

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

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# PHA Plans

5-Year Plan for Fiscal Years 2000 - 2004  
Annual Plan for Fiscal Year 2003

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

**PHA Plan  
Agency Identification**

**PHA Name:** The Housing Authority of the City of New Albany,  
Indiana

**PHA Number:** IN0012

**PHA Fiscal Year Beginning: (mm/yyyy)** 04-2003

**Public Access to Information**

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

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

**Display Locations For PHA Plans and Supporting Documents**

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

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices: Beechwood Court; Crystal/Vance Court; Parkview/Broadmeade Terrace (Central Office; Parkview Towers; Riverview Towers; Riverside Terrace; Mark Elrod Towers)
- 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)  
New Albany City County Building; Planning Commission Office; Main Administrative Office of the City of New Albany

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

- Main business office of the PHA
- PHA development management offices
- Other (list below)  
Beechwood Court; Crystal/Vance Court; Parkview/Broadmeade Terrace (Central Office; Parkview Towers; Riverview Towers; Riverside Terrace; Mark Elrod

Towers; New Albany City County Building; Planning Commission Office; Main  
Administrative Office of the City of New Albany

**5-YEAR PLAN**  
**PHA FISCAL YEARS 2000 - 2004**  
[24 CFR Part 903.5]

**A. Mission**

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

- The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- The PHA's mission is: (state mission here)  
Promoting and sustaining our community's vitality through safe, affordable housing and creative economic development.

**B. Goals**

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

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

- PHA Goal: Expand the supply of assisted housing  
Objectives:
- Apply for additional rental vouchers:
    - NAHA will apply for an additional 150 as available. In FY 2001-2, NAHA was awarded an additional 358 vouchers under the Fair Share (20), Designated Housing (200), Family Unification (50), and Enhanced (39) voucher programs, and (49) Fair share vouchers.
  - Reduce public housing vacancies:
    - Attain a 5% average monthly vacancy rate or lower by 3/31/04
    - Enhance the standards for interiors of units to make them more marketable
    - Enhance the appearance of all public housing developments
    - Increase the number of positive articles about public housing communities
    - Increase marketing to broader population

- Enhance screening of applicants and current residents
- Enhance the safety and security within each of the developments
- Leverage private or other public funds to create additional housing opportunities:
- Acquire or build units or developments:
  - Objectives 3B and 3C of the Strategic Plan emphasize the acquisition and rehabilitation of units to be offered to working families under a home ownership program utilizing a variety of financing mechanisms. This is done in conjunction with the partnership with the City of New Albany to prevent duplication of services
- Other (list below)
  - See the Five Year Strategic Plan at Tab 1 and Progress Update at Tab 2
- PHA Goal: Improve the quality of assisted housing  
Objectives:
  - Improve public housing management: (PHAS score) 83. NAHA seeks to improve its status from a Standard Performer to a High Performer or equivalent or better under PHAS.
  - Improve voucher management: (SEMAP score) Not Available SEMAP Data has been submitted to HUD as of 5/2001 indicating attaining 130 or 135 points possible not including a 5 point bonus for deconcentration.
  - Increase customer satisfaction: Objective 2F of the Strategic Plan states that NAHA will identify, track and make progress in addressing resident needs and dissatisfactions. Based on annual results of the Resident Satisfaction Surveys conducted by HUD, NAHA will develop and implement a variety of strategies aimed at meeting resident concerns, such as:
    - Work more closely with the Resident Advisory Board in planning NAHA programs and activities
    - Quarterly dialogues with residents regarding concerns and issues they may have
    - Customer relations training for its staff
    - Quality control measures for management and maintenance
    - Implement Crime Prevention Through Environmental Design strategies to reduce fear of and experience with crime on or near NAHA properties
    - Lighting assessment, particularly of parking lots
    - Activities to improve the appearance of the developments
  - Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)  
Goals 8, 9 and 10 of the Strategic Plan list the following objectives

- a) Institute new property management and maintenance systems which incorporate private sector principles and procedures;
- b) Implement energy performance contracting;
- c) Design and implement a performance evaluation system for employees;
- d) Design and develop a comprehensive staff development system linked to the performance evaluation system;
- e) Develop and implement a vendor/subcontractor performance measurement system and quality control;
- f) Increase the percentage of rents collected through implementation of new policies; and,
- g) Identify and implementing cost savings programs.

Renovate or modernize public housing units:  
 Goal 3A of the 5-year Strategic Plan states that NAHA shall substantially renovate or fully replace at least 100 family housing units at Riverside Terrace by 3/31/05. Renovations of the most distressed units will begin during FY 2003.

Demolish or dispose of obsolete public housing:

Provide replacement public housing: .

Provide replacement vouchers:

Other: (list below)

- a. NAHA will develop plans in concert with the City of New Albany to convert Valley View, a non-public housing single-family rental community owned by NAHA, to the Section 8 Homeownership Program.
- b. To further the availability of affordable housing, NAHA in partnership with the City of New Albany will seek to acquire and renovate older single family housing stock for homeownership under the Family Self-Sufficiency Program and the Section 8 Homeownership Program (Goal 3C, 5-Year Strategic Plan)
- b. Establish a homeownership program in conjunction with the City's program designed to assist residents in all phases of homeownership with a specific goal of assisting 20 families to gain homeownership by 2005 (Goal 2C, 5-Year Strategic Plan).

PHA Goal: Increase assisted housing choices

Objectives:

Provide voucher mobility counseling:

- NAHA is working with neighboring PHA's to provide mobility counseling. MOA's have been signed with other voucher providers in southern Indiana, Lexington (KY) and Louisville/Jefferson County (KY). A copy of the MOA is available at Tab 15.

- Conduct outreach efforts to potential voucher landlords:
  - A copy of the landlord outreach program for NAHA is located at Tab 13.
- Increase voucher payment standards:
  - NAHA has increased its payment standard to 110% and has incorporated this increase into its Section 8 Administrative Plan (attached at Tab 13).
- Implement voucher homeownership program:
  - NAHA will apply directly to the Indiana Housing Authority for HOME funds to operate a lease-purchase program under the Section 8 voucher home ownership program.
  - A full HUD-approved Voucher Home-Ownership Program will be developed in FY 2003.
- Implement public housing or other homeownership programs:
  - NAHA will complete a MOA with the City of New Albany to participate in the Home Ownership Counseling Program.
- Implement public housing site-based waiting lists:
- Convert public housing to vouchers:
- Other: (list below)

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

- PHA Goal: Provide an improved living environment
  - Objectives:
    - Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
    - Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
      - The ACOP sets this a goal and assures that every family has equal access to all developments managed or assisted by NAHA.
    - Implement public housing security improvements:
      - NAHA has contracted with the New Albany Police Department for patrol services
      - NAHA will implement a neighborhood watch/resident patrol program in all of its development
    - Designate developments or buildings for particular resident groups (elderly, persons with disabilities):
      - NAHA has adopted and implemented a Designated Housing Plan (Tab 3).

- NAHA received 200 Designated Housing Choice Vouchers for non-elderly persons with disabilities and will apply for additional vouchers as available and needed.
- Other: (list below)
- Build or purchase a building to develop a Central Administrative Office and Regional Recreation/Community Services Center located within easy access to a majority of assisted housing residents
  - Develop and implement plans for converting 10-20 units in at least two high-rise developments to assisted-living units to provide for transition for those residents who are aging in place.

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

PHA Goal: Promote self-sufficiency and asset development of assisted households

Objectives:

- Increase the number and percentage of employed persons in assisted families:
  - This goal is implemented in the ACOP and 5-Year Strategic Plan (Objectives 2B and 2G). NAHA has also implemented a voluntary FSS program with 41 families participating.
  - Provide job-training programs within NAHA to give residents the experience required to obtain more permanent employment. The training programs will be linked with existing structured job training and course work to ensure compatibility of the experience to other positions.
- Provide or attract supportive services to improve assistance recipients' employability:
  - NAHA has a ROSS grant (Tab 17); FSS Program (Tab 16), and MOA with the TANF and Parks and Recreation Programs (Tab 15).
  - NAHA will expand and strengthen these supportive services during FY 2003
- Provide or attract supportive services to increase independence for the elderly or families with disabilities:
  - Case management for the elderly will be sought through the Super NOFA process in 2003.
  - The Parks and Recreation Department also provides weekly senior activities at each of the high-rise developments.

- Twelve support agencies provide assistance to 200 persons with disabilities who have special needs vouchers through NAHA. (Tab 15)
- Other: (list below)
  - Expand access to healthcare, employment training, and transportation as funding opportunities arise.
  - Continue to develop MOA's to standardize all community partnerships.

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

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing Objectives:
  - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
    - 200 families/persons with disabilities hold vouchers in conjunction with Medicaid Waivered services and other assistive arrangements.
  - Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
    - NAHA is a core participant in the Southern Indiana Housing Initiatives Coalition. This Coalition is dedicated to advocacy, education and capacity building to ensure suitable living environments for all families living in assisted housing (See Objective 7C of the 5-Year Strategic Plan at Tab 1).
  - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
    - NAHA has conducted an accessibility survey to identify the type and extent of modifications needed to ensure accessible housing. These needs are being implemented into the Capital Fund Plan for each funding year.
  - Other: (list below)

**Other PHA Goals and Objectives: (list below)**

**The 5-Year Strategic Plan adopted in 2000 lists the following broad objectives to be achieved by 2005. The full plan is located at Tab 1.**

Objective 1D: At least 30 site based specific improvements across all properties, in accord with "neighborhood" plans

Objective 2B: NAHA will have a full Family Self-Sufficiency Program. More residents will be employed; family incomes will increase.

Objective 2D: Increased effective use of community resources by residents. NAHA staff does more in an outreach, information and referral mode.

Objective 2E: Design a new Assisted Living operation in one or more elderly high-rise development.

Objective 2F: Annual research with residents: needs, progress and life change, satisfaction, etc.

Objective 4B: May build a new recreational complex

Objective 4C: Improve and then maintain at least 33% of property infrastructure: beautification, sidewalks, etc.

Objective 4D Maintain or exceed standards of property care and cleanliness

Objective 7A: All employees are “marketers” of NAHA, informing people of our Values, vision, etc., our focus on People, Home, Neighborhood and Community, the things we are currently doing or developing; employee training in customer service, customer relations.

Objective 8A: Upgrade all organizational and operational policies and systems: There could be a new maintenance system (Work order tracking and monitoring, etc.), new safety procedures, new personnel policies, new accounting policies and systems, new expectations and procedures, for example interaction with and services to residents...

Objective 8B: All employees will gain and use technology well; new equipment and its proper use to enhance work and performance

Objective 8C: Fully implement and enforce a new, complete vendor/subcontractor performance policy

Objective 8D: Operate programs and services to attain a “high performer” status with HUD.

Objective 8H: All our units will be in compliance with or exceed the New Albany Housing Code

Objective 9A: Implement GAAP Accounting procedures.

Objective 9C: Improve management and resource efficiencies. Example: Energy conservation changes and improvements

Objective 10: NAHA Work Culture: Required and elective staff tr./development; regular use of customer relations/service skills and competencies; CQI approach to staff performance and space & improve work area cleanliness

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

**i. Annual Plan Type:**

Select which type of Annual Plan the PHA will submit.

**Standard Plan**

**Streamlined Plan:**

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

**Troubled Agency Plan**

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

[24 CFR Part 903.7 9 (r)]

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

The NAHA Annual Plan focuses on upgrading both the physical properties and services offered residents. Key activities for FY 2002 include development of policies and procedures governing daily operations, implementation of a comprehensive Physical Security (CPTED) analysis of all properties, streamlined maintenance procedures, implementation of homeownership programs, and submission of a HOPE VI application for Broadmeade Terrace, Parkview Terrace and Parkview Towers.

**iii. Annual Plan Table of Contents**

[24 CFR Part 903.7 9 (r)]

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

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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 in ACOP ..... TAB 3
- FY 2000 Capital Fund Program Annual Statement..... TAB 4
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

**Optional Attachments:**

- PHA Management Organizational Chart..... TAB 5
- FY 2000 Capital Fund Program 5-Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)..... TAB 6
- Other (List below, providing each attachment name)

**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.

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
X TAB 8	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X TAB 9	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X TAB 10	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the	5 Year and Annual Plans

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
	resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	
X TAB 11	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X TAB 12	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X TAB 3	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X TAB 13	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
N/A	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X TAB 3	Public housing rent determination policies <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X TAB 3	Schedule of flat rents offered at each public housing development <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X TAB 13	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
N/A	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
X TAB 3	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X TAB 13	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant	Annual Plan: Capital Needs

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
TAB 5	Program Annual Statement (HUD 52837) for the active grant year	
N/A	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
N/A	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
N/A	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
N/A	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
N/A	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
N/A	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
N/A	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X TAB 15	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X TAB 16	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X TAB 17	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
N/A	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X TAB 18	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
N/A	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
X TAB 19	Other supporting documents (optional) PHA Activities Consistent with Consolidated Plan	Annual Plan: Certifications
X TAB 1	NAHA 5-Year Strategic Plan	Annual Plan: Goals and Objectives
X TAB 2	NAHA 5-Year Strategic Plan Progress Report	Annual Plan: Goals and Objectives

## **1. Statement of Housing Needs**

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

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

<b>Housing Needs of Families in the Jurisdiction by Family Type</b>							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI	1829	5	4	4	3	5	4
Income >30% but <=50% of AMI	1107	4	4	4	4	4	4
Income >50% but <80% of AMI	513	3	4	3	4	4	3
Elderly	872	5	5	4	4	2	4
Families with Disabilities	1187	5	5	4	4	3	4
Race/Ethnicity (1)	1106	4	3	3	3	4	3
Race/Ethnicity (2)	217	4	3	3	3	4	4
Race/Ethnicity (3)	67	4	3	3	3	4	4
Race/Ethnicity (4)	56						

\*Estimate (Pop=37603/2.36 PPH=15959 HH/8.5% RD=1,356)

- 1 African American
- 2 Hispanic, All Races
- 3 Asian-Pacific Islander.
- 4 Native American-Eskimo-Aleut

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

- Consolidated Plan of the Jurisdiction/s  
Indicate year: 2001
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset for 1999
- American Housing Survey data  
Indicate year: 1999, 2000, 2001
- Other housing market study  
Indicate year: 1995 Housing Needs of People with Disabilities, City of New Albany

Indicate year: 1996 Report on Analysis of Impediments to Fair Housing  
Choice, City of New Albany  
Indicate year: 1999 Indiana (Rental) Housing, Statewide Market Survey  
Indicate year: 1999 Self-Sufficiency Standard for Indiana, Floyd County  
Indicate year: 1999 Southern Indiana “Continuum of Care” Update  
Indicate year: 1999 Comprehensive Plan, City of New Albany  
Indicate year: 2000 Housing Affordability: It’s All Relative, Metropolitan  
Housing Coalition  
Indicate year: 2000 Community Capacity Plan for Individuals with a Disability;  
Clark and Floyd County Step Ahead Councils

Other sources: (list and indicate year of information)  
2000 Census Report Table DP-1, Profile of General Demographic  
Characteristics: 2000, New Albany City, Indiana, US Census Bureau, Census  
2000

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

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

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input checked="" type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	224		261
Extremely low income <=30% AMI	164	73	
Very low income (>30% but <=50% AMI)	54	24	
Low income (>50% but <80% AMI)	6	3	
Families with children	175	78	
Elderly families	49	22	
Families with Disabilities	63	28	
Race/ethnicity (White)	170	76	
Race/ethnicity (Black)	51	23	
Race/ethnicity (Hispanic)	3	0.01	
Race/ethnicity			

Characteristics by Bedroom Size (Public Housing Only)	# of families	% of total families	Annual Turnover
1BR	58	50	38
2 BR	32	27	134
3 BR	19	16	66
4 BR	8	7	22
5 BR	N/A	N/A	N/A
5+ BR	N/A	N/A	N/A

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

If yes:

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

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

Does the PHA permit specific categories of families onto the waiting list, even if generally closed?  No  Yes

### C. Strategy for Addressing Needs

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

#### (1) Strategies

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

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

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line:
- NAHA is in the process of initiating new policies, procedures and training to improve the inspection, preventive maintenance and tracking of work orders. We will develop standard operating procedures for all tasks during the next year.
  - NAHA will hire and train staff as Inspectors to hold contractors, subcontractors and vendors to the highest quality standards and to ensure that all work meets and exceeds contract specifications.
- Reduce turnover time for vacated public housing units:
- NAHA has designated specialized unit turnaround teams to concentrate on reducing the turnover time for vacant units. This includes a triage approach to determine how much work will be

required to complete each unit before assigning staff to the renovation tasks.

- 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: NAHA has increased the payment standard to 110% of FMR's to attract landlords. We are also collecting data to substantiate a waiver to make Floyd County a rent exception area and increase the payment standard to 120%.
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)
  - Provide training for staff and key resident natural helpers in information and referral to ensure that residents and applicants obtain necessary assistance in making housing choices.
  - Participate in the NA/FC CHDO goals and activities.
  - Participate in a 29 member Southern Indiana Housing Initiative, Metropolitan Coalition, and other area Housing Coalitions focused on creating and maintaining the supply of affordable housing.

**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)
  - Establish a non-profit community development corporation dedicated community development, economic development, and to increasing the quantity and quality of affordable housing.
  - Research, analyze, and evaluate existing PHA properties as the initial phase of a long-term strategy focused on increased affordable housing with a mix

of rental and home-ownership and a mixed income design, in the overarching context of neighborhood revitalization.

**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: Preferences are incorporated into the ACOP.
- Adopt rent policies to support and encourage work: NAHA has incorporated rent set asides, escrow accounts and family support services to encourage work and economic self-sufficiency activities.
- 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)
  - Provide supportive services to families who are working
  - Coordinate childcare opportunities through Providence Self-Sufficiency Ministries.

**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: NAHA obtained Designated Housing Status for each of the elderly high-rise communities in June 2000.
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)
  - NAHA will undertake a site analysis to determine the feasibility of converting some units in its high-rise buildings to Assisted Living Units.

- ❑ NAHA has 26 vacant 0-bedroom units located in Parkview Towers that can't be rented due to demand for 1-bedroom units. If NAHA fails to pursue and obtain a HOPE VI grant for the Broadmeade, Parkview and Parkview Towers complexes in the next year, NAHA will seek to convert the 26 0-bedroom units to 13 1-bedroom units using Capital Funds Accounts.
- ❑ NAHA will apply for funding under the ROSS grant to increase funding for elderly services.
- ❑ NAHA will develop a MOU with the Area Agency on Aging and other service providers to increase services available for elderly residents.

**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: NAHA is in the process of developing a procedure for identifying resident needs and modifying units on a highest need basis.
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available:
- Affirmatively market to local non-profit agencies that assist families with disabilities: NAHA has recently entered into MOA's to formalize relationships with a variety of supportive service agencies. These MOA's are listed in Tab 15.
- Other: (list below)
  - Formally establish collaborative services capacity: Participate in NA-FC CHDO goals and activities, and capacity building.
  - Actively participate in Southern Indiana Housing Initiative, Metropolitan Housing Coalition, area PHA collaborations, and the county-based Welfare Reform Local Planning Council; Consolidated Plan "annual plan"/funds allocation process.

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

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

Select if applicable

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

**Strategy 2: Conduct activities to affirmatively further fair housing**

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units: NAHA has entered into an MOA with the City of New Albany to provide this counseling along with "Good Neighbor Counseling."
- Market the section 8 program to owners outside of areas of poverty /minority concentrations: NAHA has initiated a full, regular landlord outreach program which is described in the Section 8 Administrative Plan at Tab 13
- Other: (list below)

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

**(2) Reasons for Selecting Strategies**

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

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

## **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.

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 2002 grants)</b>		
a) Public Housing Operating Fund	2.3 Million	
b) Public Housing Capital Fund	2.077 Million	
c) HOPE VI Revitalization	N/A	
d) HOPE VI Demolition	N/A	
e) Annual Contributions for Section 8 Tenant-Based Assistance	1.7 Million	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	N/A	
g) Resident Opportunity and Self-Sufficiency Grants	0	
h) Community Development Block Grant	0	
i) HOME	0	
Other Federal Grants (list below)		
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		
CF 101 Capital Funds	208,000	Operations and Capital Improvements
FY 2000 Capital Funds	0	Operations and Capital Improvements
<b>3. Public Housing Dwelling Rental Income</b>		
Dwelling Rental Income	875,000	Public Housing Operations
<b>4. Other income (list below)</b>		
Interest on General Fund Investments	91,250	Public Housing Operations
Other Operating Receipts	265,908	Public Housing Operations
<b>4. Non-federal sources (list below)</b>		
None	N/A	
<b>Total resources</b>	<b>7,517,158</b>	<b>Overall operations on the public housing agency</b>

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

[24 CFR Part 903.7 9 (c)]

#### **A. Public Housing**

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

##### **(1) Eligibility**

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

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

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)
- NAHA has contracted with a private agency to conduct screening of residents for pending civil cases

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? NAHA has implemented the "State of Indiana Limited Criminal Check" managed by the Indiana State Police to determine if an applicant has an out of area criminal history applicable under Federal housing law.

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 (169 Woodland only)
- 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?

None

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)

Central Office located at 169 Woodland Drive

### **(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)
  - NAHA has approved a policy that will permit residents to transfer to another site or unit based for reasons other than above if they pay the cost of renovating both the unit they are transferring into and the one they transferred from.
- Other: (list below)
  - Providing Law Enforcement with information about criminal activities in their current development if requested by the law enforcement agency for the family's protection.

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.

1      Date and Time

Former Federal preferences:

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

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in 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)  
Established rental records.

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)  
Newsletters

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

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

**(6) Deconcentration and Income Mixing**

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

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

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

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

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

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

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

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

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

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

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

## B. Section 8

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

### **(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. NAHA complies with the "State of Indiana Limited Criminal Check" for each applicant prior to admission to any housing program. NAHA also uses an internet landlord/credit check for past rental and payment history.
- More general screening than criminal and drug-related activity (list factors below)
- Other (list below)
  - Rental History Information
  - NAHA has contracted with a private agency to conduct national and regional screening of residents for pending civil cases

- 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)  
Rental History Information

**(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)  
Central Office, 169 Woodland Drive, New Albany, IN

**(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:  
Medical and other emergencies

**(4) Admissions Preferences**

- a. Income targeting

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

b. Preferences

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

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

Former Federal preferences

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

Other preferences (select all that apply)

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

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

1 Date and Time

Former Federal preferences

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

Other preferences (select all that apply)

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

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)

Designative Housing Vouchers (200 Vouchers)  
Family Unification Vouchers (50 Vouchers)

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

Through published notices

Other (list below)

Information meetings for case management staff

Outreach activities through other non-profits

Outreach activities directly to consumers

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

[24 CFR Part 903.7 9 (d)]

##### **A. Public Housing**

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

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

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

a. Use of discretionary policies: (select one)

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

---or---

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

b. Minimum Rent

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

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

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

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

See the ACOP attached at Tab 3

“13.3 A. A hardship exists in the following circumstances:

1. When the family has lost eligibility for or is waiting an eligibility determination for a Federal, State, or local assistance program;
2. When the family would be evicted as a result of the imposition of the minimum rent requirement;
3. When the income of the family has decreased because of changed circumstances, including loss of employment;
4. When the family has an increase in expenses because of changed circumstances, for medical costs, childcare, transportation, education, or similar items;
5. When a death has occurred in the family.”

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:  
See ACOP at Tab 3.
- Fixed percentage (other than general rent-setting policy)  
If yes, state percentage/s and circumstances below:  
See ACOP at Tab 3.
- 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)  
Within 5 days of the date the household income/composition changes.

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

## **(2) Flat Rents**

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

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

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

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

### **(1) Payment Standards**

Describe the voucher payment standards and policies.

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

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR: NAHA has implemented 110% of FMR to deconcentrate low-income participants and to increase the number of rent-eligible housing and apartments in non-impacted areas.
- Above 110% of FMR (if HUD approved; describe circumstances below)  
For persons receiving a Designated Housing Voucher, NAHA will apply to HUD for an increase above the 110% rent standard on a case-by-case basis to encourage landlords to make units accessible to the voucher holder.

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

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

- c. If the payment standard is higher than FMR, why has the PHA chosen this level?  
(select all that apply)
- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
  - Reflects market or submarket
  - To increase housing options for families
  - Other (list below)  
To increase the stock of available housing, decrease concentration of low income families, and encourage landlords to make existing units accessible.
- d. How often are payment standards reevaluated for adequacy? (select one)
- Annually
  - Other (list below)
- e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)
- Success rates of assisted families
  - Rent burdens of assisted families
  - Other (list below)

## **(2) Minimum Rent**

- a. What amount best reflects the PHA's minimum rent? (select one)
- \$0
  - \$1-\$25
  - \$26-\$50
- b.  Yes  No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)
- See Section 8 Administrative Plan Attached:
1. A hardship exists in the following circumstances:
    - a. When the family has lost eligibility for or is awaiting an eligibility determination for a Federal, State or local assistance program;
    - b. When the family would be evicted as a result of the imposition of the minimum rent requirement;
    - c. When the income of the family has decreased because of changed circumstances, including loss of employment;
    - d. When the family has an increase in expenses because of changed circumstances, for medical costs, childcare, transportation, education, or similar items;

- e. When a death has occurred in the family.

## **5. Operations and Management**

[24 CFR Part 903.7 9 (e)]

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

### **A. PHA Management Structure**

Describe the PHA's management structure and organization.

(select one)

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

### **B. HUD Programs Under PHA Management**

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

<b>Program Name</b>	<b>Units or Families Served at Year Beginning</b>	<b>Expected Turnover</b>
Public Housing	1085	350
Section 8 Vouchers	159	56
Section 8 Certificates	N/A	
Section 8 Mod Rehab	N/A	
Special Purpose Section 8 Certificates/Vouchers (list individually)	200 Designated Housing 50 Family Unification	15 5
Public Housing Drug Elimination Program (PHDEP)	N/A	
Other Federal Programs(list individually)		

\*Units are being used for Police, FSS, Parks and Recreation, Health Screening, and Resident Activities.

### C. Management and Maintenance Policies

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

(1) Public Housing Maintenance and Management: (list below)

(2) Section 8 Management: (list below)

### 6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)] See Attachment at Tab 20.

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

#### A. Public Housing

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

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- PHA main administrative office: 169 Woodland Drive  
 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)  
Central Leasing Office at 169 Woodland Drive

## **7. Capital Improvement Needs**

[24 CFR Part 903.7 9 (g)]

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

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

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

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

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

Select one:

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Tab 5

-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 Tab 21)

-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.

Executive Director's Note: In past years NAHA had expected to pursue a HOPE VI application. As part of a review of the strategic initiatives of the Housing Authority an administrative review of this objective has found that NAHA has developed other priorities like vacancy reduction, management review, and analysis of capital and human resources at the current time. A HOPE VI application remains in the future, but not within the scope of the current five year plan.

- 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?

- 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:  
NAHA is undertaking an evaluation of all properties for the purpose of exploring a rental ownership, mixed financing and mixed income strategy.

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

## **8. Demolition and Disposition**

[24 CFR Part 903.7 9 (h)]

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

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

### 2. Activity Description

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

<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: <u>(DD/MM/YY)</u>
5. Number of units affected: 6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

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

[24 CFR Part 903.7 9 (i)]

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

1.  Yes  No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for

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

2. Activity Description

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

<b>Designation of Public Housing Activity Description</b>	
1a. Development name:	Parkview Towers, Riverview Towers, Mark Elrod Towers
1b. Development (project) number:	IN12006, IN12007, IN12010
2. Designation type:	Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one)	Approved; included in the PHA’s Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission:	<u>Approved on August 21, 2000</u>
5. If approved, will this designation constitute a (select one)	NOT APPLICABLE <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected:	365 designated elderly public housing units plus 200 Designated Housing Vouchers for non-elderly persons with disabilities
7. Coverage of action (select one)	<input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total developments

Note: When HUD approved the Designated Housing Plan on August 21, 2000, it did so with three contingencies:

1. NAHA apply for and receive the maximum number of Housing Choice Vouchers available in support of the Designated Housing Plan.
2. NAHA secure funding for the Housing Choice Vouchers above.

