

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

PHA Plans

5 Year Plan (Not included; no changes)

Annual Plan for Fiscal Year 2003

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

**PHA Plan
Agency Identification**

PHA Name: Housing Authority of the City of Alameda

PHA Number: CA062

PHA Fiscal Year Beginning: 07/2003

Public Access to Information

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

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

Display Locations For PHA Plans and Supporting Documents

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

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices
- Main administrative office of the local government
- Main administrative office of the County government
- Main administrative office of the State government
- Public library
- PHA website
- Other (list below)
Office at the Esperanza public housing complex

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)

Annual PHA Plan
PHA Fiscal Year 2003
 [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.

Not included.

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

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

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Attachments

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

Required Attachments:

- Admissions Policy for Deconcentration (**A - ca062a01**)
- FY 2003 Capital Fund Program Annual Statement (**B - ca062b01**)
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)
- PHA Management Organizational Chart
- FY 2001 Capital Fund Program 5 Year Action Plan (**B - ca062b01**)
- Public Housing Drug Elimination Program (PHDEP) Plan (**Eliminated**)
- Comments of Resident Advisory Board or Boards (**C - ca062d01**)
- Other (List below, providing each attachment name)
 - Voluntary Conversion of Public Housing – Copy of Certification of Initial Assessment (**D - ca062e01**)
 - Pet Policy (**E - ca062f01**)
 - Statement of Progress in Meeting Five-Year Plan’s Mission and Goals (**F - ca062g01**)
 - Resident Member on the PHA Governing Board (**G – ca062h01**)
 - Membership of the Resident Advisory Board or Boards (**H – ca062i01**)
 - Section 8 Project-based Vouchers (**I – ca062j01**)
 - Customer Service and Satisfaction Survey – Follow-up Plan (**J – ca062k01**)

Supporting Documents Available for Review

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	Five Year and Annual Plan
X	State/Local Government Certification of Consistency with the Consolidated Plan	Five Year and Annual Plan
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs	Five Year and Annual Plan

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	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.	
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
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), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Not applicable to this housing authority because there is only one public housing complex.
	Public housing rent determination policies, including the methodology for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	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
	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Admin. Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Admin. Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)
X	Pet Policy for Public Housing (part of A&O Policy)	Annual Plan: Pet Policy
X	Community Service Requirements Implementation	Annual Plan: Community Service (implementation not required)
X	Voluntary Conversion – Initial Assessment (backup docs)	Annual Plan

1. Statement of Housing Needs

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

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

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI	253	5	5	2	N/A	3	3
Income >30% but <=50% of AMI	68	5	5	2	N/A	3	3
Income >50% but <80% of AMI	196	4	4	2	N/A	2	3
Elderly	52	4	4	1	4	1	3
Families with Disabilities	98	5	5	2	5	3	3
White	57	5	4	2	N/A	2	2
Black	326	5	4	2	N/A	2	2
Hispanic (all races)	41	5	4	2	N/A	2	2
Native American	5	5	4	2	N/A	2	2
Asian/Pacific Isl.	52	5	4	2	N/A	2	2
Other	4	5	4	2	N/A	2	2

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction/s Alameda County Home Consortium
Indicate year: FY2000-FY2004
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)
Housing Authority’s combined waiting list as of Oct. 8, 2002

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.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input checked="" type="checkbox"/> Combined Section 8 and Public Housing (+ other housing programs)			
<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	1599		Approx. 450
Extremely low income <=30% AMI	1065	66.6	
Very low income (>30% but <=50% AMI)	344	21.5	
Low income (>50% but <80% AMI)	190	11.9	
Families with children	1039	65.0	
Elderly families	147	9.2	
Families with Disabilities	413	25.8	
White	225	14.1	
Black	1068	66.8	
Hispanic (all races)	92	5.8	
Native American	16	1.0	
Asian/Pac. Islander	194	12.1	
Other	4	0.3	
Characteristics by Bedroom Size (Public Housing Only)	The PHA maintains a combined list – not just public housing.		
1BR	409	25.6	
2 BR	870	54.4	
3 BR	264	16.5	
4 BR	42	2.6	
5 BR	14	0.9	
5+ BR	N/A	N/A	

Housing Needs of Families on the Waiting List
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)? 49
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes

C. Strategy for Addressing Needs

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

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

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

Select all that apply

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

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

Select all that apply

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing

- Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- Other: (list below)

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

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

Select all that apply

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

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

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

Select all that apply

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

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

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

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing

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

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

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

Select if applicable

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

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

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

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

(2) Reasons for Selecting Strategies

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

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

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

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

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY2003 grants)		
a) Public Housing Operating Fund	\$ 95,000	
b) Public Housing Capital Fund	240,000	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	15,000,000	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		
g) Resident Opportunity and Self-Sufficiency Grants		
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income	535,000	To operate complex and programs
4. Other income (list below)		
Miscellaneous	1,500	Operations
5. Non-federal sources (list below)		
Total resources	\$15,871,500	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

