



# HOUSING AUTHORITY OF THE CITY OF SANTA ANA COMPREHENSIVE PLANS

Annual Plan for Fiscal Year Beginning  
July 1, 2003 – June 30, 2004

**JOHN P. REEKSTIN  
EXECUTIVE DIRECTOR**

**PATRICIA C. WHITAKER  
HOUSING MANAGER**

**LINDA L. FOSTER  
HOUSING AUTHORITY COORDINATOR**

20 Civic Center Plaza, 2<sup>nd</sup> Floor  
Santa Ana, CA 92702

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

**PHA Name:** Housing Authority of the City of Santa Ana

**PHA Number:** CA093

**PHA Fiscal Year Beginning:** July 1, 2003 (July 1, 2003 – June 30, 2004)

---

### **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:

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

PHA Plan Supporting Documents are available for inspection at:

- Main business office of the PHA
- PHA development management offices
- Other (list below)
  - 🕒 Santa Ana Public Library

**Annual PHA Plan**  
**PHA Fiscal Year 2003-2004**  
[24 CFR Part 903.7]

**i. Annual Plan Type:**

**Standard Plan**

**Streamlined Plan:**

- High Performing PHA**  
 **Small Agency (<250 Public Housing Units)**  
 **Administering Section 8 Only**
- Troubled Agency Plan**

**ii. Executive Summary of the Annual PHA Plan**

[24 CFR Part 903.7 9 (r)]

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

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

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

# Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

## Table of Contents

|   | <u>Page #</u> |
|---|---------------|
| <b>Annual Plan</b>  |               |
| i. Executive Summary .....  | 3             |
| ii. Table of Contents   |               |
| 1. Housing Needs .....  | 9             |
| 2. Financial Resources.....   | 18            |
| 3. Policies on Eligibility, Selection and Admissions .....                    | 20            |
| 4. Rent Determination Policies.....   | 33            |
| 5. Operations and Management Policies .....                                   | 38            |
| 6. Grievance Procedures.....  | 40            |
| 7. Capital Improvement Needs.....   | 41            |
| 8. Demolition and Disposition .....   | 43            |
| 9. Designation of Housing.....  | 44            |
| 10. Conversions of Public Housing.....  | 46            |
| 11. Homeownership .....   | 48            |
| 12. Community Service Programs.....   | 51            |
| 13. Crime and Safety .....  | 54            |
| 14. Pets (Inactive for January 1 PHAs) .....                                  | 56            |
| 15. Civil Rights Certifications (included with PHA Plan Certifications) ..... | 57            |
| 16. Audit.....  | 58            |
| 17. Asset Administration.....   | 59            |
| 18. Other Information.....  | 60            |
| (Definition of Substantial Deviation/Amendment)                               |               |

## Attachments

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

### Required Attachments:

- Admissions Policy for Deconcentration ..... Not Applicable
- FY 2000 Capital Fund Program Annual Statement..... Not Applicable
- Most recent board-approved operating budget..... Not Applicable  
(Required Attachment for troubled PHAs or PHAs at risk of being designated troubled ONLY)
- PHA Management Organizational Chart..... Not Required (High Performing PHA)
- FY 2000 Capital Fund Program 5 Year Action Plan..... Not Applicable
- Public Housing Drug Elimination Program (PHDEP) Plan ..... Not Applicable

---

FY Beginning July 1, 2003 Annual Plan

(July 1, 2003 – June 30, 2004)

Page 4 of 84

HUD 50075  
OMB Approval No: 2577-0226  
Expires: 03/31/2002

Comments of Resident Advisory Board or Boards ..... Attachment 1  
(must be attached if not included in PHA Plan text)

Other (List below, providing each attachment name)

General Certifications ..... Attachment 2  
Consistency with the Consolidated Plan  
Compliance with the PHA Plans & Related Regulations  
Certificate for a Drug-Free Workplace  
Certification of Payments to Influence Federal Transactions  
Disclosure of Lobbying Activities

Proof of Publication ..... Attachment 3

Section 8 Homeownership Capacity Statement ..... Attachment 4

Progress Report, Five Year Plan ..... Attachment 5

Resident Membership of the PHA Governing Board..... Attachment 6

Membership of the Resident Advisory Board..... Attachment 7

### **Supporting Documents Available for Review**

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

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

## List of Supporting Documents Available for Review

| Applicable & On Display | Supporting Document  | Applicable Plan Component                                    |
|-------------------------|--|--|
| <b>X</b>                | PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations<br><b>(Included as Attachment 2)</b>  | 5 Year and Annual Plans                                      |
| <b>X</b>                | State/Local Government Certification of Consistency with the Consolidated Plan<br><b>(Included as Attachment 2)</b>  | 5 Year and Annual Plans                                      |
| <b>X</b>                | Fair Housing Documentation:<br>Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.<br><b>(Available for Review)</b> | 5 Year and Annual Plans                                      |
| <b>X</b>                | Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction<br><b>(Available for Review)</b>  | Annual Plan:<br>Housing Needs                                |
| <b>NA</b>               | Most recent board-approved operating budget for the public housing program   | Annual Plan:<br>Financial Resources;                         |
| <b>NA</b>               | Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]   | Annual Plan: Eligibility, Selection, and Admissions Policies |
| <b>X</b>                | Section 8 Administrative Plan<br><b>(Available for Review)</b>   | Annual Plan: Eligibility, Selection, and Admissions Policies |
| <b>NA</b>               | Public Housing Deconcentration and Income Mixing Documentation:<br>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<br>2. Documentation of the required deconcentration and income mixing analysis  | Annual Plan: Eligibility, Selection, and Admissions Policies |
| <b>NA</b>               | Public housing rent determination policies, including the methodology for setting public housing flat rents<br><input type="checkbox"/> check here if included in the public housing A & O Policy  | Annual Plan: Rent Determination                              |
| <b>NA</b>               | Schedule of flat rents offered at each public housing  | Annual Plan: Rent  |

## List of Supporting Documents Available for Review

| Applicable & On Display | Supporting Document   | Applicable Plan Component                  |
|-------------------------|---|--|
|                         | development<br><input type="checkbox"/> check here if included in the public housing A & O Policy   | Determination                              |
| <b>X</b>                | Section 8 rent determination (payment standard) policies<br><input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan<br><b>(Available for Review)</b>        | Annual Plan: Rent Determination            |
| <b>NA</b>               | Public housing management and maintenance policy documents, including policies for prevention or eradication of pest infestation (including cockroach infestation)                              | Annual Plan: Operations and Maintenance    |
| <b>NA</b>               | Public housing grievance procedures<br><input type="checkbox"/> check here if included in the public housing A & O Policy   | Annual Plan: Grievance Procedures          |
| <b>X</b>                | Section 8 informal review and hearing procedures<br><input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan<br><b>(Available for Review)</b>                | Annual Plan: Grievance Procedures          |
| <b>NA</b>               | The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year  | Annual Plan: Capital Needs                 |
| <b>NA</b>               | Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant   | Annual Plan: Capital Needs                 |
| <b>NA</b>               | 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                 |
| <b>NA</b>               | 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                 |
| <b>NA</b>               | Approved or submitted applications for demolition and/or disposition of public housing  | Annual Plan: Demolition and Disposition    |
| <b>NA</b>               | Approved or submitted applications for designation of public housing (Designated Housing Plans)   | Annual Plan: Designation of Public Housing |
| <b>NA</b>               | 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  |
| <b>NA</b>               | Approved or submitted public housing homeownership programs/plans   | Annual Plan: Homeownership                 |
| <b>X</b>                | Policies governing any Section 8 Homeownership program<br><input checked="" type="checkbox"/> check here if included in the Section 8 Administrative Plan                                       | Annual Plan: Homeownership                 |