3. NAHA continues to set aside accessible units for those families requiring such accommodations regardless of age.

In FY 2001, NAHA received 200 Housing Choice Vouchers, the maximum available, in support of the Designated Housing Plan. To further the plan, NAHA has undertaken the following steps:

- a) Developed programs to assist program participants in gaining access to supportive services;
- b) Identified public and private funding sources to assist participation in covering the costs of modifications that need to be made to ensure accessibility;
- c) Developed a process to apply for exceptions to the payment standards above the 110% level to assure accessibility;
- d) Offered all persons who qualify for rental assistance other housing opportunities as they become available; and,
- e) Established procedures to increase access to housing in a variety of non-impacted neighborhoods through outreach and supportive services.

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

[24 CFR Part 903.7 9 (j)]

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

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

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

#### 2. Activity Description

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

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

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

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

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

[24 CFR Part 903.7 9 (k)]

### **A. Public Housing**

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

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

## B. Section 8 Tenant Based Assistance

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

NAHA will investigate starting a Section 8 Homeownership program and make a decisions regarding adopting the program during FY 2002. The responses to the questions below are in anticipation of that decision.

### 2. Program Description:

#### a. Size of Program

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

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

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

#### b. PHA-established eligibility criteria

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

If yes, list criteria below:

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

[24 CFR Part 903.7 9 (l)]

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

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

1. Cooperative agreements:

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

If yes, what was the date that agreement was signed? 12/17/99 and expanded on 8/14/00.

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

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

**B. Services and programs offered to residents and participants**

**(1) General**

a. Self-Sufficiency Policies

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

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

b. Economic and Social self-sufficiency programs

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

<b>Services and Programs</b>				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)
Providence Self-Sufficiency Ministries	200	Self-Selection and Referral	Broadmeade/Parkview Terrace Office, 225 Daisy Lane	Both
Center for Women and Families	25	Self-Selection and Referral	All Developments	Public Housing
Southern Indiana Workforce Investment Board	50	Referral	All Developments	FSS Participants and Both

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

- a. Participation Description: NAHA runs a voluntary FSS program approved by HUD

<b>Family Self Sufficiency (FSS) Participation</b>		
Program	Required Number of Participants (start of FY 2000 Estimate)	Actual Number of Participants (As of: 01/12/02)
Public Housing	0 (Voluntary Program)	20
Section 8	50 (Voluntary Program)	15

- 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:  
The FSS Program is Voluntary

**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)  
Childcare Services  
Meeting space and training equipment  
GED/ABE Instruction  
Support Services  
Computer Labs and Instruction  
Youth Development Resources

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

**13. PHA Safety and Crime Prevention Measures**

[24 CFR Part 903.7 9 (m)]

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

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

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

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

- Residents have left public housing or requested transfers due to drug-related criminal activities in their developments

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)

Beechwood Terrace, Broadmeade Terrace, Parkview Terrace, Parkview Towers, Crystal Courts, Vance Courts, Riverside Terrace

**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:
  - A comprehensive CPTED Analysis and Improvement Plan was completed in 2002
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program:
  - To be implemented in FY 2003.
- Other (describe below)
  1. After-school tutoring program for at-risk students
  2. GED and Employment Programs for Adults
  3. Sponsor sports activities for resident youth
  4. Employ police officers to patrol developments
  5. Implement a program to track and counsel problem families

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

Beechwood Terrace, Broadmeade Terrace, Parkview Terrace, Parkview Towers, Crystal Courts, Vance Courts, Riverside Terrace

### 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 are employed to patrol developments above baseline
  - NAHA contracts with the Police for additional services annually through the Capital Fund and/or Operating Subsidy.
- 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)

Vance Courts, Crystal Courts, Riverside Terrace, Parkview Terrace, Broadmeade Terrace, Riverside Terrace, Beechwood Terrace

### 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)]

See attached Pet Policy

### **15. Civil Rights Certifications**

[24 CFR Part 903.7 9 (o)]

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

## **16. Fiscal Audit**

[24 CFR Part 903.7 9 (p)]

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

## **17. PHA Asset Management**

[24 CFR Part 903.7 9 (q)]

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

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

## **18. Other Information**

[24 CFR Part 903.7 9 (r)]

### **A. Resident Advisory Board Recommendations**

1.  Yes  No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
- Attached at Tab 6
- Provided below:
- 1) Increase compliance of handicapped units with 504 regulations.
  - 2) Provide options for residents to have handicapped ready amenities installed at little or no cost to the resident.
  - 3) Conduct weatherization throughout the Authority.
  - 4) Improve communications with residents, especially the Residents Advisory Board
    - i. Provide more timely information on the availability of resident funds and the amounts
    - ii. Provide timely updates on the status of various plans and requests
    - iii. Establish regular meetings with the RAB
  - 5) Provide more opportunities for resident employment.
  - 6) Involve residents in the operation of programs.
  - 7) The electrical wiring and telephone lines need to be upgraded to today's building codes.
  - 8) After construction has been completed and/or during the process, someone should inspect the work being done.
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:
- Revised maintenance policies and procedures to accommodate comments and instituted a quality control program
  - Established improved communications plan with residents
  - Moving toward a 5-year maintenance and repair plan that has priorities for each development and a schedule
  - Increasing resident employment and training opportunities
- Other: (list below)

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

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

3. Description of Resident Election Process

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

- Candidates were nominated by resident and assisted family organizations
- Candidates could be nominated by any adult recipient of PHA assistance
- Self-nomination: Candidates registered with the PHA and requested a place on ballot
- Other: (describe)  
Indiana State Code directs all members of the Board of Commissioners to be appointed by the Executive Officer (Mayor) of the jurisdiction in which the public housing resides. The Mayor of the City of New Albany appoints all members of the Board of Commissioners for the housing authority. Thus, while residents may nominate candidates, the Mayor has total discretion in appointing Commissioners. New Albany is participating the Indiana NAHRO to revise the Indiana State Code to give residents more voice in nominating representatives for the Board of Commissioners.

b. Eligible candidates: (select one)

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

c. Eligible voters: (select all that apply)

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

**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: City of New Albany, Indiana
  
- 2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (Listed below)
  - The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)
    - 1. Development of inner-city neighborhood plans.
    - 2. CDBG financial support to expand the Individual Development Accounts throughout the urban enterprise zone.
    - 3. CDBG financial support to the NA-FC Park Board to expand recreational programming within inner-city areas.
    - 4. Expansion and/or coordination of CDBG Homeownership programs and activities to serve needs of Public Housing residents.
    - 5. Provision of CDBG rehabilitation grant assistance to support Section 8 Voucher program for disabled tenants.
    - 6. Continued consultation between the professional staffs of the New Albany Redevelopment Commission (CDBG Consolidated Plan) and the New Albany Housing Authority (Public Housing Strategic Plan) regarding program planning and implementation.

Other: (list below)

**D. Other Information Required by HUD**

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

## Attachments

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

**Table Library**

## New Albany Housing Authority Performance 2002

The year of 2002 brought many changes to the New Albany Housing Authority. During this past year, Mr. Lane has learned a lot from existing staff as we have learned from him and together we have achieved a long list of accomplishments to improve conditions for employees and residents.

Administratively, there have been efforts to improve communication by regular staff meetings; increased training opportunities; more employee choice in the retirement plan; participation in professional organizations; initiation of a safety program starting with bloodborne pathogen training; concerted efforts to develop our procurement procedures; enhancement of our software and computer capabilities; and recognition of the need to plan, plan, plan – to name a few.

By department, we believe that our biggest accomplishments include but are not limited to:

### **Section 8**

1. Increased the number of leased vouchers to 233%
2. Successfully brought the Section 8 administrative fees from the red to the black.
3. Implemented two new programs (Designated Vouchers and Family Unification Vouchers), and completely utilized the Family Unification funds.
4. Housed 103 disabled individuals and families
5. Helped implement Tenmast Section 8 Occupancy, and Tenant/Landlord software to streamline the payments to landlords and utility reimbursements to voucher holders.

### **Occupancy**

1. Reorganized vacated tenant files
2. Implemented better screening for applicants
3. Reorganized verification system for applicants
4. Implemented new Pet Policy for residents.
5. Upgraded Occupancy and Receivables portions of Public Housing with the addition of new software.

### **Maintenance**

1. Established inspection department to help increase our scores on our annual HUD assessment.
2. Developed and implemented new processes to decrease vacant unit turn-around time by tracking progress on spreadsheet.
3. Hired additional staff skilled in various trades.
4. Identified equipment shortages and began program to provide proper tools to staff.

5. Fully implemented automated work order system and more centralized maintenance operation.

### **Security**

1. Helped establish a year round walking patrol.
2. Identified and removed tenants responsible for causing majority of the trouble in the family units.
3. Instituted a safety program/penalty system for violations involving smoke/fire detectors in the Authority.
4. Instituted a resident vehicle tagging program
5. Placed signage at all site entrances listing ground rules for Authority property.

### **Family Support Services**

1. Held two housing fairs resulting in one employee purchasing a home, another starting the process to purchase a home, one resident purchasing and several more in housing counseling.
2. Collaborated with Caesar's on a job fair resulting in 15 people being hired.
3. Established escrow accounts for FSS participants with a current balance of \$21,000
4. Created and published two separate monthly newsletters
5. Started a bank of food, clothing, and other necessities for residents through donations.

### **Resident Initiatives**

1. Youth field trip to the correctional facilities
2. Ban Notices
3. July tenant training
4. Securing and implementing 2002 Indiana State Wide Resident conference for New Albany
5. Designing the community service program.

**ACTIVITIES TO BE UNDERTAKEN  
BY  
THE NEW ALBANY HOUSING AUTHORITY  
IN FISCAL YEAR 2003 (April 1, 2003 – March 31, 2004)  
WHICH ARE CONSISTENT WITH THE INITIATIVES CONTAINED  
IN  
THE CITY OF NEW ALBANY’S CONSOLIDATED PLAN  
(FY 2000 – 2004)  
A Progress Report**

**I.** To address the City of New Albany’s “Decent Housing Needs” and related **Strategies** stated in its FY 2000-2004 Consolidated Plan, the Housing Authority of the City of New Albany (NAHA) is engaged in the following activities, as efforts and contributions consistent with and enhancing of the City’s Consolidated Plan:

- Making improvements to **Broadmeade Terrace, Parkview Terrace and Parkview Towers**
- Working regularly with the New Albany-Floyd County Community Housing Development Organization (CHDO) and other **housing development partners locally to expand decent, affordable housing resources. Partnership activities** include, for example:
  - Researching development of a “land bank” for future affordable housing development in the City and its fringe areas
  - A local revolving loan fund to help increase accessible housing stock and defray the cost of modifications
  - Assistance in **homeownership client referrals**, both Public Housing and Section 8 clients
  - Developing a coordinated information clearinghouse network regarding all local and Southern Indiana area affordable housing capacity-building
- Participating long-term on the “St. Edward Court” development (57 apartment complex) leadership team.
- Implementing **309 new Housing Vouchers, educating the public about the voucher program and its benefits**, establishing a full, regular landlord outreach program, and having a Memorandum of Agreement (MOA) with the City’s Redevelopment Department to:
  - a) counsel families interested in locating in non-poverty, non-minority neighborhoods and
  - b) provide “Good Neighbor” counseling.
- Developing **community-policing** capacity in Public Housing development areas of the New Albany community, by providing for police patrols above the baseline through the Operating Budget.

**II.** NAHA will strengthen its Economic Development role in a manner consonant with the City's Consolidated Plan for "**Expanded Economic Opportunities**" and related **Strategies**, as listed below:

- Core investor in the City's Downtown Redevelopment Planning process and the Plan long-term outcomes for the Central Business District. Specifically, NAHA has drafted suggested areas of appropriate future investment in the downtown district, per the Plan's current draft content (as of 11/20/00):
  - a) a senior housing and support facilities development,
  - b) microparks/greenspace adjacent to Riverview Towers High-Rise,
  - c) renovation of vacant downtown buildings for private sector mixed use: retail and housing, and
  - d) inner-city transportation.
  
- 1) NAHA's Family Self Sufficiency Programs,
- 2) Economic Development and Self-Sufficiency micro loan fund, and
- 3) Program assistance with the Southern Indiana vehicle micro loan program directly interface with City strategies regarding:
  - (a) **attracting new businesses, and**
  - (b) **helping to generate new, small businesses**, working regularly with the New Albany Urban Enterprise Zone (NAUEZ) in the areas of "**job quality, welfare-to-work, living wages, work and training opportunities that reward low-income wage earners and move them up the economic ladder**".
  - (c) **Participated in opening a comprehensive Work One Access Site with four partners to provide access to Department of Workforce Development and WIA/WIB services.**

**III.** NAHA will also broaden its Community Development role in a manner consistent with the City's Consolidated Plan strategies for a "**Suitable Living Environment**," as listed below:

- Assisting in the exploration of forming a **Neighborhood Public Service Center in the Fairmont neighborhood.**
  
- Continuing and strengthening **quality after-school programs** in or near Public Housing Neighborhoods, based on **partnership with New Albany-Floyd County Parks and Recreation Department and various youth development community resources** (4H, 21<sup>st</sup> Century Scholars, Scouting, Youth Leadership, Key Club, New Albany Youth Football, etc.) that incorporate education, career exploration, recreation, arts, community service and fellowship.
- Completion of three afterschool feeding programs through the Dare To Care surplus feeding programs for all residents aged 18 and younger. Provides a hot meal three days a week and nutritional snacks two days per week.
  
- Advocating for **increased licensed home day care facilities in the inner city** (as part of quality child development, economic/family self-sufficiency services, etc.)

- Targeting **increased volume and availability of Individual Development Accounts (IDAs) to income-eligible citizens** (including Public Housing and Section 8 residents) as an important individual asset-building mechanism in the New Albany community. IDAs complement the increased use of Individual Escrow Accounts available to Public Housing and Section 8 residents participating in the Family Self Sufficiency program.
- Provided referral and support services to the City's Homeownership Program, yielding 8 new homeowners from the tenancy of NAHA. FSS Escrow accounts and FSS programming have formed a core component of the effort.
- Developing **comprehensive neighborhood plans, with strong, regular, involvement by Public Housing residents, Section 8 participants, and related Resident Organizations**, specifically in all family unit Public Housing developments:
  - Vance/Crystal Courts
  - Beechwood Court
  - Parkview/Broadmeade Terrace
  - Riverside Terrace

**STEPS**  
**THE NEW ALBANY HOUSING AUTHORITY (NAHA)**  
**HAS TAKEN AND IS TAKING**  
**TO AFFIRMATIVELY FURTHER FAIR HOUSING**

January, 2002

A report, “**Analysis of Impediments to Fair Housing Choice in the City of New Albany**” (AI) was completed in **February 1996**. The report was funded through the City of New Albany Redevelopment Commission.

**I. The report draws several conclusions about** local “conditions that indicate there could be barriers to equal housing opportunity and movement to other areas of the community of protected classes” (AI Study; Section 2.5). **These are:**

- The concentration of low income and minority populations in the inner city.
- **The concentration of substandard and deteriorating housing in the inner city.**
- Inadequate public transportation to job centers.
- **The excessive ‘burden’ of housing costs among low-income people.**
- The lack of suitable small single-family or multi-family dwellings (i.e., one bedroom).
- The lack of ongoing multi-family development in the outer areas.

Based on the above, it can be concluded that **people with low incomes, which include 75% of the minority population in New Albany, “have little choice but to live in the inner city, which is the area of the most substandard housing and other social concerns of the community.”** The greatest concentrations of low-income households are referenced repeatedly by census tract and various socioeconomic data mappings in the AI Study. Notably, these areas of the City are represented in the **Urban Enterprise Zone** (designated as of January 2000).

The report incorporated **interviews with “peer communities”** regarding identified impediments to fair housing. The communities agreed that overt discrimination is no longer prevalent with regards to banks, real estate agencies and appraisers. However, it appears to these communities that only a small number of banks and real estate agencies are actively involved in promoting fair housing. Barriers identified by these communities included:

- **The lack of affordable new housing.**
- **Substandard conditions of existing affordable housing.**
- **Zoning policies, building requirements and “not in my backyard” (NIMBY) attitudes.**
- **Lax enforcement of building codes; a lack of code enforcement has permitted a considerable amount of existing affordable housing stock to become substandard.**
- **Banks are not actively promoting fair housing; in some instances, Home Mortgage Disclosure Act (HMDA) data is not at acceptable levels.**
- **A lack of adequate marketing of available programs such as special loans designed for first-time homebuyers.**

Overall, the report cited that **affordable housing appears to be the most significant fair housing concern in the peer communities.**

**II.** The AI describes the identified **barriers to fair housing choice** across three (3) areas:

1. The Public Sector: Zoning and Site Selection; the Linkage of Employment, Housing and Transportation; and Public Housing
2. The Private Sector: Housing Brokerage Services
3. Citizen Task Force

**The Citizen Task Force discussed a variety of substantive issues relating to fair housing. Highlights include:**

- The task force noted that there is **discrimination in the rental and real estate market.**
- There is demonstrated **reluctance on the part of local financial institutions to promote their mortgage products in low-income areas.**
- There is **segregation in the public housing** complexes locally.
- There is a significant problem with the **lack of tenant consumer laws in Indiana.**
- There are **“absentee landlords”** who have little incentive to maintain their property. They contribute to **“revolving door” neighborhoods.**
- More than anything else (to the task force), **“fair housing” means having an option.**

**Based on all the data collection, which contributes to the AI and the inputs of peer communities and the Citizen Task Force, AI “recommendations” are presented:**

1. Establish a viable **regional fair housing advocacy organization.**
2. Establish a viable **regional tenants rights organization.**
3. **Encourage private lenders** to recruit borrowers from protected classes.
4. Make Home Mortgage Disclosure Act (HMDA) data review an annual process and publicize results.
5. Encourage the Plan Commission and City Council to **designate medium density multi-family housing in developing areas of the two-mile Fringe Area**, particularly in proximity to existing and/or planned Industrial Parks.
6. **Encourage developers to build affordable housing in the Two-mile Fringe Area.**
7. Encourage **transition of public housing into privately owned housing.**
8. Attract **medium-income investment in inner-city neighborhoods, without causing displacement of current residents or removal of affordable dwellings.**
9. Encourage federal, state and local agencies to use the **“Total housing Cost”** as an indicator of eligibility for various housing assistance programs.
10. Encourage public and private utilities to market **weatherization benefits** in low and moderate-income neighborhoods.
11. Develop a **strong local transportation resource** or expand TARC (public transit) in the City and two-mile Fringe Area, e.g. to and from employment centers.
12. **Encourage landlords to maintain rental housing in conformance with local housing codes and increase code enforcement activities.**
13. Conduct **Home Ownership Assistance Programs**, informal housing fairs, and conduct informational classes in neighborhoods with protected classes.
14. Encourage **Owner-Occupied Multi-Family Housing (OOMFH).**

**The City can “Affirmatively further Fair Housing” by:**

1. Initiating **implementation of all strategies possible**, in order of prioritization by the Citizens’ Advisory committee and as adopted by the Redevelopment Commission, and as feasible under existing staffing and budgeting resources.
2. Monitor the status of the open fair housing complaint against the New Albany Housing Authority to determine if there are patterns that have fair housing implications (This complaint was resolved).
3. **Continue efforts to re-establish the Fair Housing Center for South Central Indiana.**
4. **Review the Analysis of Impediments annually** and update it to reflect existing conditions.
  
5. **Conduct ongoing analysis of HMDA data** (being conducted by the New Albany Redevelopment Commission). Compare the analysis with available data from other regional fair housing organizations to make an assessment of New Albany financial institutions relative to fair housing. The analysis should be **updated annually and the assessment provided to the financial institutions.**

**III.** Based on the summary of the AI report above, the **Housing Authority of the City of New Albany (NAHA)** is engaged in **regular activities that seek to eliminate the impediments identified, to remedy discrimination and to promote fair housing rights and fair housing choice.** They include:

1. **Staff have been actively engaged in the founding, development and operation of a New Albany-Floyd County Community Housing Development Organization (CHDO)** as a new, viable resource in building quality affordable housing locally.
  - A) Its first major project has consisted of **assisting New Directions Housing Corporation**, a Louisville-based non-profit housing corporation, in financing a tax credit project to convert a historic, vacant hospital building, Providence Retirement Home, into **50+ affordable apartments.** This development includes nine (9) apartments designated to serve persons with a disability.
  - B) The **CHDO's first HOME funds award has recently been gained** from the Indiana Housing Finance Authority to **build/rehabilitate ten (10) homes in a scattered site manner**, some of which will represent a first homebuyer opportunities for families.
  - C) The CHDO's third project is to develop an **Affordable Housing Information Network**, with a full, regularly updated, easy-to-access database on:
    - i. All accessible and affordable housing in our community.
    - ii. All accessible and affordable capacity-building in our community.

Funding has been gained via the Floyd County United Way for this network's formation.

2. Designing and implementing **broadened and diverse landlord outreach activities** with the goal of **expanded housing opportunities for eligible households in areas throughout the city and county.** This effort is enhanced by:
  - New market-rate apartment developments in several outer and eastern areas of the city, and
  - NAHA's hiring of a highly experienced Section 8 coordinator.
  - NAHA's recent Section 8 Voucher awards, totaling 309 new Vouchers since April, 2000 (Ex: 200 new Vouchers for Persons with Disabilities/contract start date: November, 2000; 50 Family Unification Vouchers/contract start date: January, 2001.)
3. NAHA has been building a service relationship with the Housing Partnership, Inc. (HP) to provide all phases of (HUD certified) **home ownership counseling on or near Public Housing neighborhood sites, with a promotion emphasis, as well, to Section 8 tenants.** Resources are being budgeted for "tenant scholarships" and for marketing and outreach activities to be delivered by HP with NAHA case management supports, as needed. The first on-site Homeownership Outreach Seminar is scheduled for January 27, 2001 at Beechwood Court. It is estimated that at least 25-30 families are at or near a readiness to proceed actively toward home ownership.
4. **NAHA's Five Year Strategic Plan contains a general focus on both improving and transforming Public Housing developments**, especially in light of the concentrations of low income families at Parkview and Broadmeade Terraces and the racial and economic segregation observed in the Vance and Crystal Courts area. NAHA, per its Plan, has been cultivating relationships with all the major development entities involved in the HOPE VI development (The Villages of Park DuValle) in Louisville, Kentucky to learn about major revitalization philosophy, planning, efforts and successes and the related scopes of work. Vance and Crystal Courts are the priorities for **Master Planning** work activity leading to transformation of those developments, via a HOPE VI or other funding strategy. **Mixed-income approaches and a desegregation process are central components anticipated in a development transformation.** NAHA is currently engaged in the Request for Qualifications (RFQ) process for Vance and Crystal Courts master planning. Master Planning is the first critical phase of such transformation work. NAHA plans to begin this work in calendar year 2001.

**NAHA's Strategic plan also contains objectives specific to increasing Section 8 Voucher capacity, with quality, i.e. expanded housing opportunities (and housing counseling) to meet ongoing**

**community need. Voucher use will occur within the preferred context of a cooperative area-wide PHA Memorandum of Agreement regarding a) streamlining of the Vouchering process with families and b) portability. Moreover, the Plan contains expectations to increase/improve accessibility across its properties.**

5. **NAHA staff has assisted with initial local exploration of a comprehensive rental inspection ordinance, inclusive of regular, active code enforcement.** The exploration had included a committee involving members of the City Council, the Mayor's office and the CHDO. Effective ordinance models and operations in other communities have been reviewed, especially the city of Bloomington, Indiana via a site visit in June 1999. The Mayor's priorities include the establishing of such an ordinance, with emphasis on code enforcement relating to substandard housing. In July 2000, the City council agreed to pursue the drafting and designing of this ordinance. In January 2001, the City Council is at a "second reading" stage toward adopting the ordinance. NAHA has requested an exemption from the ordinance initially in light of its established annual inspection processes for each unit, as well as PHAS inspections and RASS surveying processes. Direct involvement in the ordinance will be explored in the coming year, after the ordinance is passed.
6. In mid-2000, dialogue has occurred between NAHA and the Louisville Tenants Association (LTA). Several ideas are being explored with their Executive Director, not only for NAHA directly, but the Southern Indiana area overall:
  - a). **Training for (NAHA) new resident organizations.**
  - b) **The development of a Southern Indiana tenants association and HUD-certified Fair Housing Center,** given their thirty- (30) years of counseling and advocacy activity in Louisville. LTA is at a critical juncture in its organizational life, with strategic planning underway and the desire to consider new possibilities. **Regional cooperation is gaining value and momentum** generally such that LTA's emergence as a key, expert advocacy and rights force is realistic to explore. **The city's Fair Housing Officer has been notified of this dialogue and will participate (lead) in future discussion and "movement".**
7. **NAHA staff are participating on a specific metropolitan advisory board of PNC Bank.** This board is devoted to assisting PNC Bank in **establishing an effective Community Development division,** aiming to serve low-income persons both in Louisville and Southern Indiana. Every facet of this specific type of banking operation is being considered so that the "unbanked" are more likely to become valued banking customers with more opportunity to start businesses, to buy homes, etc. **NAHA also has an abiding interest in seeing the emergence of a Community Development Financial Institution (CDFI) for the New Albany and Southern Indiana area.**
8. HACNA is in the process of issuing an RFQ for **performance contracting services** designed to increase the energy efficiency of apartment units. This work thus produces comprehensive **weatherization benefits for low-income families served by NAHA.**
9. **NAHA staff assisted in the founding, growth and continuing activities of the Southern Indiana Housing Initiative (SIHI), a 31-member "coalition" devoted to all aspects of affordable housing across eleven (11) counties.** Its Continuum of Care document and consequent SUPERNOFA application were awarded HUD funds providing significant capacity building in the areas of emergency housing/shelter and transitional housing. SIHI is developing an Affordable Housing capacity-building directory, which will be linked to an area Affordable Housing Information Directory. Both directories will be a part of 2 emerging websites: SIHI (starting in 2001) and the New Albany-Floyd County Community Housing Development Organization (CHDO), recently up and running. In December 2000, SIHI was awarded \$50,000.00 in funds from the Indiana Housing Finance Authority to conduct a regional affordable housing needs assessment. SIHI is also beginning advocacy efforts for: a) systemic means of assuring affordable utilities for all low-income citizens (especially in light of significant utilities cost increases in late 2000), b) "Inclusionary Zoning" and c) decreasing NIMBY situations. Tenant Rights and Fair Housing are key parts of its Strategic Plan and monthly activities. SIHI is now three (3) years old.

