achieve self-

sufficiency and improve the quality of their lives. The Housing Authority of Mt. Sterling is committed to operating in an efficient, ethical, and professional manner. The Housing Authority of Mt. Sterling will create and maintain partnerships with its clients and appropriate community agencies in order to accomplish this mission.

3. The mission of the Housing Authority of Mt. Sterling is to be the leader in making excellent affordable housing available for low and moderate-income persons through effective management and the wise stewardship of public funds. We will also partner with our residents and others to enhance the quality of life in our communities.
4. The Housing Authority of Mt. Sterling is committed to excellence in offering quality affordable housing options and opportunities for the residents of Mt. Sterling.
10. The Housing Authority of Mt. Sterling is committed to building better neighborhoods by providing comprehensive housing opportunities for qualified individuals and families through creative and professional service in partnership with the greater community.

GOALS AND OBJECTIVES

MANAGEMENT ISSUES

Goals

1. Manage the Housing Authority of Mt. Sterling's existing public housing program in an efficient and effective manner thereby qualifying as at least a standard performer.
2. Manage the Housing Authority of Mt. Sterling in a manner that results in full compliance with applicable statutes and regulations as defined by program audit findings.

Objectives

1. HUD shall recognize the Housing Authority of Mt. Sterling as a high performer by December 31, 2004.
2. The Housing Authority of Mt. Sterling shall make our public housing units more marketable to the community as evidenced by an increase in our waiting list to one that requires a three-month wait for housing by December 31, 2004.
3. By December 31, 2001, the Housing Authority of Mt. Sterling shall have a waiting list of sufficient size so we can fill our public housing units within 21 days of them becoming vacant.
4. The Housing Authority of Mt. Sterling shall increase the percentage of rents collected from 95% to 98% by December 31, 2002.

5. The Housing Authority of Mt. Sterling shall achieve and sustain an occupancy rate of 97% by December 31, 2004.
6. The Housing Authority of Mt. Sterling shall promote a motivating work environment with a capable and efficient team of employees to operate as a customer-friendly and fiscally prudent leader in the affordable housing industry.
7. The Housing Authority of Mt. Sterling shall implement its asset management plan no later than December 31, 2002.

EXPANSION OF THE STOCK ISSUES

Goals

1. Adapt the Housing Authority of Mt. Sterling's housing stock and program resources to more closely meet the housing needs and markets identified in our needs assessment.
2. Assist our community increase the availability of affordable, suitable housing for families in the very-low income range, cited as a need in our Consolidated Plan.

Objectives

1. The Housing Authority of Mt. Sterling shall assist five (5) families move from renting to homeownership by December 31, 2004.
2. The Housing Authority of Mt. Sterling shall develop four (4) units of housing for people with special needs by December 31, 2004.
3. The Housing Authority of Mt. Sterling shall build or acquire two (2) units for conversion to homeownership by December 31, 2004.
4. Locate at least two partners, non-profit or for-profit, locally or nationally-based. These partners will work with us on the acquisition, improvement and/or development of additional housing opportunities for this target group.

MARKETABILITY ISSUES

Goals

1. Enhance the marketability of the Housing Authority of Mt. Sterling's public housing units.

2. Make public housing the affordable housing of choice for the very low-income residents of our community.

Objectives

1. The Housing Authority of Mt. Sterling shall achieve a level of customer satisfaction that gives the agency the highest score possible in this element of the Public Housing Assessment System.
2. The Housing Authority of Mt. Sterling shall remove all graffiti within 24 hours of discovering it by December 31, 2001.
3. The Housing Authority of Mt. Sterling shall achieve proper curb appeal for its public housing developments by improving its landscaping, keeping its grass cut, making the properties litter-free and other actions by December 31, 2001.
4. The Housing Authority of Mt. Sterling shall become a more customer-oriented organization.

SECURITY ISSUES

Goals

1. Provide a safe and secure environment in the Housing Authority of Mt. Sterling's public housing developments.
2. Improve resident and community perception of safety and security in the Housing Authority of Mt. Sterling's public housing developments.

Objectives

1. The Housing Authority shall reduce crime in its developments by 50% by December 31, 2004.
2. The Housing Authority shall reduce crime in its developments so that the crime rate is less than their surrounding neighborhood by December 31, 2004.
3. The Housing Authority shall refine the memorandum of understanding between the jurisdiction's police force and this agency. The purpose of this is to better define the "edge problem" of crime that occurs near our developments and develop strategies for identifying and reducing this problem.
4. The Housing Authority shall reduce its evictions due to violations of criminal laws by

25% by December 31, 2004, through aggressive screening procedures.

5. The Housing Authority shall attract 15 police officers to live in its developments by December 31, 2004.

MAINTENANCE ISSUES

Goals

1. Maintain the Housing Authority of Mt. Sterling's real estate in a decent, safe and sanitary condition.
2. Deliver timely and high quality maintenance service to the residents of the Housing Authority of Mt. Sterling.

Objectives

1. The Housing Authority of Mt. Sterling shall have all of its units in compliance with the Housing Code by December 31, 2004.
2. The Housing Authority of Mt. Sterling shall revise and update its Preventative Maintenance plan by December 31, 2000.
3. The Housing Authority of Mt. Sterling shall create an appealing, up-to-date environment in its developments by December 31, 2004.
4. The Housing Authority of Mt. Sterling shall achieve and maintain an average response time of one (1) hour in responding to emergency work orders by December 31, 2000.
5. The Housing Authority of Mt. Sterling shall achieve and maintain an average response time of two (2) days in responding to routine work orders by December 31, 2000.