## List of Supporting Documents Available for Review

| Applicable & On Display | Supporting Document  | Applicable Plan Component                         |
|-------------------------|--|---|
|                         | <b>(Available for Review)</b>  |   |
| <b>NA</b>               | Any cooperative agreement between the PHA and the TANF agency  | Annual Plan: Community Service & Self-Sufficiency |
| <b>X</b>                | FSS Action Plan(s) for public housing and/or Section 8<br><b>(Available for Review)</b>  | Annual Plan: Community Service & Self-Sufficiency |
| <b>NA</b>               | Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports   | Annual Plan: Community Service & Self-Sufficiency |
| <b>NA</b>               | Most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant & most recently submitted PHDEP application  | Annual Plan: Safety and Crime Prevention          |
| <b>X</b>                | The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings<br><b>(Available for Review)</b> | Annual Plan: Annual Audit                         |
| <b>NA</b>               | Troubled PHAs: MOA/Recovery Plan   | Troubled PHAs                                     |
| <b>NA</b>               | Other supporting documents (optional)<br>(list individually; use as many lines as necessary)   | (specify as needed)                               |

# 1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

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

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

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

| Housing Needs of Families in the Jurisdiction<br>by Family Type |         |                    |        |         |               |      |          |
|---|---------|--------------------|--------|---------|---------------|------|----------|
| Family Type   | Overall | Afford-<br>ability | Supply | Quality | Accessibility | Size | Location |
| Income <= 30% of AMI <sup>1</sup>                               | 7,994   | 5                  | 5      | 4       | 4             | 3    | 4        |
| Income >30% but <=50%<br>of AMI <sup>1</sup>                    | 8,073   | 5                  | 5      | 4       | 5             | 2    | 3        |
| Income >50% but <80% of<br>AMI <sup>1</sup>                     | 6,082   | N/A                | N/A    | N/A     | N/A           | N/A  | N/A      |
| Elderly <sup>1</sup>  | 2,750   | 5                  | 5      | 3       | 3             | 3    | 3        |
| Families with Disabilities <sup>1</sup>                         | 14,783  | 5                  | 4      | 3       | 3             | 3    | 4        |
| White<br>Race/Ethnicity <sup>2</sup>                            | 5,903   | 5                  | 3      | 4       | 4             | 4    | 4        |
| Asian-Pacific Islander<br>Race/Ethnicity <sup>2</sup>           | 2,843   | 5                  | 4      | 3       | 3             | 3    | 3        |
| African American<br>Race/Ethnicity <sup>2</sup>                 | 629     | 5                  | 4      | 3       | 4             | 3    | 3        |
| American Indian<br>Race/Ethnicity <sup>2</sup>                  | 102     | 5                  | 4      | 3       | 4             | 3    | 3        |

1. Source of data is 2000-2004 City of Santa Ana Consolidated Plan

2. Source of data is Current Section 8 Wait List as of February, 2003 XXX

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

- Consolidated Plan of the Jurisdiction: City of Santa Ana Consolidated Plan  
Indicate year: 2000-2004
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data  
Indicate year:
- Other housing market study  
Indicate year:
- Other sources: (list and indicate year of information)

Section 8 Wait List..... February 18, 2003

Orange County HIV/AIDS Housing Plan ..... December 1999

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

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

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

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

## Housing Needs of Families on the Waiting List

Waiting list type: (select one)

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

If used, identify which development/subjurisdiction:

|  | # of families | % of total families | Annual Turnover |
|--|---------------|---------------------|-----------------|
| Waiting list total                         | 9,606         |                     | 168             |
| Extremely low income<br><=30% AMI          |               | 100%                |                 |
| Very low income<br>(>30% but <=50%<br>AMI) |               | %                   |                 |
| Low income<br>(>50% but <80% AMI)          |               |                     |                 |
| Families with children                     |               |                     |                 |
| Elderly families                           | 1,560         | 16 %                |                 |
| Families with<br>Disabilities              | 1,857         | 19 %                |                 |
| White<br>Non-Hispanic                      | 1,981         | 21 %                |                 |
| White<br>Hispanic                          | 3,997         | 42 %                |                 |
| Asian-Pacific Islander<br>Non-Hispanic     | 2,894         | 30 %                |                 |
| African American<br>Non-Hispanic           | 631           | 6 %                 |                 |
| American Indian<br>Non-Hispanic            | 103           | 1 %                 |                 |
| Other Race/Ethnicity                       |               |                     |                 |

### Characteristics by Bedroom Size (Public Housing Only)

| Bedroom Size | 1BR            | 2 BR | 3 BR | 4 BR | 5 BR | 5+ BR |
|--------------|----------------|------|------|------|------|-------|
| 1BR          | Not Applicable |      |      |      |      |       |
| 2 BR         | NA             | NA   | NA   | NA   | NA   | NA    |
| 3 BR         | NA             | NA   | NA   | NA   | NA   | NA    |
| 4 BR         | NA             | NA   | NA   | NA   | NA   | NA    |
| 5 BR         | NA             | NA   | NA   | NA   | NA   | NA    |
| 5+ BR        | NA             | NA   | NA   | NA   | NA   | NA    |

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

If yes:

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

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

Does the PHA permit specific categories of families onto the waiting list, even if generally closed?

No  Yes

### C. Strategy for Addressing Needs

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

The Housing Authority of the City of Santa Ana has developed the following strategy to address the housing needs of families in the City of Santa Ana and those on the waiting list for the upcoming program year (i.e., July 1, 2003 through June 30, 2004).

#### (1) Strategies

### **Need: Shortage of affordable housing for all eligible populations**

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

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction

#### **Progress in FY 2001-2002:**

***March 2000: Requested HUD allow an increase in the payment standard for tenants owning a mobile home and renting space to 120% of the fair market rent. Request denied. PHA is using 110% of fair market rent.***

- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration

***Progress in FY 2002-2003:***

***October 2002: Hosted a “New Owner Outreach” event in partnership with the three other housing authorities located in Orange County, California. Over 200 owners participated.***

***March 2003: Attended the Apartment Owner’s Association of Orange County Annual Conference and Trade Show to provide information about the Section 8 program to prospective owners/landlords.***

- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

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

Select all that apply

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- Other: (list below)

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

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

Select all that apply

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

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

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

Select all that apply

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

## **Need: Specific Family Types: The Elderly**

### **Strategy 1: Target available assistance to the elderly:**

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available

#### **Progress in FY 2002-2003:**

*No special purpose vouchers for the elderly were made available.*

- Other: (list below)

## **Need: Specific Family Types: Families with Disabilities**

### **Strategy 1: Target available assistance to Families with Disabilities:**

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available

#### **Progress in FY 2002-2003:**

*July 2001: Applied for Mainstream Housing Opportunities for Persons with disabilities; however, application not funded.*

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

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

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

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

Select all that apply

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

#### **Progress in FY 2002-2003:**

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

- 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)

## **(2) Reasons for Selecting Strategies**

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

- Funding constraints
- Staffing constraints
- Limited availability of sites for assisted housing

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

## **2. Statement of Financial Resources**

[24 CFR Part 903.7 9 (b)]

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

The table on the following page provides a list the financial resources that are anticipated to be available to the Housing Authority of the City of Santa Ana to support its Federal tenant-based Section 8 rental assistance program during the 2002-2003 Plan Year. Please note, this table assumes that Federal tenant based Section 8 assistance grant funds will be expended for eligible purposes; therefore, the uses of these funds is not stated. For "Other Income," a notation has been entered that indicates the use for the subject funds as one of the following categories: Section 8 tenant-based assistance, Section 8 supportive services or other.