10. Tenant Rights and Fair Housing issues will be a regular part of **NAHA's resident newsletter format**. The newsletter is being revamped for several reasons:
  - a) To increase its regularity
  - b) To better insure the full range of local opportunities are presented
  - c) To portray resident successes
  - d) To publish resident concerns and inputs
  - e) To allow NAHA a regular format through which to present policy and
  - f) To help facilitate the building of informed, invested and positively changing neighborhoods over time.
11. **A NAHA director was appointed to the Metropolitan Housing Coalition (MHC) board as of May 2000. MHC is a non-profit corporation composed of 125 organizational members dedicated to all aspects of affordable housing. This advocacy group certainly incorporates Fair Housing issues as an abiding part of its agenda.** Participation on its board will only serve to further Fair Housing concerns locally, given MHC's technical assistance and well-honed advocacy expertise. Currently, MHC is advocating for long-term solutions for:
  - a) affordable utilities (especially in light of major increases in gas utilities) and
  - b) equitable distribution of affordable housing throughout communities (especially in light of the clustering and segregating effects of subsidized housing in the metropolitan area.
12. **NAHA has formally requested that the City's Redevelopment Commission consider a Community Development Block Grant fund allocation in the coming year for the purpose of helping to catalyze accessible housing capacity-building generally in the New Albany community.** The City of New Albany and its Redevelopment Department have consented informally to this concept. A meeting with the Redevelopment Director is scheduled for mid-January, 2001 for this specific purpose. As well, a network of local disability organizations will work together to secure various monetary and in-kind funds to help increase the number and quality of accessible housing units locally. This increase in capacity will be designed equitably so that landlords share in the financial responsibility of this capacity-building.
13. NAHA has recently gained 200 Housing Vouchers for Persons with a Disability and 50 Housing Vouchers for Family Unification uses, in conjunction with the Floyd County Office of Families and Children. The Vouchers for Persons with a Disability include a **commitment to house Section 8 Voucher families covered by a Medicaid Waiver under Section 1915c of the Social Security Act. NAHA has also agreed to:**
  - **Provide information and referral/access to supportive services.**
  - **Identifying public and private funding sources to assist participants with disabilities in covering the costs of structural alterations and other accessibility features.**
  - **Always offering persons, who qualify under this Voucher program, other housing opportunities, or not otherwise restricting access to NAHA programs to eligible participants who choose to not participate.**
  - **Providing Section 8 housing search assistance across more areas of the community.**
  - **Providing higher rent to owners necessary for the provision of accessible units and structural modifications.**
  - **Providing technical assistance to owners for making reasonable accommodations or making units accessible.**
14. NAHA had a **Fair Housing Training** session with the City of New Albany's Fair Housing Officer, in early December 2000.
15. NAHA intends to examine its **Fair Housing practices** formally in Fiscal Year 2002.
16. NAHA will develop and implement a **Deconcentration Policy**, per Directive No. FR 4420-F-10.
17. NAHA will be **cultivating regular contact with the Southern Indiana Homebuilders Association to encourage new, quality and much-needed Affordable housing development.** For example, **single and multi-family development in the outer/fringe areas of New Albany** can be explored, particularly as it relates

to the City's current Comprehensive Plan, current Consolidated Plan and the A. I. Study (1996). NAHA's efforts will occur as part of the NA-FC CHDO's and SIHI's Affordable Housing advocacy efforts. The Association has shown increasing interest, during the year 2000, in the Affordable Housing development market

**The Housing Authority of the City of New Albany understands and abides by its duty to carry out specific activities cited in the AI** and in accord with other related community planning venues, such as:

- The City's Comprehensive Plan
- The City's Consolidated Plan
- The Community Capacity Plan for Individuals with a Disability completed in June 2000 by the Floyd county STEP AHEAD Council
- The Study of Housing Needs of People with Disabilities (1995)

# NEW ALBANY HOUSING AUTHORITY GRIEVANCE PROCEDURE

## 1.0 RIGHT TO A HEARING

Upon the filing of a written request as provided in these procedures, a resident shall be entitled to a hearing before a Hearing Officer.

## 2.0 DEFINITIONS

For the purpose of this Grievance Procedure, the following definitions are applicable:

- A. **"Grievance"** shall mean any dispute which a resident may have with respect to the New Albany Housing Authority's action or failure to act in accordance with the individual resident's lease or Authority regulations which adversely affect the individual resident's rights, duties, welfare or status. Grievance does not include any dispute a resident may have with the Authority concerning a termination of tenancy or eviction that involves any criminal activity that threatens the health, safety, or right to peaceful enjoyment of the Authority's public housing premises by other residents or employees of the Authority; or any violent or drug-related criminal activity on or near such premises. Nor shall this process apply to disputes between residents not involving the New Albany Housing Authority or to class grievances.
- B. **"Complainant"** shall mean any resident whose grievance is presented to the New Albany Housing Authority or at the development management office in accordance with sections 3.0 and 4.0 of this procedure.
- C. **"Elements of Due Process"** shall mean an eviction action or a termination of tenancy in a State or local court in which the following procedural safeguards are required:
  - 1. Adequate notice to the resident of the grounds for terminating the tenancy and for eviction;
  - 2. Right of the resident to be represented by counsel;
  - 3. Opportunity for the resident to refute the evidence presented by the Authority including the right to confront and cross examine witnesses and to present any affirmative legal or equitable defense which the resident may have; and
  - 4. A decision on the merits.
- D. **"Hearing Officer"** shall mean a person selected in accordance with section 4.0 of these procedures to hear grievances and render a decision with respect thereto.
- E. **"Resident"** shall mean the adult person (or persons) other than a live-in aide:

1. Who resides in the unit and who executed the lease with the New Albany Housing Authority as lessee of the premises, or, if no such person now resides in the premises,
  2. Who resides in the unit and who is the remaining head of household of the resident family residing in the unit.
- F. **"Resident Organization"** includes a resident management corporation.
- G. **"Promptly"** (as used in section 3.0, and 4.0 (D)), shall mean within the time period indicated in a notice from New Albany Housing Authority of a proposed action which would provide the basis for a grievance if the resident has received a notice of a proposed action from the agency.

### **3.0 PROCEDURES PRIOR TO A HEARING**

Any grievance shall be promptly and personally presented, either orally or in writing, to the New Albany Housing Authority office or to the office of the development in which the resident resides so that the grievance may be discussed informally and settled without a hearing. A summary of such discussion shall be prepared within fourteen (14) calendar days and one copy shall be given to the resident and one retained in the Authority's resident file. The summary shall specify the names of the participants, dates of the meeting, the nature of the proposed disposition of the complaint and the specific reasons therefor, and shall specify the procedures by which a hearing under these procedures may be obtained if the resident is not satisfied.

### **4.0 PROCEDURES TO OBTAIN A HEARING**

#### **4.1 REQUEST FOR HEARING**

The resident shall submit a written request for a hearing to the Authority or the development office within fourteen (14) calendar days from the date of the mailing of the summary of the discussion pursuant to section 3.0. The written request shall specify:

- A. The reasons for the grievance; and
- B. The action or relief sought.

#### **4.2 SELECTION OF A HEARING OFFICER**

A grievance hearing shall be conducted by an impartial person appointed by the New Albany Housing Authority other than a person who made or approved the action under review or a subordinate of such person.

The New Albany Housing Authority shall annually submit a list of prospective hearing officers. This list shall be provided to any existing resident organization(s) for such organization's comments or recommendations. The New Albany Housing Authority shall consider any comments or recommendations by a resident organization.

From this list, a hearing officer shall be selected.

#### **4.3 *FAILURE TO REQUEST A HEARING***

If the resident does not request a hearing in accordance with this section, then the New Albany Housing Authority's disposition of the grievance under section 3.0 shall become final. However, failure to request a hearing does not constitute a waiver by the resident of the right thereafter to contest the New Albany Housing Authority's action in disposing of the complaint in an appropriate judicial proceeding.

#### **4.4 *HEARING PREREQUISITE***

All grievances shall be promptly presented in person, either orally or in writing, pursuant to the informal procedure prescribed in section 3.0 as a condition precedent to a hearing under this Section. However, if the resident can show good cause why there was failure to proceed in accordance with section 3.0 to the Hearing Officer, the provisions of this subsection may be waived by the Hearing Officer.

#### **4.5 *ESCROW DEPOSIT***

Before a hearing is scheduled in any grievance involving the amount of rent as defined in the lease which the New Albany Housing Authority claims is due, the resident shall pay to the New Albany Housing Authority an amount equal to the amount of the rent due and payable as of the first of the month preceding the month in which the act or failure to act took place. The resident shall thereafter deposit monthly the same amount of the monthly rent in an escrow account held by the New Albany Housing Authority until the complaint is resolved by decision of the Hearing Officer. Amounts deposited into the escrow account shall not be considered as acceptance of money for rent during the period in which the grievance is pending. In extenuating circumstances, the New Albany Housing Authority may waive these requirements. Unless so waived, the failure to make such payments shall result in a termination of the grievance procedure. However, failure to make payment shall not constitute a waiver of any right the resident may have to contest the New Albany Housing Authority's disposition of his grievance in any appropriate judicial proceeding.

#### **4.6 *SCHEDULING OF HEARINGS***

Upon the resident's compliance with this section the Hearing Officer shall promptly schedule a hearing for a time and place reasonably convenient to both the resident and the New Albany Housing Authority. A written notification specifying the time, place and the procedures governing the hearing shall be delivered to the resident and the appropriate agency official.

### **5.0 *PROCEDURES GOVERNING THE HEARING***

The resident shall be afforded a fair hearing, which shall include:

- A. The opportunity to examine before the grievance hearing any Authority documents, including records and regulations that are directly relevant to the hearing. The resident shall be provided a copy of any such document at the resident's expense. If the New Albany Housing Authority does not make the document available for examination upon request by the resident, the New Albany Housing Authority may not rely on such document at the grievance hearing.
- B. The right to be represented by counsel or other person chosen as the resident's representative and to have such person make statements on the resident's behalf;
- C. The right to a private hearing unless the resident requests a public hearing;
- D. The right to present evidence and arguments in support of the resident's complaint, to controvert evidence relied on by the Authority or development management, and to confront and cross examine all witnesses upon whose testimony or information the New Albany Housing Authority or development management relies; and
- E. A decision based solely and exclusively upon the facts presented at the hearing.

The Hearing Officer may render a decision without holding a hearing if the Hearing Officer determines that the issue has been previously decided at another hearing.

If either the resident or Authority fails to appear at a scheduled hearing, the Hearing Officer may postpone the hearing for up to five business days or determine that the missing party has waived their right to a hearing. Both the New Albany Housing Authority and the resident shall be notified of the Hearing Officer's decision. This decision shall not waive a resident's right to contest the disposition of the grievance in an appropriate judicial proceeding.

The following accommodation will be made for persons with disabilities:

- A. The New Albany Housing Authority shall provide reasonable accommodations for persons with disabilities to participate in the hearing. Reasonable accommodations may include qualified sign language interpreters, readers, accessible locations, or attendants.
- B. If the resident is visually impaired, any notice to the resident that is required by these procedures must be in an accessible format.

## **6.0 INFORMAL HEARING PROCEDURES FOR DENIAL OF ASSISTANCE ON THE BASIS OF INELIGIBLE IMMIGRATION STATUS**

The participant family may request that the New Albany Housing Authority provide for an informal hearing after the family has notification of the INS decision on appeal, or in lieu of request of appeal to the INS. The participant family must make this request within 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or within 30 days of receipt of the INS appeal decision.

## **7.0 DECISION OF THE HEARING OFFICER**

The Hearing Officer shall prepare a written decision, together with the reasons therefor, within fourteen (14) calendar days after the hearing. A copy of the decision shall be sent to the resident and the New Albany Housing Authority. The Authority shall retain a copy of the decision in the resident's folder. A copy of such decision with all names and identifying references deleted shall also be maintained on file by the New Albany Housing Authority and made available for inspection by a prospective complainant, his or her representative, or the Hearing Officer.

The decision of the Hearing Officer shall be binding on the New Albany Housing Authority who shall take all actions, or refrain from any actions, necessary to carry out the decision unless the New Albany Housing Authority's Board of Commissioners determines within reasonable time, and promptly notifies the complainant of its determination, that:

- A. The grievance does not concern New Albany Housing Authority action or failure to act in accordance with or involving the resident's lease or Authority regulations, which adversely affect the resident's rights, duties, welfare or status;
- B. The decision of the Hearing Officer is contrary to applicable Federal, State, or local law, Authority regulations, or requirements of the Annual Contributions Contract between the Authority and the U.S. Department of Housing and Urban Development.

A decision by the Hearing Officer or Board of Commissioners in favor of the New Albany Housing Authority or which denies the relief requested by the resident in whole or in part shall not constitute a waiver of, nor affect in any manner whatsoever, any rights the resident may have to a trial do novo or judicial review in any judicial proceedings, which may thereafter be brought in the matter.

# NEW ALBANY HOUSING AUTHORITY

## PET POLICY

### **18.1 EXCLUSIONS**

This policy does not apply to animals that are used to assist persons with disabilities. Certified assistance animals are allowed in all public housing facilities with no restrictions other than those imposed on all tenants to maintain their units and associated facilities in a decent, safe, and sanitary manner and to refrain from disturbing their neighbors.

### **18.2 PETS IN PUBLIC HOUSING**

The New Albany Housing Authority allows for ownership of birds and fish in all of its developments and for dogs and cats in the areas specified below with the written pre-approval of the Housing Authority. Due to the density of our neighborhoods and for the safety of our residents and their pets, areas at each site are designated as follows:

- A. At the three elderly highrises i.e. Parkview Tower, Riverview Tower, and Mark Elrod Tower, cats and dogs will be allowed in units on the second floor only. Residents on other floors who desire to have a cat or dog may request a transfer to the second floor on a first come first served basis and contingent on 2<sup>nd</sup> floor vacancies.
- B. Beechwood Court, specifically 302, 304, 306, 308, 310, 312 Doolittle Drive; and 610, 612, 614, 616, 618, 620, 622, 624, 626, 628 MacArthur Drive. Residents desiring to have a cat or dog may request a transfer to a designated unit on a first come first served basis contingent on availability.
- C. Crystal Court, specifically 201, 203, 205, 207 Crystal Court. Residents desiring to have a cat or dog may request a transfer to a designated unit on a first come first served basis contingent on availability.
- D. Parkview/Broadmeade, specifically the even numbered addresses in the 100 and 200 blocks of Erni Avenue, 401 through 411 Graybrook Lane, 101 through 204 Morgan Avenue; 101, 103, 105, 107, 109, 111, 113, 115, 117 Erni Avenue. Residents desiring to have a cat or dog may request a transfer to a designated unit on a first come first served basis contingent on availability.
- E. Vance Court, specifically the even numbered apartments from 26 through 48. Residents desiring to have a cat or dog may request a transfer to a designated unit on a first come first served basis contingent on availability.
- F. Riverside Terrace, specifically apartment numbers 1 through 14 Riverside Drive. Residents desiring to have a cat or dog may request a transfer to a designated unit on a first come first served basis contingent on availability.

These designations apply to cats and dogs only. Other pets allowed by this policy may be kept in any unit (subject to all rules). Residents are responsible for any damage caused by their pet. Including but not limited to, the cost of fumigating or cleaning their units. In exchange for this right, residents assumes full responsibility and liability for their pet and agrees to hold the New Albany Housing Authority harmless from any claims caused by an action or inaction of the pet. New Albany Housing Authority staff are responsible for the enforcement of its pet policy and their determination(s) shall be final.

### **18.3 APPROVAL**

Residents must have the written approval of the Housing Authority before moving a pet into to their unit. Residents must request approval on the authorization of pet Ownership Form that must

be fully completed before the Housing Authority will approve the request. Residents must give the Housing Authority a picture of the pet so it can be identified if it is running loose.

#### ***18.4 TYPES AND NUMBER OF PETS***

The New Albany Housing Authority will allow only common household pets, defined as cats, dogs, goldfish or tropical fish and caged birds. No other types of pets will be allowed.

All dogs and cats must be spayed or neutered before they become six months old. The pet owner is required to provide the Housing Authority with verification from a licensed veterinarian.

Only one (1) pet per unit will be allowed.

Any animal deemed to be potentially harmful to the health and/or safety of others, including attack or fight trained dogs, will not be allowed.

No animal may exceed 15 pounds in weight at its projected full adult size.

Any dog must be at least six (6) months old, housebroken, and neutered.

Any cat must be at least six (6) months old, litter-trained, and neutered.

#### ***18.5 INOCULATIONS***

In order to be registered, pets must be appropriately inoculated against rabies, distemper and other conditions prescribed by state and/or local ordinances. They must comply with all other state and local public health, animal control, and anticruelty laws including any licensing requirements. A certification signed by a licensed veterinarian or state or local official shall be annually filed with the New Albany Housing Authority to attest to the inoculations.

#### ***18.6 PET DEPOSIT***

A pet deposit totaling \$300.00 is required to register all cats and dogs with the Housing Authority. A minimum of \$50.00 is required at the time of registering a cat or dog, the balance to be paid at the rate of at least \$50.00 monthly, every month until paid. The deposit is refundable when the pet or the family vacates the unit, less any amounts owed due to damage beyond normal wear and tear.

#### ***18.7 FINANCIAL OBLIGATION OF RESIDENTS***

Any resident who owns or keeps a pet in their dwelling unit will be required to pay for any damages caused by the pet. Also, any unit that becomes insect infested and the cause of the infestation is pet-related will be the financial responsibility of the resident of that unit or the pet owner. The New Albany Housing Authority reserves the right to exterminate and charge the resident for any and all cost related to extermination of the unit.

Any resident who owns a dog or cat will be required to pay a \$15.00 per month pet ownership fee. The ownership fee is due on the 1<sup>st</sup> of every month and a \$5.00 late fee will be charged after the 5th of each month.

#### ***18.8 NUISANCE OR THREAT TO HEALTH OR SAFETY***

The pet and its living quarters must be maintained in a manner to prevent odors and any other unsanitary conditions in the owner's unit and surrounding areas. Pet owners must clean up after

their pets immediately, at locations both inside tenant homes and in all outside neighborhood areas.

Repeated substantiated complaints by neighbors or the New Albany Housing Authority personnel regarding pets disturbing the peace of neighbors through noise, odor, animal waste, or other nuisance may result in the owner having to remove the pet from the premises. Refusal to remove the pet will be grounds for eviction.

Pets who make noise continuously and /or incessantly for a period of 10 minutes or intermittently for one half hour or more to the disturbance of any person at any time of day or night shall be considered a nuisance.

### ***18.9 DESIGNATION OF PET AREAS***

Residents are not allowed to maintain pets outside of any apartment. Pets must be kept in the owner's apartment or on a hand-held leash at all times when outside the unit (no fences, doghouses, and/or outdoor cages may be constructed to maintain pets). Pets will be allowed only in the designated areas. Pet owners must clean up after their pets and are responsible for disposing of pet waste properly.

**DOGS** – At the elderly highrises, dog waste deposited on Housing Authority property must be removed at once, placed in plastic bag, tightly closed, and deposited in the designated waste receptacle located near the picnic shelters. At Beechwood Court Crystal Court, Parkview/Broadmeade, Vance Court, and Riverside Terrace dog owners must exercise their pets for the purpose of waste deposit only in their own yard areas or off of Authority property. The waste must be removed at once, placed in a plastic bag, tightly closed, and placed in the designated waste receptacle nearest their unit.

**CATS** – Cats must be litter trained. Cat waste may be sifted from the litter box and placed directly in the toilet (waste only) and flushed. Clogged toilets due to cat litter are the financial responsibility of the resident. When changing litter, it must be placed in a tightly closed plastic bag and placed in the designated waste receptacle.

With the exception of certified assistive animals no pets shall be allowed in the community room, community room kitchen, laundry rooms, public bathrooms, lobby, beauty shop, hallways or office at any of our sites. Only one animal should be on any elevator at any time. Whenever possible, pet owners are encouraged to use the stairs.

To accommodate residents who have medically certified allergic or phobic reactions to dogs, cats or other pets, those pets may be barred from certain wings (or floors) in our developments(s) / (building(s)). This shall be implemented based on demand for this service.

### ***18.10 MISCELLANEOUS RULES***

Housing Authority personnel will not be required to enter any apartment where a cat or dog resides unless the resident is at home and has the pet under control.

Pets may not be left unattended in a dwelling unit for over 24 hours. If the pet is left unattended for more than 24 hours, the Housing Authority shall have the right to enter the premises and take the uncared-for pet to the local animal shelter and will assume no responsibility for the pet after the transfer.

Pet bedding shall not be washed in any common laundry facilities.

Residents must take appropriate actions to protect their pets from fleas and ticks.

All dogs must wear a tag bearing the resident's name and phone number and the date of the latest rabies, distemper and other required inoculations.

Pets cannot be kept, bred or used for any commercial purpose.

Residents owning cats shall maintain waterproof litter boxes for cat waste. Refuse from litter boxes shall not accumulate or become unsightly or unsanitary. Litter shall be disposed of in an appropriate manner. See 18.8

A pet owner shall physically control or confine his/her pet during the times when Housing Authority employees, agents of the Housing Authority or others must enter the pet owner's apartment to conduct business, provide services, enforce lease terms, etc.

In the event of an attack or any injury to a person(s) or other animal(s) the pet's owner shall be required to permanently remove the pet from the Housing Authority's property IMMEDIATELY upon receiving written notice from the Housing Authority. The pet owner may also be subject to termination of his/ her dwelling lease. See 18.12

Any pet owner who violates any condition(s) of this policy may be required to remove his/her pet from the development within 5 calendar days of receiving written notice from the Housing Authority. The pet owner may also be subject to termination of his/her dwelling lease. See 18.12

The Housing Authority's grievance procedures shall be applicable to all individual grievances or disputes arising out of violations or alleged violations of this policy.

### ***18.11 VISITING PETS***

No unauthorized pets/animals shall be allowed on New Albany Housing Authority property. Authorized pets are defined as pets that have been approved in accordance with section 18.3 of the New Albany Housing Authority Pet Policy.

### ***18.12 REMOVAL OF PETS***

The New Albany Housing Authority, or an appropriate community Authority, shall, require the removal of any pet from any complex, if the pet's conduct or conditions are determined to be a nuisance or a threat to the health and/or safety of other occupants of the complex and/or of other persons in the community where the complex is located.

In the event of illness or death of the pet owner, or in the case of an emergency which would prevent the pet owner from properly caring for the pet, the New Albany Housing Authority has permission to call the emergency caregiver designated by the pet owner or the local Pet Law Enforcement Agency to take the pet and care for it until family or friends would claim the pet and assume responsibility for it. Any expenses incurred will be the responsibility of the pet owner. If the emergency caregiver fails to pick up the animal within 24 hours will be turned over to the proper enforcement agency.

Additionally, any animal that is the suspected victim of abuse and/or neglect will be reported to the local Pet Law Enforcement agency and shall be removed in accordance with local and/or state laws.

THE PET POLICY WILL BEGIN ON JULY 1, 2001

**Violation of any Of the New Albany Housing Authority's Pet Policy will be Grounds For Removal Of The Pet And/or Eviction Of The Tenant.**

APPROVED BY THE NEW ALBANY HOUSING AUTHORITY COMMISSONERS 5/15/2001



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# **ADMISSIONS AND CONTINUED OCCUPANCY POLICY**

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This Admissions and Continued Occupancy Policy defines the New Albany Housing Authority's policies for the operation for the Public Housing Program, incorporating Federal, State and local law. If there is any conflict between this policy and laws or regulations, the laws and regulations will prevail.

## **1.0 FAIR HOUSING**

It is the policy of the New Albany Housing Authority to fully comply with all Federal, State and local nondiscrimination laws; the Americans with Disabilities Act; and the U. S. Department of Housing and Urban Development regulations governing Fair Housing and Equal Opportunity.

No person shall, on the grounds of race, color, sex, religion, national or ethnic origin, familial status, or disability be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under the New Albany Housing Authority's programs.

To further its commitment to full compliance with applicable Civil Rights laws, the New Albany Housing Authority will provide Federal/State/local information to applicants/tenants of the Public Housing Program regarding discrimination and any recourse available to them if they believe they may be victims of discrimination. Such information will be made available with the application, and all applicable Fair Housing Information and Discrimination Complaint Forms will be made available at the New Albany Housing Authority office. In addition, all written information and advertisements will contain the appropriate Equal Opportunity language and logo.

The New Albany Housing Authority will assist any family that believes they have suffered illegal discrimination by providing them copies of the appropriate housing discrimination forms. The New Albany Housing Authority will also assist them in completing the forms if requested, and will provide them with the address of the nearest HUD office of Fair Housing and Equal Opportunity.

## **2.0 REASONABLE ACCOMODATION**

Sometimes people with disabilities may need a reasonable accommodation in order to take full advantage of the New Albany Housing Authority housing programs and related services. When such accommodations are granted, they do not confer special treatment or advantage for the person with a disability; rather, they make the program accessible to them in a way that would otherwise not be possible due to their disability. This policy clarifies how people can request accommodations and the guidelines the New Albany Housing Authority will follow in determining whether it is reasonable to provide a

requested accommodation. Because disabilities are not always apparent, the New Albany Housing Authority will ensure that all applicants/tenants are aware of the opportunity to request reasonable accommodations.

## **2.1 COMMUNICATION**

Anyone requesting an application will also receive a Request for Reasonable Accommodation form.

Notifications of reexamination, inspection, appointment, or eviction will include information about requesting a reasonable accommodation. Any notification requesting action by the tenant will include information about requesting a reasonable accommodation.

All decisions granting or denying requests for reasonable accommodations will be in writing.

## **2.2 QUESTIONS TO ASK IN GRANTING THE ACCOMMODATION**

A. Is the requestor a person with disabilities? For this purpose the definition of person with disabilities is different than the definition used for admission. The Fair Housing definition used for this purpose is:

A person with a physical or mental impairment that substantially limits one or more major life activities, has a record of such an impairment, or is regarded as having such an impairment. (The disability may not be apparent to others, i.e., a heart condition).

If the disability is apparent or already documented, the answer to this question is yes. It is possible that the disability for which the accommodation is being requested is a disability other than the apparent disability. If the disability is not apparent or documented, the New Albany Housing Authority will obtain verification that the person is a person with a disability.

B. Is the requested accommodation related to the disability? If it is apparent that the request is related to the apparent or documented disability, the answer to this question is yes. If it is not apparent, the New Albany Housing Authority will obtain documentation that the requested accommodation is needed due to the disability. The New Albany Housing Authority will not inquire as to the nature of the disability.

C. Is the requested accommodation reasonable? In order to be determined reasonable, the accommodation must meet two criteria:

1. Would the accommodation constitute a fundamental alteration? The New

Albany Housing Authority's business is housing. If the request would alter the fundamental business that the New Albany Housing Authority conducts, that would not be reasonable. For instance, the New Albany Housing Authority would deny a request to have the New Albany Housing Authority do grocery shopping for a person with disabilities.

2. Would the requested accommodation create an undue financial hardship or administrative burden? Frequently the requested accommodation costs little or nothing. If the cost would be an undue burden, the New Albany Housing Authority may request a meeting with the individual to investigate and consider equally effective alternatives.
- D. Generally the individual knows best what it is they need; however, the New Albany Housing Authority retains the right to be shown how the requested accommodation enables the individual to access or use the New Albany Housing Authority's programs or services.

If more than one accommodation is equally effective in providing access to the New Albany Housing Authority's programs and services, the New Albany Housing Authority retains the right to select the most efficient or economic choice.

The cost necessary to carry out approved requests, including requests for physical modifications, will be borne by the New Albany Housing Authority if there is no one else willing to pay for the modifications. If another party pays for the modification, the New Albany Housing Authority will seek to have the same entity pay for any restoration costs.

If the tenant requests as a reasonable accommodation that they be permitted to make physical modifications at their own expense, the New Albany Housing Authority will generally approve such request if it does not violate codes or affect the structural integrity of the unit.

Any request for an accommodation that would enable a tenant to materially violate essential lease terms will not be approved, i.e. allowing nonpayment of rent, destruction of property, disturbing the peaceful enjoyment of others, etc.

### **3.0 SERVICES FOR NON-ENGLISH SPEAKING APPLICANTS AND RESIDENTS**

The New Albany Housing Authority will endeavor to have bilingual staff or access to people who speak languages other than English in order to assist non-English speaking families. The following languages shall be covered:

**Spanish**

## **4.0 FAMILY OUTREACH**

The New Albany Housing Authority will publicize the availability and nature of the Public Housing Program for extremely low-income, very low and low-income families in a newspaper of general circulation, minority media, and by other suitable means.

To reach people who cannot or do not read the newspapers, the New Albany Housing Authority will distribute fact sheets to the broadcasting media and initiate personal contacts with members of the news media and community service personnel. The New Albany Housing Authority will also try to utilize public service announcements.

The New Albany Housing Authority will communicate the status of housing availability to other service providers in the community and inform them of housing eligibility factors and guidelines so they can make proper referrals for the Public Housing Program.