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

(1) Eligibility

- a. When does the PHA verify eligibility for admission to public housing? (select all that apply)
- When families are within a certain number of being offered a unit: (state number) 20
 - 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) – Credit History
- c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- d. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- e. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization

- a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)
- Community-wide list
 - Sub-jurisdictional lists
 - Site-based waiting lists
 - Other (describe)
- b. Where may interested persons apply for admission to public housing?
- PHA main administrative office
 - PHA development site management office
 - Other (list below)

The Housing Authority's waiting list is currently closed. The Authority anticipates opening its waiting list within the next six months from this date (October 16, 2002).

- 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?

Neither a "yes" or a "no" response is accurate as the Housing Authority maintains only one waiting list for public housing, Section 8 applicants, and other affordable housing programs.

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

(4) Admissions Preferences

- a. Income targeting:
- Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?
- b. Transfer policies:
In what circumstances will transfers take precedence over new admissions? (list below)
- Emergencies
 - Overhoused
 - Underhoused

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

c. Preferences

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

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

Former Federal preferences:

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

Other preferences: (select below)

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

Special Provisions Preference -- Applicants with a Special Provision preference include:

- 1) Low-or very low-income Applicants who resided at the Harbor Island Apartments (formerly Bridgeport Apartments) prior to September 1987, referred to and accepted by the Owner, have first priority in occupying any new construction units funded by the Affordable Housing/Unit Fee Program or redevelopment program.
- 2) Tenants, residing in units owned and/or managed by the Housing Authority, who are required to move due to special circumstances and approved by the Executive Director.

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

2 Date and Time

Former Federal preferences:

- 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 (if they graduate)
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

- 1 The PHA employs the following admissions preferences first and then applies date and time of application:

Points are not assigned for “Special Provisions” preferences. Applicants who qualify for special programs (e.g., Mainstream or Welfare-to-Work Vouchers) are placed on lists specific to those programs in order of the date and time the application was received.

Other preferences have point values, which determine, in addition to the date and time of applications, the Applicant’s order of placement on the waiting lists. The point values are:

<u>Points</u>	<u>Preference</u>
9	Residency
2	Members of the military or Veterans

Points are cumulative. Applicants with the most points and earliest application are ranked higher on the waiting list.

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):
 - 1) Code of Federal Regulations located at local library and PHA office
 - 2) House Rules located on bulletin boards at complexes and given to residents with lease

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: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete. If yes, continue to the next question.

b. Yes No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If no, this section is complete.

If yes, list these developments as follows:

Deconcentration Policy for Covered Developments			
Development Name:	Number of Units	Explanation (if any) [see step 4 at §903.2(c)(1)(iv)]	Deconcentration policy (if no explanation) [see step 5 at §903.2(c)(1)(v)]

B. Section 8

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

(1) Eligibility

- a. What is the extent of screening conducted by the PHA? (select all that apply)
- Criminal or drug-related activity only to the extent required by law or regulation
 - Criminal and drug-related activity, more extensively than required by law or regulation
 - More general screening than criminal and drug-related activity (list factors below)
 - Other (list below)
- 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 (see below)
 - Other (describe below)

Upon receipt of a Request for Lease Approval by the Housing Authority, Owners may request, and the Authority will provide, specific information about the family being considered for tenancy. The Authority will provide the following information:

- The family's current address as provided by the Applicant; and
- The name and address, if known, of the Owner/Landlord of the family's current and prior places of residence.

The Housing Authority will only respond to specific questions asked by Owners and only when the Authority has documentation to confirm the accuracy of the information being provided. Information may be released if contained in the following types of documents:

- 1) Notices of lease violation or termination
- 2) Unit inspections
- 3) Owner claims for unpaid tenant rent and damages
- 4) Records of illegal drug activities as reported in newspapers or other public records
- 5) Tenant rent accounts (for tenants of Housing Authority-managed housing units)

(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)

In addition to public housing and Section 8 tenant-based assistance, the Housing Authority owns and manages several complexes. The types of applicants vary. Only applicants for units with HOME rents and for Independence Plaza, a senior housing facility, a non-HUD supported complex, are not on a common waiting list. It is anticipated that the Independence Plaza affordable units as opposed to the market-rate units, will not be separated from all the other units available to applicants on the common waiting list when the Housing Authority obtains new software prior to the beginning of FY2003.

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's waiting list is closed. The Authority expects to open the waiting list some time during the next six months from this date (October 16, 2002).