| <b>Financial Resources:<br/>Planned Sources and Uses</b>                              |                         |  |
|---|-------------------------|--|
| <b>Sources</b>  | <b>Planned \$</b>       | <b>Planned Uses</b>  |
| <b>1. Federal Grants (FY 2001 grants)</b>   | Not available to date   |  |
| a) Public Housing Operating Fund  | NA                      |  |
| b) Public Housing Capital Fund  | NA                      |  |
| c) HOPE VI Revitalization   | NA                      |  |
| d) HOPE VI Demolition   | NA                      |  |
| e) Annual Contributions for Section 8 Tenant-Based Assistance                         | Not available to date   |  |
| f) Public Housing Drug Elimination Program (including any Technical Assistance funds) | NA                      |  |
| g) Resident Opportunity and Self-Sufficiency Grants                                   | NA                      |  |
| h) Community Development Block Grant  | NA                      | NA   |
| i) HOME   | NA                      | NA   |
| J) Other Federal Grants<br>Family Self-Sufficiency Coordinator Grant                  | Not available to date   | Salary and benefits for two FSS Coordinator staff position           |
| <b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>             | NA                      | NA   |
| <b>3. Public Housing Dwelling Rental Income</b>                                       | NA                      | NA   |
| <b>4. Other income (list below)</b>   |                         |  |
| Housing Authority Operating Reserve <sup>1</sup>                                      | Not available to date   | Housing assistance payment reserve and other eligible program costs. |
| Fraud Recovery  | Not available to date   | Program Operation  |
| Bond Project monitoring fees <sup>2</sup>   | Not available to date   | Program Operation  |
| <b>4. Non-federal sources (list below)</b>  |                         |  |
| Local Tax Increment   | Not available to date   | Administration   |
| <b>Total resources</b>  | Not available to date 5 |  |

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

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

# **3. PHA Policies Governing Eligibility, Selection, and Admissions**

[24 CFR Part 903.7 9 (c)]

## **A. Public Housing**

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

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

### **(1) Eligibility**

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

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

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

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

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

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

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

### **(2) Waiting List Organization**

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

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

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

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

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

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

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

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

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

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

**(3) Assignment**

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

- One  
 Two  
 Three or More

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

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

**(4) Admissions Preferences**

a. Income targeting:

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

b. Transfer policies:

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

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

c. Preferences

1.  Yes  No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If "no" is selected, skip to subsection **(5) Occupancy**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

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

Other preferences: (select below)

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

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either

through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Date and Time

Former Federal preferences:

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

Other preferences (select all that apply)

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

4. Relationship of preferences to income targeting requirements:

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

**(5) Occupancy**

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

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

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

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

**(6) Deconcentration and Income Mixing**

- a.  Yes  No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?
- b.  Yes  No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?
- c. If the answer to b was yes, what changes were adopted? (select all that apply)
- Adoption of site-based waiting lists  
If selected, list targeted developments below:
  - Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments  
If selected, list targeted developments below:
  - Employing new admission preferences at targeted developments  
If selected, list targeted developments below:
  - Other (list policies and developments targeted below)
- d.  Yes  No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?
- e. If the answer to d was yes, how would you describe these changes? (select all that apply)
- Additional affirmative marketing
  - Actions to improve the marketability of certain developments
  - Adoption or adjustment of ceiling rents for certain developments
  - Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
  - Other (list below)
- f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)
- Not applicable: results of analysis did not indicate a need for such efforts
  - List (any applicable) developments below:
- g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)
- Not applicable: results of analysis did not indicate a need for such efforts
  - List (any applicable) developments below:

## B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.  
**Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program.**

As a tenant-based Section 8 only agency, the Housing Authority of the City of Santa Ana is required to complete this section.

### (1) Eligibility

- a. What is the extent of screening conducted by the PHA? (select all that apply)
- Criminal or drug-related activity only to the extent required by law or regulation
  - Criminal and drug-related activity, more extensively than required by law or regulation
    - The Santa Ana Housing Authority conducts background criminal checks on all Section 8 applicants 18 years of age and older.**
  - More general screening than criminal and drug-related activity (list factors below)
    - The Santa Ana Housing Authority conducts department of motor vehicles, credit and tenancy background checks on all Section 8 applicants.**
  - Other (list below)
- b.  Yes  No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c.  Yes  No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d.  Yes  No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
- e. Indicate what kinds of information you share with prospective landlords? (select all that apply)
- Criminal or drug-related activity
  - Other (describe below)
    - Tenancy records
    - Previous landlords

**(2) Waiting List Organization**

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

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

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

- PHA main administrative office
- Other (list below)

**The Santa Ana Housing Authority opened the waiting list October 1, 2001. The waiting list will remain open indefinitely. Wait list applications are available at the following local service agencies:**

See following three pages:

## Local Service Agencies that Have Waiting List Applications Available at their Facility(ies)

|   |  |  |   |
|---|--|--|---|
| Anaheim Housing Authority<br>201 S. Anaheim Blvd., 2 <sup>nd</sup> Floor<br>Anaheim 92805                             | Cambodian Family Center<br>1111 East Wakeham, Suite E<br>Santa Ana                                     | Catholic Charities Outreach<br>3631 W. Warner<br>Santa Ana, CA 92704   | Civic Center Barrio<br>1165 E. 4 <sup>th</sup> Street, Suite 210<br>Santa Ana, CA 92702                       |
| Corbin Center<br>2215 W. McFadden Ave.<br>Santa Ana   | Dayle McIntosh Center<br>13272 Garden Grove Boulevard<br>Garden Grove, CA 92843                        | Delhi Community Center<br>Santa Ana  | El Salvador Center<br>1825 W. Civic Center Dr.<br>Santa Ana, CA   |
| Orange County Fair Housing Council<br>201 S. Broadway<br>Santa Ana 92701  | Garden Grove Housing Authority<br>11400 Stanford Ave.<br>Garden Grove 92842                            | Health Care Clinic of Orange County<br>REACH Program<br>1725 W. 17 <sup>th</sup> Street<br>Santa Ana, CA 92706 | Hermanidad Mexicana Nacional<br>611 West Civic Center Drive<br>Santa Ana, CA                                  |
| HUD – Community Builders<br>1600 N. Broadway, Suite 100<br>Santa Ana 92706  | Vietnamese Community of Orange County, Inc.<br>1618 West 1 <sup>st</sup> Street<br>Santa Ana, CA 92704 | Memorial Center<br>2102 S. Flower St.<br>Santa Ana   | Mercy House<br>Transitional Living Center<br>Deliver to: Emmanuel House<br>807 N. Garfield<br>Santa Ana 92702 |
| Community Housing Resources, Inc.<br>1411 North Broadway<br>Santa Ana, CA 92706                                       | AIDS Service Foundation<br>Orange County<br>17982 Sky Park Circle, #J<br>Irvine, CA 92614              | UCI Medical Center<br>Neuropsychiatry<br>Building #3<br>101 The City Drive Rt. 88<br>Orange, CA 92868          | Straight Talk<br>217 N. Cooper Street<br>Santa Ana 92703  |
| Laguna Shanti<br>570 Glenneyre, Suite 101<br>Laguna Beach 92651   | CA Senator Joseph L. Dunn<br>12397 Lewis St., Suite 103<br>Garden Grove, CA 92840                      | OC Soc. Services Agency – Children Services<br>800 North Eckroth<br>Orange                                     | WISE Place<br>1411 North Broadway<br>Santa Ana, CA  |
| Santa Ana College<br>1530 W. 17 <sup>th</sup> Street, Administration Bldg. 2 <sup>nd</sup> Floor, Room 204, Santa Ana | Latino Health Access<br>1717 N. Broadway<br>Santa Ana  | OC Mental Health<br>1200 North Main, Suite 200<br>Santa Ana, CA  | Orange County Rescue Mission<br>1421 Edinger, Suite B<br>Tustin, CA 92780                                     |