## **5.0 RIGHT TO PRIVACY**

All adult members of both applicant and tenant households are required to sign HUD Form 9886, Authorization for Release of Information and Privacy Act Notice. The Authorization for Release of Information and Privacy Act Notice states how family information will be released and includes the Federal Privacy Act Statement.

Any request for applicant or tenant information will not be released unless there is a signed release of information request from the applicant or tenant.

## **6.0 REQUIRED POSTINGS**

In each of its offices, the New Albany Housing Authority will post, in a conspicuous place and at a height easily read by all persons including persons with mobility disabilities, the following information:

- A. Statement of Policies and Procedures governing Admission and Continued Occupancy
- B. Notice of the status of the waiting list (opened or closed)
- C. A listing of all the developments by name, address, number of units, units designed with special accommodations, address of all project offices, office hours, telephone numbers, TDD numbers, and Resident Facilities and operation hours
- D. Income Limits for Admission

- E. Excess Utility Charges
- F. Utility Allowance Schedule
- G. Current Schedule of Routine Maintenance Charges
- H. Dwelling Lease
- I. Grievance Procedure
- J. Fair Housing Poster
- K. Equal Opportunity in Employment Poster
- L. Any current New Albany Housing Authority Notices

## **7.0 TAKING APPLICATIONS**

Families wishing to apply for the Public Housing Program will be required to complete an application for housing assistance. Applications will be accepted during regular business hours at:

**169 Woodland Drive, New Albany, Indiana 47150**

Applications are taken to compile a waiting list. Due to the demand for housing in the New Albany Housing Authority jurisdiction, the New Albany Housing Authority may take applications on an open enrollment basis, depending on the length of the waiting list.

Completed applications will be accepted for all applicants and the New Albany Housing Authority will verify the information.

Applications may be made in person at the **Central Office, 169 Woodland Drive**. Applications will be mailed to interested families upon request.

The completed application will be dated and time stamped upon its return to the New Albany Housing Authority.

Persons with disabilities who require a reasonable accommodation in completing an application may call the New Albany Housing Authority to make special arrangements. A Telecommunication Device for the Deaf (TDD) is available for the deaf. The TDD telephone number is **812-948-4820**.

The application process will involve two phases. The first phase is the initial application for housing assistance or the pre-application. The pre-application requires the family to

provide limited basic information establishing any preferences to which they may be entitled. This first phase results in the family's placement on the waiting list.

Upon receipt of the family's pre-application, the New Albany Housing Authority will make a preliminary determination of eligibility. The New Albany Housing Authority will notify the family in writing of the date and time of placement on the waiting list, and the approximate wait before housing may be offered. If the New Albany Housing Authority determines the family to be ineligible, the notice will state the reasons therefore and will offer the family the opportunity of an informal review of the determination.

The applicant may at any time report changes in their applicant status including changes in family composition, income, or preference factors. The New Albany Housing Authority will annotate the applicant's file and will update their place on the waiting list. Confirmation of the changes will be confirmed with the family in writing.

The second phase is the final determination of eligibility, referred to as the full application. The full application takes place when the family nears the top of the waiting list. The New Albany Housing Authority will ensure that verification of all preferences, eligibility, suitability and selection factors are current in order to determine the family's final eligibility for admission into the Public Housing Program.

## **8.0 ELIGIBILITY FOR ADMISSION**

### **8.1 INTRODUCTION**

There are five eligibility requirements for admission to public housing: qualifies as a family, has an income within the income limits, meets citizenship/eligible immigrant criteria, provides documentation of Social Security numbers, and signs consent authorization documents. In addition to the eligibility criteria, families must also meet the New Albany Housing Authority screening criteria in order to be admitted to public housing.

### **8.2 ELIGIBILITY CRITERIA**

#### **A. Family status.**

1. A **family with or without children**. Such a family is defined as a group of people related by blood, marriage, adoption or affinity that live together in a stable family relationship.
  - a. Children temporarily absent from the home due to placement in foster care are considered family members.
  - b. Unborn children and children in the process of being adopted are considered family members for the purpose of determining

bedroom size but are not considered family members for determining income limit.

2. An **elderly family**, which is:
  - a. A family whose head, spouse, or sole member is a person who is at least 62 years of age;
  - b. Two or more persons who are at least 62 years of age living together; or
  - c. One or more persons who are at least 62 years of age living with one or more live-in aides.
3. A **near elderly family**, which is:
  - a. A family whose head, spouse, or sole member is a person who is at least 50 years of age but below the age of 62;
  - b. Two or more persons, who are at least 50 years of age but below the age of 62, living together; or
  - c. One or more persons, who are at least 50 years of age but below the age of 62, living with one or more live-in aides.
4. A **disabled family**, which is:
  - a. A family whose head, spouse, or sole member is a person with disabilities;
  - b. Two or more persons with disabilities living together; or
  - c. One or more persons with disabilities living with one or more live-in aides.
5. A **displaced family**, which is a family in which each member, or whose sole member, has been displaced by governmental action, or whose dwelling has been extensively damaged or destroyed as a result of a disaster declared or otherwise formally recognized pursuant to Federal disaster relief laws.
6. A **remaining member of a tenant family**.
7. A **single person** who is not an elderly or displaced person, a person with disabilities, or the remaining member of a tenant family.

B. Income eligibility

1. To be eligible for admission to developments or scattered-site units that were available for occupancy before 10/1/81, the family's annual income must be within the low-income limit set by HUD. This means the family income cannot exceed 80 percent of the median income for the area.
2. To be eligible for admission to developments or scattered-site units that became available on or after 10/1/81, the family's annual income must be within the very low-income limit set by HUD, unless HUD grants an exception. This means that without a HUD exception, the family income cannot exceed 50 percent of the median income for the area.
3. Income limits apply only at admission and are not applicable for continued occupancy.
4. A family may not be admitted to the public housing program from another assisted housing program (e.g., tenant-based Section 8) or from a public housing program operated by another housing authority without meeting the income requirements of the New Albany Housing Authority.
5. If the New Albany Housing Authority acquires a property for federal public housing purposes, the families living there must have incomes within the low-income limit in order to be eligible to remain as public housing tenants.
6. Income limit restrictions do not apply to families transferring within our Public Housing Program.

C. Citizenship/Eligibility Status

1. To be eligible each member of the family must be a citizen, national, or a noncitizen who has eligible immigration status under one of the categories set forth in Section 214 of the Housing and Community Development Act of 1980 (see 42 U.S.C. 1436a(a)).
2. Family eligibility for assistance.
  - a. A family shall not be eligible for assistance unless every member of the family residing in the unit is determined to have eligible status, with the exception noted below.
  - b. Despite the ineligibility of one or more family members, a mixed family may be eligible for one of three types of assistance. (See Section 13.6 for calculating rents under the noncitizen rule)

- c. A family without any eligible members and receiving assistance on June 19, 1995 may be eligible for temporary deferral of termination of assistance.

D. Social Security Number Documentation

To be eligible, all family members 6 years of age and older must provide a Social Security number or certify that they do not have one.

E. Signing Consent Forms

1. In order to be eligible, each member of the family who is at least 18 years of age, and each family head and spouse regardless of age, shall sign one or more consent forms.
2. The consent form must contain, at a minimum, the following:
  - a. A provision authorizing HUD or the New Albany Housing Authority to obtain from State Wage Information Collection Agencies (SWICAs) any information or materials necessary to complete or verify the application for participation or for eligibility for continued occupancy; and
  - b. A provision authorizing HUD or the New Albany Housing Authority to verify with previous or current employers income information pertinent to the family's eligibility for or level of assistance;
  - c. A provision authorizing HUD to request income information from the IRS and the SSA for the sole purpose of verifying income information pertinent to the family's eligibility or level of benefits; and
  - d. A statement that the authorization to release the information requested by the consent form expires 15 months after the date the consent form is signed.

### **8.3 SUITABILITY**

- A. Applicant families will be evaluated to determine whether, based on their recent behavior, such behavior could reasonably be expected to result in noncompliance with the public housing lease. The New Albany Housing Authority will look at past conduct as an indicator of future conduct. Emphasis will be placed on whether a family's admission could reasonably be expected to have a detrimental effect on the development environment, other tenants, New Albany Housing

Authority employees, or other people residing in the immediate vicinity of the property. Otherwise eligible families will be denied admission if they fail to meet the suitability criteria.

B. The New Albany Housing Authority will consider objective and reasonable aspects of the family's background, including the following:

1. History of meeting financial obligations, especially rent;
2. Ability to maintain (or with assistance would have the ability to maintain) their housing in a decent and safe condition based on living or housekeeping habits and whether such habits could adversely affect the health, safety, or welfare of other tenants;
3. History of criminal activity by any household member involving crimes of physical violence against persons or property and any other criminal activity including drug-related criminal activity that would adversely affect the health, safety, or well being of other tenants or staff or cause damage to the property;
3. History of disturbing neighbors or destruction of property;
4. Having committed fraud in connection with any Federal housing assistance program, including the intentional misrepresentation of information related to their housing application or benefits derived there from; and
5. History of abusing alcohol in a way that may interfere with the health, safety, or right to peaceful enjoyment by others.

C. The New Albany Housing Authority will ask applicants to provide information demonstrating their ability to comply with the essential elements of the lease. The New Albany Housing Authority will verify the information provided. Such verification may include but may not be limited to the following:

1. A credit check of the head, spouse and co-head;
2. A rental history check of all adult family members;
3. A criminal background check on all adult household members, including live-in aides. This check will be made through State or local law enforcement or court records in those cases where the household member has lived in the local jurisdiction for the last three years. Where the individual has lived outside the local area, the New Albany Housing Authority may contact law enforcement agencies where the individual had lived or request a check through the FBI's National Crime Information

Center (NCIC);

4. A home visit. The home visit provides the opportunity for the family to demonstrate their ability to maintain their home in a safe and sanitary manner. This inspection considers cleanliness and care of rooms, appliances, and appurtenances. The inspection may also consider any evidence of criminal activity; and
5. A check of the State's lifetime sex offender registration program for each adult household member, including live-in aides. No individual registered with this program will be admitted to public housing.

#### **8.4 GROUND FOR DENIAL**

The New Albany Housing Authority is not required or obligated to assist applicants who:

- A. Do not meet any one or more of the eligibility criteria;
- B. Do not supply information or documentation required by the application process;
- C. Have failed to respond to a written request for information or a request to declare their continued interest in the program;
- D. Have a history of not meeting financial obligations, especially rent;
- E. Do not have the ability to maintain (with assistance) their housing in a decent and safe condition where such habits could adversely affect the health, safety, or welfare of other tenants;
- F. Have a history of criminal activity by any household member involving crimes of physical violence against persons or property and any other criminal activity including drug-related criminal activity that would adversely affect the health, safety, or well being of other tenants or staff or cause damage to the property;
- G. Have a history of disturbing neighbors or destruction of property;
- H. Currently owes rent or other amounts to any housing authority in connection with their public housing or Section 8 programs;
- I. Have committed fraud, bribery or any other corruption in connection with any Federal housing assistance program, including the intentional misrepresentation of information related to their housing application or benefits derived there from;
- J. Were evicted from assisted housing within three years of the projected date of admission because of drug-related criminal activity involving the personal use or possession for personal use;

- K. Were evicted from assisted housing within five years of the projected date of admission because of drug-related criminal activity involving the illegal manufacture, sale, distribution, or possession with the intent to manufacture, sell, distribute a controlled substance as defined in Section 102 of the Controlled Substances Act, 21 U.S.C. 802;
- L. Are illegally using a controlled substance or are abusing alcohol in a way that may interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents. The New Albany Housing Authority may waive this requirement if:
  - 1. The person demonstrates to the New Albany Housing Authority's satisfaction that the person is no longer engaging in drug-related criminal activity or abuse of alcohol;
  - 2. Has successfully completed a supervised drug or alcohol rehabilitation program;
  - 3. Has otherwise been rehabilitated successfully; or
  - 4. Is participating in a supervised drug or alcohol rehabilitation program.
- M. Have engaged in or threatened abusive or violent behavior towards any New Albany Housing Authority staff or residents;
- N. Have a household member who has ever been evicted from public housing;
- O. Have a family household member who has been terminated under the certificate or voucher program;
- P. **Denied for Life:** If any family member has been convicted of manufacturing or producing methamphetamine (speed) in a public housing development or in a Section 8 assisted property;
- Q. **Denied for Life:** Has a lifetime registration under a State sex offender registration program.

## **8.5 INFORMAL REVIEW**

- A. If the New Albany Housing Authority determines that an applicant does not meet the criteria for receiving public housing assistance, the New Albany Housing Authority will promptly provide the applicant with written notice of the determination. The notice must contain a brief statement of the reason(s) for the decision and state that the applicant may request an informal review of the

decision within 10 business days of the denial. The New Albany Housing Authority will describe how to obtain the informal review.

The informal review may be conducted by any person designated by the New Albany Housing Authority, other than a person who made or approved the decision under review or subordinate of this person. The applicant must be given the opportunity to present written or oral objections to the New Albany Housing Authority's decision. The New Albany Housing Authority must notify the applicant of the final decision within 14 calendar days after the informal review, including a brief statement of the reasons for the final decision.

- B. The participant family may request that the New Albany Housing Authority provide for an Informal Hearing after the family has notification of an INS decision on their citizenship status on appeal, or in lieu of request of appeal to the INS. This request must be made by the participant family within 30 days of receipt of the Notice of Denial or Termination of Assistance, or within 30 days of receipt of the INS appeal decision.

For the participant families, the Informal Hearing Process above will be utilized with the exception that the participant family will have up to 30 days of receipt of the Notice of Denial or Termination of Assistance, or of the INS appeal decision.

## **9.0 MANAGING THE WAITING LIST**

### ***9.1 OPENING AND CLOSING THE WAITING LIST***

Opening of the waiting list will be announced with a public notice stating that applications for public housing will again be accepted. The public notice will state where, when, and how to apply. The notice will be published in a local newspaper of general circulation and also by any available minority media. The public notice will state any limitations to who may apply.

The notice will state that applicants already on waiting lists for other housing programs must apply separately for this program and such applicants will not lose their place on other waiting lists when they apply for public housing. The notice will include the Fair Housing logo and slogan and will be in compliance with Fair Housing requirements.

Closing of the waiting list will also be announced with a public notice. The public notice will state the date the waiting list will be closed and for what bedroom sizes. The public notice will be published in a local newspaper of general circulation and also by any available minority media.

### ***9.2 ORGANIZATION OF THE WAITING LIST***

The waiting list will be maintained in accordance with the following guidelines:

- A. The application will be a permanent file;
- B. All applications will be maintained in order of bedroom size, preference, and then in order of date and time of application; and
- C. Any contacts between the New Albany Housing Authority and the applicant will be documented in the applicant file.

### **9.3 FAMILIES NEARING THE TOP OF THE WAITING LIST**

When a family appears to be near the time of being offered a unit, the family's verification process will be reviewed. It is at this point in time that the family's waiting list preference will be verified again. If the family no longer qualifies to be near the top of the list, the family's name will be returned to the appropriate spot on the waiting list. The New Albany Housing Authority must notify the family in writing of this determination and give the family the opportunity for an informal review.

### **9.4 PURGING THE WAITING LIST**

The New Albany Housing Authority will update and purge its waiting list at least annually to ensure that the pool of applicants reasonably represents the interested families for whom the New Albany Housing Authority has current information, i.e. applicant's address, family composition, income category, and preferences.

### **9.5 REMOVAL OF APPLICANTS FROM THE WAITING LIST**

The New Albany Housing Authority will not remove an applicant's name from the waiting list unless:

- A. The applicant requests in writing that the name be removed;
- B. The applicant fails to respond to a written request for information or a request to declare their continued interest in the program; or
- C. The applicant does not meet either the eligibility or suitability criteria for the program.

### **9.6 MISSED APPOINTMENTS**

Missed appointments will be rescheduled at the convenience of the staff member.

## **9.7 NOTIFICATION OF NEGATIVE ACTIONS**

Any applicant whose name is being removed from the waiting list will be notified by the New Albany Housing Authority, in writing, that they have ten (10) calendar days from the date of the written correspondence to present mitigating circumstances or request an informal review. The letter will also indicate that their name will be removed from the waiting list if they fail to respond within the timeframe specified. The New Albany Housing Authority system of removing applicant names from the waiting list will not violate the rights of persons with disabilities. If an applicant claims that their failure to respond to a request for information or updates was caused by a disability, the New Albany Housing Authority will verify that there is in fact a disability and the disability caused the failure to respond, and provide a reasonable accommodation. An example of a reasonable accommodation would be to reinstate the applicant on the waiting list based on the date and time of the original application.

## **10.0 TENANT SELECTION AND ASSIGNMENT PLAN**

### **10.1 PREFERENCES**

The New Albany Housing Authority will select families based on the following preferences within each bedroom size category:

- A. Elderly/Disabled/Involuntarily Displaced (16 pts.)**
- B. Substandard Housing/Homeless (8 pts.)**
- C. Working Families (including those in Education/Job Training Programs) (4 pts.)**
- D. Families with Established Rental Record (2 pts.)**
- E. Veterans (1 pt.)**

The date and time of application will be noted and utilized to determine the sequence within the above prescribed preferences.

Notwithstanding the above, families who are elderly, disabled, or displaced will be offered housing before other single persons.

**Buildings Designed for the Elderly and Disabled:** Preference will be given to elderly and disabled families. If there are no elderly or disabled families on the list, preference will then be given to near-elderly families. If there are no near-elderly families on the waiting list, units will be offered to families who qualify for the appropriate bedroom size using these priorities. All such families will be selected from the waiting list using the preferences as outlined above.

**Buildings Designated as Elderly Only Housing:** The **Parkview Tower, Riverview Tower, and Mark Elrod Tower** have been approved by HUD as being designated for elderly only. In filling vacancies in this development, first priority will be given to elderly families. If there are no elderly families on the list, next priority will be given to the near-elderly. If there are no near-elderly, units will be offered to families who qualify for the appropriate bedroom size. Using these priorities, families will be selected from the waiting list using the preferences as outlined above.

**Buildings Designated for Disabled Only Housing:** The **New Albany Housing Authority** currently has no developments that have been approved by HUD as being designated for persons with disabilities only. In filling vacancies in any development that may be so designated in the future, first priority will be given to disabled families. If there are no disabled families on the list, next priority will be given to families who qualify for the appropriate bedroom size. Using these priorities, families will be selected from the waiting list using the preferences as outlined above.

**Accessible Units:** Accessible units will be first offered to families who may benefit from the accessible features. Applicants for these units will be selected utilizing the same preference system as outlined above. If there are no applicants who would benefit from the accessible features, the units will be offered to other applicants in the order that their names come to the top of the waiting list. Such applicants, however, must sign a release form stating they will accept a transfer (at their own expense) if, at a future time, a family requiring an accessible feature applies. Any family required to transfer will be given a 30-day notice.

**10.2 ASSIGNMENT OF BEDROOM SIZES**

The following guidelines will determine each family’s unit size without overcrowding or over-housing:

Number of Bedrooms	Number of Persons	
	Minimum	Maximum
0	1	1
1	1	2
2	2	4
3	3	6
4	4	8

These standards are based on the assumption that each bedroom will accommodate no more than two (2) persons. Zero bedroom units will only be assigned to one-person families.

In determining bedroom size, the New Albany Housing Authority will include the presence of children to be born to a pregnant woman, children who are in the process of being adopted, children whose custody is being obtained, children who are temporarily away at school, or children who are temporarily in foster-care.

In addition, the following considerations may be taken in determining bedroom size:

- A. Children of the same sex **will** share a bedroom. Consideration will be given to age differences and/or verifiable medical needs.
- B. Children of the opposite sex, both under the age of **five (5) may** share a bedroom.
- C. Adults and children will not be required to share a bedroom.
- D. Foster – adults and/or foster - children may but will not be required to share a bedroom with family members.
- E. Live-in aides will get a separate bedroom.

Exceptions to normal bedroom size standards include the following:

- A. Units smaller than assigned through the above guidelines – A family may request a smaller unit size than the guidelines allow. The New Albany Housing Authority will allow the smaller size unit so long as generally no more than two (2) people per bedroom are assigned. In such situations, the family will sign a certification stating they understand they will be ineligible for a larger size unit for **3 years** or until the family size changes, whichever may occur first.
- B. Units larger than assigned through the above guidelines – A family may request a larger unit size than the guidelines allow. The New Albany Housing Authority will allow the larger size unit if the family provides a verified medical need that the family be housed in a larger unit.
- C. If there are no families on the waiting list for a larger size, smaller families may be housed if they sign a release form stating they will transfer (at the family's own expense) to the appropriate size unit when an eligible family needing the larger unit applies. The family transferring will be given a 30-day notice before being required to move.
- D. Larger units may be offered in order to improve the marketing of a development suffering a high vacancy rate.

### **10.3 SELECTION FROM THE WAITING LIST**

The New Albany Housing Authority shall follow the statutory requirement that at least 40% of newly admitted families in any fiscal year be families whose annual income is at or below 30% of the area median income. To insure this requirement is met we shall quarterly monitor the incomes of newly admitted families and the incomes of the families on the waiting list. If it appears that the requirement to house extremely low-income families will not be met, we will skip higher income families on the waiting list to reach extremely low-income families.

If there are not enough extremely low-income families on the waiting list we will conduct outreach on a non-discriminatory basis to attract extremely low-income families to reach the statutory requirement.

### **10.4 DECONCENTRATION POLICY**

It is New Albany Housing Authority's policy to provide for deconcentration of poverty and encourage income mixing by bringing higher income families into lower income developments and lower income families into higher income developments. Toward this end, we will skip families on the waiting list to reach other families with a lower or higher income. We will accomplish this in a uniform and non-discriminating manner.

The New Albany Housing Authority will affirmatively market our housing to all eligible income groups. Lower income residents will not be steered toward lower income developments and higher income people will not be steered toward higher income developments.

Prior to the beginning of each fiscal year, we will analyze the income levels of families residing in each of our developments, the income levels of census tracts in which our developments are located, and the income levels of the families on the waiting list. Based on this analysis, we will determine the level of marketing strategies and deconcentration incentives to implement. The worksheet for the analysis can be found in **Appendix 1**.

### **10.5 DECONCENTRATION INCENTIVES**

The New Albany Housing Authority may offer one or more incentives to encourage applicant families whose income classification would help to meet the deconcentration goals of a particular development.

Various incentives may be used at different times, or under different conditions, but will always be provided in a consistent and nondiscriminatory manner.

### **10.6 OFFER OF A UNIT**

When the New Albany Housing Authority discovers that a unit will become available, we will contact the first family on the waiting list who has the highest priority for this type of

unit or development and whose income category would help to meet the deconcentration goal and/or the income targeting goal.

The New Albany Housing Authority will contact the family first by telephone to make the unit offer. If the family cannot be reached by telephone, the family will be notified of a unit offer via first class mail. The family will be given five (5) business days from the date the letter was mailed to contact the New Albany Housing Authority regarding the offer.

The family will be offered the opportunity to view the unit. After the opportunity to view the unit, the family will have a minimum of 24 hours to accept or reject the unit. This verbal offer and the family's decision must be documented in the tenant file. If the family rejects the offer of the unit, the New Albany Housing Authority will send the family a letter documenting the offer and the rejection.

### ***10.7 REJECTION OF UNIT***

If in making the offer to the family the New Albany Housing Authority skipped over other families on the waiting list in order to meet their deconcentration goal or offered the family any other deconcentration incentive and the family rejects the unit, the family will not lose their place on the waiting list and will not be otherwise penalized.

If the New Albany Housing Authority did not skip over other families on the waiting list to reach this family, did not offer any other deconcentration incentive, and the family rejects the unit without good cause, the family will forfeit their application's date and time. The family will keep their preferences, but the date and time of application will be changed to the date and time the unit was rejected.

If the family rejects with good cause any unit offered, they will not lose their place on the waiting list. Good cause includes reasons related to health, proximity to work, school, and childcare (for those working or going to school). The family will be offered the right to an informal review of the decision to alter their application status.

### ***10.8 ACCEPTANCE OF UNIT***

The family will be required to sign a lease that will become effective no later than three (3) business days after the date of acceptance or the business day after the day the unit becomes available, whichever is later.

Prior to signing the lease all families (head of household) and other adult family members will be required to attend the Lease and Occupancy Orientation when they are initially accepted for occupancy. The family will not be housed if they have not attended the orientation. Applicants who provide prior notice of an inability to attend the orientation will be rescheduled. Failure of an applicant to attend the orientation, without good cause, may result in the cancellation of the occupancy process.

The applicant will be provided a copy of the lease, the grievance procedure, utility allowances, utility charges, the current schedule of routine maintenance charges, and a request for reasonable accommodation form. These documents will be explained in detail. The applicant will sign a certification that they have received these documents and that they have reviewed them with Housing Authority personnel. The certification will be filed in the tenant's file.

The signing of the lease and the review of financial information are to be privately handled. The head of household will be required to execute the lease prior to admission. Other adult family members will be required to execute the lease within 24 hours. One executed copy of the lease will be furnished to the head of household and the New Albany Housing Authority will retain the original executed lease in the tenant's file. A copy of the grievance procedure will be attached to the resident's copy of the lease.

The family will pay a security deposit at the time of lease signing. The security deposit will be equal to **the Total Tenant Payment or \$100.00 whichever is greater.**

In exceptional situations, the New Albany Housing Authority reserves the right to allow a new resident to pay their security deposit in up to three (3) payments. One third shall be paid in advance, one third with their second rent payment, and one third with their third rent payment. This shall be at the sole discretion of the Housing Authority.

In the case of a move within public housing, the security deposit for the first unit will be transferred to the second unit. Additionally, if the security deposit for the second unit is greater than that for the first, the difference will be collected from the family. Conversely, if the security deposit is less, the difference will be refunded to the family.

In the event there are costs attributable to the family for bringing the first unit into condition for re-renting, the family shall be billed for these charges.

## **11.0 INCOME, EXCLUSIONS FROM INCOME, AND DEDUCTIONS FROM INCOME**

To determine annual income, the New Albany Housing Authority counts the income of all family members, excluding the types and sources of income that are specifically excluded. Once the annual income is determined, the New Albany Housing Authority subtracts all allowable deductions (allowances) to determine the Total Tenant Payment.

### **11.1 INCOME**

Annual income means all amounts, monetary or not, that:

- A. Go to (or on behalf of) the family head or spouse (even if temporarily absent) or to any other family member; or

- B. Are anticipated to be received from a source outside the family during the 12-month period following admission or annual reexamination effective date; and
- C. Are not specifically excluded from annual income.

Annual income includes, but is not limited to:

- A. The full amount, before any payroll deductions, of wages and salaries, overtime pay, commissions, fees, tips and bonuses, and other compensation for personal services.
- B. The net income from the operation of a business or profession. Expenditures for business expansion or amortization of capital indebtedness are not used as deductions in determining net income. An allowance for depreciation of assets used in a business or profession may be deducted, based on straight-line depreciation, as provided in Internal Revenue Service regulations. Any withdrawal of cash or assets from the operation of a business or profession is included in income, except to the extent the withdrawal is a reimbursement of cash or assets invested in the operation by the family.
- C. Interest, dividends, and other net income of any kind from real or personal property. Expenditures for amortization of capital indebtedness are not used as deductions in determining net income. An allowance for depreciation of assets used in a business or profession may be deducted, based on straight-line depreciation, as provided in Internal Revenue Service regulations. Any withdrawal of cash or assets from an investment is included in income, except to the extent the withdrawal is reimbursement of cash or assets invested by the family. Where the family has net family assets in excess of \$5,000, annual income includes the greater of the actual income derived from all net family assets or a percentage of the value of such assets based on the current passbook savings rate, as determined by HUD.
- D. The full amount of periodic amounts received from Social Security, annuities, insurance policies, retirement funds, pensions, disability or death benefits, and other similar types of periodic receipts, including a lump-sum amount or prospective monthly amounts for the delayed start of a periodic amount. (However, deferred periodic amounts from supplemental security income and Social Security benefits that are received in a lump sum amount or in prospective monthly amounts are excluded.)
- E. Payments in lieu of earnings, such as unemployment and disability compensation, worker's compensation, and severance pay. (However, lump sum additions such as insurance payments from worker's compensation are excluded.)
- F. Welfare assistance.