EQUAL OPPORTUNITY ISSUES

Goals

1. Use the resident-based assistance program to expand housing opportunities beyond areas of traditional low-income and minority concentration.
2. Operate the Housing Authority of Mt. Sterling in full compliance with all Equal Opportunity laws and regulations.
3. The Housing Authority of Mt. Sterling shall ensure equal treatment of all applicants,

residents, employees, and vendors.

Objectives

1. The Housing Authority of Mt. Sterling shall mix its public housing development populations as much as possible ethnically, racially, and income wise as much as possible.
2. The Housing Authority of Mt. Sterling shall achieve its Section 3 goals that it establishes annually.

FISCAL RESPONSIBILITY ISSUES

Goals

1. Ensure full compliance with all applicable standards and regulations including government generally accepted accounting practices.
2. Reduce dependency on federal funding.

Objectives

1. The Housing Authority of Mt. Sterling shall operate so that income exceeds expenses every year.
2. The Housing Authority of Mt. Sterling shall implement an effective anti-fraud program by December 31, 2000.
3. The Housing Authority of Mt. Sterling shall maintain its operating reserves of at least \$250,000.00 between now and December 31, 2004.
4. The Housing Authority of Mt. Sterling shall maintain its current level of operating costs for three (3) years despite inflation.
5. The Housing Authority of Mt. Sterling will reduce its dependence on HUD by raising \$20,000.00 from non-HUD sources by December 31, 2004.
6. The Housing Authority of Mt. Sterling shall raise funds from two (2) non-HUD sources by December 31, 2004.

PUBLIC IMAGE ISSUES

Goals

1. Enhance the image of public housing in our community.

Objectives

1. The Housing Authority shall ensure that there are at least two (2) positive stories a year in the local media about the Housing Authority of Mt. Sterling or one of its residents.
2. The Housing Authority of Mt. Sterling shall implement an outreach program to inform the community of what good managers of the public's dollars the Housing Authority is by December 31, 2001.

SUPPORTIVE SERVICE ISSUES

Goals

1. Improve access of public housing residents to services that support economic opportunity and quality of life.
2. Improve economic opportunity (self-sufficiency) for the families and individuals who reside in our housing.

Objectives

1. The Housing Authority of Mt. Sterling will implement one (1) new partnerships in order to enhance services to our residents by December 31, 2004.
2. All Housing Authority of Mt. Sterling residents will get off TANF in their allotted time period without a penalty.
3. The Housing Authority of Mt. Sterling shall ensure that at least one (1) supportive service opportunity is present for every public housing resident by December 31, 2004.
4. The Housing Authority of Mt. Sterling shall have effective, fully functioning resident organization by December 31, 2002.
5. The Housing Authority of Mt. Sterling shall assist 10 families voluntarily move from assisted to unassisted housing by December 31, 2004.
6. The Housing Authority of Mt. Sterling, working with its partners, shall ensure that 50% of its TANF residents are working or engaged in job training by December 31, 2001.

1. Summary of Policy or Program Changes for the Upcoming Year

In this section, briefly describe changes in policies or programs discussed in last year’s PHA Plan that are not covered in other sections of this Update.

Elimination of PHDEP will alter previous goals and objectives cited under this program area in last year’s annual plan and the PHA Five-Year Plan. With the signing of the FY 2002 HUD/VA Appropriations Act, drug elimination grants for low-income housing are not funded as a separate set aside through PHDEP. However, Congress has provided an 8.1 % increase over FY 2001 level for public housing operating fund account to reflect the merger of funds previously provided for PHDEP. While the Housing Authority of Mt. Sterling will no longer have the PHDEP funds to provide for reimbursement of law enforcement we will continue the program through the 8.1% operating funds increase.

2. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions: Section 8 only PHAs are not required to complete this component.

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

B. What is the amount of the PHA’s estimated or actual (if known) Capital Fund Program grant for the upcoming year? \$ **426,714.00**

C. Yes No Does the PHA plan to participate in the Capital Fund Program in the upcoming year? If yes, complete the rest of Component 7. If no, skip to next component.

D. Capital Fund Program Grant Submissions

(1) Capital Fund Program 5-Year Action Plan

The Capital Fund Program 5-Year Action Plan is provided as Attachment: **A-2**

(2) Capital Fund Program Annual Statement

The Capital Fund Program Annual Statement is provided as Attachment **A-1**

3. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

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

1. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C.

1437p)) in the plan Fiscal Year? (If “No”, skip to next component ; if “yes”, complete one activity description for each development.)

2. Activity Description **Not Applicable**

Demolition/Disposition Activity Description (Not including Activities Associated with HOPE VI or Conversion Activities)
1a. Development name: Not Applicable
1b. Development (project) number: Not Applicable
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. Number of units affected:
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Relocation resources (select all that apply) <input type="checkbox"/> Section 8 for units <input type="checkbox"/> Public housing for units <input type="checkbox"/> Preference for admission to other public housing or section 8 <input type="checkbox"/> Other housing for units (describe below)
8. Timeline for activity: a. Actual or projected start date of activity: b. Actual or projected start date of relocation activities: c. Projected end date of activity:

4. Voucher Homeownership Program

[24 CFR Part 903.7 9 (k)]

- A. 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 next component; if “yes”, describe each program using the table below (copy and complete questions for each program identified.)