## Local Service Agencies that Have Waiting List Applications Available at their Facility(ies)

|  |   |   |   |
|--|---|---|---|
| Regional Center of Orange County<br>801 Civic Center, Suite 100<br>Santa Ana                               | Salgado Center<br>706 N. Newhope Ave.<br>(between 5 <sup>th</sup> and Hazard)<br>Santa Ana  | Santa Ana WORK Center<br>Train Station<br>Santa Ana   | Santa Anita Center<br>300 S. Figueroa<br>Santa Ana  |
| OCSSA Adult Services<br>Ingrid Harita, Deputy Director<br>1505 E. Warner<br>Santa Ana                      | Southwest Senior Center<br>2201 W. McFadden Ave.<br>Santa Ana   | St. Annes' Catholic Church<br>109 W. Borchard<br>Santa Ana 92707  | Taller San Jose<br>801 North Broadway<br>Santa Ana 92701  |
| The Center of Orange County<br>12832 Garden Grove Blvd.,<br>"A"<br>Garden Grove, CA 92843                  | Community Development Council<br>12640 Knott Street<br>Garden Grove, CA 92841   | Santa Ana Central Library<br>Civic Center Drive   | Santa Ana Newhope Library Facility<br>122 North Newhope   |
| Santa Ana Learning Center<br>2627 McFadden<br>Santa Ana  | Mexican American Opportunity Foundation<br>502 S. Ross<br>Santa Ana   | Mariposa Women's Center<br>812 Town & Country Road<br>Orange  | Curtis and Associates<br>902 N. Grand Ave.,<br>Suite 200<br>Santa Ana                             |
| Congresswoman Sanchez<br>12397 Lewis Street, Suite 101<br>Garden Grove                                     | OC Social Services Agency<br>888 North Main Street<br>Santa Ana   | OC Social<br>ATTN: Margo Chavez<br>1200 North Main Street,<br>7 <sup>th</sup> Floor, Office #710<br>Santa Ana, CA 92701 | OC Social Services Agency<br>Domestic Abuse Service Unit<br>1337 Braden Court<br>Orange, CA 92868 |
| Saint Anseom<br>13091 Galway Street<br>Garden Grove, CA 92844  | Community Service Program<br>Sexual Assault Victim Witness<br>1849 East Dyer, Suite 200<br>Santa Ana, CA 92705                          | Social Services Agency<br>1200 N Main St.<br>Santa Ana CA 92701   | Santa Ana Senior Center<br>M-78<br>Corner of Ross and 3 <sup>rd</sup>                             |
| CalWORKS Program<br>Orange Coast College<br>2710 Fairview Road<br>PO Box 5005<br>Costa Mesa, CA 92628-5005 | Consumer Credit Counseling Services<br>1920 Old Tustin Ave.<br>Santa Ana, CA 92705  | Orange Coast College<br>CalWORKS Program<br>2710 Fairview Road<br>Costa Mesa, CA 92626                                  | Madison Elementary<br>1124 East Hobart<br>Santa Ana, CA 92707                                     |
| HUD<br>1600 North Broadway, Suite 100<br>Santa Ana, CA 92706   | OC Social Services Agency<br>PO Box 25196<br>Santa Ana, CA 92799-0029<br>Or<br>1928 S. Grand Ave.,<br>Building C<br>Santa Ana, CA 92705 | South County Seniors<br>24300 El Toro Road,<br>Building A, Suite 200<br>Laguna Woods, CA 92653                          | Cooper Fellowship<br>409 N. Cooper<br>Santa Ana, CA 92703   |
| OC Children and Family Services<br>PO Box 6685<br>Orange, CA 92863   | Children and Family Services<br>Family Maintenance, Non-Court<br>1337 Braden Court<br>Orange, CA  | Casa Pacifica Senior Apartments<br>2201 S. Pacific Ave.<br>#308<br>Santa Ana, CA 92704                                  | South County Seniors<br>34052 Del Obispo<br>Dana Point, CA 92629                                  |

## Local Service Agencies that Have Waiting List Applications Available at their Facility(ies)

|  |   |   |  |
|--|---|---|--|
| OC Child Abuse Prevention Center<br>515 Cabrillo Park Drive,<br>Suite 205<br>Santa Ana, CA 92701                   | Integrity House<br>1933 Sunny Crest Drive<br>Fullerton, CA 92835                      | United Veterans of California<br>921 North Bewley<br>Santa Ana, CA 92703                                    | John Henry Foundation<br>12812 Garden Grove Blvd., Suite L<br>Garden Grove, CA 92843 |
| CalWORKS Employment & Family Resource Center<br>23330 Moulton Pkwy. #A<br>Building 192 A<br>Laguna Hills, CA 92653 | Santa Ana Unified District Head Start<br>2116 Monte Vista Ave.<br>Santa Ana, CA 92704 | Orange County Child Abuse Prevention Center<br>515 Cabrillo Park Drive,<br>Suite 205<br>Santa Ana, CA 92701 | OC SSA<br>1337 Braden Court,<br>Building 140 D<br>Orange, CA 92668                   |
| Interval House<br>ATTN: Elvia Ruiz<br>PO Box 3356<br>Seal Beach, CA 90740  | College Health<br>1155 West Central<br>Santa Ana                                      | Adult Protective Services<br>Orange County Social Services Agency<br>PO Box 22006<br>Santa Ana, CA 92702    | OC Social Services Agency<br>800 North Eckhoff<br>PO Box 14188<br>Orange, CA 92863   |
| Area Agency on Aging<br>1300 South Grand, Building #B<br>Santa Ana, CA 92705                                       | Cross-Cultural Community Center<br>13091 Galway Street<br>Garden Grove, CA 92844      |   |  |

### **(3) Search Time**

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

If yes, state circumstances below:

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

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

**(4) Admissions Preferences**

a. Income targeting

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

b. Preferences

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

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

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

Former Federal preferences

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

Other preferences (select all that apply)

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

- Persons displaced by City of Santa Ana Community Development Agency actions

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

**(1) Date and Time**

Former Federal preferences

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

**(1) Victims of domestic violence**

Substandard housing

Homelessness

High rent burden

Other preferences (select all that apply)

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

**(1)  Veterans and veterans’ families**

**(1)  Residents who live and/or work in your jurisdiction**

Those enrolled currently in educational, training, or upward mobility programs

Households that contribute to meeting income goals (broad range of incomes)

Households that contribute to meeting income requirements (targeting)

Those previously enrolled in educational, training, or upward mobility programs

**(1)  Victims of reprisals or hate crimes**

Other preference(s) (list below)

🕒 **(1)** Mobile home coach owners

🕒 **(1)** Persons displaced by City of Santa Ana Community Development Agency actions

🕒 **(1)** Any specialized City programs (e.g., YES program)

🕒 **(1)** Homeless persons referred from Transitional Living Sponsor

🕒 **(1)** Orange County Social Services Agency Family Unification program participants.