1. If the welfare assistance payment includes an amount specifically designated for shelter and utilities that is subject to adjustment by the welfare assistance agency in accordance with the actual cost of shelter and utilities, the amount of welfare assistance income to be included as income consists of:
    - a. The amount of the allowance or grant exclusive of the amount specifically designated for shelter or utilities; plus
    - b. The maximum amount that the welfare assistance agency could in fact allow the family for shelter and utilities. If the family's welfare assistance is ratably reduced from the standard of need by applying a percentage, the amount calculated under this requirement is the amount resulting from one application of the percentage.
  2. If the amount of welfare is reduced due to an act of fraud by a family member or because of any family member's failure to comply with requirements to participate in an economic self-sufficiency program or work activity, the amount of rent required to be paid by the family will not be decreased. In such cases, the amount of income attributable to the family will include what the family would have received had they complied with the welfare requirements and/or had not committed an act of fraud.
  3. If the amount of welfare assistance is reduced as a result of a lifetime time limit, the reduced amount is the amount that shall be counted as income.
- G. Periodic and determinable allowances, such as alimony, child support payments, and regular contributions or gifts received from organizations or from persons not residing in the dwelling.
- H. All regular pay, special pay, and allowances of a member of the Armed Forces. (Special pay to a member exposed to hostile fire is excluded.)

## ***11.2 ANNUAL INCOME***

Annual income does not include the following:

- A. Income from employment of children (including foster children) under the age of 18 years;
- B. Payments received for the care of foster children or foster adults (usually persons with disabilities, unrelated to the tenant family, who are unable to live alone);

- C. Lump-sum additions to family assets, such as inheritances, insurance payments (including payments under health and accident insurance and worker's compensation), capital gains, and settlement for personal or property losses;
- D. Amounts received by the family that are specifically for, or in reimbursement of, the cost of medical expenses for any family member;
- E. Income of a live-in aide;
- F. The full amount of student financial assistance paid directly to the student or to the educational institution;
- G. The special pay to a family member serving in the Armed Forces who is exposed to hostile fire;
- H. The amounts received from the following programs:
  - 1. Amounts received under training programs funded by HUD;
  - 2. Amounts received by a person with a disability that are disregarded for a limited time for purposes of Supplemental Security Income eligibility and benefits because they are set aside for use under a Plan to Attain Self-Sufficiency (PASS);
  - 3. Amounts received by a participant in other publicly assisted programs that are specifically for or in reimbursement of out-of-pocket expenses incurred (special equipment, clothing, transportation, child care, etc.) and that are made solely to allow participation in a specific program;
  - 4. Amounts received under a resident service stipend. A resident service stipend is a modest amount (not to exceed \$200 per month) received by a resident for performing a service for the Housing Authority or owner, on a part-time basis, that enhances the quality of life in the development. Such services may include, but are not limited to, fire patrol, hall monitoring, lawn maintenance, and resident initiatives coordination. No resident may receive more than one such stipend during the same period of time;
  - 5. Incremental earnings and benefits resulting to any family member from participation in qualifying State or local employment training programs (including training programs not affiliated with a local government) and training of a family member as resident management staff. Amounts excluded by this provision must be received under employment training programs with clearly defined goals and objectives and are excluded only for the period during which the family member participates in the employment training program;

6. Temporary, nonrecurring or sporadic income (including gifts);
7. Reparation payments paid by a foreign government pursuant to claims filed under the laws of that government by persons who were persecuted during the Nazi era;
8. Earnings in excess of \$480 for each full-time student 18 years old or older (excluding the head of household and spouse);
9. Adoption assistance payments in excess of \$480 per adopted child;
10. For family members who enrolled in certain training programs prior to 10/1/99, the earnings and benefits resulting from the participation if the program provides employment training and supportive services in accordance with the Family Support Act of 1988, Section 22 of the 1937 Act (42 U.S.C. 1437t), or any comparable Federal, State, or local law during the exclusion period. For purposes of this exclusion the following definitions apply:
  - a. Comparable Federal, State or local law means a program providing employment training and supportive services that:
    - i. Is authorized by a Federal, State or local law;
    - ii. Is funded by the Federal, State or local government;
    - iii. Is operated or administered by a public agency; and
    - iv. Has as its objective to assist participants in acquiring employment skills.
  - b. Exclusion period means the period during which the family member participates in a program described in this section, plus 18 months from the date the family member begins the first job acquired by the family member after completion of such program that is not funded by public housing assistance under the 1937 Act. If the family member is terminated from employment with good cause, the exclusion period shall end.
  - c. Earnings and benefits means the incremental earnings and benefits resulting from a qualifying employment training program or subsequent job.
11. The incremental earnings due to employment during the 12-month period following date of hire shall be excluded. This exclusion (paragraph 11) will not apply for any family who concurrently is eligible for exclusion #10. Additionally, this exclusion is only available to the following families:

- a. Families whose income increases as a result of employment of a family member who was previously unemployed for one or more years.
- b. Families whose income increases during the participation of a family member in any family self-sufficiency program.
- c. Families who are or were, within 6 months, assisted under a State TANF program.

(While HUD regulations allow for the housing authority to offer an escrow account in lieu of having a portion of their income excluded under this paragraph, it is the policy of this housing authority to provide the exclusion in all cases.)

- 12. Deferred periodic amounts from supplemental security income and Social Security benefits that are received in a lump sum amount or in prospective monthly amounts;
- 13. Amounts received by the family in the form of refunds or rebates under State or local law for property taxes paid on the dwelling unit;
- 14. Amounts paid by a State agency to a family with a member who has a developmental disability and is living at home to offset the cost of services and equipment needed to keep the developmentally disabled family member at home; or
- 15. Amounts specifically excluded by any other Federal statute from consideration as income for purposes of determining eligibility or benefits. These exclusions include:
  - a. The value of the allotment of food stamps
  - b. Payments to volunteers under the Domestic Volunteer Services Act of 1973
  - c. Payments received under the Alaska Native Claims Settlement Act
  - d. Income from submarginal land of the U.S. that is held in trust for certain Indian tribes
  - e. Payments made under HHS's Low-Income Energy Assistance Program
  - f. Payments received under the Job Training Partnership Act

- g. Income from the disposition of funds of the Grand River Band of Ottawa Indians
- h. The first \$2000 per capita received from judgment funds awarded for certain Indian claims
- i. Amount of scholarships awarded under Title IV including Work Study
- j. Payments received under the Older Americans Act of 1965
- k. Payments from Agent Orange Settlement
- l. Payments received under the Maine Indian Claims Act
- m. The value of child care under the Child Care and Development Block Grant Act of 1990
- n. Earned income tax credit refund payments
- o. Payments for living expenses under the Americorps Program
- p. Additional income exclusions provided by and funded by the New Albany Housing Authority

The New Albany Housing Authority will not provide exclusions from income in addition to those already provided for by HUD.

### ***11.3 DEDUCTIONS FROM ANNUAL INCOME***

The following deductions will be made from annual income:

- A. \$480 for each dependent;
- B. \$400 for any elderly family or disabled family;
- C. For any family that is not an elderly or disabled family but has a member (other than the head or spouse) who is a person with a disability, disability assistance expenses in excess of 3% of annual income. This allowance may not exceed the employment income received by family members who are 18 years of age or older as a result of the assistance to the person with disabilities.
- D. For any elderly or disabled family:
  - 1. That has no disability assistance expenses, an allowance for medical expenses equal to the amount by which the medical expenses exceed 3%

of annual income;

2. That has disability expenses greater than or equal to 3% of annual income, an allowance for disability assistance expenses computed in accordance with paragraph C, plus an allowance for medical expenses that equal the family's medical expenses;
3. That has disability assistance expenses that are less than 3% of annual income, an allowance for combined disability assistance expenses and medical expenses that is equal to the total of these expenses less 3% of annual income.

E. Child care expenses.

## **12.0 VERIFICATION**

The New Albany Housing Authority will verify information related to waiting list preferences, eligibility, admission, and level of benefits prior to admission. Periodically during occupancy, items related to eligibility and rent determination shall also be reviewed and verified. Income, assets, and expenses will be verified, as well as disability status, need for a live-in aide and other reasonable accommodations; full time student status of family members 18 years of age and older; Social Security numbers; and citizenship/eligible noncitizen status. Age and relationship will only be verified in those instances where needed to make a determination of level of assistance.

### ***12.1 ACCEPTABLE METHODS OF VERIFICATION***

Age, relationship, U.S. citizenship, and Social Security numbers will generally be verified with documentation provided by the family. For citizenship, the family's certification will be accepted. (Or for citizenship documentation such as listed below will be required.) Verification of these items will include photocopies of the Social Security cards and other documents presented by the family, the INS SAVE approval code, and forms signed by the family.

Other information will be verified by third party verification. This type of verification includes written documentation with forms sent directly to and received directly by a source, not passed through the hands of the family. This verification may also be direct contact with the source, in person or by telephone. It may also be a report generated by a request from the New Albany Housing Authority or automatically by another government agency, i.e. the Social Security Administration. Verification forms and reports received will be contained in the applicant/tenant file. Oral third party documentation will include the same information as if the documentation had been written, i.e. name date of contact, amount received, etc.

When third party verification cannot be obtained, the New Albany Housing Authority will accept documentation received from the applicant/tenant. Hand-carried documentation will be accepted if the New Albany Housing Authority has been unable to obtain third party verification in a 4-week period of time. Photocopies of the documents provided by the family will be maintained in the file.

When neither third party verification nor hand-carried verification can be obtained, the New Albany Housing Authority will accept a notarized statement signed by the head, spouse or co-head. Such documents will be maintained in the file.

**12.2 TYPES OF VERIFICATION**

The chart below outlines the factors that may be verified and gives common examples of the verification that will be sought. To obtain written third party verification, the New Albany Housing Authority will send a request form to the source along with a release form signed by the applicant/tenant via first class mail.

Verification Requirements for Individual Items		
Item to Be Verified	3 <sup>rd</sup> party verification	Hand-carried verification
<b>General Eligibility Items</b>		
Social Security Number	Letter from Social Security, electronic reports	Social Security card
Citizenship	N/A	Signed certification, voter's registration card, birth certificate, etc.
Eligible immigration status	INS SAVE confirmation #	INS card
Disability	Letter from medical professional, SSI, etc.	Proof of SSI or Social Security disability payments
Full time student status (if >18)	Letter from school	For high school students, any document evidencing enrollment
Need for a live-in aide	Letter from doctor or other professional knowledgeable of condition	N/A
Child care costs	Letter from care provider	Bills and receipts
Disability assistance	Letters from suppliers, care givers,	Bills and records of payment

<b>Verification Requirements for Individual Items</b>		
<b>Item to Be Verified</b>	<b>3<sup>rd</sup> party verification</b>	<b>Hand-carried verification</b>
expenses	etc.	
Medical expenses	Letters from providers, prescription record from pharmacy, medical professional's letter stating assistance or a companion animal is needed	Bills, receipts, records of payment, dates of trips, mileage log, receipts for fares and tolls
<b>Value of and Income from Assets</b>		
Savings, checking accounts	Letter from institution	Passbook, most current statements
CDS, bonds, etc	Letter from institution	Tax return, information brochure from institution, the CD, the bond
Stocks	Letter from broker or holding company	Stock or most current statement, price in newspaper or through Internet
Real property	Letter from tax office, assessment, etc.	Property tax statement (for current value), assessment, records or income and expenses, tax return
Personal property	Assessment, bluebook, etc	Receipt for purchase, other evidence of worth
Cash value of life insurance policies	Letter from insurance company	Current statement
Assets disposed of for less than fair market value	N/A	Original receipt and receipt at disposition, other evidence of worth
<b>Income</b>		
Earned income	Letter from employer	Multiple pay stubs
Self-employed	N/A	Tax return from prior year, books of accounts
Regular gifts and	Letter from source, letter from	Bank deposits, other similar



will also be required to show proof of age.

Prior to being admitted or at the first reexamination, all eligible noncitizens must sign a declaration of their status and a verification consent form and provide their original INS documentation. The New Albany Housing Authority will make a copy of the individual's INS documentation and place the copy in the file. The New Albany Housing Authority will also verify their status through the INS SAVE system. If the INS SAVE system cannot confirm eligibility, the New Albany Housing Authority will mail information to the INS in order that a manual check can be made of INS records.

Family members who do not claim to be citizens, nationals, or eligible noncitizens must be listed on a statement of noneligible members and the list must be signed by the head of the household.

Noncitizen students on student visas, though in the country legally, are not eligible to be admitted to public housing.

Any family member who does not choose to declare their status must be listed on the statement of noneligible members.

If no family member is determined to be eligible under this section, the family's eligibility will be denied.

The family's assistance will not be denied, delayed, reduced, or terminated because of a delay in the process of determining eligible status under this section, except to the extent that the delay is caused by the family.

If the New Albany Housing Authority determines that a family member has knowingly permitted an ineligible noncitizen (other than any ineligible noncitizens listed on the lease) to permanently reside in their public housing unit, the family will be evicted. Such family will not be eligible to be readmitted to public housing for a period of 24 months from the date of eviction or termination.

#### ***12.4 VERIFICATION OF SOCIAL SECURITY NUMBERS***

Prior to admission, each family member who has a Social Security number and who is at least 6 years of age must provide verification of their Social Security number. New family members at least 6 years of age must provide this verification prior to being added to the lease. Children in assisted households must provide this verification at the first regular reexamination after turning six.

The best verification of the Social Security number is the original Social Security card. If the card is not available, the New Albany Housing Authority will accept letters from the Social Security Agency that establishes and states the number. Documentation from other governmental agencies will also be accepted that establishes and states the number. Driver's licenses, military IDs, passports, or other official documents that establish and

state the number are also acceptable.

If an individual states that they do not have a Social Security number, they will be required to sign a statement to this effect. The New Albany Housing Authority will not require any individual who does not have a Social Security number to obtain a Social Security number.

If a member of an applicant family indicates they have a Social Security number, but cannot readily verify it, the family cannot be housed until verification is provided.

If a member of a tenant family indicates they have a Social Security number, but cannot readily verify it, they shall be asked to certify to this fact and shall have up to sixty (60) days to provide the verification. If the individual is at least 62 years of age, they will be given one hundred and twenty (120) days to provide the verification. If the individual fails to provide the verification within the time allowed, the family will be evicted.

#### ***12.5 TIMING OF VERIFICATION***

Verification information must be dated within ninety (90) days of certification or reexamination. If the verification is older than this, the source will be contacted and asked to provide information regarding any changes.

When an interim reexamination is conducted, the Housing Authority will verify and update all information related to family circumstances and level of assistance.

#### ***12.6 FREQUENCY OF OBTAINING VERIFICATION***

For each family member, citizenship/eligible noncitizen status will be verified only once. This verification will be obtained prior to admission. If the status of any family member was not determined prior to admission, verification of their status will be obtained at the next regular reexamination. Prior to a new member joining the family, their citizenship/eligible noncitizen status will be verified.

For each family member age 6 and above, verification of Social Security number will be obtained only once. This verification will be accomplished prior to admission. When a family member who did not have a Social Security number at admission receives a Social Security number, that number will be verified at the next regular reexamination. Likewise, when a child turns six, their verification will be obtained at the next regular reexamination.

## **13.0 DETERMINATION OF TOTAL TENANT PAYMENT AND TENANT RENT**

### **13.1 FAMILY CHOICE**

At admission and each year in preparation for their annual reexamination, each family is given the choice of having their rent determined under the formula method or having their rent set at the flat rent amount.

- A. Families who opt for the flat rent will be required to go through the income reexamination process every three years, rather than the annual review they would otherwise undergo.
- B. Families who opt for the flat rent may request to have a reexamination and return to the formula based method at any time for any of the following reasons:
  - 1. The family's income has decreased.
  - 2. The family's circumstances have changed increasing their expenses for childcare, medical care, etc.
  - 3. Other circumstances creating a hardship on the family such that the formula method would be more financially feasible for the family.

### **13.2 THE FORMULA METHOD**

The total tenant payment is equal to the highest of:

- A. 10% of monthly income;
- B. 30% of adjusted monthly income; or
- C. The welfare rent.

The family will pay the greater of the total tenant payment or the minimum rent of **\$50.00**, but never more than the ceiling rent.

In the case of a family who has qualified for the income exclusion at Section 11.2(H)(11), upon the expiration of the 12-month period described in that section, an additional rent benefit accrues to the family. If the family member's employment continues, then for the 12-month period following the 12-month period of disallowance, the resulting rent increase will be capped at 50 percent of the rent increase the family would have otherwise received.

### **13.3 MINIMUM RENT**

The New Albany Housing Authority has set the minimum rent at **\$50.00**. However if the family requests a hardship exemption, the New Albany Housing Authority will immediately suspend the minimum rent for the family until the Housing Authority can determine whether the hardship exists and whether the hardship is of a temporary or long-term nature.

- A. A hardship exists in the following circumstances:
  - 1. When the family has lost eligibility for or is waiting an eligibility determination for a Federal, State, or local assistance program;
  - 2. When the family would be evicted as a result of the imposition of the minimum rent requirement;
  - 3. When the income of the family has decreased because of changed circumstances, including loss of employment;
  - 4. When the family has an increase in expenses because of changed circumstances, for medical costs, childcare, transportation, education, or similar items;
  - 5. When a death has occurred in the family.
- B. No hardship. If the Housing Authority determines there is no qualifying hardship, the minimum rent will be reinstated, including requiring back payment of minimum rent for the time of suspension.
- C. Temporary hardship. If the Housing Authority reasonably determines that there is a qualifying hardship but that it is of a temporary nature, the minimum rent will be not be imposed for a period of 90 days from the date of the family's request. At the end of the 90-day period, the minimum rent will be imposed retroactively to the time of suspension. The Housing Authority will offer a repayment agreement in accordance with the Section 19 of this policy for any rent not paid during the period of suspension. During the suspension period the Housing Authority will not evict the family for nonpayment of the amount of tenant rent owed for the suspension period.
- D. Long-term hardship. If the Housing Authority determines there is a long-term hardship, the family will be exempt from the minimum rent requirement until the hardship no longer exists.
- E. Appeals. The family may use the grievance procedure to appeal the Housing Authority's determination regarding the hardship. No escrow deposit will be required in order to access the grievance procedure.

**13.4 THE FLAT RENT**

The New Albany Housing Authority has set a flat rent for each public housing unit. In doing so, it considered the size and type of the unit, as well as its condition, amenities, services, and neighborhood. The New Albany Housing Authority determined the market value of the unit and set the rent at the market value. The amount of the flat rent will be reevaluated annually and adjustments applied. Affected families will be given a 30-day notice of any rent change. Adjustments are applied on the anniversary date for each affected family (for more information on flat rents, see Section 15.3).

The New Albany Housing Authority will post the flat rents at each of the developments and at the central office and are incorporated in this policy upon approval by the Board of Commissioners. They are currently:

Zero Bedroom	\$226.00
One Bedroom	\$291.00
Two Bedroom	\$357.00
Three Bedroom	\$492.00
Four Bedroom	\$519.00

**13.5 CEILING RENT**

The New Albany Housing Authority has set a ceiling rent for each public housing unit. The amount of the ceiling rent will be reevaluated annually and the adjustments applied. Affected families will be given a 30-day notice of any rent change. Adjustments are applied on the anniversary date for each affected family.

The New Albany Housing Authority has posted the ceiling rents at each of the developments and at the central office and are incorporated in this policy upon approval by the Board of Commissioners:

One Bedroom	\$292.00
Two Bedroom	\$357.00
Three Bedroom	\$494.00
Four Bedroom	\$522.00

**13.6 RENT FOR FAMILIES UNDER THE NONCITIZEN RULE**

A mixed family will receive full continuation of assistance if all of the following conditions are met:

- A. The family was receiving assistance on June 19, 1995;
- B. The family was granted continuation of assistance before November 29, 1996;

- C. The family's head or spouse has eligible immigration status; and
- D. The family does not include any person who does not have eligible status other than the head of household, the spouse of the head of household, any parent of the head or spouse, or any child (under the age of 18) of the head or spouse.

If a mixed family qualifies for prorated assistance but decides not to accept it, or if the family has no eligible members, the family may be eligible for temporary deferral of termination of assistance to permit the family additional time for the orderly transition of some or all of its members to locate other affordable housing. Under this provision, the family receives full assistance. If assistance is granted under this provision prior to November 29, 1996, it may last no longer than three (3) years. If granted after that date, the maximum period of time for assistance under the provision is eighteen (18) months. The New Albany Housing Authority will grant each family a period of six (6) months to find suitable affordable housing. If the family cannot find suitable affordable housing, the New Albany Housing Authority will provide additional search periods up to the maximum time allowable.

Suitable housing means housing that is not substandard and is of appropriate size for the family. Affordable housing means that it can be rented for an amount not exceeding the amount the family pays for rent, plus utilities, plus 25%.

The family's assistance is prorated in the following manner:

- A. Determine the 95<sup>th</sup> percentile of gross rents (tenant rent plus utility allowance) for the New Albany Housing Authority. The 95<sup>th</sup> percentile is called the maximum rent.
- B. Subtract the family's total tenant payment from the maximum rent. The resulting number is called the maximum subsidy.
- C. Divide the maximum subsidy by the number of family members and multiply the result times the number of eligible family members. This yields the prorated subsidy.
- D. Subtract the prorated subsidy from the maximum rent to find the prorated total tenant payment. From this amount subtract the full utility allowance to obtain the prorated tenant rent.

### **13.7 UTILITY ALLOWANCE**

The New Albany Housing Authority shall establish a utility allowance for all check-metered utilities and for all tenant-paid utilities. The allowance will be based on a reasonable consumption of utilities by an energy-conservative household of modest circumstances consistent with the requirements of a safe, sanitary, and healthful

environment. In setting the allowance, the New Albany Housing Authority will review the actual consumption of tenant families as well as changes made or anticipated due to modernization (weatherization efforts, installation of energy-efficient appliances, etc). Allowances will be evaluated at least annually as well as any time utility rate changes by 10% or more since the last revision to the allowances.

The utility allowance will be subtracted from the family's formula rent to determine the amount of the Tenant Rent. The Tenant Rent is the amount the family owes each month to the New Albany Housing Authority. The amount of the utility allowance is then still available to the family to pay the cost of their utilities. Any utility cost above the allowance is the responsibility of the tenant. Any savings resulting from utility costs below the amount of the allowance belongs to the tenant.

For New Albany Housing Authority paid utilities, the New Albany Housing Authority will monitor the utility consumption of each household. Any consumption in excess of the allowance established by the New Albany Housing Authority will be billed to the tenant monthly.

Utility allowance revisions based on rate changes shall be effective retroactively to the first day of the month following the month in which the last rate change took place. Revisions based on changes in consumption or other reasons shall become effective at each family's next annual reexamination.

Families with high utility costs are encouraged to contact the New Albany Housing Authority for an energy analysis. The analysis may identify problems with the dwelling unit that once corrected will reduce energy costs. The analysis can also assist the family in identifying ways they can reduce their costs.

Requests for relief from surcharges for excess consumption of New Albany Housing Authority purchased utilities or from payment of utility supplier billings in excess of the utility allowance for tenant-paid utility costs may be granted by the New Albany Housing Authority on reasonable grounds. Requests shall be granted to families that include an elderly member or a member with disabilities. Requests by the family shall be submitted under the Reasonable Accommodation Policy. Families shall be advised of their right to individual relief at admission to public housing and at time of utility allowance changes.

### ***13.8 PAYING RENT***

Rent and other charges are due and payable on the first day of the month. All rents should be paid at **the site office unless otherwise noted**. Reasonable accommodations for this requirement will be made for persons with disabilities. As a safety measure, no cash shall be accepted as a rent payment

If the rent is not paid by the fifth of the month, a Notice to Vacate will be issued to the tenant. In addition, a \$10 late charge will be assessed to the tenant. If rent is paid by a personal check and the check is returned for insufficient funds, this shall be considered a

non-payment of rent and will incur the late charge plus an additional charge of \$10 for processing costs.

## **14.0 CONTINUED OCCUPANCY AND COMMUNITY SERVICE**

### **14.1 GENERAL**

In order to be eligible for continued occupancy, each adult family member must either (1) contribute eight hours per month of community service (not including political activities) within the community in which the public housing development is located, or (2) participate in an economic self-sufficiency program unless they are exempt from this requirement

### **14.2 EXEMPTIONS**

The following adult family members of tenant families are exempt from this requirement.

- A. Family members who are 62 or older
- B. Family members who are blind or disabled
- C. Family members who are the primary care giver for someone who is blind or disabled
- D. Family members engaged in work activity
- E. Family members who are exempt from work activity under part A title IV of the Social Security Act or under any other State welfare program, including the welfare-to-work program
- F. Family members receiving assistance under a State program funded under part A title IV of the Social Security Act or under any other State welfare program, including welfare-to-work and who are in compliance with that program

### **14.3 NOTIFICATION OF THE REQUIREMENT**

The New Albany Housing Authority shall identify all adult family members who are apparently not exempt from the community service requirement.

The New Albany Housing Authority shall notify all such family members of the community service requirement and of the categories of individuals who are exempt from the requirement. The notification will provide the opportunity for family members to claim and explain an exempt status. The New Albany Housing Authority shall verify such claims.

The notification will advise families that their community service obligation will begin upon the effective date of their first annual reexamination on or after 04/01/01. For family's paying a flat rent, the obligation begins on the date their annual reexamination would have been effective had an annual reexamination taken place. It will also advise them that failure to comply with the community service requirement will result in ineligibility for continued occupancy at the time of any subsequent annual reexamination.

#### **14.4 VOLUNTEER OPPORTUNITIES**

Community service includes performing work or duties in the public benefit that serve to improve the quality of life and/or enhance resident self-sufficiency, and/or increase the self-responsibility of the resident within the community.

An economic self sufficiency program is one that is designed to encourage, assist, train or facilitate the economic independence of participants and their families or to provide work for participants. These programs may include programs for job training, work placement, basic skills training, education, English proficiency, work fare, financial or household management, apprenticeship, and any program necessary to ready a participant to work (such as substance abuse or mental health treatment).

The New Albany Housing Authority will coordinate with social service agencies, local schools, and the Human Resources Office in identifying a list of volunteer community service positions.

Together with the resident advisory councils, the New Albany Housing Authority may create volunteer positions such as hall monitoring, litter patrols, and supervising and record keeping for volunteers.

#### **14.5 THE PROCESS**

At the first annual reexamination on or after April 1, 2001 and each annual reexamination thereafter, the New Albany Housing Authority will do the following:

- A. Provide a list of volunteer opportunities to the family members.
- B. Provide information about obtaining suitable volunteer positions.
- C. Provide a volunteer time sheet to the family member. Instructions for the time sheet require the individual to complete the form and have a supervisor date and sign for each period of work.
- D. Assign family members to a volunteer coordinator who will assist the family members in identifying appropriate volunteer positions and in meeting their responsibilities. The volunteer coordinator will track the family member's

progress monthly and will meet with the family member as needed to best encourage compliance.

- E. Thirty (30) days before the family's next lease anniversary date, the volunteer coordinator will advise the New Albany Housing Authority whether each applicable adult family member is in compliance with the community service requirement.