B. Capacity of the PHA to Administer a Section 8 Homeownership Program: Not Applicable

The PHA has demonstrated its capacity to administer the program by (select all that apply):

- Establishing a minimum homeowner down payment requirement of at least 3 percent and requiring that at least 1 percent of the down payment comes from the family's resources
- Requiring that financing for purchase of a home under its section 8 homeownership 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
- Demonstrating that it has or will acquire other relevant experience (list PHA experience, or any other organization to be involved and its experience, below):

5. Safety and Crime Prevention: PHDEP Plan – No Longer Applicable

[24 CFR Part 903.7 (m)]

Exemptions Section 8 Only PHAs may skip to the next component PHAs eligible for PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

A. Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan? **However, PHDEP has been eliminated by Congress but the Housing Authority will continue to provide services to residents as a reduced level under this program utilizing PHA operating funds for the reimbursement of law enforcement.**

B. What is the amount of the PHA's estimated or actual (if known) PHDEP grant for the upcoming year?

C. Yes No Does the PHA plan to participate in the PHDEP in the upcoming year? If yes, answer question D. If no, skip to next component. **Unsure based upon fact PHDEP was terminated by Congress in November, 2001. Board of Commissioners has instructed Executive Director to continue the program at a reduced funding level activity utilizing operating funds to the greatest extent possible within the funds available.**

D. Yes No: The PHDEP Plan is attached at Attachment: **Not Applicable**

6. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board (RAB) Recommendations and PHA Response

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 Attached at Attachment (File name) **A-6: Resident Advisory Board Comments:**

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

- The PHA changed portions of the PHA Plan in response to comments
A list of these changes is included
 Yes No: below or
 Yes No: at the end of the RAB Comments in Attachment _____.
- Considered comments, but determined that no changes to the PHA Plan were necessary. An explanation of the PHA's consideration is included at the at the end of the RAB Comments in Attachment **A-6.**
- Other: (list below)

B. Statement of Consistency with the Consolidated Plan

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

1. Consolidated Plan jurisdiction: **Commonwealth of Kentucky**

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

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with specific initiatives contained in the Consolidated Plan. (list such initiatives below)
- Other: (list below)

3. PHA Requests for support from the Consolidated Plan Agency

- Yes No: Does the PHA request financial or other support from the State or local government agency in order to meet the needs of its public housing residents or inventory? If yes, please list the 5 most important requests below:

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

From the 2000-2001 Interim Consolidated Plan for Kentucky:

Federal statutes governing these programs communicate three basic goals by which HUD evaluates performance under the plan. This Consolidated Plan announces Kentucky's strategy for pursuing these goals, which are:

1. DECENT HOUSING

- Helping homeless persons obtain affordable housing;
- Assisting persons at risk of becoming homeless;
- Retaining affordable housing stock;
- Increasing the availability of affordable permanent housing in standard condition to low-income families, particularly to members of disadvantaged minorities without discrimination on the basis of race, color, religion, sex, national origin, familial status or disability;
- Increasing the supply of supportive housing which includes structural features and services to enable persons with special needs to live in dignity and independence; and
- Providing affordable housing that is accessible to job opportunities.

2. A SUITABLE LIVING ENVIRONMENT

- improving the safety and livability of neighborhoods;
- Increasing access to quality public and private facilities and services;
- Reducing the isolation of income groups within areas through spatial deconcentration of housing opportunities for lower income persons and the revitalization of deteriorating neighborhoods;
- Restoring and preserving properties of special historic, architectural or aesthetic value; and
- Conserving energy resources.

3. EXPANDED ECONOMIC OPPORTUNITIES

- Job creation and retention;
- Establishment, stabilization and expansion of small businesses, including micro businesses;
- Provision of public services concerned with employment;
- Provision of jobs to low-income persons living in those areas affected by those programs and activities, or jobs resulting from carrying out activities under programs covered by the plan;
- Availability of mortgage financing for low income persons at reasonable rates using non-discriminatory lending practices;
- Access to capital and credit for development activities that promote the long-term economic and social viability of communities; and
- Empowerment and self-sufficiency for low income persons to reduce generational poverty in federally assisted housing and public housing.

A. Criteria for Substantial Deviation and Significant Amendments:

Not Applicable

1. Amendment and Deviation Definitions

24 CFR Part 903.7(r)

PHAs are required to define and adopt their own standards of substantial deviation from the 5-year Plan and Significant Amendment to the Annual Plan. The definition of significant amendment is important because it defines when the PHA will subject a change to the policies or activities described in the Annual Plan to full public hearing and HUD review before implementation.

A. Substantial Deviation from the 5-year Plan: No substantial deviation proposed.

B. Significant Amendment or Modification to the Annual Plan: No significant amendment or modification to PHA Annual Plan proposed.

Definition of Significant Amendment or Modification: The Housing Authority of Mt. Sterling has determined that significant amendment or modification includes the following:

- a. The addition of any non-emergency work item(s) that are not currently included in the current Annual Statement or in the Five-Year Plan of the Authority;**
- b. Any change in the use of replacement funds under the Capital Fund;**
- c. Any change with regard to demolition or disposition, unit designation, homeownership program, or conversion activities.**

Exceptions to this definition will be made for any of the above that are adopted to reflect changes in HUD requirements.