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

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

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

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

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

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

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

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

- The Section 8 Administrative Plan
- Briefing sessions and written materials
- Other (list below)

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- Through published notices
- Other (list below)
  - 🕒 Outreach through community based organizations.

# 4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

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

## A. Public Housing

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

### (1) Income Based Rent Policies

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

a. Use of discretionary policies: (select one)

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

---or---

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

b. Minimum Rent

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

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

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

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

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

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

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

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

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

e. Ceiling rents

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

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

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

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

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

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

f. Rent re-determinations:

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

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

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

**(2) Flat Rents**

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

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

Not Applicable

## . Section 8 Tenant-Based Assistance

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

As a Section 8 only agency, the Housing Authority of the City of Santa Ana is required to complete this part.

### (1) Payment Standards

Describe the voucher payment standards and policies.

The following statements describe the Housing Authority of the City of Santa Ana's voucher payment standards and policies.

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

- At or above 90% but below 100% of FMR
- 100% of FMR SET AT THE 50<sup>th</sup> PERCENTILE
- Above 100% but at or below 110% of FMR
  - For persons with disabilities as accommodation and for City of Santa Ana mobile home coach owners
- 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)
- Not Applicable**

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

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

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

- Annually  
 Other (list below)

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

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

**(2) Minimum Rent**

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

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

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

# 5. Operations and Management

[24 CFR Part 903.7 9 (e)]

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

## THE SANTA ANA HOUSING AUTHORITY IS A HIGH PERFORMING PHA AND THEREFORE NOT REQUIRED TO COMPLETE THIS SECTION.

### A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

- An organization chart showing the PHA's management structure and organization is attached.
- 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 |  |                   |
| Public Housing Drug Elimination Program (PHDEP) |  |                   |
| Other Federal Programs                          |  |                   |

**C. Management and Maintenance Policies**

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Section 8 Management: (list below)

Not Applicable

# 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.

## THE SANTA ANA HOUSING AUTHORITY IS A HIGH PERFORMING PHA AND THEREFORE NOT REQUIRED TO COMPLETE THIS SECTION.

### 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.

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

## A. Capital Fund Activities

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

### (1) Capital Fund Program Annual Statement

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

Select one:

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

-or-

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

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

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

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

b. If yes to question a, select one:

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

-or-

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

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

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

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

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

1. Development name:

2. Development (project) number:

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

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

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

If yes, list development name/s below:

Yes  No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?

If yes, list developments or activities below:

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

If yes, list developments or activities below:

# 8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

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

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

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

2. Activity Description

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

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

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

[24 CFR Part 903.7 9 (i)]

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

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

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

## 2. Activity Description

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

**Designation of Public Housing Activity Description**

1a. Development name:

1b. Development (project) number:

2. Designation type:

Occupancy by only the elderly

Occupancy by families with disabilities

Occupancy by only elderly families and families with disabilities

3. Application status (select one)

Approved; included in the PHA's Designation Plan

Submitted, pending approval

Planned application

4. Date this designation approved, submitted, or planned for submission: (DD/MM/YY)

5. If approved, will this designation constitute a (select one)

New Designation Plan

Revision of a previously-approved Designation Plan?

6. Number of units affected:

7. Coverage of action (select one)

Part of the development

Total development

Not Applicable

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

[24 CFR Part 903.7 9 (j)]

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

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

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

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

2. Activity Description

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

| <b>Conversion of Public Housing Activity Description</b>   |   |
|--|---|
| 1a. Development name:  |   |
| 1b. Development (project) number:  |   |
| 2. What is the status of the required assessment?  | <input type="checkbox"/> Assessment underway<br><input checked="" type="checkbox"/> Assessment results submitted to HUD<br><input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question)<br><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<br><input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY)<br><input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY)<br><input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway |

**Conversion of Public Housing Activity Description**

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

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

Not Applicable

# 11. Homeownership Programs

## Administered by the PHA

[24 CFR Part 903.7 9 (k)]

### A. Public Housing

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

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

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

### 2. Activity Description

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

| <b>Public Housing Homeownership Activity Description</b><br><b>(Complete one for each development affected)</b> |   |
|---|---|
| 1a. Development name:   |   |
| 1b. Development (project) number:   |   |
| 2. Federal Program authority:   |   |
|   | <input type="checkbox"/> HOPE I<br><input type="checkbox"/> 5(h)<br><input type="checkbox"/> Turnkey III<br><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<br><input type="checkbox"/> Submitted, pending approval<br><input type="checkbox"/> Planned application |
| 4. Date Homeownership Plan/Program approved, submitted, or planned for submission:<br><u>(DD/MM/YYYY)</u>       |   |
| 5. Number of units affected:  |   |
| 6. Coverage of action: (select one)   |   |
|   | <input type="checkbox"/> Part of the development<br><input type="checkbox"/> Total development  |

Not Applicable

## B. Section 8 Tenant Based Assistance

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

**NOTE:** Under very limited circumstances, the Housing Authority of the City of Santa Ana, will allow the Housing Assistance Payment (HAP) to be used as partial payment toward a monthly mortgage payment provided the Section 8 client meets certain eligibility criteria. See the “eligibility” criteria below.

- Down payment assistance **will not** be funded by Section 8 rental assistance payments.
- FSS Escrow Funds may be used as a down payment toward the purchase of a home.

### 2. Program Description:

#### a. Size of Program

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

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

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

#### b. PHA-established eligibility criteria

- Yes  No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria? If yes, list criteria below:
- Income
  - Credit History
  - Ability to pay for a down payment
  - Relationship with a not-for-profit
  - Mandatory homeownership counseling prior to acquisition

# **12. PHA Community Service and Self-Sufficiency Programs**

[24 CFR Part 903.7 9 (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.

## **THE SANTA ANA HOUSING AUTHORITY IS A HIGH PERFORMING PHA AND THEREFORE NOT REQUIRED TO COMPLETE THIS SECTION.**

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

#### 1. Cooperative agreements:

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

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

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

### **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<br>(including location, if appropriate) | Estimated Size | Allocation Method<br>(waiting list/random selection/specific criteria/other) | Access<br>(development office / PHA main office / other provider name) | Eligibility<br>(public housing or section 8 participants or both) |
|  |                |  |  |   |

**(2) Family Self Sufficiency programs**

a. Participation Description

| Family Self Sufficiency (FSS) Participation |  |  |
|---|--|--|
| Program                                     | Required Number of Participants<br>(start of FY 2002 Estimate) | Actual Number of Participants<br>(As of: <b>04/01/01</b> ) |
| Public Housing                              |  |  |
| Section 8                                   |  |  |

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

**C. Welfare Benefit Reductions**

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

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

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

Not Applicable

# **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.

## **THE SANTA ANA HOUSING AUTHORITY IS A HIGH PERFORMING PHA AND THEREFORE NOT REQUIRED TO COMPLETE THIS SECTION.**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

# 14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

Not Applicable

# **15. Civil Rights Certifications**

[24 CFR Part 903.7 9 (o)]

Please see the enclosed Civil Rights Certifications, which are included in the “Housing Authority of the City of Santa Ana Plan Certifications of Compliance with PHA Plans and Related Regulations.”

# **16. Fiscal Audit**

[24 CFR Part 903.7 9 (p)]

1.  Yes  No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?  
(If no, skip to component 17.)
  
2.  Yes  No: Was the most recent fiscal audit submitted to HUD?  
⌚ The latest Fiscal Audit of the Housing Authority of the City of Santa Ana was completed June 30, 2001.
  