(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:

Housing Choice Vouchers generally are issued for an initial term of 60 days with an option for two 30-day extensions. If the vacancy rate for rental housing in Alameda is less than 4 percent, however, the Housing Authority will issue Vouchers for an initial term of 120 days.

If the Housing Authority is issuing Vouchers with an initial term of 60 days, a person with a disability may request an initial term of 120 days to have an equal opportunity to seek housing. Such request will be approved upon verification of need.

If at the end of the 120-day period, an applicant family has not located a suitable unit, the applicant may request an extension. The applicant must submit to the Housing Authority a list of contacts with prospective lessors and the results of the contacts from the past 120-day period and have the family eligibility re-established.

The Housing Authority will determine on a case-by-case basis if a final 60-day extension will be granted, based on the information.

Expiration of a Housing Choice Voucher will not preclude the holder from filing a new application for another Housing Choice Voucher if the Authority is accepting applications and the Applicant continues to be eligible.

(4) Admissions Preferences

a. Income targeting

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

b. Preferences

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

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

Former Federal preferences

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

Other preferences (select all that apply)

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

Special Provisions Preference -- Tenants residing in units owned and/or managed by the Housing Authority required to move due to special circumstances, and approved by the Executive Director.

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

2 Date and Time

Former Federal preferences

- 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) – See below for ranking.

- 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)

1 The PHA will apply the following preferences first prior to applying date and time of application:

Points are not assigned for “Special Provisions” preferences. Applicants who qualify for special programs (e.g., Bessie Coleman SRO Section 8 Mod. Rehab., Mainstream or Welfare-to-Work Vouchers) will be placed on lists specific to those programs in order of the date and time the application was received.

Other preferences have point values, which determine, in addition to the date and time of applications, the Applicant’s order of placement on the waiting lists. The point values are:

<u>Points</u>	<u>Preference</u>
9	Residency
2	Members of the military or Veterans

Points are cumulative. Applicants with the most points and earliest application are ranked higher on the waiting list.

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)

The Housing Authority surveyed between 500 and 1000 families on the waiting list to determine those families that might be eligible for special-purpose Section 8 programs (e.g., Welfare-to-Work Vouchers). As a contingency plan if not enough eligible families are found on the existing waiting list, the Housing Authority will contact agencies and community-based organizations that work with families who would likely be eligible for these programs.

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

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

(1) Income Based Rent Policies

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

a. Use of discretionary policies: (select one)

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

---or---

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

b. Minimum Rent

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

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

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

The Housing Authority has adopted only the non-discretionary hardship exemptions.

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:

The Housing Authority has established the following fixed rents as options to the standard 30% of adjusted income rent, which is unchanged:

One Bedroom	\$520
Two Bedroom	\$700
Three Bedroom	\$805
Four Bedroom	\$905
Five Bedroom	\$960

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

f. Rent re-determinations:

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

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

Tenants must report changes in income or family composition within 14 days of the occurrence. If the change results in an upward adjustment to the rent, the Housing Authority does not raise the rent amount until the next regularly scheduled re-examination.

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

(2) Flat Rents

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

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

B. Section 8 Tenant-Based Assistance

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

(1) Payment Standards

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)

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

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

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

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

d. How often are payment standards reevaluated for adequacy? (select one)

- Annually
- Other (list below)

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

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

(2) Minimum Rent

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

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

[Note: A \$25 minimum rent was established for Section 8 New Construction only – Parrot Village complex. The above checked box applies to tenant-based Section 8 only.]

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

The Housing Authority has adopted only non-discretionary hardship exemptions.

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)

[NOTE: THIS HOUSING AUTHORITY IS A HIGH PERFORMER.]

A. PHA Management Structure

Describe the PHA’s management structure and organization.

(select one)

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

B. HUD Programs Under PHA Management

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

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing		
Section 8 Vouchers		
Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually) - Mainstream Vouchers - Welfare-to-Work Vouchers		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs (list individually)		
Capital Fund		

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.

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.

[NOTE: THIS HOUSING AUTHORITY IS A HIGH PERFORMER.]

A. Public Housing

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

If yes, list additions to federal requirements below:

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

B. Section 8 Tenant-Based Assistance

1. Yes No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)
- PHA main administrative office
 Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

A. Capital Fund Activities

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

(1) Capital Fund Program Annual Statement

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

Select one:

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

-or-

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

(2) Optional 5-Year Action Plan

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

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

b. If yes to question a, select one:

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

-or-

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

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

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

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

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

- Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
If yes, list development name/s below:

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

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

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

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

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

2. Activity Description

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

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

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

[24 CFR Part 903.7 9 (i)]

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

[NOTE: THIS HOUSING AUTHORITY IS A HIGH PERFORMER AND IS NOT REQUIRED TO RESPOND TO THIS SECTION.]