Attachment A Supporting Documents Available for Review

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan (not required for this update)	5 Year and Annual Plans
X	Fair Housing Documentation Supporting Fair Housing Certifications: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
X	Housing Needs Statement of the Consolidated Plan for the jurisdiction/s in which the PHA is located and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O/ACOP), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Any policy governing occupancy of Police Officers in Public Housing <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Eligibility, Selection, and Admissions Policies
N/A	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the method for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
X	Schedule of flat rents offered at each public housing development <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
N/A	Section 8 rent determination (payment standard) policies <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
X	Results of latest binding Public Housing Assessment System (PHAS) Assessment	Annual Plan: Management and Operations
X	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary)	Annual Plan: Operations and Maintenance and Community Service & Self-Sufficiency
N/A	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
N/A	Any required policies governing any Section 8 special housing types <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
N/A	Section 8 informal review and hearing procedures <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for any active grant year	Annual Plan: Capital Needs
X	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants	Annual Plan: Capital Needs
N/A	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans, or any other approved proposal for development of public housing	Annual Plan: Capital Needs
X	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing §504 of the Rehabilitation Act and the Americans with Disabilities Act. See, PIH 99-52 (HA).	Annual Plan: Capital Needs
N/A	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
N/A	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
N/A	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act, Section 22 of the US Housing Act of 1937, or Section 33 of the US Housing Act of 1937	Annual Plan: Conversion of Public Housing
N/A	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program (section _____ of the Section 8 Administrative Plan)	Annual Plan: Homeownership
X	Cooperation agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies	Annual Plan: Community Service & Self-Sufficiency
N/A	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Section 3 documentation required by 24 CFR Part 135, Subpart E	Annual Plan: Community Service & Self-Sufficiency
N/A	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
X	The most recent Public Housing Drug Elimination Program (PHEDEP) semi-annual performance report	Annual Plan: Safety and Crime Prevention
X	PHDEP-related documentation: <ul style="list-style-type: none"> · Baseline law enforcement services for public housing developments assisted under the PHDEP plan; · Consortium agreement/s between the PHAs participating in the consortium and a copy of the payment agreement between the consortium and HUD (applicable only to PHAs participating in a consortium as specified under 24 CFR 761.15); · Partnership agreements (indicating specific leveraged support) with agencies/organizations providing funding, services or other in-kind resources for PHDEP-funded activities; · Coordination with other law enforcement efforts; · Written agreement(s) with local law enforcement agencies (receiving any PHDEP funds); and · All crime statistics and other relevant data (including Part I and specified Part II crimes) that establish need for the public housing sites assisted under the PHDEP Plan. 	Annual Plan: Safety and Crime Prevention

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G) <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Pet Policy
X	The results of the most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U. S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
N/A	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
N/A	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

CAPITAL FUND PROGRAM TABLES START HERE

Annual Statement/Performance and Evaluation Report					
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary					
PHA Name: Housing Authority of Mt. Sterling		Grant Type and Number Capital Fund Program Grant No: KY36P020501-02 Replacement Housing Factor Grant No:			Federal FY of Grant: FY 2002
<input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	\$42,671.00			
3	1408 Management Improvements				
4	1410 Administration	\$4,240.00			
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$38,400.00			
8	1440 Site Acquisition				
9	1450 Site Improvement	\$10,000.00			
10	1460 Dwelling Structures	\$309,540.00			
11	1465.1 Dwelling Equipment—Nonexpendable	\$21,859.00			
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				

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

PHA Name: Housing Authority of Mt. Sterling	Grant Type and Number Capital Fund Program Grant No: KY36P020501-02 Replacement Housing Factor Grant No:	Federal FY of Grant: FY 2002
--	--	---

Original Annual Statement Reserve for Disasters/ Emergencies Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collaterization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	\$426,710.00			
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures	\$45,000.00			

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Housing Authority of Mt. Sterling			Grant Type and Number Capital Fund Program Grant No: KY36P020501-02 Replacement Housing Factor Grant No:			Federal FY of Grant: FY 2002		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide	Operations	1406		\$42,670				
HA-Wide	Administration	1410		\$4,240				
HA-Wide	Fees and Costs	1430		\$38,400				
KY20-1	Complete new electrical service	1460	60 units	\$75,500				
KY20-4	Complete new electrical service	1460	60 units	\$60,000				
KY20-4	Replacement of water heaters	1460	60 units	\$18,000				
KY20-2	Replacement of vinyl floor tile	1460	12 units	\$14,000				
KY20-4	Replacement of through-wall furnaces	1460	30 units	\$24,000				
KY20-5	Kitchen upgrade	1460	40 units	\$60,000				
KY20-5	Replace carpet/base	1460	2100 yds	\$33,000				
KY20-5	Replacement of light fixtures	1460	40 units	\$9,000				
KY20-5	Replace trash compactor system	1460	1 LS	\$32,900				
KY20-5	Upgrade emergency lighting system	1460	20 ea.	\$5,000				
KY20-4	Add new parking area – Brooks Ave.	1450	1 LS	\$10,000				

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part III: Implementation Schedule							
PHA Name: Housing Authority of Mt. Sterling		Grant Type and Number Capital Fund Program No: KY36P020501-02 Replacement Housing Factor No:				Federal FY of Grant: FY 2002	
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
HA-Wide	06/30/02			03/31/03			
HA-Wide	06/30/02			03/31/03			
HA-Wide	06/30/02			03/31/03			
KY20-1	06/30/02			03/31/03			
KY20-4	06/30/02			03/31/03			
KY20-4	06/30/02			03/31/03			
KY20-2	06/30/02			03/31/03			
KY20-4	06/30/02			03/31/03			
KY20-5	06/30/02			03/31/03			
KY20-5	06/30/02			03/31/03			
KY20-5	06/30/02			03/31/03			
KY20-5	06/30/02			03/31/03			
KY20-5	06/30/02			03/31/03			
KY20-5	06/30/02			03/31/03			
KY20-4	06/30/02			03/31/03			