3.  Yes  No: Were there any findings as the result of that audit?
  
4.  Yes  No: If there were any findings, do any remain unresolved?  
If yes, how many unresolved findings remain? \_\_\_\_\_
  
5.  Yes  No: Have responses to any unresolved findings been submitted to HUD?  
If not, when are they due (state below)?

# 17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

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

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

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

# 18. Other Information

[24 CFR Part 903.7 9 (r)]

## A. Resident Advisory Board Recommendations

1.  Yes  No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
  
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)  
 Attached at Attachment 1  
 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)

**NOTE:** Section 8 program participant and Tenant Advisory Board recommendations have been incorporated into this document as **Attachment 1**. The Housing Authority of the City of Santa Ana staff will address the recommendations listed in **Attachment 1**, and to the extent feasible, and if within the control of the Authority, suggestions will be incorporated into the actions of the Authority to address goals.

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

1.  Yes  No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
  
2.  Yes  No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)
  
3. Description of Resident Election Process
  - a. Nomination of candidates for place on the ballot: (select all that apply)  
 Candidates were nominated by resident and assisted family organizations

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

b. Eligible candidates: (select one)

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

c. Eligible voters: (select all that apply)

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

**C. Statement of Consistency with the Consolidated Plan**

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

1. Consolidated Plan jurisdiction:

- ⌚ The Housing Authority if the City of Santa Ana is within the jurisdiction of the City of Santa Ana thus must be compliant with the City's Consolidated Plan. See **Attachment 2** for certification.

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

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
  - ⌚ Expanding affordable housing opportunities for low- and very-low income households. Authority initiatives to be undertaken that support Consolidated Plan objectives include:
    - ③ Rental assistance for low- and very-low income households experiencing housing problems (i.e., pay more than 30% of household income for rent and utilities).

- ③ Bonding authority as financial resource for preservation/expansion of affordable housing opportunities.
- ③ Use of rental assistance to assist with relocation of displaced households as a result of actions taken by the City's Community Development Agency.
- ③ Assist with the elimination of impediments to fair housing choice by providing access to affordable housing, direct referrals, educational materials and training to Section 8 landlords and tenants.

Other: (list below)

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

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

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

- ⌚ HUD requires that the Housing Authority provide a definition of a "**substantial deviation**" from its Agency Plan. For the purpose of this Agency Plan, a substantial deviation is defined as the elimination of an objective or activity identified in the one-year plan, unless deviation is a result of HUD regulatory requirements or lack of HUD resources.
- ⌚ HUD requires that the Housing Authority provide a definition of a "**substantial amendment**" to its five-year and one-year Agency Plan. For the purpose of this Agency Plan, a substantial amendment is defined as a change resulting from any of the following actions:
  - ③ Changes to rent or admissions policies or organization of waiting list, unless change results from HUD regulatory requirements.
- ⌚ HUD requires that the Housing Authority provide a statement of its progress toward meeting its 5-year mission and goals. See attachment 5 for a summary of progress, to date.

## **Attachments**

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

**Attachment 1** – Recommendations of Resident Advisory Committee and the Housing Authority responses.

**Attachment 2** – Required Certifications

**Attachment 3** – Proof of Publication

**Attachment 4** – Section 8 Homeownership Capacity Statement

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

**Attachment 6** – Resident Membership of the PHA Governing Board

**Attachment 7** – Membership of the Resident Advisory Board

# Attachment 1

RECOMMENDATIONS OF TENANT ADVISORY BOARD  
AND  
HOUSING AUTHORITY RESPONSES

# Tenant Advisory Board Meeting

January 23, 2003

| <b>Discussion Question or Issue</b>  | <b>Responses from Board Members</b>   | <b>Santa Ana Housing Authority</b>  |
|--|---|---|
| 1. Do you feel that the HQS inspections that are being performed on your unit are thorough?                                | Yes. They are important to keep units up-to-date and to ensure landlords perform repairs.<br><br>A good relationship exists between tenants and inspectors.   |   |
| 2. Do you understand how to fill out the Change Report Form? Can it be made clearer for you?                               | Form is understandable and useful, but would be easier to use if Spanish and Vietnamese versions were available.  | Will continue to provide instruction sheet in English, Vietnamese, and Spanish. |
| 3. Do you know about our Family Self Sufficiency program?  | About 40% of members knew of the FSS program and some are currently enrolled.<br><br>Members requested information on the program be included in the Annual Re-Exams.                               |   |
| 4. Are you familiar with outside resources that other companies offer like the gas company, phone, and electric utilities? | Yes, but would like to see updates and information on new programs included in tenant newsletter. Most board members were familiar with these programs, but believed other participants may not be. |   |
| 5. If you are not employed, what can the SAHA do to help you find work?  | Some board members were aware of the Santa Ana WORK Center and its employment services. Others had not heard of or visited the WORK Center yet. Specific job openings for Seniors are of interest.  |   |
| 6. Do you understand the Family Obligations listed on your Housing Choice Voucher?   | Yes. They are clear and understandable. Versions in other languages would be helpful.   |   |

| <b>Discussion<br/>Question or Issue</b>  | <b>Responses from<br/>Board Members</b>   | <b>Santa Ana<br/>Housing<br/>Authority</b> |
|--|---|--|
| 7. How is the SAHA's customer service?   | Very good customer service. Professional, efficient, and timely. Tenants were always treated with respect. Notification when Housing Specialist changes was requested. Also, requested comment cards in HA lobby. |  |
| 8. Do you prefer these meetings to be held at night or during the day?                 | Various responses. For some, afternoons are better, for others, evenings. Majority believed evening meetings (as currently scheduled) were best.  |  |
| 9. Have you thought what you would do if HUD put a time limit on Section 8 assistance? | No. But would probably try to learn more marketable skills to increase income if faced with time limits.  |  |

# Attachment 2

CONSISTENCY WITH CONSOLIDATED PLAN



COMPLIANCE WITH THE PHA PLANS AND  
RELATED REGULATIONS



CERTIFICATE FOR A DRUG-FREE WORKPLACE



CERTIFICATION OF PAYMENTS TO  
INFLUENCE FEDERAL TRANSACTIONS



DISCLOSURE OF LOBBYING ACTIVITIES

Consistency with Consolidated Plan  
(1 page document)

Submitted electronically to HUD National as: ca093a01  
Original, hard copy submitted to HUD Field Office

Certification of Compliance with PHA Plans and  
Related Regulations  
Board Resolution to Accompany Plan  
Page 1

Submitted electronically to HUD National as: ca093b01  
Original, hard copy submitted to HUD Field Office

Certification of Compliance with PHA Plans and  
Related Regulations  
Board Resolution to Accompany Plan  
Page 2

Submitted electronically as ca093c01  
Original, hard copy submitted to HUD Field Office

Certification of Compliance with PHA Plans and  
Related Regulations  
Board Resolution to Accompany Plan  
Page 3

Submitted electronically as ca093d01  
Original, hard copy submitted to HUD Field Office

Certification for a Drug-Free Workplace  
(1 page document)

Submitted electronically as: ca093e01  
Original, hard copy submitted to HUD Field Office

Certification of Payments to Influence Federal Transactions  
(1 page document)

Submitted electronically as: ca093f01  
Original, hard copy submitted to HUD Field Office

Disclosure of Lobbying Activities  
(1 page document)

Submitted electronically as: ca093g01  
Original, hard copy submitted to HUD Field Office

# Attachment 3

PROOF OF PUBLICATION

Affidavit of Publication  
(1 page document)

Submitted Electronically as: ca093h01  
Original, hard copy submitted to HUD Field Office