#### ***14.6 NOTIFICATION OF NON-COMPLIANCE WITH COMMUNITY SERVICE REQUIREMENT***

The New Albany Housing Authority will notify any family found to be in noncompliance of the following:

- A. The family member(s) has been determined to be in noncompliance;
- B. That the determination is subject to the grievance procedure; and
- C. That, unless the family member(s) enter into an agreement to comply, the lease will not be renewed or will be terminated;

#### ***14.7 OPPORTUNITY FOR CURE***

The New Albany Housing Authority will offer non-compliant resident(s) the opportunity to enter into an agreement prior to the anniversary of the lease renewal. The agreement shall state that the non-compliant resident(s) agrees to enter into an economic self-sufficiency program or agrees to perform the required number of community service hours needed to bring them into compliance. Additionally, the resident agrees to perform the required number of community service hours to remain in compliance with the current year's requirements. The first hours a resident earns shall go toward the current commitment until the current year's commitment is made.

The volunteer coordinator will assist residents in identifying community opportunities and will track their compliance on a monthly basis. If any applicable family member does not accept the terms of the agreement, does not fulfill their obligation to participate in an economic self-sufficiency program, or falls behind in their obligation under the agreement to perform community service, the New Albany Housing Authority shall take action to terminate that families lease.

#### **PROHIBITION AGAINST REPLACEMENT OF AGENCY EMPLOYEES**

In implementing the community service requirement, the New Albany Housing Authority may not substitute community service or self-sufficiency activities performed by residents for work ordinarily performed by its employees, or replace a job at any location where residents perform activities to satisfy the service requirement.

## **15.0 RECERTIFICATIONS**

At least annually, the New Albany Housing Authority will conduct a reexamination of family income and circumstances. The results of the reexamination determine (1) the rent the family will pay, and (2) whether the family is housed in the correct unit size.

### **15.1 GENERAL**

The New Albany Housing Authority will send a notification letter to the family letting them know that it is time for their annual reexamination, giving them the option of selecting either the flat rent or formula method, and scheduling an appointment if they are currently paying a formula rent. If the family thinks they may want to switch from a flat rent to a formula rent, they should request an appointment. At the appointment, the family can make their final decision regarding which rent method they will choose. The letter also includes, for those families paying the formula method, forms for the family to complete in preparation for the interview. The letter includes instructions permitting the family to reschedule the interview if necessary. The letter tells families who may need to make alternate arrangements due to a disability that they may contact staff to request an accommodation of their needs.

During the appointment, the New Albany Housing Authority will determine whether family composition may require a transfer to a different bedroom size unit, and if so, the family's name will be placed on the transfer list.

### **15.2 MISSED APPOINTMENTS**

If the family fails to respond to the letter and fails to attend the interview, a second letter will be mailed. The second letter will advise of a new time and date for the interview, allowing for the same considerations for rescheduling and accommodation as above. The letter will also advise that failure by the family to attend the second scheduled interview may result in the New Albany Housing Authority assessing a penalty rental amount of \$50.00 more than the current flat rent rate for that size unit and/or taking eviction actions against the family.

### **15.3 FLAT RENTS**

The annual letter to flat rent payers regarding the reexamination process will state the following:

- A. Each year at the time of the annual reexamination, the family has the option of selecting a flat rent amount in lieu of completing the reexamination process and having their rent based on the formula amount.
- B. The amount of the flat rent

- C. A fact sheet about formula rents that explains the types of income counted, the most common types of income excluded, and the categories allowances that can be deducted from income.
- D. Families who opt for the flat rent will be required to go through the income reexamination process every three years, rather than the annual review they otherwise would undergo.
- E. Families who opt for the flat rent may request to have a reexamination and return to the formula-based method at any time for any of the following reasons:
  - 1. The family's income has decreased.
  - 2. The family's circumstances have changed increasing their expenses for childcare, medical care, etc.
  - 3. Other circumstances creating a hardship on the family such that the formula method would be more financially feasible for the family.
- F. The dates upon which the New Albany Housing Authority expects to review the amount of the flat rent, the approximate rent increase the family could expect, and the approximate date upon which a future rent increase could become effective.
- G. The name and phone number of an individual to call to get additional information or counseling concerning flat rents.
- H. A certification for the family to sign accepting or declining the flat rent.

Each year prior to their anniversary date, New Albany Housing Authority will send a reexamination letter to the family offering the choice between a flat or a formula rent. The opportunity to select the flat rent is available only at this time. At the appointment, the New Albany Housing Authority may assist the family in identifying the rent method that would be most advantageous for the family. If the family wishes to select the flat rent method without meeting with the New Albany Housing Authority representative, they may make the selection on the form and return the form to the New Albany Housing Authority. In such case, the New Albany Housing Authority will cancel the appointment.

#### **15.4 THE FORMULA METHOD**

During the interview, the family will provide all information regarding income, assets, expenses, and other information necessary to determine the family's share of rent. The family will sign the HUD consent form and other consent forms that later will be mailed to the sources that will verify the family circumstances.

Upon receipt of verification, the New Albany Housing Authority will determine the family's annual income and will calculate their rent as follows.

The total tenant payment is equal to the highest of:

- A. 10% of monthly income;
- B. 30% of adjusted monthly income; or
- C. The welfare rent.

The family will pay the greater of the total tenant payment or the minimum rent of \$50.00, but never more than the ceiling rent.

### **15.5 EFFECTIVE DATE OF RENT CHANGES FOR ANNUAL REEXAMINATIONS**

The new rent will generally be effective upon the anniversary date with thirty (30) days notice of any rent increase to the family.

If the rent determination is delayed due to a reason beyond the control of the family, then any rent increase will be effective the first of the month after the month in which the family receives a 30-day notice of the amount. If the new rent is a reduction and the delay is beyond the control of the family, the reduction will be effective as scheduled on the anniversary date.

If the family caused the delay, then any increase will be effective on the anniversary date. Any reduction will be effective the first of the month after the rent amount is determined.

### **15.6 INTERIM REEXAMINATIONS**

During an interim reexamination, only the information affected by the changes being reported will be reviewed and verified.

Families are required to report the following changes to the New Albany Housing Authority between regular reexaminations. If the family's rent is being determined under the formula method, these changes will trigger an interim reexamination. The family shall report these changes within five (5) days of their occurrence.

- A. A member has been added to the family through birth or adoption or court-awarded custody.
- B. A household member is leaving or has left the family unit.

In order to add a household member other than through birth or adoption (including a live-in aide), the family must request that the new member be added to the lease. Before adding the new member to the lease, the individual must complete an application form stating their income, assets, and all other information required of an applicant. The individual must provide their Social Security number if they have one and must verify

their citizenship/eligible immigrant status. (Their housing will not be delayed due to delays in verifying eligible immigrant status other than delays caused by the family.) The new family member will go through the screening process similar to the process for applicants. The New Albany Housing Authority will determine the eligibility of the individual before adding them to the lease. If the individual is found to be ineligible or does not pass the screening criteria, they will be advised in writing and given the opportunity for an informal review. If they are found to be eligible and do pass the screening criteria, their name will be added to the lease. At the same time, if the family's rent is being determined under the formula method, the family's annual income will be recalculated taking into account the circumstances of the new family member. The effective date of the new rent will be in accordance with paragraph below 15.8.

C. Any change in household income.

Families are not required to, but may at any time, request an interim reexamination based on a decrease in income, an increase in allowable expenses, or other changes in family circumstances. Upon such request, the New Albany Housing Authority will take timely action to process the interim reexamination and recalculate the tenant's rent.

#### **15.7 SPECIAL REEXAMINATIONS**

If a family's income is too unstable to project for twelve (12) months, including families that temporarily have no income (0 renters) or have a temporary decrease in income, the New Albany Housing Authority may schedule special reexaminations every sixty (60) days until the income stabilizes and an annual income can be determined.

#### **15.8 EFFECTIVE DATE OF RENT CHANGES DUE TO INTERIM OR SPECIAL REEXAMINATIONS**

Unless there is a delay in reexamination processing caused by the family, any rent increase will be effective the first of the second month after the month in which the family receives notice of the new rent amount. If the family causes a delay, then the rent increase will be effective on the date it would have been effective had the process not been delayed (even if this means a retroactive increase).

If the new rent is a reduction and any delay is beyond the control of the family, the reduction will be effective the first of the month after the interim reexamination should have been completed.

If the new rent is a reduction and the family caused the delay or did not report the change in a timely manner, the change will be effective the first of the month after the rent amount is determined.

## **16.0 UNIT TRANSFERS**

### **16.1 OBJECTIVES OF THE TRANSFER POLICY**

The objectives of the Transfer Policy include the following:

- A. To address emergency situations.
- B. To fully utilize available housing resources while avoiding overcrowding by insuring that each family occupies the appropriate size unit.
- C. To facilitate a relocation when required for modernization or other management purposes.
- D. To facilitate relocation of families with inadequate housing accommodations.
- E. To provide an incentive for families to assist in meeting the New Albany Housing Authority's deconcentration goal.

### **16.2 CATEGORIES OF TRANSFERS**

Category 1: Emergency transfers. These transfers are necessary when conditions pose an immediate threat to the life, health, or safety of a family or one of its members. Such situations may involve defects of the unit or the building in which it is located, the health condition of a family member, a hate crime, the safety of witnesses to a crime or a law enforcement matter particular to the neighborhood. If a resident's unit has been damaged by fire or other cause(s) to such a degree that the unit is not habitable, provided that , although the damage was a result of the carelessness or negligence on the resident or a member of the resident's household, the resident has, in writing accepted responsibility for such damage and has agreed to make restitution to the PHA for the expense of repairing such damage up to a ceiling cost of \$5,000.

Category 2: Immediate administrative transfers. These transfers are necessary in order to permit a family needing accessible features to move to a unit with such a feature or to enable modernization work to proceed.

Category 3: Regular administrative transfers. These transfers are made to offer incentives to families willing to help meet certain New Albany Housing Authority occupancy goals, to correct occupancy standards where the unit size is inappropriate for the size and composition of the family, to allow for non-emergency but medically advisable transfers, and other transfers approved by the New Albany Housing Authority on a case-by-case basis when a transfer is the only or best way of solving a serious problem.

### **16.3 DOCUMENTATION**

When the transfer is at the request of the family, the family may be required to provide third party verification of the need for the transfer.

### **16.4 INCENTIVE TRANSFERS**

Transfer requests will be encouraged and approved for families who live in a development where their income category (below or above 30% of area median) predominates and wish to move to a development where their income category does not predominate.

Families living in multifamily developments have the opportunity to transfer to scattered-site housing if available. Families approved for such transfers will meet the following eligibility criteria:

- A. Have been a tenant for three years;
- B. For a minimum of one year, at least one adult family member is enrolled in an economic self-sufficiency program or is working at least thirty-five (35) hours per week, the adult family members are 62 years of age or older or are disabled or are the primary care givers to others with disabilities;
- C. Adult members who are required to perform community service have been current in these responsibilities since the inception of the requirement or for one year which ever is less;
- D. The family is current in the payment of all charges owed the New Albany Housing Authority and has not paid late rent for at least one year;
- E. The family passes a current housekeeping inspection and does not have any record of housekeeping problems during the last year;
- F. The family has not materially violated the lease over the past two years by disturbing the peaceful enjoyment of their neighbors, by engaging in criminal or drug-related activity, or by threatening the health or safety of tenants or Housing Authority staff.
- G. Participates in a series of classes conducted by the New Albany Housing Authority on basic home and yard care.

### **16.5 PROCESSING TRANSFERS**

Transfers on the waiting list will be sorted by the above categories and within each category by date and time.

Transfers in category A and B will be housed ahead of any other families, including those on the applicant waiting list. Transfers in category A will be housed ahead of transfers in category B.

Transfers in category C will be housed along with applicants for admission at a ratio of one transfer for every seven admissions.

Upon offer and acceptance of a unit, the family will execute all lease up documents and pay any rent and/or security deposit within two (2) days of being informed the unit is ready to rent. The family will be allowed seven (7) days to complete a transfer. The family will be responsible for paying rent at the old unit as well as the new unit for any period of time they have possession of both beyond the 7 days. The prorated rent and other charges (key deposit and any additional security deposit owing) must be paid at the time of lease execution.

The following is the policy for the rejection of an offer to transfer:

- A. If the family rejects with good cause any unit offered, they will not lose their place on the transfer waiting list.
- B. If the transfer is being made at the request of the New Albany Housing Authority and the family rejects two offers without good cause, the New Albany Housing Authority will take action to terminate their tenancy. If the reason for the transfer is that the current unit is too small to meet the New Albany Housing Authority's optimum occupancy standards, the family may request in writing to stay in the unit without being transferred so long as their occupancy will not exceed two people per living/sleeping room.
- C. If the transfer is being made at the family's request and the rejected offer provides deconcentration incentives, the family will maintain their place on the transfer list and will not otherwise be penalized.
- D. If the transfer is being made at the family's request, the family may, without good cause and without penalty, turn down one offer that does not include deconcentration incentives. After turning down a second such offer without good cause, the family's name will be removed from the transfer list.

#### **16.6 COST OF THE FAMILY'S MOVE**

The cost of the transfer generally will be borne by the family in the following circumstances:

- A. When the transfer is made at the request of the family or by others on behalf of the family (i.e. by the police);

- B. When the transfer is needed to move the family to an appropriately sized unit, either larger or smaller;
- C. When the transfer is necessitated because a family with disabilities needs the accessible unit into which the transferring family moved (The family without disabilities signed a statement to this effect prior to accepting the accessible unit);  
or
- D. When the transfer is needed because action or inaction by the family caused the unit to be unsafe or uninhabitable.

The cost of the transfer will be borne by the New Albany Housing Authority in the following circumstances:

- A. When the transfer is needed in order to carry out rehabilitation activities; or
- B. When action or inaction by the New Albany Housing Authority has caused the unit to be unsafe or inhabitable.

The responsibility for moving costs in other circumstances will be determined on a case by case basis.

#### ***16.7 TENANTS IN GOOD STANDING***

When the transfer is at the request of the family, it will not be approved unless the family is in good standing with the New Albany Housing Authority. This means the family must be in compliance with their lease, current in all payments to the Housing Authority, and must pass a housekeeping inspection.

#### ***16.8 TRANSFER REQUESTS***

A tenant may request a transfer at any time by completing a transfer request form. In considering the request, the New Albany Housing Authority may request a meeting with the tenant to better understand the need for transfer and to explore possible alternatives. The New Albany Housing Authority will review the request in a timely manner and if a meeting is desired, it shall contact the tenant within ten (10) business days of receipt of the request to schedule a meeting.

The New Albany Housing Authority will grant or deny the transfer request in writing within ten (10) business days of receiving the request or holding the meeting, whichever is later.

If the transfer is approved, the family's name will be added to the transfer waiting list.

If the transfer is denied, the denial letter will advise the family of their right to utilize the grievance procedure.

## **16.9 RIGHT OF THE NEW ALBANY HOUSING AUTHORITY IN TRANSFER POLICY**

The provisions listed above are to be used as a guide to insure fair and impartial means of assigning units for transfers. It is not intended that this policy will create a property right or any other type of right for a tenant to transfer or refuse to transfer.

## **17.0 INSPECTIONS**

An authorized representative of the New Albany Housing Authority and an adult family member will inspect the premises prior to commencement of occupancy. A written statement of the condition of the premises will be made, all equipment will be provided, and the statement will be signed by both parties with a copy retained in the New Albany Housing Authority file and a copy given to the family member. An authorized New Albany Housing Authority representative will inspect the premises at the time the resident vacates and will furnish a statement of any charges to be made provided the resident turns in the proper notice under State law. The resident's security deposit can be used to offset against any New Albany Housing Authority damages to the unit.

### **17.1 MOVE-IN INSPECTIONS**

The New Albany Housing Authority and an adult member of the family will inspect the unit prior to signing the lease. Both parties will sign a written statement of the condition of the unit. A copy of the signed inspection will be given to the family and the original will be placed in the tenant file.

### **17.2 ANNUAL INSPECTIONS**

The New Albany Housing Authority will inspect each public housing unit annually to ensure that each unit meets the New Albany Housing Authority's housing standards. Work orders will be submitted and completed to correct any deficiencies.

### **17.3 PREVENTATIVE MAINTENANCE INSPECTIONS**

This inspection is intended to keep items in good repair. It checks weatherization; checks the condition of the smoke detectors, water heaters, furnaces, automatic thermostats and water temperatures; checks for leaks; and provides an opportunity to change furnace filters and provide other minor servicing that extends the life of the unit and its equipment.

### **17.4 SPECIAL INSPECTIONS**

A special inspection may be scheduled to enable HUD or others to inspect a sample of the housing stock maintained by the New Albany Housing Authority.

## **17.5 HOUSEKEEPING INSPECTIONS**

Generally, at the time of annual reexamination, or at other times as necessary, the New Albany Housing Authority will conduct a housekeeping inspection to ensure the family is maintaining the unit in a safe and sanitary condition.

## **17.6 NOTICE OF INSPECTION**

For inspections defined as annual inspections, preventative maintenance inspections, special inspections, and housekeeping inspections the New Albany Housing Authority will give the tenant at least two (2) days written notice.

## **17.7 EMERGENCY INSPECTIONS**

If any employee and/or agent of the New Albany Housing Authority has reason to believe that an emergency exists within the housing unit, the unit can be entered without notice. The person(s) that enters the unit will leave a written notice to the resident that indicates the date and time the unit was entered and the reason why it was necessary to enter the unit.

## **17.8 PRE-MOVE-OUT INSPECTIONS**

When a tenant gives notice that they intend to move, the New Albany Housing Authority will offer to schedule a pre-move-out inspection with the family. The inspection allows the New Albany Housing Authority to help the family identify any problems which, if left uncorrected, could lead to vacate charges. This inspection is a courtesy to the family and has been found to be helpful both in reducing costs to the family and in enabling the New Albany Housing Authority to ready units more quickly for the future occupants.

## **17.9 MOVE-OUT INSPECTIONS**

The New Albany Housing Authority conducts the move-out inspection after the tenant vacates to assess the condition of the unit and determine responsibility for any needed repairs. When possible, the tenant is notified of the inspection and is encouraged to be present. This inspection becomes the basis for any claims that may be assessed against the security deposit.

## **18.0 PET POLICY**

### **18.1 EXCLUSIONS**

This policy does not apply to animals that are used to assist persons with disabilities. Assistive animals are allowed in all public housing facilities with no restrictions other than those imposed on all tenants to maintain their units and associated facilities in a decent, safe, and sanitary manner and to refrain from disturbing their neighbors.

## **18.2 PETS IN PUBLIC HOUSING**

The New Albany Housing Authority allows for pet ownership in certain of its developments with the written pre-approval of the Housing Authority.

- A. At the three elderly highrises i.e. Parkview Tower, Riverview Tower, and Mark Elrod Tower, cats and dogs will be allowed in units on the second floor only. Residents on other floors who desire to have a cat or dog may request a transfer to the second floor on a first come first served basis and contingent on 2<sup>nd</sup> floor vacancies.
- B. Beechwood Court, specifically 301, 303, 305, 307 Lopp Avenue; 302, 304, 306, 308, 310, 312 Doolittle Drive; and 610, 612, 614, 616, 618, 620, 622, 624, 626, 628 MacArthur Drive. Residents desiring to have a cat or dog may request a transfer to a designated unit on a first come first served basis contingent on availability.
- C. Riverside Terrace, specifically apartment numbers 1 through 26 Riverside Drive. Residents desiring to have a cat or dog may request a transfer to a designated unit on a first come first served basis contingent on availability.

Residents are responsible for any damage caused by their pet. Including but not limited to, the cost of fumigating or cleaning their units. In exchange for this right, residents assumes full responsibility and liability for their pet and agrees to hold the New Albany Housing Authority harmless from any claims caused by an action or inaction of the pet. New Albany Housing Authority staff are responsible for the enforcement of it's pet policy and their determination(s) shall be final.

## **18.3 APPROVAL**

Residents must have the written approval of the Housing Authority before moving a pet into to their unit. Residents must request approval on the authorization of pet Ownership Form that must be fully completed before the Housing Authority will approve the request. Residents must give the Housing Authority a picture of the pet so it can be identified if it is running loose.

## **18.4 TYPES AND NUMBER OF PETS**

The New Albany Housing Authority will allow only common household pets, defined as cats, dogs, goldfish or tropical fish, caged bird. No other types of pets will be allowed.

All dogs and cats must be spayed or neutered before they become six months old. The pet owner is required to provide the Housing Authority with verification from a licensed veterinarian.

Only one (1) pet per unit will be allowed.

Any animal deemed to be potentially harmful to the health and/or safety of others, including attack or fight trained dogs, will not be allowed.

No animal may exceed 15 pounds in weight at its projected full adult size.

Any dog must be at least six (6) months old, housebroken, and neutered.

Any cat must be at least six (6) months old, litter-trained, and neutered.

## **18.5 INOCULATIONS**

In order to be registered, pets must be appropriately inoculated against rabies, distemper and other conditions prescribed by state and/or local ordinances. They must comply with all other state and local public health, animal control, and anticruelty laws including any licensing requirements. A certification

signed by a licensed veterinarian or state or local official shall be annually filed with the New Albany Housing Authority to attest to the inoculations.

### **18.6 PET DEPOSIT**

A pet deposit totaling \$300.00 is required to register a pet with the Housing Authority. A minimum of \$50.00 is required at the time of registering a pet, the balance to be paid at the rate of at least \$50.00 monthly, every month until paid. The deposit is refundable when the pet or the family vacates the unit, less any amounts owed due to damage beyond normal wear and tear.

### **18.7 FINANCIAL OBLIGATION OF RESIDENTS**

Any resident who owns or keeps a pet in their dwelling unit will be required to pay for any damages caused by the pet. Also, any unit that becomes insect infested and the cause of the infestation is pet-related will be the financial responsibility of the resident of that unit or the pet owner. The New Albany Housing Authority reserves the right to exterminate and charge the resident for any and all cost related to extermination of the unit.

Any resident who owns a dog or cat will be required to pay a \$15.00 per month pet ownership fee. The ownership fee is due on the 1<sup>st</sup> of every month and a \$5.00 late fee will be charged after the 5th of each month.

### **18.8 NUISANCE OR THREAT TO HEALTH OR SAFETY**

The pet and its living quarters must be maintained in a manner to prevent odors and any other unsanitary conditions in the owner's unit and surrounding areas. Pet owners must clean up after their pets immediately.

Repeated substantiated complaints by neighbors or the New Albany Housing Authority personnel regarding pets disturbing the peace of neighbors through noise, odor, animal waste, or other nuisance may result in the owner having to remove the pet from the premises. Refusal to remove the pet may be grounds for eviction.

Pets who make noise continuously and /or incessantly for a period of 10 minutes or intermittently for one half hour or more to the disturbance of any person at any time of day or night shall be considered a nuisance.

### **18.9 DESIGNATION OF PET AREAS**

Residents are not allowed to maintain pets outside of any apartment. Pets must be kept in the owner's apartment or on a hand-held leash at all times when outside the unit (no fences, doghouses, and/or outdoor cages may be constructed to maintain pets). Pets will be allowed only in the designated areas. Pet owners must clean up after their pets and are responsible for disposing of pet waste properly.

**DOGS** – At the elderly highrises, dog waste deposited on Housing Authority property must be removed at once, placed in plastic bag, tightly closed, and deposited in the designated waste receptacle located near the picnic shelters. At Beechwood Court and Riverside Terrace, dog owners must exercise their pets for the purpose of waste deposit only in their own yard areas. The waste must be removed at once, placed in a plastic bag, tightly closed, and placed in the designated waste receptacle nearest their unit.

**CATS** – Cats must be litter trained. Cat waste may be sifted from the litter box and placed directly in the toilet (waste only) and flushed. Clogged toilets due to cat litter are the financial responsibility of the resident. When changing litter, it must be placed in a tightly closed plastic bag and placed in the designated waste receptacle.

With the exception of assistive animals no pets shall be allowed in the community room, community room kitchen, laundry rooms, public bathrooms, lobby, beauty shop, hallways or office at any of our sites. Only one animal should be on any elevator at any time. Whenever possible, pet owners are encouraged to use the stairs.

To accommodate residents who have medically certified allergic or phobic reactions to dogs, cats or other pets, those pets may be barred from certain wings (or floors) in our developments(s) / (building(s)). This shall be implemented based on demand for this service.

### ***18.10 MISCELLANEOUS RULES***

Maintenance personnel will not be required to enter any apartment where a cat or dog resides unless the resident is at home and has the pet under control.

Pets may not be left unattended in a dwelling unit for over 24 hours. If the pet is left unattended for more than 24 hours, the Housing Authority shall have the right to enter the premises and take the uncared for pet to the local animal shelter and will assume no responsibility for the pet after the transfer.

Pet bedding shall not be washed in any common laundry facilities.

Residents must take appropriate actions to protect their pets from fleas and ticks.

All dogs must wear a tag bearing the resident's name and phone number and the date of the latest rabies, distemper and other required inoculations.

Pets cannot be kept, bred or used for any commercial purpose.

Residents owning cats shall maintain waterproof litter boxes for cat waste. Refuse from litter boxes shall not accumulate or become unsightly or unsanitary. Litter shall be disposed of in an appropriate manner. See 18.8

A pet owner shall physically control or confine his/her pet during the times when Housing Authority employees, agents of the Housing Authority or others must enter the pet owner's apartment to conduct business, provide services, enforce lease terms, etc.

In the event of an attack or any injury to a person(s) or other animal(s) the pet's owner shall be required to permanently remove the pet from the Housing Authority's property IMMEDIATELY upon receiving written notice from the Housing Authority. The pet owner may also be subject to termination of his/ her dwelling lease. See 18.12

Any pet owner who violates any condition(s) of this policy may be required to remove his/her pet from the development within 5 calendar days of receiving written notice from the Housing Authority. The pet owner may also be subject to termination of his/her dwelling lease. See 18.12

The Housing Authority's grievance procedures shall be applicable to all individual grievances or disputes arising out of violations or alleged violations of this policy.

### ***18.11 VISITING PETS***

No unauthorized pets/animals shall be allowed on New Albany Housing Authority property. Authorized pets are defined as pets that have been approved in accordance with section 18.3 of the New Albany Housing Authority Pet Policy.

## **18.12 REMOVAL OF PETS**

The New Albany Housing Authority, or an appropriate community Authority, shall, require the removal of any pet from any complex, if the pet's conduct or conditions are determined to be a nuisance or a threat to the health and/or safety of other occupants of the complex and/or of other persons in the community where the complex is located.

In the event of illness or death of the pet owner, or in the case of an emergency which would prevent the pet owner from properly caring for the pet, the New Albany Housing Authority has permission to call the emergency caregiver designated by the pet owner or the local Pet Law Enforcement Agency to take the pet and care for it until family or friends would claim the pet and assume responsibility for it. Any expenses incurred will be the responsibility of the pet owner. If the emergency caregiver fails to pick up the animal within 24 hours will be turned over to the proper enforcement agency.

Additionally, any animal that is the suspected victim of abuse and/or neglect will be reported to the local Pet Law Enforcement agency and shall be removed in accordance with local and/or state laws.

**Violation of any Of the New Albany Housing Authority's Pet Policy may be Grounds For Removal Of The Pet And/or Eviction Of The Tenant.**

## **19.0 REPAYMENT AGREEMENTS**

When a resident owes the New Albany Housing Authority back charges and is unable to pay the balance by the due date, the resident may request that the New Albany Housing Authority allow them to enter into a Repayment Agreement. The New Albany Housing Authority has the sole discretion of whether to accept such an agreement. All Repayment Agreements must assure that the full payment is made within a period not to exceed twelve (12) months. All Repayment Agreements must be in writing and signed by both parties. Failure to comply with the Repayment Agreement terms may subject the Resident to eviction procedures.

**Note: If the housing authority has a minimum rent greater than \$0, they must allow for repayment agreements for those tenants whose rental amount is the minimum rent and who have had their rent abated for a temporary period.**

## **20.0 TERMINATION**

### **20.1 TERMINATION BY TENANT**

The tenant may terminate the lease at any time upon submitting a 15-day written notice. If the tenant vacates prior to the end of the fifteen (15) days, they will be responsible for rent through the end of the notice period or until the unit is re-rented, whichever occurs first.