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name Housing Authority of Mt. Sterling				<input checked="" type="checkbox"/> Original 5-Year <input type="checkbox"/> Revision No:
Development Number/Name/HA- Wide	Year 1	Work Statement for Year 2 FFY Grant: KY36P020501-03 PHA FY: FY 2003	Work Statement for Year 3 FFY Grant: KY36P020501-04 PHA FY: FY 2004	Work Statement for Year 4 FFY Grant: KY36P020501-05 PHA FY: FY 2005
	Annual Statement			
1. KY20-1		\$150,000.00	\$0.00	
2. KY20-2		\$60,850.00	\$0.00	
3. KY20-3		\$13,800.00	\$0.00	
4. KY20-4		\$164,000.00	\$0.00	
5. KY20-5		\$0.00	\$0.00	
6. KY20-8		\$4,000.00	\$16,500.00	
HA-Wide		\$0.00	626,500.00	
HA-Wide		\$84,000.00	\$84,000.00	
CFP Funds Listed for 5-year planning		\$476,650.00	\$727,000.00	
Replacement Housing Factor Funds				

Required Attachment A-4: Resident Member on the PHA Governing Board

1. Yes No: Does the PHA governing board include at least one member who is directly assisted by the PHA this year? (if no, skip to #2)

A. Name of resident member(s) on the governing board: **Ms. Lurie Wills**

B. How was the resident board member selected: (select one)?

- Elected
 Appointed

C. The term of appointment is (include the date term expires): **April 3, 2004**

2. A. If the PHA governing board does not have at least one member who is directly assisted by the PHA, why not? – **Not Applicable**

- the PHA is located in a State that requires the members of a governing board to be salaried and serve on a full time basis
 the PHA has less than 300 public housing units, has provided reasonable notice to the resident advisory board of the opportunity to serve on the governing board, and has not been notified by any resident of their interest to participate in the Board.
 Other (explain):

B. Date of next term expiration of a governing board member: **April 3, 2002**

C. Name and title of appointing official(s) for governing board (indicate appointing official for the next position):

**Honorable Gary Williamson, Mayor
City of Mt. Sterling, KY**

Required Attachment A-5: Membership of the Resident Advisory Board or Boards

List members of the Resident Advisory Board or Boards: (If the list would be unreasonably long, list organizations represented or otherwise provide a description sufficient to identify how members are chosen.)

	<u>Name</u>	<u>Development</u>
1.	Ms. Minnie Donaldson	Estill Terrace
2.	Ms. Phyllis Cornwell	Manual Tipton Court
3.	Ms. Betty Tipton	Whitledge Heights
4.	Ms. Pam Henderson	Whitledge Heights Addition
5.	Ms. Lurie Wills	Mary Ray Trimble Apts. (Barnard Ave.)

Attachment A-6: Comments of Resident Advisory Board or Boards & Explanation of PHA Response:

Resident comments received from PHA residents during the 45-day review period.

1. Several residents from four (4) different developments requested we add street lights to increase security. Through PHDEP KY36DEP0200199 we were able to add certain physical improvements to increase safety and security in our neighborhoods. One such improvement completed right after the comments were received was the addition of ten (10) new street lights and the re-focusing of four (4) existing directional lights.
2. Several residents from KY 20-1, Estill Terrace requested the addition of exterior storage buildings attached to their apartments. We have had our A & E firm research this and due to the very excessive cost associated with compliance with fire and building codes we have abandoned this idea for the current time. We have allowed the erection of small detached storage structures by any resident who so desires outside storage. To date no resident has chosen to do this.
3. A total of fifteen (15) residents of Brooks Avenue (Whitledge Heights Addition) have requested that we develop a plan to increase the number of parking places in this development. Lack of parking in this development has been a problem for the last few years and we concur with the resident's request. Costs associated with this should be fairly low based upon the current configuration of the street. We have directed our A & E firm to develop a plan and cost estimates for the addition of 8 to 10 additional parking places. If this is determined to be feasible we will amend the current plan and include this project in our Capital Fund budget for next FY.
4. Several residents from Estill Terrace have requested that we clear out the dense vegetation in the fence line along the rear of the neighborhood since it provides a place for possible criminal activity. Through PHDEP KY36DEP0200199 we were able to add certain physical improvements to increase safety and security in our neighborhoods. One such improvement completed right after the comments were received was the clearing and grubbing of this area and the installation of new 6 ft. chain link fencing.

Attachment A-7: Results of Voluntary Conversion Required Initial Assessments

Ms. Carol C. Spencer
U.S. Department of HUD
601 West Broadway, Room 110
Louisville, KY 40202

RE: Voluntary Conversion

Dear Ms. Spencer:

As per HUD published final rule on “Voluntary Conversion of Developments from Public Housing Stock; Required Initial Assessments”, please note the following:

The Housing Authority of Mt. Sterling certifies that it has reviewed each covered development’s operation as public housing; considered the implications of converting the public housing to tenant-based assistance; and concluded that the conversion of our developments is inappropriate because removal of the developments would not meet the following necessary conditions for voluntary conversion.

In determining our developments appropriateness for conversion the Housing Authority of Mt. Sterling has concluded that the developments do not meet the following tests:

1. conversion would not be more expensive than continuing to operate the developments as public housing.
2. conversion would principally benefit residents of the public housing developments to be converted and the community; and
3. conversion would not adversely affect the availability of affordable housing in the community.

We understand that this required initial assessment is a non-binding evaluation of the appropriateness of voluntary conversion for each property. The Housing Authority of Mt. Sterling shall retain and have available for public review a brief narrative description to document out reasoning with respect to each covered development.