# Attachment 4

## SECTION 8 HOMEOWNERSHIP PROGRAM CAPACITY STATEMENT

Section 8 Homeownership Capacity Statement  
(1 page document)

Submitted Electronically as: ca093i01  
Original, hard copy submitted to HUD Field Office

# Attachment 5

PROGRESS REPORT: FIVE YEAR PLAN

# Attachment 5

## Progress Report

### Five Year Plan

Activities completed or expected to be conducted\* that have lead to significant completion of the Five Year Goals are:

{\*Expected to be conducted: The update to the Annual Plan was completed March 4, 2003. This is four months before the end of the current fiscal year. This status report includes activities already completed or initiated and those that have an execution date between March 1 and June 30, 2003.}

#### *Funding*

- Applied for and received 500 Housing Choice Vouchers to assist 500 low-income families/individuals with rental assistance. (July 2, 2001)
- Applied for and received \$120,000 to employ up to two full-time staff to administer a Family Self-Sufficiency Program. (September 28, 2001)
- Applied for and received \$50,000 from the Federal Home Loan Bank to assist (as matching funds) with a low-income homeownership program. Estimate assisting up to five families. (April 24, 2001)
- Received \$562,000 in County Social Services funds to assist CalWORKS clients with security deposits and the purchase of stoves and refrigerators. Assisted over 125 families.

#### *Relationships and Customer Service*

- Opened the Wait List on October 1, 2001. Wait list will stay open indefinitely. Last wait list opening was August 1999. Provided wait list applications to over 65 service agencies.
- Hosted New Owner Outreach program with all OC housing authorities to educate and attract new owners to the Section 8 program. Over 100 property owners attended. (October 2002)

- Entered into MOUs with Community Housing Resources, Inc., Mercy House Transitional Living Centers, and Orange County Social Services Agency to streamline the rental assistance process for mutual clients. (Spring and Fall 2001)
- Provided presentations on the operations of the Santa Ana Housing Authority to Mental Health Board, Providers Forum, two local SEIU Unions, and the OC Consumer Credit Counseling Council. Attended and provided information at Congresswoman Loretta Sanchez's information tent at local events.
- Entered into a contract with Fair Housing Council of Orange County to mediate administrative hearings. Provides clients with a neutral third party when challenging an Authority action. (May 2001)
- Worked extensively with Southern California Edison to offer new refrigerators to clients with 10 year old+ refrigerators. 400 clients referred through program. (September 2001)
- Exceeded 5% projected state Medicaid/MediCal referrals from local healthcare agencies.
- Held six Family Self Sufficiency (FSS) orientations each month from July – December 2002. In January 2003, began conducting three orientations each month. Average attendance is 10-15 individuals at each meeting. FSS orientations are conducted in English, Spanish, and Vietnamese.
- Two Consumer Credit Counseling workshops are scheduled for Spring 2003. As of February 2003, 72 individuals have reserved seats at the workshops.

### ***Quality Improvement/Internal Operations***

- Began utilizing the services of an off-site storage facility to improve filing and storage needs. (Summer 2001)
- Converted to a computerized bar code labeling system for over 2,000 case files. System will improve efficiency in locating files. (December 2001)
- Implemented systematic approach to data collection and tracking of funds. Monthly reports generated to determine areas of efficiency and for strategic planning.
- Converted to improved web-based data management system, which will expedite payment processing, reduce payment errors, and provide staff more responsive support and maintenance. (Estimated completion June 2003)

- Staff attended HQS inspection training and certification in December 2002, and Occupancy training in April 2003.
- Staff met with Orange County Fair Housing Council director for training and legal update, February 2003.
- Contracted with new vendor for credit and criminal background research. Process is now web-based and near real time. Also contracted with private investigative service to prosecute and reduce fraud.

# Attachment 6

## Resident Membership of the PHA Governing Board

Name: Lillian Garofalo

Term: 2-year term

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

# Attachment 7

## Membership of the Resident Advisory Board

|                    |
|--------------------|
| Alberto Zaragoza   |
| Alicia Salazar     |
| Antonio Ponce      |
| Carlos E. Morales  |
| Carlos Rodriguez   |
| Dat Tien Nguyen    |
| Diep N. Nguyen     |
| Donald Ducharme    |
| Felicitas Munoz    |
| Filiberto Gonzalez |
| Han Van Nguyen     |
| Huy Ngoc Vu        |
| Hy Duc Nguyen      |
| Jesus Solis        |
| Jim Watson         |
| Jon Williams       |
| Luyen Hoang        |
| Margaret Beltran   |
| Maria A. Felix     |
| Maria D. Garcia    |
| Maria E. Bonilla   |
| Maria L. Lopez     |
| Maria Sanchez      |
| Muoi Van Nguyen    |
| Rafaela Lopez      |
| Ridel Chan Sambuo  |
| Roxanna Mangili    |
| Susan Euske        |
| Thanh Quang Tran   |
| Truong T. Vu       |
| Vui Cao            |

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

I, David N. Ream, the City Manager, certify that the fiscal year 2004 (which begins July 1, 2003) Annual PHA Plan of the Housing Authority of the City of Santa Ana is consistent with the Consolidated Plan of the City of Santa Ana prepared pursuant to 24 CFR Part 91.



David N. Ream, City Manager

3/5/03

Date

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

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the 5-Year Plan and Annual Plan for PHA fiscal year beginning 07/01/03 hereinafter referred to as the Plan of which this document is a part and make the following certifications and agreements with the Department of Housing Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.15). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
4. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
5. The PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
6. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement, and maintain records reflecting these analyses and actions.
7. For PHA Plan that includes a policy for site based waiting lists:
  - The PHA regularly submits required data to HUD's MTCS in an accurate, complete and timely manner (as specified in PIH Notice 99-2).
  - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
  - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
  - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
  - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).

8. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
9. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
10. The PHA will comply with the requirements of section 5 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low- or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
11. The PHA has submitted with the Plan a certification with regard to a drug free workplace required by 24 CFR Part 24, Subpart F.
12. The PHA has submitted with the Plan a certification with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.
13. For PHA Plan that includes a PHDEP Plan as specified in 24 CFR 761.21: The PHDEP Plan is consistent with and conforms to the "Plan Requirements" and "Grantee Performance Requirements" as specified in 24 CFR 761.21 and 761.23 respectively and the PHA will maintain and have available for review/inspection (at all times), records or documentation of the following:
  - Baseline law enforcement services for public housing developments assisted under the PHDEP plan;
  - Consortium agreement/s between the PHAs participating in the consortium and a copy of the payment agreement between the consortium and HUD (applicable only to PHAs participating in a consortium as specified under 24 CFR 761.15);
  - Partnership agreements (indicating specific leveraged support) with agencies/organizations providing funding, services or other in-kind resources for PHDEP-funded activities;
  - Coordination with other law enforcement efforts;
  - Written agreement(s) with local law enforcement agencies (receiving any PHDEP funds); and
  - All crime statistics and other relevant data (including Part I and specified Part II crimes) that establish need for the public housing sites assisted under the PHDEP Plan.
14. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
15. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
16. The PHA will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58.
17. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
18. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
19. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
20. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments.).
21. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.