## **20.2 TERMINATION BY THE HOUSING AUTHORITY**

The New Albany Housing Authority after 10/1/2000 will not renew the lease of any family that is not in compliance with the community service requirement or an approved Agreement to Cure. If they do not voluntarily leave the property, eviction proceedings will begin.

The New Albany Housing Authority will terminate the lease for serious or repeated violations of material lease terms. Such violations include but are not limited to the following:

- A. Nonpayment of rent or other charges;
- B. A history of late rental payments;
- C. Failure to provide timely and accurate information regarding family composition, income circumstances, or other information related to eligibility or rent;
- D. Failure to allow inspection of the unit;
- E. Failure to maintain the unit in a safe and sanitary manner;
- F. Assignment or subletting of the premises;
- G. Use of the premises for purposes other than as a dwelling unit (other than for housing authority approved resident businesses);
- H. Destruction of property;
- I. Acts of destruction, defacement, or removal of any part of the premises or failure to cause guests to refrain from such acts;
- J. Any criminal activity on the property or drug-related criminal activity on or off the premises. This includes but is not limited to the manufacture of methamphetamine on the premises of the New Albany Housing Authority;
- K. Non-compliance with Non-Citizen Rule requirements;
- L. Permitting persons not on the lease to reside in the unit more than fourteen (14) days each year without the prior written approval of the Housing Authority; and
- M. Other good cause.

The New Albany Housing Authority will take immediate action to evict any household that includes an individual who is subject to a lifetime registration requirement under a State sex offender registration program.

### **20.3 ABANDONMENT**

The New Albany Housing Authority will consider a unit to be abandoned when a resident has both fallen behind in rent **AND** has clearly indicated by words or actions an intention not to continue living in the unit.

When a unit has been abandoned, a New Albany Housing Authority representative may enter the unit and remove any abandoned property. It will be stored in a reasonably secure place. A notice will be mailed to the resident stating where the property is being stored and when it will be disposed of. If the New Albany Housing Authority does not have a new address for the resident, the notice will be mailed to the unit address so it can be forwarded by the post office. The property will be stored for ninety (90) days according to current state law.

Within **45** days of learning of an abandonment, the New Albany Housing Authority will either return the deposit or provide a statement of why the deposit is being kept.

### **20.4 RETURN OF SECURITY DEPOSIT**

After a family moves out, the New Albany Housing Authority will return the security deposit within **45** or give the family a written statement of why all or part of the security deposit is being kept. The rental unit must be restored to the same conditions as when the family moved in, except for normal wear and tear. Deposits will not be used to cover normal wear and tear or damage that existed when the family moved in.

If State law requires the payment of interest on security deposits, it shall be complied with.

The New Albany Housing Authority will be considered in compliance with the above if the required payment, statement, or both, are deposited in the U.S. mail with first class postage paid within **45** days.

## GLOSSARY

**50058 Form:** The HUD form that housing authorities are required to complete for each assisted household in public housing to record information used in the certification and re-certification process and, at the option of the housing authority, for interim reexaminations.

**1937 Housing Act:** The United States Housing Act of 1937 (42 U.S.C. 1437 et seq.) (24 CFR 5.100)

**Adjusted Annual Income:** The amount of household income, after deductions for specified allowances, on which tenant rent is based. (24 CFR 5.611)

**Adult:** A household member who is 18 years or older or who is the head of the household, or spouse, or co-head.

**Allowances:** Amounts deducted from the household's annual income in determining adjusted annual income (the income amount used in the rent calculation). Allowances are given for elderly families, dependents, medical expenses for elderly families, disability expenses, and child care expenses for children under 13 years of age. Other allowance can be given at the discretion of the housing authority.

**Annual Contributions Contract (ACC):** The written contract between HUD and a housing authority under which HUD agrees to provide funding for a program under the 1937 Act, and the housing authority agrees to comply with HUD requirements for the program. (24 CFR 5.403)

**Annual Income:** All amounts, monetary or not, that:

- A. Go to (or on behalf of) the family head or spouse (even if temporarily absent) or to any other family member; or
- B. Are anticipated to be received from a source outside the family during the 12-month period following admission or annual reexamination effective date; and
- C. Are not specifically excluded from annual income.

Annual Income also includes amounts derived (during the 12-month period) from assets to which any member of the family has access. (1937 Housing Act; 24 CFR 5.609)

**Applicant (applicant family):** A person or family that has applied for admission to a program but is not yet a participant in the program. (24 CFR 5.403)

**As-Paid States:** States where the welfare agency adjusts the shelter and utility component of the welfare grant in accordance with actual housing costs. Currently, the four as-paid States are New Hampshire, New York, Oregon, and Vermont.

**Assets:** The value of equity in savings, checking, IRA and Keogh accounts, real property, stocks, bonds, and other forms of capital investment. The value of necessary items of personal property such as furniture and automobiles are not counted as assets. (Also see "net family assets.")

**Asset Income:** Income received from assets held by family members. If assets total more than \$5,000, income from the assets is "imputed" and the greater of actual asset income and imputed asset income is counted in annual income. (See "imputed asset income" below.)

**Ceiling Rent:** Maximum rent allowed for some units in public housing projects.

**Certification:** The examination of a household's income, expenses, and family composition to determine the family's eligibility for program participation and to calculate the family's share of rent.

**Child:** For purposes of citizenship regulations, a member of the family other than the family head or spouse who is under 18 years of age. (24 CFR 5.504(b))

**Child Care Expenses:** Amounts anticipated to be paid by the family for the care of children under 13 years of age during the period for which annual income is computed, but only where such care is necessary to enable a family member to actively seek employment, be gainfully employed, or to further his or her education and only to the extent such amounts are not reimbursed. The amount deducted shall reflect reasonable charges for childcare. In the case of childcare necessary to permit employment, the amount deducted shall not exceed the amount of employment income that is included in annual income. (24 CFR 5.603(d))

**Citizen:**A citizen or national of the United States. (24 CFR 5.504(b))

**Consent Form:** Any consent form approved by HUD to be signed by assistance applicants and participants for the purpose of obtaining income information from employers and SWICAs, return information from the Social Security Administration, and return information for unearned income from the Internal Revenue Service. The consent forms may authorize the collection of other information from assistance applicants or participant to determine eligibility or level of benefits. (24 CFR 5.214)

**Decent, Safe, and Sanitary:** Housing is decent, safe, and sanitary if it satisfies the applicable housing quality standards.

**Department:** The Department of Housing and Urban Development. (24 CFR 5.100)

**Dependent:** A member of the family (except foster children and foster adults), other than the family head or spouse, who is under 18 years of age or is a person with a disability or is a full-time student. (24 CFR 5.603(d))

**Dependent Allowance:** An amount, equal to \$480 multiplied by the number of dependents, that is deducted from the household's annual income in determining adjusted annual income.

**Disability Assistance Expenses:** Reasonable expenses that are anticipated, during the period for which annual income is computed, for attendant care and auxiliary apparatus for a disabled family member and that are necessary to enable a family member (including the disabled member) to be employed, provided that the expenses are neither paid to a member of the family nor reimbursed by an outside source. (24 CFR 5.603(d))

**Disability Assistance Expense Allowance:** In determining adjusted annual income, the amount of disability assistance expenses deducted from annual income for families with a disabled household member.

**Disabled Family:** A family whose head, spouse, or sole member is a person with disabilities; two or more persons with disabilities living together; or one or more persons with disabilities living with one or more live-in aides. (24 CFR 5.403(b)) (Also see "person with disabilities.")

**Disabled Person:** See "person with disabilities."

**Displaced Family:** A family in which each member, or whose sole member, is a person displaced by governmental action (such as urban renewal), or a person whose dwelling has been extensively damaged or destroyed as a result of a disaster declared or otherwise formally recognized pursuant to Federal disaster relief laws. (24 CFR 5.403(b))

**Displaced Person:** A person displaced by governmental action or a person whose dwelling has been extensively damaged or destroyed as a result of a disaster declared or otherwise formally recognized pursuant to Federal disaster relief laws. *[1937 Act]*

**Drug-Related Criminal Activity:** Drug trafficking or the illegal use, or possession for personal use, of a controlled substance as defined in Section 102 of the Controlled Substances Act (21 U.S.C. 802).

**Elderly Family:** A family whose head, spouse, or sole member is a person who is at least 62 years of age; two or more persons who are at least 62 years of age living together; or one or more persons who are at least 62 years of age living with one or more live-in aides. (24 CFR 5.403)

**Elderly Family Allowance:** For elderly families, an allowance of \$400 is deducted from the household's annual income in determining adjusted annual income.

**Elderly Person:** A person who is at least 62 years of age. (1937 Housing Act)

**Extremely low-income families:** Those families whose incomes do not exceed 30% of the median income for the area, as determined by the Secretary with adjustments for smaller and larger families.

**Fair Housing Act:** Title VIII of the Civil Rights Act of 1968, as amended by the Fair Housing Amendments Act of 1988 (42 U.S.C. 3601 et seq.). (24 CFR 5.100)

**Family** includes but is not limited to:

- A. A family with or without children;
- B. An elderly family;
- C. A near-elderly family;
- D. A disabled family;
- E. A displaced family;
- F. The remaining member of a tenant family; and
- G. A single person who is not an elderly or displaced person, a person with disabilities, or the remaining member of a tenant family. (24 CFR 5.403)

**Family Members:** All members of the household other than live-in aides, foster children, and foster adults. All family members permanently reside in the unit, though they may be temporarily absent. All family members are listed on the lease.

**Family Self-Sufficiency Program (FSS Program):** The program established by a housing authority to promote self-sufficiency among participating families, including the coordination of supportive services. (24 CFR 984.103(b))

**Flat Rent:** A rent amount the family may choose to pay in lieu of having their rent determined under the formula method. The flat rent is established by the housing authority set at the lesser of the market value for the unit or the cost to operate the unit. Families selecting the flat rent option have their income evaluated once every three years, rather than annually.

**Formula Method:** A means of calculating a family's rent based on 10% of their monthly income, 30% of their adjusted monthly income, the welfare rent, or the minimum rent. Under the formula method, rents may be capped by a ceiling rent. Under this method, the family's income is evaluated at least annually.

**Full-Time Student:** A person who is carrying a subject load that is considered full-time for day students under the standards and practices of the educational institution attended. An educational institution includes a vocational school with a diploma or certificate program, as well as an institution offering a college degree. (24 CFR 5.603(d))

**Head of Household:** The adult member of the family who is the head of the household for purposes of determining income eligibility and rent. (24 CFR 5.504(b))

**Household Members:** All members of the household including members of the family, live-in aides, foster children, and foster adults. All household members are listed on the lease, and no one other than household members are listed on the lease.

**Housing Assistance Plan:** A housing plan that is submitted by a unit of general local government and approved by HUD as being acceptable under the standards of 24 CFR 570.

**Imputed Income:** For households with net family assets of more than \$5,000, the amount calculated by multiplying net family assets by a HUD-specified percentage. If imputed income is more than actual income from assets, the imputed amount is used as income from assets in determining annual income.

**In-Kind Payments:** Contributions other than cash made to the family or to a family member in exchange for services provided or for the general support of the family (e.g., groceries provided on a weekly basis, baby sitting provided on a regular basis).

**Interim (examination):** A reexamination of a family income, expenses, and household composition conducted between the regular annual recertifications when a change in a household's circumstances warrants such a reexamination.

**Live-In Aide:** A person who resides with one or more elderly persons, near-elderly persons, or persons with disabilities and who:

- A. Is determined to be essential to the care and well-being of the persons;
- B. Is not obligated for the support of the persons; and
- C. Would not be living in the unit except to provide the necessary supportive services. (24 CFR 5.403(b))

**Low-Income Families:** Those families whose incomes do not exceed 80% of the median income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80% of the median for the area on the basis of the Secretary's findings that such variations are necessary because of prevailing levels of construction costs or unusually high or low family incomes. (1937Act)

**Medical Expenses:** Medical expenses (of all family members of an elderly or disabled family), including medical insurance premiums, that are anticipated during the period for which annual income is computed and that are not covered by insurance. (24 CFR 5.603(d)). These expenses include, but are not limited to, prescription and non-prescription drugs, costs for doctors, dentists, therapists, medical facilities, care for a service animals, transportation for medical purposes.

**Mixed Family:** A family whose members include those with citizenship or eligible immigration status and those without citizenship or eligible immigration status. (24 CFR 5.504(b))

**Monthly Adjusted Income:** One twelfth of adjusted income. (24 CFR 5.603(d))

**Monthly Income:** One twelfth of annual income. (24 CFR 5.603(d))

**National:** A person who owes permanent allegiance to the United States, for example, as a result of birth in a United States territory or possession. (24 CFR 5.504(b))

**Near-Elderly Family:** A family whose head, spouse, or sole member is a person who is at least 50 years of age but below the age of 62; two or more persons, who are at least 50 years of age but below the age of 62, living together; or one or more persons who are at least 50 years of age but below the age of 62 living with one or more live-in aides. (24 CFR 5.403(b))

**Net Family Assets:**

- A. Net cash value after deducting reasonable costs that would be incurred in disposing of real property, savings, stocks, bonds, and other forms of capital investment, excluding interests in Indian trust land and excluding equity accounts in HUD homeownership programs. The value of necessary items of personal property such as furniture and automobiles shall be excluded.
- B. In cases where a trust fund has been established and the trust is not revocable by, or under the control of, any member of the family or household, the value of the trust fund will not be considered an asset so long as the fund continues to be held in trust. Any income distributed from the trust fund shall be counted when determining annual income.
- C. In determining net family assets, housing authorities or owners, as applicable, shall include the value of any business or family assets disposed of by an applicant or tenant for less than fair market value (including a disposition in trust, but not in a foreclosure or bankruptcy sale) during the two years preceding the date of application for the program or reexamination, as applicable, in excess of the consideration received therefor. In the case of a disposition as part of a separation or divorce settlement, the disposition will not be considered to be for less than fair market value if the applicant or tenant receives important consideration not measurable in dollar terms. (24 CFR 5.603(d))

**Non-Citizen:** A person who is neither a citizen nor national of the United States. (24 CFR 5.504(b))

**Occupancy Standards:** The standards that a housing authority establishes for determining the appropriate number of bedrooms needed to house families of different sizes or composition.

**Person with Disabilities:** A person who:

- A. Has a disability as defined in Section 223 of the Social Security Act, which states:  
"Inability to engage in any substantial, gainful activity by reason of any medically determinable physical or mental impairment that can be expected to result in death or that has lasted or can be expected to last for a continuous period of not less than 12 months, or

In the case of an individual who attained the age of 55 and is blind and unable by reason of such blindness to engage in substantial, gainful activity requiring skills or ability comparable to those of any gainful activity in which he has previously engaged with some regularity and over a substantial period of time."

B. Is determined, pursuant to regulations issued by the Secretary, to have a physical, mental, or emotional impairment that:

1. Is expected to be of long-continued and indefinite duration;
2. Substantially impedes his or her ability to live independently; and
3. Is of such a nature that such ability could be improved by more suitable housing conditions, or

C. Has a developmental disability as defined in Section 102(7) of the Developmental Disabilities Assistance and Bill of Rights Act, which states:

"Severe chronic disability that:

1. Is attributable to a mental or physical impairment or combination of mental and physical impairments;
2. Is manifested before the person attains age 22;
3. Is likely to continue indefinitely;
4. Results in substantial functional limitation in three or more of the following areas of major life activity: (1) self care, (2) receptive and responsive language, (3) learning, (4) mobility, (e) self-direction, (6) capacity for independent living, and (7) economic self-sufficiency; and
5. Reflects the person's need for a combination and sequence of special, interdisciplinary, or generic care, treatment, or other services that are of lifelong or extended duration and are individually planned and coordinated."

This definition does not exclude persons who have the disease of acquired immunodeficiency syndrome or any conditions arising from the etiologic agent for acquired immunodeficiency syndrome. (1937 Act)

No individual shall be considered to be a person with disabilities for purposes of eligibility solely based on any drug or alcohol dependence.

**Proration of Assistance:** The reduction in a family's housing assistance payment to reflect the proportion of family members in a mixed family who are eligible for assistance. (24 CFR 5.520)

**Public Housing Agency (PHA):** Any State, county, municipality, or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of low-income housing under the 1937 Housing Act. (24 CFR 5.100)

**Recertification:** The annual reexamination of a family's income, expenses, and composition to determine the family's rent.

**Remaining Member of a Tenant Family:** A member of the family listed on the lease who continues to live in the public housing dwelling after all other family members have left. (Handbook 7565.1 REV-2, 3-5b.)

**Self-Declaration:** A type of verification statement by the tenant as to the amount and source of income, expenses, or family composition. Self-declaration is acceptable verification only when third-party verification or documentation cannot be obtained.

**Shelter Allowance:** That portion of a welfare benefit (e.g., TANF) that the welfare agency designates to be used for rent and utilities.

**Single Person:** Someone living alone or intending to live alone who does not qualify as an elderly family, a person with disabilities, a displaced person, or the remaining member of a tenant family. (Public Housing: Handbook 7465.1 REV-2, 3-5)

**State Wage Information Collection Agency (SWICA):** The State agency receiving quarterly wage reports from employers in the State or an alternative system that has been determined by the Secretary of Labor to be as effective and timely in providing employment-related income and eligibility information. (24 CFR 5.214)

**Temporary Assistance to Needy Families (TANF):** The program that replaced the Assistance to Families with Dependent Children (AFDC) that provides financial assistance to needy families who meet program eligibility criteria. Benefits are limited to a specified time period.

**Tenant:** The person or family renting or occupying an assisted dwelling unit. (24 CFR 5.504(b))

**Tenant Rent:** The amount payable monthly by the family as rent to the housing authority. Where all utilities (except telephone) and other essential housing services are supplied by the housing authority or owner, tenant rent equals total tenant payment. Where some or all utilities (except telephone) and other essential housing services are supplied by the housing authority and the cost thereof is not included in the amount paid as rent, tenant rent equals total tenant payment less the utility allowance. (24 CFR 5.603(d))

**Third-Party (verification):** Written or oral confirmation of a family's income, expenses, or household composition provided by a source outside the household.

**Total Tenant Payment (TTP):**

- A. Total tenant payment for families whose initial lease is effective on or after August 1, 1982:
1. Total tenant payment is the amount calculated under Section 3(a)(1) of the 1937 Act which is the higher of :
    - a. 30% of the family's monthly adjusted income;
    - b. 10% of the family's monthly income; or
    - c. If the family is receiving payments for welfare assistance from a public agency and a part of such payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of such payments which is so designated.

If the family's welfare assistance is ratably reduced from the standard of need by applying a percentage, the amount calculated under section 3(a)(1) shall be the amount resulting from one application of the percentage.
  2. Total tenant payment for families residing in public housing does not include charges for excess utility consumption or other miscellaneous charges.
- B. Total tenant payment for families residing in public housing whose initial lease was effective before August 1, 1982: Paragraphs (b) and (c) of 24 CFR 913.107, as it existed immediately before November 18, 1996), will continue to govern the total tenant payment of families, under a public housing program, whose initial lease was effective before August 1, 1982.

**Utility Allowance:** If the cost of utilities (except telephone) and other housing services for an assisted unit is not included in the tenant rent but is the responsibility of the family occupying the unit, an amount equal to the estimate made by a housing authority of the monthly cost of a reasonable consumption of such utilities and other services for the unit by an energy-conservative household of modest circumstances consistent with the requirements of a safe, sanitary, and healthful living environment. (24 CFR 5.603)

**Utility Reimbursement:** The amount, if any, by which the utility allowance for the unit, if applicable, exceeds the total tenant payment for the family occupying the unit. (24 CFR 5.603)

**Very Low-Income Families:** Low-income families whose incomes do not exceed 50% of the median family income for the area, as determined by the Secretary with adjustments for smaller

and larger families, except that the Secretary may establish income ceilings higher or lower than 50% of the median for the areas on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes. Such ceilings shall be established in consultation with the Secretary of Agriculture for any rural area, as defined in Section 520 of the Housing Act of 1949, taking into account the subsidy characteristics and types of programs to which such ceilings apply. (1937 Act)

**Welfare Assistance:** Welfare or other payments to families or individuals, based on need, that are made under programs funded by Federal, State or local governments. (24 CFR 5.603(d))

**Welfare Rent:** In "as-paid" welfare programs, the amount of the welfare benefit designated for shelter and utilities.

## ACRONYMS

ACC	Annual Contributions Contract
CFR	Code of Federal Regulations
FSS	Family Self Sufficiency (program)
HCDA	Housing and Community Development Act
HQS	Housing Quality Standards
HUD	Department of Housing and Urban Development
INS	(U.S.) Immigration and Naturalization Service
NAHA	(Cranston-Gonzalez) National Affordable Housing Act
NOFA	Notice of Funding Availability
OMB	(U.S.) Office of Management and Budget
PHA	Public Housing Agency
QHWR	Quality Housing and Work Responsibility Act of 1998
SSA	Social Security Administration
TTP	Total Tenant Payment

**Appendix I**

**Income Limits and Deconcentration Worksheet**

<b>Development Name</b>	<b>Number of Units Under ACC</b>	<b>Number of Occupied Units</b>	<b>Number of Units Occupied by Very Poor Families</b>	<b>% Occupied by Very Poor Families</b>

**%Very Poor in**

**Census Tract**

**Target Number**

**Number Needed of below 30% of median area income**

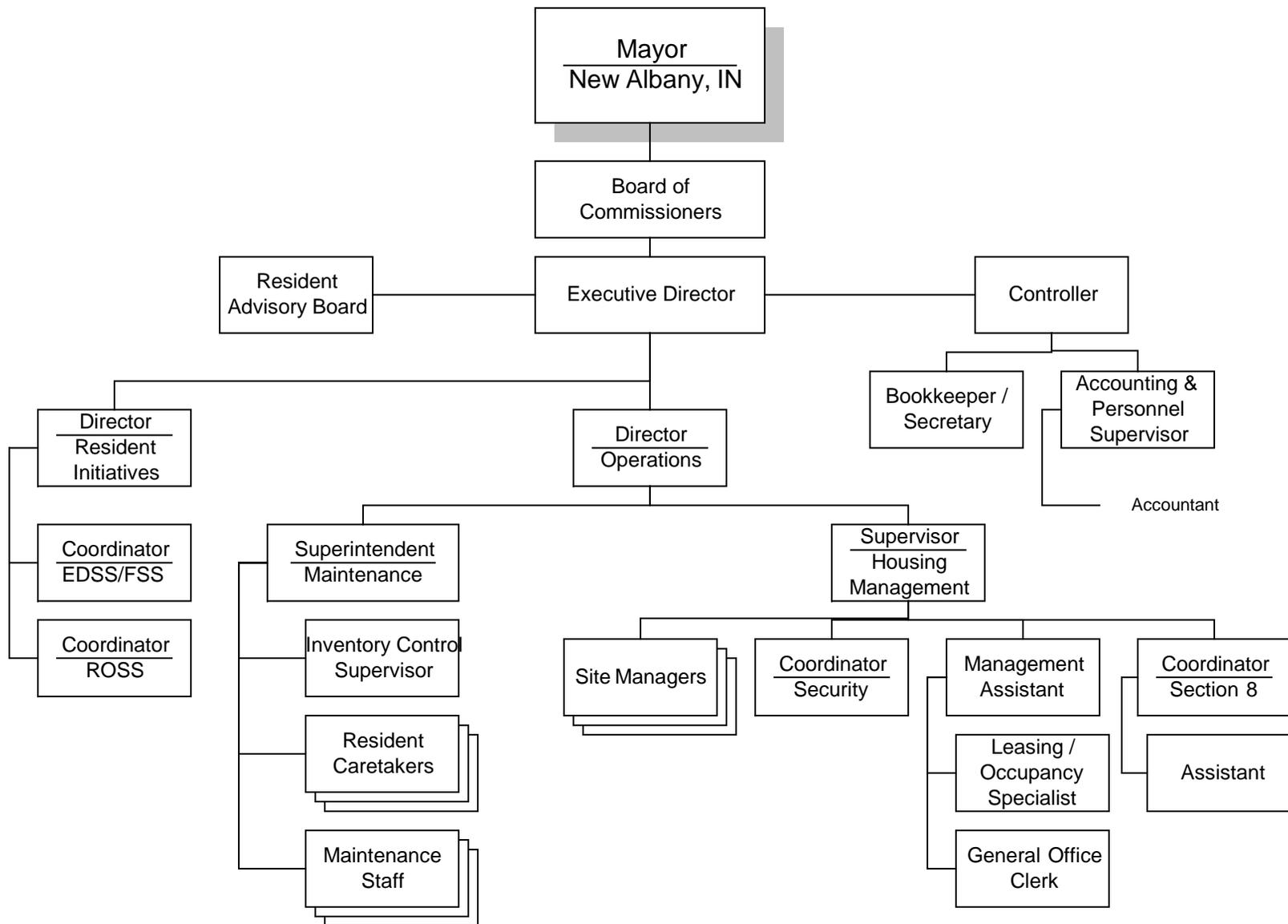
**Number Needed above 30% of median area income**

**Waiting list number of families Appendix 2**

# Housing Authority of New Albany, IN

Organizational Chart

1/15/02





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

PHA Name: <b>The Housing Authority of the City of New Albany, Indiana</b>		Grant Type and Number Capital Fund Program Grant No: <b>IN36PO1250100</b> Replacement Housing Factor Grant No: <b>0</b>				Federal FY of Grant: <b>2000</b>		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
12-1	Replace Tile Floors	1460.00		111,618.00	-			
12-3	Replace Tile Floors	1460.00		368,382.00	-			
12-3	Replace Bathtubs	1460.00		175,000.00	-			
12-5	Replace Bathtubs	1460.00		39,000.00	-			
12-6	Renovate HVAC	1470.00		10,000.00	-			
Vance Rec.	Replace Gym Doors	1470.00		5,000.00	-			
12-7	Replace Tile Floors	1460.00		150,000.00	-			
12-8	Rec Facility Addition	1470.00		150,000.00	-			
PHA Wide	Operations	1406.00		160,000.00	407,200.00	407,200.00	160,000.00	
PHA Wide	PSSM:FSS/Day Care	1408.00		220,000.00	220,000.00	220,000.00	209,559.94	
PHA Wide	Drug Elimination/Security	1408.00		150,000.00	63,851.14	63,851.14	54,987.27	
PHA Wide	Computer Systems/Software	1408.00		50,000.00	50,000.00	50,000.00	30,370.40	
PHA Wide	Accounting/GAAP Consulting	1410.00		35,000.00	-	-	-	
PHA Wide	Parks Department/Supplies Equip	1408.00		91,999.00	40,000.00	40,000.00	35,022.37	
PHA Wide	Parks Department/Wages	1410.00			51,999.00	51,999.00	45,050.32	
PHA Wide	Training/Travel	1410.00		30,000.00	12,000.00	12,000.00	450.00	
PHA Wide	Cost Allocation: Admin Salaries	1410.00		90,000.00	90,000.00	90,000.00	71,849.05	
PHA Wide	Planning/Consultants/A&E	1430.00		50,000.00	90,672.71	90,672.71	90,672.71	
PHA Wide	Grounds/Curb Appeal	1450.00		100,000.00	100,000.00	100,000.00	49,158.30	
PHA Wide	Computer HDW/Copiers/Tech	1475.00		50,000.00	50,000.00	50,000.00	29,585.95	
PHA Wide	Audit	1411.00			8,241.00	8,241.00	-	
PHA Wide	Mobile Equipment Upgrade	1408.00			13,605.21	13,605.21	13,605.21	
PHA Wide	Phone System Upgrade/Expansion	1408.00			25,000.00	25,000.00	17,462.56	
PHA Wide	Day Care Playground Update	1475.00			2,937.00	2,937.00	2,937.00	
PHA Wide	Maintenance Equipment	1475.00			75,000.00	75,000.00	57,742.73	
PHA Wide	Dumpster Replacement	1475.00			3,993.00	3,993.00	3,993.00	
PHA Wide	Kronos Time Keeping System	1408.00			75,000.00	75,000.00	41,675.18	
PHA Wide	Playground	1475.00			2,009.20	2,009.20	2,009.20	
PHA Wide	Vehicle Fleet Replacement	1475.00			140,067.00	140,067.00	53,955.36	
PHA Wide	Replacement Reserve/Admin.Center	1490.00			350,000.00	350,000.00		