Component 10 (B) Voluntary Conversion Initial Assessments

- a) **How many of the Housing of Mt. Sterling’s developments are subject to the Required Initial Assessment?** The following non-elderly designated developments are subject to the Required Initial Assessment;

1. **KY020-001: Estill Terrace: 60 Dwelling Units**
2. **KY020-002: Manual Tipton Court: 18 Dwelling Units**
3. **KY020-003: Whitledge Heights: 41 Dwelling Units**
4. **KY020-004: Whitledge Heights Addition: 60 Dwelling Units**
5. **KY020-008: Scattered Site Units: 6 Dwelling Units**

- a) **How many of the Housing Authority of Mt. Sterling’s development’s are not subject to the Required Initial Assessments based upon exemptions?** Project KY020-005, the Mary Ray Trimble Apartments was determined to be exempt from the Required Initial Assessment since it is an elderly/disabled designated development.
- c) **How many assessments were conducted for the housing of Mt. Sterling’s covered developments?** One per development.
- d) **Identify PHA developments that may be appropriate for conversion based on the Required Initial Assessment:**

Development Name	Number of Units
No developments identified for conversion	N/A

The information contained herein will be included as an attachment to the PHA Plan template.

While there was not a great deal of information available on this process of Voluntary Conversion we have made an attempt to fully comply with the requirements of the Final Rule. If additional information is required please let us know as soon as possible. Thank you for your continued assistance to the Housing Authority of Mt. Sterling.

Sincerely,

HOUSING AUTHORITY OF MT. STERLING

Ron Clark

Ron Clark, Executive Director

Attachment A-8: Results of Deconcentration and Income Mixing Assessments

Analysis Based On Bedroom Adjustment Factor:

Covered Development	Adjustment Factor	Development Avg. Income	% of Average Income	% of Median Family Income	Exempt
KY20-001	1.06	\$9,863	95%	26%	Y
KY20-002	0.97	\$8,155	79%	21%	Y
KY20-003	0.98	\$11,326	109%	30%	Y
KY20-004	0.94	\$11,462	111%	30%	Y
KY20-005	0.85	\$9,096	88%	24%	Y
KY20-008	1.25	\$10,472	101%	27%	Y
PHA-wide Adjustment Factor	0.96				
PHA-wide Adjusted Average Income	\$10,346.00				

Median Family Income: \$38,200.00

Please Note: That all calculations utilized in the above analysis are on file with the Annual Plan Update for the Housing Authority of Mt. Sterling, KY at the central office of the Authority.

Attachment A-9: Performance & Evaluation Reports for all open modernization programs

Annual Statement/Performance and Evaluation Report					
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary					
PHA Name: Housing Authority of Mt. Sterling		Grant Type and Number Capital Fund Program Grant No: KY36P020909-99 Replacement Housing Factor Grant No:		Federal FY of Grant: FY 1999	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: June 30, 2001 <input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	\$38,720.00		\$38,720.00	\$38,720.00
3	1408 Management Improvements				
4	1410 Administration	\$2,000.00		\$2,000.00	\$409.44
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$38,700.00		\$38,700.00	\$28,597.00
8	1440 Site Acquisition				
9	1450 Site Improvement	\$147,145.00		\$147,145.00	\$0.00
10	1460 Dwelling Structures	\$99,300.00		\$99,300.00	\$0.00
11	1465.1 Dwelling Equipment—Nonexpendable	\$22,600.00		\$0.00	\$0.00
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment	\$38,730.00		\$0.00	\$0.00
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				

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

PHA Name: Housing Authority of Mt. Sterling	Grant Type and Number Capital Fund Program Grant No: KY36P020909-99 Replacement Housing Factor Grant No:	Federal FY of Grant: FY 1999
--	--	---

Original Annual Statement Reserve for Disasters/ Emergencies Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: June 30, 2001 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
21	Amount of Annual Grant: (sum of lines 2 – 20)	\$387,195.00		\$325,865.00	\$67,726.44
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures	\$22,600.00		\$0.00	\$0.00

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

PHA Name: Housing Authority of Mt. Sterling		Grant Type and Number Capital Fund Program Grant No: KY36P020909-99 Replacement Housing Factor Grant No:			Federal FY of Grant: FY 1999			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide	Operations	1406		\$38,720		\$38,720.00	\$38,720	Ongoing
HA-Wide	Administration	1410		\$2,000		\$2,000.00	\$409.44	Ongoing
HA-Wide	Fees and Costs	1430		\$38,700		\$38,700.00	\$28,597.00	Ongoing
KY20-1	Replace galvanized water lines	1450	60 units	\$38,980		\$38,980.00	\$0.00	Pending
KY20-1	Replace broken sewer lines	1450	60 units	\$75,508		\$75,508.00	\$0.00	Pending
KY20-1	Replace broken sidewalks, ramps, etc.	1450	60 units	\$8,000		\$8,000.00	\$0.00	Pending
KY20-2	Replace broken sidewalks, ramps, etc.	1450	18 units	\$8,657		\$8,657.00	\$0.00	Pending
KY20-3	Replace broken sidewalks, ramps, etc.	1450	41 units	\$8,000		\$8,000.00	\$0.00	Pending
KY20-4	Replace broken sidewalks, ramps, etc.	1450	30 units	\$8,000		\$8,000.00	\$0.00	Pending
KY20-4	Replace entry and screen doors	1460	60 units	\$46,800		\$46,800.00	\$0.00	Pending
KY20-4	Install vinyl siding, gutters,	1460	60 units	\$52,500		\$52,500.00	\$0.00	Pending
HA-Wide	Stoves, refrigerators	1465		\$22,600		\$0.00	\$0.00	Pending
HA-Wide	Replace 2, 16 year old trucks	1475		\$38,730		\$0.00	\$0.00	Pending