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

2. Activity Description

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

Designation of Public Housing Activity Description
1a. Development name:
1b. Development (project) number:
2. Designation type: Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA’s Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: (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)

- Part of the development
 Total development

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

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

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

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

2. Activity Description

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

Conversion of Public Housing Activity Description
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)

- Units addressed in a pending or approved demolition application (date submitted or approved:)
- Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved:)
- Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved:)
- Requirements no longer applicable: vacancy rates are less than 10 percent
- Requirements no longer applicable: site now has less than 300 units
- Other: (describe below)

B. Voluntary Conversion Initial Assessments

- a. How many of the PHA’s developments are subject to the Required Initial Assessments?
One (Esperanza).
- b. How many of the PHA’s developments are not subject to the Required Initial Assessments based on exemptions (e.g., elderly and/or disabled developments not general occupancy projects)?
None.
- c. How many Assessments were conducted for the PHA’s covered developments?
One.
- d. Identify PHA developments that may be appropriate for conversion based on the Required Initial Assessments:

Development Name	Number of Units
Esperanza	120

- e. If the PHA has not completed the Required Initial Assessments, describe the status of these assessments.

Not applicable; the initial assessment was completed and the certification was submitted with other required certifications; a copy is attached (Attachment E).

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

[NOTE: THIS TEMPLATE SKIPS IN ITS PAGE NUMBERING FROM PAGE THIS PAGE 31 TO PAGE 33; THERE IS NO PAGE 32.]

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

[NOTE: THIS HOUSING AUTHORITY IS A HIGH PERFORMER AND IS NOT REQUIRED TO RESPOND TO THIS SECTION.]

A. Public Housing

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

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

2. Activity Description

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

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

- | |
|--|
| <input type="checkbox"/> Part of the development |
| <input type="checkbox"/> Total development |

B. Section 8 Tenant Based Assistance

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

2. Program Description:

a. Size of Program

Yes No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- 25 or fewer participants
- 26 - 50 participants
- 51 to 100 participants
- more than 100 participants

b. PHA-established eligibility criteria

Yes No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (1)]

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

[NOTE: THIS HOUSING AUTHORITY IS A HIGH PERFORMER.]

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? 04/28/99

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- Client referrals
- Information sharing regarding mutual clients (for rent determinations and otherwise)
- Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- Jointly administer programs
- Partner to administer a HUD Welfare-to-Work voucher program
- Joint administration of other demonstration program
- Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

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

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

b. Economic and Social self-sufficiency programs

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

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2003 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing	None	NA
Section 8	11	11

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

If no, list steps the PHA will take below:

C. Welfare Benefit Reductions

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

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

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

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

[NOTE: THIS HOUSING AUTHORITY IS A HIGH PERFORMER AND THE PHDEP PROGRAM HAS BEEN ELIMINATED.]

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 2001 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

No longer applicable with cancellation of program.

- Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes No: Has the PHA included the PHDEP Plan for FY 2002 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment.

14. PET POLICY

[24 CFR Part 903.7 9 (n)]
High Performing ... PHAs are not required to respond to this component.

See Attachment G.

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. Yes No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))? (If no, skip to component 17.)
2. Yes No: Was the most recent fiscal audit submitted to HUD?
3. Yes No: Were there any findings as the result of that audit?
4. Yes No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain?
5. Yes No: Have responses to any unresolved findings been submitted to HUD? N/A
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.

[NOTE: THIS HOUSING AUTHORITY IS A HIGH PERFORMER.]

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)
 - Not applicable
 - Private management
 - Development-based accounting
 - Comprehensive stock assessment
 - Other: (list below)
3. Yes No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

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 as **Attachment D**
- 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:
- Other: (list below)

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

1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

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

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

b. Eligible candidates: (select one)

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

c. Eligible voters: (select all that apply)

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

C. Statement of Consistency with the Consolidated Plan

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

1. Consolidated Plan jurisdiction:
Alameda County Home Consortium with detail on city of Alameda
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

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

The Housing Authority has set the goal to “Maintain and expand quality, safe and affordable housing throughout the city of Alameda.” To achieve this goal, the Housing Authority has established the following objectives:

1. Maintain the existing 572 rental housing units and maintain housing currently available under the Section 8 program.
2. Lease up 40 additional families in the Section 8 program.
3. Work toward moving 20 families into homeownership by 2005.
4. Work toward developing 50 additional managed housing units by 2005.
5. Work toward adding 50 additional landlords to the Section 8 program by 2003.

The Housing Authority has established the following Guiding Principles as well:

- 1) Our services, policies and staff considerations shall reflect the agency’s value for inclusiveness, diversity and culturally sensitive services.
- 2) Our agency goals will be achieved by ongoing collaboration with customers and community partners.

- Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following

actions and commitments: (describe below)

The Housing Authority's goals, guiding principles and objectives are consistent with the housing-related initiatives contained in the Consolidated Plan's. The Consolidated Plan's "Affordable Housing Needs" goals and objectives are to:

1. Increase the availability of affordable rental housing for low- and moderate-income households.
2. Preserve existing affordable rental and ownership housing for low- and moderate-income households.
3. Assist low- and moderate-income (first-time) homebuyers.
4. Reduce housing discrimination.

D. Other Information Required by HUD

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

Definition of "Substantial Deviation"

Substantial deviations or significant amendments or modifications are defined as discretionary changes in the plans of the Housing Authority of the City of Alameda that fundamentally change the mission, goals, or policies contained in the Five-Year Plan or Annual Plan of the agency and which require formal approval of the Housing Commission.

Attachment A
HOUSING AUTHORITY OF THE CITY OF ALAMEDA
DECONCENTRATION POLICY AND TARGETING

The regulations (§903.2(b)(2)(iii)) state:

Developments not subject to deconcentration of poverty and income mixing requirements.... This subpart does not apply to the following public housing developments: (iii) Public housing developments operated by a PHA which consist of only one general occupancy, family public housing development.

This describes the Esperanza public housing complex, the only public housing complex owned by this Housing Authority.

ATTACHMENT B

Annual Statement/Performance and Evaluation Report					
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary					
PHA Name: Housing Authority of the City of Alameda		Grant Type and Number Capital Fund Program Grant No: Unknown – assumed for next year Replacement Housing Factor Grant No:			Federal FY of Grant: 2003-2004
<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	\$240,000			
3	1408 Management Improvements Soft Costs				
	Management Improvements Hard Costs				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1502 Contingency				
	Amount of Annual Grant: (sum of lines.....)	\$240,000			
	Amount of line XX Related to LBP Activities				
	Amount of line XX Related to Section 504 compliance				
	Amount of line XX Related to Security –Soft Costs				
	Amount of Line XX related to Security-- Hard Costs				
	Amount of line XX Related to Energy Conservation Measures				
	Collateralization Expenses or Debt Service				

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 the City of Alameda		Grant Type and Number Capital Fund Program Grant No: Unknown -- assumed for next year Replacement Housing Factor Grant No:				Federal FY of Grant: 2003			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories		Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		
CA-062	Maintenance operations of the Esperanza public housing complex		1406			\$240,000			

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name Housing Authority of the City of Alameda					<input checked="" type="checkbox"/> Original 5-Year Plan	<input type="checkbox"/> Revision No: 2
Development Number/Name/HA-Wide	Year 1	Year 2	Year 3	Work Statement for Yr 4 FFY Grant: 2003 PHA FY: 7/1/03 – 6/30/04	Work Statement for Yr 5 FFY Grant: 2004 PHA FY: 7/1/04 – 6/30/05	
CA-062	Annual Statement	Annual Statement	Annual Statement	Maint. operations & unit renovation with balance, which might include: - replace handrails & hardware	Maint. operations & unit renovation with balance, which might include: - replace handrails & hardware	
				- replace flooring (abating asbestos)	- replace flooring (abating asbestos)	
				- replace tubs/shower surrounds (abating asbestos), repair water damage, replace fixtures	- replace tubs/shower surrounds (abating asbestos), repair water damage, replace fixtures	
				- replace water heaters, pressure valves w/safer more efficient ones	- replace water heaters, pressure valves w/safer more efficient ones	
				- repair wall surfaces & painting throughout units	- repair wall surfaces & painting throughout units	
				- replace kitchen & bath cabinets, counters and sinks w/durable products	- replace kitchen & bath cabinets, counters and sinks w/durable products	
				- replace roofs on mechanical storage sheds	- replace roofs on mechanical storage sheds	
				- repair sidewalks	- repair sidewalks	
Total CFP Funds (Est.)				\$250,000	\$250,000	
Total Replacement Housing Factor Funds						

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages—Work Activities

Activities for Year 4	Activities for Year: grant year 2003 FFY Grant: Unknown PHA FY: 7/1/03 – 6/30/04					
1406 Operations – expect to expend all fund during fiscal year.						

ATTACHMENT C

RESIDENT ADVISORY COMMITTEE COMMENTS

Tenant Participation Funding

The proposed budget was discussed. There were no comments or questions from RAC members.

Proposed Annual Plan for FY2003-2004

Q: An RAC member said that he now has to pay a co-payment for his medical care under the VA. He wanted to know what he could do about that additional loss of income.

A: Housing Authority staff advised him to keep all the receipts of his payments for health care and, on his next re-exam, have them ready. All documented health care expenses may have the effect of reducing his income upon which his portion of rent is calculated.