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

---

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

Housing Authority of the  
City of Santa Ana

CA 039

PHA Name

PHA Number



Signed/Date by PHA Board Chair or other authorized PHA official

Miguel A. Pulido, Chairman

# Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Housing Authority of the City of Santa Ana

Program/Activity Receiving Federal Grant Funding

Section 8 Rental Assistance Program

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

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

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

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

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

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

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

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

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

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

(1) Abide by the terms of the statement; and

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

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

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

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

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

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

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

Santa Ana City Hall  
20 Civic Center Plaza  
Santa Ana, CA 92702

Check here  if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (19 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

John P. Reekstin

Title

Executive Director

Signature

X

Date

03/10/2003

Form HUD-50070 (3/95)  
ref. Handbooks 7417.1, 7475.13, 7485.1 & 3

**Certification of Payments  
to Influence Federal Transactions**

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

Applicant Name

Housing Authority of the City of Santa Ana

Program/Activity Receiving Federal Grant Funding

Section 8 Rental Assistance Program

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

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

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

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

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

|   |                    |
|---|--------------------|
| Name of Authorized Official   | Title              |
| John P. Reekstin  | Executive Director |
| Signature   | Date (mm/dd/yyyy)  |
|  | 03/10/2003         |

Previous edition is obsolete

form HUD 50071 (3/98)  
ref. Handbooks 7417.1, 7475.13, 7488.1, & 7488.3

**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB  
0348-0046

*(See reverse for public burden disclosure.)*

|  |   |   |
|--|---|---|
| <b>1. Type of Federal Action:</b><br><input checked="" type="checkbox"/> a. contract<br><input type="checkbox"/> b. grant<br><input type="checkbox"/> c. cooperative agreement<br><input type="checkbox"/> d. loan<br><input type="checkbox"/> e. loan guarantee<br><input type="checkbox"/> f. loan insurance   | <b>2. Status of Federal Action:</b><br><input checked="" type="checkbox"/> a. bid/offer/application<br><input type="checkbox"/> b. initial award<br><input type="checkbox"/> c. post-award                      | <b>3. Report Type:</b><br><input checked="" type="checkbox"/> a. initial filing<br><input type="checkbox"/> b. material change<br><b>For Material Change Only:</b><br>year _____ quarter _____<br>date of last report _____ |
| <b>4. Name and Address of Reporting Entity:</b><br><input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee<br>Tier _____, if known:<br><br>Congressional District, if known:   | <b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b><br><br>Congressional District, if known:   |   |
| <b>6. Federal Department/Agency:</b><br>U. S. Department of Housing and Urban Development  | <b>7. Federal Program Name/Description:</b><br>Section 8 Rental Assistance Program<br>CFDA Number, if applicable: _____   |   |
| <b>8. Federal Action Number, if known:</b>   | <b>9. Award Amount, if known:</b><br>\$ _____   |   |
| <b>10. a. Name and Address of Lobbying Registrant</b><br><i>(if individual, last name, first name, MI):</i>  | <b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i><br><i>(last name, first name, MI):</i>   |   |
| <b>11.</b> Information requested through this form is authorized by the 31 U.S.C. section 1352. The disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the law above when the appropriation was made or awarded. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress and made available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. | Signature: <br>Print Name: John P. Reekstin<br>Title: Executive Director<br>Telephone No.: (714) 667-2200      Date: 03/16/03 |   |
| <b>Federal Use Only:</b>   | Authorized for Local Reproduction<br>Standard Form LLL (Rev. 7-97)  |   |

**AFFIDAVIT OF PUBLICATION**

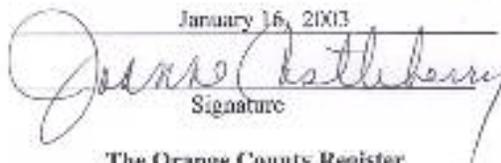
STATE OF CALIFORNIA, )  
 ) ss.  
County of Orange )

I am a citizen of the United States and a resident of the County aforesaid; I am over the age of eighteen years, and not a party to or interested in the above entitled matter. I am the principal clerk of **The Orange County Register**, a newspaper of general circulation, published in the city of Santa Ana, County of Orange, and which newspaper has been adjudged to be a newspaper of general circulation by the Superior Court of the County of Orange, State of California, under the date of November 19, 1905, Case No. A-21046, that the notice, of which the annexed is a true printed copy, has been published in each regular and entire issue of said newspaper and not in any supplement thereof on the following dates, to wit:

January 16, 2003

"I certify (or declare) under the penalty of perjury under the laws of the State of California that the foregoing is true and correct";

Executed at Santa Ana, Orange County, California, on

January 16, 2003  
  
Signature

**The Orange County Register**  
625 N. Grand Ave.  
Santa Ana, CA 92701  
(714) 796-7000 ext. 3002

**PROOF OF PUBLICATION**

This space is for the County Clerk's Filing Stamp

Proof of Publication of

**PUBLIC NOTICE**  
NOTICE OF PUBLIC HEARING TO BE HELD BY THE HOUSING AUTHORITY AND HOUSING COMMISSION OF THE CITY OF SANTA ANA ON THE PROPOSED SUBMISSION AND AVAILABILITY OF DEVELOPMENTAL, FINANCIAL, AND ADMINISTRATIVE PLANS

NOTICE IS HEREBY GIVEN that the Housing and Housing Commission of the City of Santa Ana will hold a public hearing on March 4, 2003 at 8:30 a.m. in the City Council Chamber, 25 Civic Center Plaza, Santa Ana, California 92701, pursuant to the proposed submission of the Housing Authority Annual Plan and the Housing Authority Administrative Plan. The Housing Authority of the City of Santa Ana is required to hold a public hearing to discuss the annual plan and the administrative plan prior to their submission to the U.S. Department of Housing and Urban Development (HUD). A minimum of 60 days notice of this public hearing is required by federal regulations.

Pursuant to the County Housing and Public Responsibility Act of 1980 (Public Law 103-276), the Housing Authority of the City of Santa Ana is required to prepare an annual plan. The annual plan provides details about the Housing Authority's immediate operations, program participation, programs and services, and the Authority's strategy for handling operational concerns, financial concerns, and needs, and program services for the upcoming fiscal year. The plan contains long-range and short-range strategies to address identified needs.

The administrative plan is a supporting document to the annual plan. The administrative plan contains local policies for administration of the programs administered by the Housing Authority in accordance with HUD requirements. The administrative plan also states Housing Authority policy on matters for which the Housing Authority has discretion to establish local policies.

A draft of the annual plan and the administrative plan and supporting documentation is available for public review beginning January 15, 2003 at the Office of the Housing Authority of the City of Santa Ana located in Santa Ana City Hall, 25 Civic Center Plaza, 2nd Floor during regular business hours between 8:30 a.m. and 5:00 p.m., Monday through Friday, and in the Santa Ana Central Library, located at 25 Civic Center Plaza, Santa Ana, California. The annual and administrative plans will be modified to meet any public input, change in regulations as published by HUD and to the corporate commitments from the Tenant Advisory Committee, which will meet January 22, 2003. Written comments on such plans may be submitted to the Housing Authority of the City of Santa Ana, Attention: Linda L. Foster, 25 Civic Center Plaza, Apt. Box 99022, Santa Ana, CA 92702 or on or before March 4, 2003.

Any and all interested persons and parties are invited to attend the public hearing and/or provide written comments. Additional information may also be obtained by calling the Housing Authority at 714-767-9200.

Public - Orange County Register, January 15, 2003  
H-202 564987

# Capacity Statement

## Section 8 Voucher Homeownership Program

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

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

and

"Require that financing for purchase of a home under its Section 8 homeownership program will:

1. Be provided, insured, or guaranteed by the state or federal government;
2. Comply with secondary mortgage market underwriting requirements;  
or
3. Comply with generally accepted private sector underwriting standards."

  
\_\_\_\_\_  
John P. Reekstin, Executive Director  
Housing Authority of the City of Santa Ana

3-10-03  
Date