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part III: Implementation Schedule							
PHA Name: Housing Authority of Mt. Sterling		Grant Type and Number Capital Fund Program No: KYP020909-99 Replacement Housing Factor No:				Federal FY of Grant: FY 1999	
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
Operations		09/30/01			09/30/02		
Administration		09/30/01			09/30/02		
Fees and Costs		09/30/01			12/31/01		
Replace galvanized water lines		09/30/01			09/30/02		
Replace broken sewer lines		09/30/01			12/31/01		
Replace broken sidewalks, ramps, etc.		09/30/01			12/31/01		
Replace broken sidewalks, ramps, etc.		09/30/01			12/31/01		
Replace broken sidewalks, ramps, etc.		09/30/01			12/31/01		
Replace broken sidewalks, ramps, etc.		09/30/01			12/31/01		
Replace entry and screen doors		09/30/01			09/30/02		
Install vinyl siding, gutters,		09/30/01			12/31/01		
Stoves, refrigerators		03/31/02			03/31/02		
Replace 2, 16 year old trucks		03/31/02			03/31/02		

Annual Statement/Performance and Evaluation Report						
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary						
PHA Name: Housing Authority of Mt. Sterling		Grant Type and Number Capital Fund Program Grant No: KY36P020501-00 Replacement Housing Factor Grant No:			Federal FY of Grant: FY 2000	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: June 30, 2001 <input type="checkbox"/> Final Performance and Evaluation Report						
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost		
		Original	Revised	Obligated	Expended	
1	Total non-CFP Funds					
2	1406 Operations	\$41,821.00		\$41,821.00	\$41,821.00	
3	1408 Management Improvements					
4	1410 Administration	\$20,910.00		\$20,910.00	\$0.00	
5	1411 Audit					
6	1415 Liquidated Damages					
7	1430 Fees and Costs	\$20,910.00		\$20,910.00	\$0.00	
8	1440 Site Acquisition					
9	1450 Site Improvement	\$52,500.00		\$52,500.00	\$0.00	
10	1460 Dwelling Structures	\$175,500.00		\$175,500.00	\$0.00	
11	1465.1 Dwelling Equipment—Nonexpendable	\$32,500.00		\$0.00	\$0.00	
12	1470 Nondwelling Structures	\$32,255.00		\$0.00	\$0.00	
13	1475 Nondwelling Equipment	\$41,820.00		\$0.00	\$0.00	
14	1485 Demolition					
15	1490 Replacement Reserve					
16	1492 Moving to Work Demonstration					
17	1495.1 Relocation Costs					

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

PHA Name: Housing Authority of Mt. Sterling	Grant Type and Number Capital Fund Program Grant No: KY36P020501-00 Replacement Housing Factor Grant No:	Federal FY of Grant: FY 2000
--	--	---

Original Annual Statement Reserve for Disasters/ Emergencies Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: June 30, 2001 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
18	1499 Development Activities				
19	1501 Collaterization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	\$418,216.00		\$311,641.00	\$41,821.00
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures	\$0.00		\$0.00	\$0.00

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Housing Authority of Mt. Sterling			Grant Type and Number Capital Fund Program Grant No: KY36P020501-00 Replacement Housing Factor Grant No:			Federal FY of Grant: FY 2000		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide	Operations	1406		\$41,821		\$41,821.00	\$41,821.00	Ongoing
HA-Wide	Administration	1410		\$20,910		\$21,910.00	\$0.00	Pending
HA-Wide	Fees and Costs	1430		\$20,910		\$20,910.00	\$0.00	Ongoing
KY20-1	Replace concrete driveway, sidewalks, curbs, install appropriate concrete steps w/ handrails	1450	7 units	\$28,500		\$38,980.00	\$0.00	Pending
KY20-1	Clear and grub border fencing area	1450	1 LS	\$24,000		\$75,508.00	\$0.00	Pending
KY20-1	Concrete porch repairs	1460	1 LS	\$5,000		\$8,000.00	\$0.00	Pending
KY20-1	Renovation/upgrade maint. bldg	1470	1 LS	\$32,255		\$8,657.00	\$0.00	Pending
KY20-2	Replace screen doors	1460	33 each	\$9,000		\$8,000.00	\$0.00	Pending
KY20-4	Replace soffits, fascia, siding (909)	1460	60 units	\$23,500		\$8,000.00	\$0.00	Pending
KY20-4	Replace all guttering, downspouts	1460	60 units	\$33,000		\$46,800.00	\$0.00	Pending
KY20-4	Replace screen doors	1460	60 units	\$15,000		\$52,500.00	\$0.00	Pending
KY20-4	Bathroom upgrades	1460	60 units	\$90,000		\$0.00	\$0.00	Pending
HA-Wide	Ranges, refrigerators	1465		\$32,500		\$0.00	\$0.00	Pending
HA-Wide	Mowing equipment, tractor, backhoe	1475		\$41,820		\$0.00	\$0.00	Pending

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Housing Authority of Mt. Sterling			Grant Type and Number Capital Fund Program Grant No: KY36P020501-00 Replacement Housing Factor Grant No:			Federal FY of Grant: FY 2000		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part III: Implementation Schedule								
PHA Name: Housing Authority of Mt. Sterling			Grant Type and Number Capital Fund Program No: KYP020501-00 Replacement Housing Factor No:			Federal FY of Grant: FY 2000		
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates	
	Original	Revised	Actual	Original	Revised	Actual		

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part III: Implementation Schedule

PHA Name: Housing Authority of Mt. Sterling	Grant Type and Number Capital Fund Program No: KYP020501-00 Replacement Housing Factor No:	Federal FY of Grant: FY 2000
---	---	-------------------------------------

Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
Operations		06/30/01			09/30/02		Longer to get A/E work completed than anticipated
Administration		06/30/01			09/30/02		Longer to get A/E work completed than anticipated
Fees and Costs		06/30/01			09/30/02		Longer to get A/E work completed than anticipated
Replace concrete driveways, sidewalks, curbs, install appropriate concrete steps w/handrails		09/30/01			09/30/02		Longer to get A/E work completed than anticipated
Clear & grub border fending areas		09/30/01			09/30/02		Longer to get A/E work completed than anticipated
Concrete porch repairs		09/30/01			09/30/02		Longer to get A/E work completed than anticipated
Upgrade maint. Bldg.		09/30/01			09/30/02		Longer to get A/E work completed than anticipated
Replace screen doors		09/30/01			09/30/02		Longer to get A/E work completed than anticipated
Replace soffits, fascia, siding		09/30/01			09/30/02		Longer to get A/E work completed than anticipated
Replace guttering, etc.		09/30/01			09/30/02		Longer to get A/E work completed than anticipated
Replace screen doors		09/30/01			09/30/02		Longer to get A/E work completed than anticipated
Bathroom upgrades		09/30/01			09/30/02		Longer to get A/E work completed than anticipated
Ranges, refrigerators		06/30/02			09/30/02		Longer to get A/E work completed than anticipated
Moving equip. tractor		06/30/02			09/30/02		Longer to get A/E work completed than anticipated
							Longer to get A/E work completed than anticipated

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

PHA Name: Housing Authority of Mt. Sterling	Grant Type and Number Capital Fund Program Grant No: KY36P020501-01 Replacement Housing Factor Grant No:	Federal FY of Grant: FY 2001
--	--	---

Original Annual Statement Reserve for Disasters/ Emergencies Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: June 30, 2001 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	\$42,670.00		\$0.00	\$0.00
3	1408 Management Improvements				
4	1410 Administration	\$2,500.00		\$0.00	\$0.00
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$40,000.00		\$0.00	\$0.00
8	1440 Site Acquisition				
9	1450 Site Improvement	\$17,000.00		\$0.00	\$0.00
10	1460 Dwelling Structures	\$324,544.00		\$0.00	\$0.00
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	\$426,714.00		\$0.00	\$0.00

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

PHA Name: Housing Authority of Mt. Sterling	Grant Type and Number Capital Fund Program Grant No: KY36P020501-01 Replacement Housing Factor Grant No:	Federal FY of Grant: FY 2001
--	--	---

Original Annual Statement
 Reserve for Disasters/ Emergencies
 Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: June 30, 2001
 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures	\$52,500.00		\$0.00	\$0.00

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Housing Authority of Mt. Sterling			Grant Type and Number Capital Fund Program Grant No: KY36P020501-01 Replacement Housing Factor Grant No:			Federal FY of Grant: FY 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide	Operations	1406		\$42,670		\$0.00	\$0.00	Ongoing
HA-Wide	Administration	1410		\$2,500		\$0.00	\$0.00	Pending
HA-Wide	Fees and Costs	1430		\$40,000		\$0.00	\$0.00	Pending
KY20-1	Comprehensive termite damage repair	1460	2 units	\$40,000		\$0.00	\$0.00	Pending
KY20-2	Install new furnaces/AC coil	1460	18 units	\$22,500		\$0.00	\$0.00	Pending
KY20-2	Install furnace closet doors	1460	18 units	\$3,600		\$0.00	\$0.00	Pending
KY20-4	Replace building sewers	1450	2 units	\$10,000		\$0.00	\$0.00	Pending
KY20-4	Install handrails in elderly section	1450	100 LF	\$4,000		\$0.00	\$0.00	Pending
KY20-4	Install new furnaces/AC coil	1460	24 units	\$30,000		\$0.00	\$0.00	Pending
KY20-4	Comprehensive bathroom upgrade	1460	60 units	\$90,000		\$0.00	\$0.00	Pending
KY20-4	Kitchen/bathroom GFI	1460	60 units	\$18,000		\$0.00	\$0.00	Pending
KY20-4	Replace all bi-fold metal doors	1460	300 sets	\$67,500		\$0.00	\$0.00	Pending
KY20-4	Install new VCT	1460	39,100 SF	\$56,044		\$0.00	\$0.00	Pending

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part III: Implementation Schedule							
PHA Name: Housing Authority of Mt. Sterling		Grant Type and Number Capital Fund Program No: KYP020501-01 Replacement Housing Factor No:				Federal FY of Grant: FY 2001	
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
Operations		06/30/02			09/30/02		Longer than anticipated to complete prior year work
Administration		06/30/02			09/30/02		Longer than anticipated to complete prior year work
Fees and Costs		06/30/02			12/31/01		Longer than anticipated to complete prior year work
Comprehensive termite damage repair		06/30/02			12/31/02		Longer than anticipated to complete prior year work
Install new furnaces/AC coil		06/30/02			12/31/02		Longer than anticipated to complete prior year work
Install furnace closet doors		06/30/02			12/31/02		Longer than anticipated to complete prior year work
Replace bldg. Sewers		06/30/02			12/31/02		Longer than anticipated to complete prior year work
Install handrails		06/30/02			12/31/02		Longer than anticipated to complete prior year work
Install new furnace/AC coils		06/30/02			12/31/02		Longer than anticipated to complete prior year work
Comprehensive bathroom renovation		06/30/02			12/31/02		Longer than anticipated to complete prior year work
Kitchen/bathroom GFI		06/30/02			12/31/02		Longer than anticipated to complete prior year work
Replace metal bi-fold doors		06/30/02			12/31/02		Longer than anticipated to complete prior year work
Install new VCT		06/30/02			12/31/02		Longer than anticipated to complete prior year work