Q: An RAC member asked how vouchers are issued, both to the Housing Authority and to applicants.

A: Housing Authority staff advised that HUD allocates or issues vouchers to the Housing Authority. The Housing Authority issues vouchers to persons on the waiting list. The person comes off the waiting list when the voucher is issued.

Q: An RAC member asked about the families at Esperanza (public housing complex) with more than one income, including income from in-home day care businesses, and flat rents. She expressed concern that these households are in units that could be occupied by families in greater need.

A: Housing Authority staff advised that these families have the right to opt for the flat rent at Esperanza, that the flat rent provides an incentive for families to increase their income without the penalty of their rent increasing. Most families with such increasing income eventually move from Esperanza.

Q: Another RAC member commented that he thought there was a rule that businesses could not be run out of your unit.

A: Housing Authority staff replied that in recent years the rule had changed and families were encouraged to run day-care businesses from their units. This reflected the need for such businesses in the community.

Q: An RAC member asked if the 1374 vouchers shown (Section 5.B.) are the ones expected to be issued in January 2003 (when the waiting list is opened).

A: Housing Authority staff advised that this number plus the 75 Mainstream Vouchers and 51 Welfare-to-Work Vouchers represent the Housing Authority's full allocation from HUD and that approximately 1500 had been issued to existing clients. He advised that he expected to have about 100 available in January 2003 for issuance to families added to the waiting list when it is opened.

- Q: An RAC member asked about the plans for the vacant land across from Bridgeport.
- A: Housing Authority staff replied that about 500 homes will be constructed. The Authority will have a 60-unit complex on the site as well.
- Q: The RAC member mentioned that he had not read about the 60-unit complex in the Section 8 Newsletter.
- A: Housing Authority staff advised that it was very early in the process and, that when something more definite is known, there will be information in the Newsletter.
- Q: A member of the public who attended asked if there were any Family Self-Sufficiency graduates in 2002.
- A: Housing Authority staff advised that there had been several including one of the RAC members who was in attendance.
- Q: An RAC members asked if there was an ombudsman for the senior residents, some kind of resident representative. She expressed concerns about a group of negative residents that were dominating the resident population in her complex. She mentioned that she had just moved to the complex two months ago.
- A: Housing Authority staff recommended that she find other residents with a positive attitude like hers that could counteract the negative group at the complex. Another recommendation was to talk with the Housing Manager during office hours; she might be able to help her connect with like-minded residents. Staff went on to say that they realized that there was a group of residents at the complex that was having a negative impact, but that staff had been unable to change that situation. Staff encouraged the RAC member to get with other positive residents and expressed hope that other new residents would help improve the situation.
- Q: An RAC member expressed her concern about the schedule of maintenance charges; she thought \$16 was too high for a maintenance worker to come out to change the battery in a smoke alarm.
- A: Housing Authority staff advised that a charge only applies if the smoke alarm has been tampered with, i.e., the battery has been removed. If the battery has simply died, there is no charge for replacement. Staff also advised the RAC member that residents are encouraged, if physically able, to change the battery in their smoke alarms themselves.
- Q: An RAC member expressed concern about the lock-out charges being applied to seniors. She suggested an exception for seniors who tend to become forgetful as part of the aging process. She also recommended allowing the resident manager to open doors for residents.
- A: Housing Authority staff advised that the resident manager is paid for a certain number of hours only and cannot always be available for lock-out assistance. He went on to say that the Authority's policy would be reviewed; he also encouraged her to bring up this issue at the Town Hall meetings coming up in January. Housing Commission members attend these meetings and it is an appropriate forum to express such concerns.

Q: A member of the public in attendance asked why tarps in Esperanza residents' back yards were cause for eviction. He expressed concern that residents need to use such tarps to cover things like bicycles now that the winter rains have started.

A: Housing Authority staff advised that residents with large and unsightly tarps might be asked to remove them. If they refused, they might be subject to eviction. He said that no one had ever been evicted from Esperanza because of a tarp. Staff went on to say that HUD inspects the complex and has expressed concerns about the lack of upkeep in some of the back yards; tarps that are large and can be seen over the tops of the fences can be a problem.

Q: An RAC member asked how the Housing Authority performs outreach to landlords (mentioned in Attachment G: Progress ... on Goals and Objectives).

A: Housing Authority staff advised that several workshops have been held for Alameda landlords, information has been distributed at other events, speakers have spoken before various groups (e.g., Rotary, Kiwanis, church groups), there has been a promotional program for new landlords (i.e., gift certificate), and there is the Landlord of the Year Award, which recognizes landlords doing a great job for their Section 8 tenants. These are some of the ways that the Housing Authority reaches out to property owners in Alameda to tell them about the benefits of participating in the Section 8 program.

HOUSING AUTHORITY OF THE CITY OF ALAMEDA
CERTIFICATION OF INITIAL ASSESSMENT

Subject: Esperanza Public Housing Complex (CA-062) with 120 units

On behalf of the Housing Authority of the City of Alameda, I hereby certify that the Housing Authority has:

1. Reviewed Esperanza's operation as a public housing development;
2. Considered the implications of converting this public housing complex to tenant-based assistance; and
3. Concluded that conversion of the development may be appropriate because removal of the development would meet the necessary conditions for voluntary conversion of this complex. The Housing Authority has concluded that conversion will:
 - a. Not be more expensive than continuing to operate Esperanza as a public housing development;
 - b. Principally benefit the residents of the public housing development (Esperanza) to be converted and the community; and
 - c. Not adversely affect the availability of affordable housing in the community.

The above-described conditions (a – c) for voluntary conversion of the Esperanza public housing complex are met.

COPY ONLY

Michael T. Pucci, Executive Director

Date

The original signed and dated certification will be submitted with other required certifications to HUD-SF. Back-up documentation is on file in the Housing Authority office.

Attachment E

DESCRIPTION OF PET POLICY

Animals that are used to assist persons with disabilities are allowed in the Esperanza public housing complex. This policy applies to all other animals. The primary features of the Housing Authority's Pet Policy are:

- Pet ownership is allowed at Esperanza with prior written approval of the Authority. A signed Pet Agreement must be made a part of the lease.
- Residents assume full responsibility and liability for their pets and are responsible for pet-caused damage.
- Only common household pets are permitted. There are limitations on the size of animals, aquariums, birdcages, and the number of animals.
- Pets must be appropriately inoculated against rabies, distemper and other conditions required by state or local government.
- A non-refundable deposit is required to cover the general costs to the Housing Authority associated with pet ownership. A refundable damage deposit also is required.
- Repeated, substantiated complaints of pets disturbing the peace (i.e., noise, odor, animal waste, etc.), may result in the owner having to remove the pet or move.
- Pets must be kept within the unit or on a leash. Owners must physically control their pets when Authority personnel are on the premises. Owners must clean up after their pets. Pets are not permitted in indoor public areas of the complex.
- Pets, with some exceptions, may not be left unattended for over 24 hours. Unattended pets will be collected and boarded at the expense of the owner.
- Pets must be fed and cared for appropriately.
- Pets may not be kept, bred or used for any commercial purpose.
- Appropriate cat litter boxes must be maintained and the litter disposed of appropriately.
- Pets that cause harm to any person may be required to be removed from the property; the owner may be subject to termination of his/her lease.
- Violations of conditions of the Pet Policy may result in the owner having to remove the pet from Esperanza within 14 calendar days of written notice and the pet owner may be subject to lease termination.
- Visitors' pets are not permitted at Esperanza, except as part of the visiting pets program sponsored by the Human Society or other volunteer group and service animals.
- Pets determined to be a nuisance or threat to the health or safety of other persons may be removed from the premises.
- When a pet owner dies or is ill and cannot care for the pet, the Housing Authority will call the emergency caregiver or Animal Control to take and care for the pet until appropriate arrangements can be made. The pet owner bears financial responsibility.

Attachment F

PROGRESS IN MEETING FIVE-YEAR PLAN'S MISSION AND GOALS

The Housing Authority's **Mission** is: **The Housing Authority of the City of Alameda, in partnership with the entire community, advocates and provides quality, affordable safe housing; encourages self-sufficiency; and strengthens community inclusiveness and diversity in housing.**

The Authority partners with community organizations, etc., to retain and increase the level of affordable housing in Alameda. The Authority is taking innovative measures to retain and attract new property owners to the Section 8 program. Current housing stock is maintained in good condition so that they are a source of community pride and provide safe home for the residents. Community inclusiveness and diversity continue to be of primary importance to this agency and are considered in every action taken.

The Housing Authority's **Goals** and progress toward reaching them are:

1. Maintain and expand quality, safe and affordable housing throughout the city of Alameda. The Housing Authority continues to maintain its 572 rental housing units and to manage the Section 8 program in an efficient and effective manner. The rental market that had been making it difficult for voucher holders to find housing has eased and more units are being leased. The Authority's Landlord Outreach Program has helped more voucher holders to find homes that would not have been possible without it. The Authority is currently working on two projects to add 99 units to the available stock of affordable housing units in Alameda.

2. Achieve full potential as an organization through improved communications, work relationships and staff development. The Authority adopted a new model for all agency meetings and a new communications policy. The Authority has developed a formal approach to staff development and career advancement for management and line staff. Training has been a major focus in the past year and will continue to be so in the coming year. Each division has developed goals and objectives that will be incorporated into performance measures for each individual.

3. Provide the highest quality of service for all our customers. The Authority adopted Principles to Ensure Quality Client Service. The calendar of resident programs and activities has not been developed yet. The Authority also was developing a system for increasing feedback and communication with customers. Several ideas are in the development stage. The Authority has improved its customer service at the front desk with the installation of a new phone/voice mail system and a rearrangement of staff duties. The Authority is participating in City of Alameda's Customer Service Program. Through this program, a "secret shopper" evaluates the Authority's ability to provide good customer service on a regular basis. The Authority has scored very well.

4. Promote greater family self-reliance and community responsibility. Last year, the Authority reported that it had developed and would soon be pilot testing with staff a program to train residents on home maintenance and repairs. That project is on hold. Staff continues to support resident activities at Anne B. Diamant Plaza. Briefings continue for new Section 8 voucher holders to educate them on their Family Obligations. Meetings were held with the Esperanza Resident Management Council and with residents to inform them about public housing families' responsibilities under the new lease, which all residents have since signed.

5. Provide more housing options for managed housing tenants, achieve greater efficiency and effectiveness in the operation and management of the Authority's housing complexes by converting complexes with project-based assistance to tenant-based assistance (S8HCV). Conversion of the Eagle Village complex from project-based to tenant-based assistance is right on track for completion February 2003.

Attachment G

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: **Michael John Torrey**

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

- Elected
 Appointed

C. The term of appointment is (include the date term expires): 2004

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

- 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: 2004

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

The other five members of the Board of Commissioners appoint the resident board member. Currently, the other five members are:

Beverly Johnson, Chair
Tony Daysog, Vice Chair
Frank Matarrese
Al DeWitt
Barbara Kerr

Attachment H

Membership of the Resident Advisory Board or Boards

List members of the Resident Advisory Committee:

- Wilma Robinson
- Linda Smith
- Kara Hubbard
- Olga Sanders
- Frances Onia
- Lvraxeer Ai

Attachment I

SECTION 8 PROJECT-BASED VOUCHERS

Projected Number of Units: 155 units (approximately 10% of Annual Contributions Contract Units)

General Location: the Housing Authority will attempt to ensure that the project-based units are located throughout the Authority's jurisdiction.

Reasons for Project-based Section 8 Vouchers: The Housing Authority's jurisdiction has a fluctuating overall vacancy rate that has been less than 2% with a serious rental affordability problem. As a result of these factors, the Authority's find rate for families with vouchers has dropped.

Voucher holder families have continuously expressed their desire to have more units where they can use their vouchers. This was stressed during prior Resident Advisory Committee meetings.

Project basing units will help ensure a stable supply of affordable units in the jurisdiction. The Authority also hopes to address the needs of special populations (e.g., frail elderly, disabled persons, large families, etc.) through this program. These populations are particularly affected by tight rental markets with rapidly escalating rents and would definitely benefit from stable projects where vouchers could be used.

The Housing Authority of the City of Alameda also will explore the possibility of a Joint Powers Agreement with the Alameda County Housing Authority for administering a project-based voucher program in the city of Alameda.

Attachment J
Customer Service and Satisfaction Survey
Follow-up Plan

Safety

A score of 70.3 percent was received in this category. The Housing Authority receives crime reports from the Police Department quarterly. These reports state that there is no significant crime at Esperanza. These reports also show that there is no pattern to the crime does exist.

- Community Police Officers will walk the complex at night to evaluate the need for additional lighting.
- The Housing Authority will collaborate with the Alameda Police Department and offer more on-site crime prevention presentations to residents.
- The Housing Authority will continue to monitor the crime reports and meet with the police officers to determine what preventive measures can be implemented.
- Newsletters will inform tenants about Neighborhood Watch and other available crime prevention programs.
- The Housing Authority will emphasize safety and lease enforcement at the new move-in orientations.

Housing Development Appearance

A score of 62 percent was received in this category.

- The Housing Authority has hired a Resident Manager and daily litter pick-up is one of the main responsibilities. Staff will conduct weekly site inspections at the complex to ensure that the Resident Manager is picking up trash and maintaining common areas.
- The Housing Authority continues to sponsor an annual Spring Clean Up to allow residents to dispose of large items at no charge. Residents can also request pick-up of appliances, furniture or mattresses with five days notice for no charge.
- The Housing Authority has now contracted with a new garbage service provider. The garbage enclosure area is now cleaned each pick-up date. Larger recycling bins have been installed.
- Tenants will be informed at move-in of their responsibility to maintain their immediate front door and backyard areas.
- The Housing Authority will contact the City to add the parking lots of the complex to the monthly street-cleaning schedule.
- This year's budget includes maintenance to the fencing and installation of bollards and new landscaping in one significant area of the complex. These changes should improve the appearance of the complex.