# Annual Statement / Performance and Evaluation Report

## Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

PHA Name: <b>The Housing Authority of the City of New Albany,          Indiana</b>	<b>Grant Type and Number</b> Capital Fund Program Grant No: <span style="float: right;"><b>IN36PO1250101</b></span> Replacement Housing Factor Grant No:	<b>Federal FY of Grant:</b> <p style="text-align: center;"><b>2001</b></p>
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Original Annual Statement     
  Reserve for Disasters/Emergencies     
  Revised Annual Statement (revision no. 2 )

Performance and Evaluation Report for Program Year Ending     
  Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations	207,740.00	311,610.00	-	-
3	1408 Management Improvements	415,480.00	370,000.00	-	-
4	1410 Administration	311,610.00	92,000.00	-	-
5	1411 Audit	-	8,000.00	-	-
6	1415 Liquidated Damages	-	-	-	-
7	1430 Fees and Costs	80,000.00	42,430.00	-	-
8	1440 Site Acquisition	-	-	-	-
9	1450 Site Improvement	207,740.00	126,700.00	-	-
10	1460 Dwelling Structures	-	1,126,661.00	-	-
11	1465.1 Dwelling Equipment - Nonexpendable	-	-	-	-
12	1470 Nondwelling Structures	-	-	-	-
13	1475 Nondwelling Equipment	103,871.00	-	-	-
14	1485 Demolition	-	-	-	-
15	1490 Replacement Reserve	415,480.00	-	-	-
16	1492 Moving to Work Demonstration	-	-	-	-
17	1495.1 Relocation Costs	-	-	-	-
18	1499 Development Activities	335,480.00	-	-	-
19	1501 Collateralization or Debt Service	-	-	-	-
20	1502 Contingency	-	-	-	-
21	Amount of Annual Grant (Sum of lines 2-20)	\$ 2,077,401.00	\$ 2,077,401.00	\$ -	\$ -
22	Amount of line 21 Related to LBP Activities	-	-	-	-
23	Amount of line 21 Related to Section 504 Compliance	-	-	-	-
24	Amount of line 21 Related to Security - Soft Costs	-	-	-	-
25	Amount of line 21 Related to Security - Hard Costs	-	-	-	-
26	Amount of line 21 Related to Energy Conversation Measures	-	-	-	-

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

PHA Name: <b>The Housing Authority of the City of New Albany, Indiana</b>		Grant Type and Number Capital Fund Program Grant No: <b>IN36PO1250101</b> Replacement Housing Factor Grant No: <b>0</b>			Federal FY of Grant: <b>2001</b>			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
	Operations	1406.00		207,740.00	311,610.00			
HA-Wide	PSSM Partnership	1408.00		220,000.00	200,000.00			
HA-Wide	Parks Department Partnership	1408.00		90,000.00	70,000.00			
HA-Wide	Technology	1408.00		105,480.00	100,000.00			
HA-Wide	General Site Upgrades	1450.00		207,740.00	100,000.00			
HA-Wide	Administration	1410.00		311,610.00	92,000.00			
HA-Wide	Planning/A&E	1430.00		80,000.00	42,430.00			
HA-Wide	Replacement Reserve	1490.00		415,480.00				
HA-Wide	Vehicle Replacement	1475.00		103,871.00				
HA-Wide	Development	1499.00		335,480.00				
HA-Wide	Audit	1411.00		-	8,000.00			
12-1	Lead-Based Paint Abatement	1460.00		-	104,500.00			
	Electrical Upgrade	1460.00			60,000.00			
	Exhaust fans	1460.00			2,300.00			
12-2	Electrical Upgrade/220	1460.00			50,000.00			
	Washer/Dryer Hookups	1460.00			9,000.00			
	Exhaust Fans	1460.00			7,200.00			
	Dryer Vents	1460.00			6,300.00			
12-3	Showers Installed	1460.00			248,739.00			
	Vanity Replaced	1460.00			32,500.00			
	Electrical Upgrades	1460.00			52,500.00			
	Screen Door Renovation	1460.00			6,322.00			
12-4	Washer/Dryer Hookups	1460.00			19,200.00			
12-5	Electrical Upgrades	1460.00			23,400.00			



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

PHA Name: <b>The Housing Authority of the City of New Albany, Indiana</b>	Grant Type and Number Capital Fund Program Grant No: <b>IN25P012510102</b> Replacement Housing Factor Grant No:	Federal FY of Grant: <b>2002</b>
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Original Annual Statement     
  Reserve for Disasters/Emergencies     
  Revised Annual Statement (revision no. )     
  Performance and Evaluation Report for Program Year Ending     
  Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations	295,140.00	-	-	-
3	1408 Management Improvements	355,000.00	-	-	-
4	1410 Administration	92,000.00	-	-	-
5	1411 Audit	8,000.00	-	-	-
6	1415 Liquidated Damages	-	-	-	-
7	1430 Fees and Costs	-	-	-	-
8	1440 Site Acquisition	-	-	-	-
9	1450 Site Improvement	135,000.00	-	-	-
10	1460 Dwelling Structures	1,082,461.00	-	-	-
11	1465.1 Dwelling Equipment - Nonexpendable	-	-	-	-
12	1470 Nondwelling Structures	-	-	-	-
13	1475 Nondwelling Equipment	-	-	-	-
14	1485 Demolition	-	-	-	-
15	1490 Replacement Reserve	-	-	-	-
16	1492 Moving to Work Demonstration	-	-	-	-
17	1495.1 Relocation Costs	-	-	-	-
18	1499 Development Activities	-	-	-	-
19	1501 Collateralization or Debt Service	-	-	-	-
20	1502 Contingency	-	-	-	-
21	Amount of Annual Grant (Sum of lines 2-20)	\$ 1,967,601.00	\$ -	\$ -	\$ -
22	Amount of line 21 Related to LBP Activities	-	-	-	-
23	Amount of line 21 Related to Section 504 Compliance	-	-	-	-
24	Amount of line 21 Related to Security - Soft Costs	-	-	-	-
25	Amount of line 21 Related to Security - Hard Costs	-	-	-	-
26	Amount of line 21 Related to Energy Conversation Measures	-	-	-	-

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

PHA Name: <b>The Housing Authority of the City of New Albany Indiana</b>		Grant Type and Number Capital Fund Program Grant No: <b>IN36P01250102</b> Replacement Housing Factor Grant No: <b>IN36P01250102</b>			Federal FY of Grant: <b>2002</b>			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide	Operations	1406.00		295,140.00				
HA-Wide	PSSM Partnership	1408.00		189,000.00				
HA-Wide	Parks Partnership	1408.00		66,000.00				
HA-Wide	Technology	1408.00		100,000.00				
HA-Wide	General Site Improvement	1450.00		100,000.00				
HA-Wide	Administration	1410.00		92,000.00				
HA-Wide	Audit	1411.00		8,000.00				
12-2	Bathroom upgrade	1460.00		24,300.00				
	Vanities/mirrors	1460.00		2,700.00				
12-3	Showers Installed	1460.00		163,261.00				
	Sidewalk Repair	1450.00		35,000.00				
	Vanity Replaced	1460.00		32,500.00				
12-4	Showers Installed	1460.00		57,600.00				
	Vanities Replaced	1460.00		9,600.00				
12-5	Showers Installed	1460.00		93,600.00				
	Vanities Replaced	1460.00		15,600.00				
12-6	Elevator Upgrade	1460.00		541,000.00				
12-7	Intercom replacement	1460.00		15,000.00				
12-8	Showers Installed	1460.00		98,300.00				
	Vanities Replaced	1460.00		12,000.00				
12-10	Elevator Carpeting	1460.00		2,000.00				
	Intercom Upgrade	1460.00		15,000.00				

# Annual Statement / Performance and Evaluation Report

## Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

PHA Name: <b>The Housing Authority of the City of New Albany,          Indiana</b>	<b>Grant Type and Number</b> Capital Fund Program Grant No: <span style="float: right;"><b>IN36P01250103</b></span> Replacement Housing Factor Grant No:	<b>Federal FY of Grant:</b> <p style="text-align: center;"><b>2003</b></p>
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Original Annual Statement     
  Reserve for Disasters/Emergencies     
  Revised Annual Statement (revision no.      )

Performance and Evaluation Report for Program Year Ending     
  Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations	295,140.00	-	-	-
3	1408 Management Improvements	380,000.00	-	-	-
4	1410 Administration	92,000.00	-	-	-
5	1411 Audit	8,000.00	-	-	-
6	1415 Liquidated Damages	-	-	-	-
7	1430 Fees and Costs	7,550.00	-	-	-
8	1440 Site Acquisition	-	-	-	-
9	1450 Site Improvement	224,300.00	-	-	-
10	1460 Dwelling Structures	865,611.00	-	-	-
11	1465.1 Dwelling Equipment - Nonexpendable	-	-	-	-
12	1470 Nondwelling Structures	45,000.00	-	-	-
13	1475 Nondwelling Equipment	50,000.00	-	-	-
14	1485 Demolition	-	-	-	-
15	1490 Replacement Reserve	-	-	-	-
16	1492 Moving to Work Demonstration	-	-	-	-
17	1495.1 Relocation Costs	-	-	-	-
18	1499 Development Activities	-	-	-	-
19	1501 Collateralization or Debt Service	-	-	-	-
20	1502 Contingency	-	-	-	-
21	Amount of Annual Grant (Sum of lines 2-20)	\$ 1,967,601.00	\$ -	\$ -	\$ -
22	Amount of line 21 Related to LBP Activities	-	-	-	-
23	Amount of line 21 Related to Section 504 Compliance	-	-	-	-
24	Amount of line 21 Related to Security - Soft Costs	-	-	-	-
25	Amount of line 21 Related to Security - Hard Costs	-	-	-	-
26	Amount of line 21 Related to Energy Conversation Measures	-	-	-	-



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

PHA Name: <b>The Housing Authority of the City of New Albany Indiana</b>		Grant Type and Number Capital Fund Program Grant No: <b>IN36P01250103</b> Replacement Housing Factor Grant No: <b>0</b>			Federal FY of Grant: <b>2003</b>			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
12-5	Ceiling Repaired	1460.00		8,300.00				
	Casings Replaced	1460.00		20,000.00				
	Stair Repair	1460.00		15,000.00				
	Exhaust Fans	1460.00		9,900.00				
	Bathroom Vents	1460.00		3,960.00				
12-6	General Ventilation	1460.00		20,000.00				
	Faucets replaced	1460.00		7,750.00				
	Interior Doors	1460.00		14,850.00				
	Bathroom vents	1460.00		4,000.00				
	Bi Fold Door Replaced	1460.00		22,500.00				
	Exhaust fans/kitchen	1460.00		10,000.00				
12-7	Floor tile repair	1460.00		26,040.00				
	Security Cameras	1408.00		25,000.00				
12-8	Showers Installed	1460.00		98,300.00				
	Vanities Replaced	1460.00		12,000.00				
	Rec Room Expansion	1470.00		20,000.00				
	Access Doors	1460.00		3,500.00				
	Ceiling Damage	1460.00		17,400.00				
	Storage Doors	1460.00		36,000.00				
	Paving	1450.00		60,000.00				
	Splash Blocks	1460.00		1,000.00				
	Floor Tiles	1460.00		15,000.00				
	Foundation Repair	1460.00		5,000.00				
12-10	Outside Bricks Repaired	1460.00		40,000.00				

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

PHA Name: <b>The Housing Authority of the City of New Albany, Indiana</b>	Grant Type and Number Capital Fund Program Grant No: <b>IN36P01250104</b> Replacement Housing Factor Grant No:	Federal FY of Grant: <b>2004</b>
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Original Annual Statement     
  Reserve for Disasters/Emergencies     
  Revised Annual Statement (revision no. )  
 Performance and Evaluation Report for Program Year Ending     
  Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations	295,140.00	-	-	-
3	1408 Management Improvements	380,000.00	-	-	-
4	1410 Administration	92,000.00	-	-	-
5	1411 Audit	8,000.00	-	-	-
6	1415 Liquidated Damages	-	-	-	-
7	1430 Fees and Costs	-	-	-	-
8	1440 Site Acquisition	-	-	-	-
9	1450 Site Improvement	182,200.00	-	-	-
10	1460 Dwelling Structures	989,092.00	-	-	-
11	1465.1 Dwelling Equipment - Nonexpendable	-	-	-	-
12	1470 Nondwelling Structures	21,169.00	-	-	-
13	1475 Nondwelling Equipment	-	-	-	-
14	1485 Demolition	-	-	-	-
15	1490 Replacement Reserve	-	-	-	-
16	1492 Moving to Work Demonstration	-	-	-	-
17	1495.1 Relocation Costs	-	-	-	-
18	1499 Development Activities	-	-	-	-
19	1501 Collateralization or Debt Service	-	-	-	-
20	1502 Contingency	-	-	-	-
21	Amount of Annual Grant (Sum of lines 2-20)	\$ 1,967,601.00	\$ -	\$ -	\$ -
22	Amount of line 21 Related to LBP Activities	-	-	-	-
23	Amount of line 21 Related to Section 504 Compliance	-	-	-	-
24	Amount of line 21 Related to Security - Soft Costs	-	-	-	-
25	Amount of line 21 Related to Security - Hard Costs	-	-	-	-
26	Amount of line 21 Related to Energy Conversation Measures	-	-	-	-





## New Albany Housing Authority Statement on Community Service Requirement.

Under section 12 of the United States Housing Act of 1937, as amended, every adult resident of public housing is required to perform eight hours of community service each month, or participate in a self-sufficiency program for at least eight hours each month or a combination of the two totaling eight hours each month. (42 USC 1437j) This requirement does not apply to various exempt groups such as elderly persons, certain disabled individuals and others. (24 CFR 960.600-609).

New Albany will implement the Community Service Requirement as dictated by the above section on April 1, 2003.

**CAPITAL FUND PROGRAM TABLES START HERE**

<b>Annual Statement/Performance and Evaluation Report</b>					
<b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
<b>PHA Name: The Housing Authority of the City of New Albany, Indiana</b>		<b>Grant Type and Number</b> Capital Fund Program Grant No: IN36PO1250100 Replacement Housing Factor Grant No:			<b>Federal FY of Grant:</b> 2000
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no: 1) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	160,000.00	407,200.00	407,200.00	
3	1408 Management Improvements	511,999.00	504,175.60	504,175.60	
4	1410 Administration	155,000.00	153,999.00	153,999.00	
5	1411 Audit		8,241.00	8,241.00	
6	1415 Liquidated Damages				
7	1430 Fees and Costs	50,000.00	90,672.71	90,672.71	
8	1440 Site Acquisition				
9	1450 Site Improvement	100,000.00	100,000.00	100,000.00	
10	1460 Dwelling Structures	844,000.00			
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures	165,000.00	421,710.69	421,710.69	
13	1475 Nondwelling Equipment	50,000.00			
14	1485 Demolition				
15	1490 Replacement Reserve		350,000.00	350,000.00	
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				

## Annual Statement/Performance and Evaluation Report

### Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

<b>PHA Name:</b> The Housing Authority of the City of New Albany, Indiana	<b>Grant Type and Number</b> Capital Fund Program Grant No: IN36PO1250100 Replacement Housing Factor Grant No:	<b>Federal FY of Grant:</b> 2000
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Original Annual Statement  
  Reserve for Disasters/ Emergencies  
  Revised Annual Statement (revision no: 1)  
 Performance and Evaluation Report for Period Ending:  
  Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
21	Amount of Annual Grant: (sum of lines 2 – 20)	2,035,999.00	2,035,999.00	2,035,999.00	
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				

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

PHA Name: The Housing Authority of the City of New Albany, Indiana		Grant Type and Number Capital Fund Program Grant No: IN36PO1250100 Replacement Housing Factor Grant No:				Federal FY of Grant: 2000		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
PHA Wide	Operations	1406 00		160,000.00	407,200.00	407,200.00		
	PSSM-FSS & Day Care	1408 00		220,000.00	220,000.00	220,000.00		
	Drug Elimination/Security	1408 00		150,000.00	63,851.14	63,851.14		
	Computer Systems/Software	1408 00		50,000.00	50,000.00	50,000.00		
	Parks Partnership/Supplies Equipment	1408 00		91,999.00	40,000.00	40,000.00		
	Parks Partnership/ Salaries	1410 00			51,999.00	51,999.00		
	Training/Travel	1410 00		30,000.00	12,000.00	12,000.00		
	Admin Salaries: Cost Allocation	1410 00		90,000.00	90,000.00	90,000.00		
	Planning: Consultants / A&E	1430 00		50,000.00	90,672.71	90,672.71		
	Grounds, Curb Appeal	1450 00		100,000.00	100,000.00	100,000.00		
	Computers/Hardware/Technology	1475 00		50,000.00	50,000.00	50,000.00		
	Audit	1411 00			8,241.00	8,241.00	8,241.00	Completed
	Mobile Equipment Upgrade	1408 00			13,605.21	13,605.21	13,605.21	Completed
	Phone System/Upgrade & Expansion	1408 00		25,000.00	25,000.00	25,000.00		
	Day Care Playground Upgrade	1475 00			2,937.00	2,937.00	2,937.00	Completed
	Maintenance Equipment	1475 00			75,000.00	75,000.00		
	Dumpster Replacement	1475 00			3,993.00	3,993.00	3,993.00	Completed
	Kronos Time Keeping System	1408 00			75,000.00	75,000.00	75,000.00	Completed
	Playground	1475 00			2,009.20	2,009.20	2,009.20	Completed

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

PHA Name: The Housing Authority of the City of New Albany, Indiana		Grant Type and Number Capital Fund Program Grant No: IN36PO1250100 Replacement Housing Factor Grant No:				Federal FY of Grant: 2000			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories		Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
					Original	Revised	Funds Obligated	Funds Expended	Original
<b>HA Wide (cont.)</b>	Vehicle Fleet Replacement	1475	00			147,067.00	147,067.00		
	Replacement Reserve/Community Center	1490	00			350,000.00	350,000.00		
	Community Space Upgrades	1475	00			147,704.49	147,704.00		
<b>Beechwood Terrac</b>	Replace Tile Floors	1460	01		111,618.00				
<b>Parkview Terrace</b>	Replace Tile Floors	1460	03		368,382.00				
<b>Parkview Terrace</b>	Replace Bath Tubs	1460	03		175,000.00				
<b>Broadmeade Terrace</b>	Replace Bath Tubs	1460	05		39,000.00				
<b>Parkview Tower</b>	Renovate HVAC	1470	06		10,000.00				
<b>Vance Court Rec.</b>	Replace Gym Doors	1470	04		5,000.00				
<b>Riverview Tower</b>	Replace Tile Floors	1460	07		150,000.00				
<b>Riverside Terrace</b>	Recreation Facility Addition	1470	08		150,000.00				

## Capital Fund Program Five-Year Action Plan

### Part I: Summary

PHA Name: The Housing Authority of the City of New Albany, Indiana		<input checked="" type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:			
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: 2001 PHA FY: 2002	Work Statement for Year 3 FFY Grant: 2002 PHA FY: 2003	Work Statement for Year 4 FFY Grant: 2003 PHA FY: 2004	Work Statement for Year 5 FFY Grant: 2004 PHA FY: 2005
	Annual Statement				
<b>Beechwood Terrace</b>		166,800		238,800	28,200
<b>Crystal Court</b>		72,500	27,000	69,700	15,923
<b>Parkview Terrace</b>		340,061	230,761	135,171	391,735
<b>Vance Court</b>		19,200	67,200	170,740	147,584
<b>Broadmeade Terrace</b>		23,400	109,200	57,160	187,350
<b>Parkview Tower</b>		386,000	541,000	79,100	65,000
<b>Riverview Tower</b>		40,000	15,000	51,040	9,000
<b>Riverside Terrace</b>		77,700	110,300	268,200	247,669
<b>Mark Elrod Tower</b>		27,700	17,000	40,000	25,000
<b>HA Wide</b>		243,430	200,000	207,550	200,000
CFP Funds Listed for 5-year planning		<b>1,011,177</b>	<b>1,317,461</b>	<b>1,317,461</b>	<b>1,317,461</b>
Replacement Housing Factor Funds					

**Capital Fund Program Five-Year Action Plan**  
**Part II: Supporting Pages—Work Activities**

Activities for Year 1	Activities for Year :_2____ FFY Grant: 2001 PHA FY: 2002			Activities for Year: _2____ FFY Grant: 2001 PHA FY: 2002		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See	<b>Beechwood Terrace</b>	Electrical Upgrade/220	60,000.00	<b>Mark Elrod Tower</b>	Sidewalk Repair	3,900.00
Annual		Lead-Based Paint	104,500.00		Wall Settlement	22,800.00
Statement		Abatement			Manager HVAC	1,000.00
		Exhaust Fans	2,300.00	<b>HA Wide</b>	General Site Upgrade	100,000.00
	<b>Crystal Court</b>	Electrical Upgrade/220	50,000.00		Technology/Labs	100,000.00
		Washer/Dryer Hookups	9,000.00		Planning/A&E	42,430.00
		Exhaust Fans	7,200.00		Community Building	350,000.00
		Dryer Vents	6,300.00			
	<b>Parkview Terrace</b>	Showers Installed	248,739.00			
		Vanity Replaced	32,500.00			
		Electrical Upgrades	52,500.00			
		Screen Door Renovation	6,322.00			
	<b>Vance Court</b>	Washer Dryer Hookups	19,200.00			
	<b>Broadmeade Terrace</b>	Electrical Upgrades	23,400.00			
	<b>Parkview Tower</b>	Stairwell Repair	385,000.00			
		Manager HVAC	1,000.00			
	<b>Riverview Tower</b>	Elevator Upgrade	24,000.00			
		Intercom Upgrade	15,000.00			
		Manager HVAC	1,000.00			
	<b>Riverside Terrace</b>	Electrical Upgrades	48,900.00			
		Exhaust Fans	28,800.00			
	<b>Total CFP Estimated Cost</b>		\$1,125,661			\$620,130

**Capital Fund Program Five-Year Action Plan  
Part II: Supporting Pages—Work Activities**

Activities for Year :_3___ FFY Grant: 2002 PHA FY: 2003			Activities for Year: ___ FFY Grant: ___ PHA FY: ___		
<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>	<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>
<b>Crystal Court</b>	Bathroom Upgrade	24,300.00			
	Vanities/Mirrors replace	2,700.00			
<b>Parkview Terrace</b>	Showers Installed	163,261.00			
	Sidewalk Repair	35,000.00			
	Vanities Replaced	32,500.00			
<b>Vance Court</b>	Showers Installed	57,600.00			
	Vanities Replaced	9,600.00			
<b>Broadmeade Terrace</b>	Showers Installed	93,600.00			
	Vanities Replaced	15,600.00			
<b>Parkview Towers</b>	Elevator Upgrade	541,000.00			
<b>Riverview Towers</b>	Intercom Replaced	15,000.00			
<b>Riverside Terrace</b>	Showers Installed	98,300.00			
	Vanities Replaced	12,000.00			
<b>Mark Elrod Towers</b>	Elevator Carpeting	2,000.00			
	Intercom Upgrade	15,000.00			
<b>HA Wide</b>	Technology/Labs	100,000.00			
	General Site Improvement	100,000.00			
<b>Total CFP Estimated Cost</b>		\$1,317,461			\$

**Capital Fund Program Five-Year Action Plan  
Part II: Supporting Pages—Work Activities**

Activities for Year : <u>  4  </u> FFY Grant: 2003 PHA FY: 2004			Activities for Year: <u>  4  </u> FFY Grant: 2003 PHA FY: 2004		
Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
<b>Beechwood Terrace</b>	Showers Installed	190,800.00	<b>Parkview Towers</b>	General Ventilation	20,000.00
	Vanities/Mirrors replace	24,000.00		Faucets Replaced	7,750.00
	Screen Door Renovation	24,000.00		Interior Doors	14,850.00
<b>Crystal Court</b>	Sidewalk Repair	2,700.00		Bathroom Vents	4,000.00
	Center Court Revamped	42,000.00		Bi Fold Door Replaced	22,500.00
	Shelter House	25,000.00		Exhaust fans-Kitchen	10,000.00
<b>Parkview Terrace</b>	Gutter/fascia replace	76,250.00	<b>Riverview Towers</b>	Floor Tile Repair	26,040.00
	Screen Door Renovation	58,921.00		Security Cameras	25,000.00
<b>Vance Court</b>	Playground Installed	50,000.00	<b>Riverside Terrace</b>	Showers Installed	98,300.00
	Sidewalk Repair	19,600.00		Vanities Replaced	12,000.00
	Threshold Repair	1,520.00		Rec Room Expansion	20,000.00
	Screen Door Renovation	9,600.00		Access Doors	3,500.00
	Stair Repair	9,600.00		Ceiling Damage	17,400.00
	Soffits/Fascia/Gutters	70,920.00		Storage Area Doors	36,000.00
	Ceiling Repaired	9,500.00		Paving	60,000.00
<b>Broadmeade Terrace</b>	Ceiling Repaired	8,300.00		Splash Blocks	1,000.00
	Casings Replaced	20,000.00		Floor Tiles	15,000.00
	Stair Repair	15,000.00		Foundation Repair	5,000.00
	Exhaust Fans	9,900.00	<b>Mark Elrod Towers</b>	Brick Veneer Repaired	40,000.00
	Bathroom Vents	3,960.00	<b>HA Wide</b>	Technology/Labs	100,000.00
<b>HA Wide</b>	A&E	7,550.00		General Site Improvemt	100,000.00
<b>Total CFP Estimated Cost</b>		\$679,121			\$638,340

**Capital Fund Program Five-Year Action Plan  
Part II: Supporting Pages—Work Activities**

Activities for Year : <u>  5  </u> FFY Grant: 2004 PHA FY: 2005			Activities for Year: <u>  5  </u> FFY Grant: 2004 PHA FY: 2005		
<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>	<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>
<b>Beechwood Terrace</b>	Sidewalk Repair	25,000.00	<b>Riverside Terrace</b>	Basketball Court	15,000.00
	Entrance Doors	3,200.00		Sidewalk Repair	23,000.00
<b>Crystal Court</b>	Floor Tiles	8,723.00		Stair Repair	5,000.00
	Entrance Doors	7,200.00		Closet Doors	36,000.00
<b>Parkview Terrace</b>	Wall Damage	93,325.00		Screen Door Renovation	24,000.00
	Floor Tiles	272,160.00		Gutters Repaired	4,000.00
	Storage Shelves	26,250.00		Paving	25,000.00
<b>Vance Court</b>	Floor Tiles	46,284.00		Siding/Soffits	39,000.00
	Soffit/Gutter/Fascia	5,300.00		Storage Shelves	7,500.00
	Porches Upgraded	96,000.00		Fencing	3,000.00
<b>Broadmeade Terrace</b>	Floor Tiles	90,300.00		Floor Tiles	60,000.00
	Sidewalks Replaced	31,200.00		Rec Room Upgrade	6,169.00
	Vanities/Mirrors	5,850.00	<b>Mark Elrod Towers</b>	Security Camers	25,000.00
	Soffit/Gutter/Fascia	60,000.00	<b>HA Wide</b>	Technology/Labs	100,000.00
<b>Parkview Towers</b>	Floor Tiles	25,000.00		General Site Improvemt	25,000.00
	Intercom	30,000.00		Maintenance Equipment	50,000.00
	Entrance Doors	10,000.00		Spot Street Repair	10,000.00
<b>Riverview Towers</b>	Storage Shelves	9,000.00		Training	2,000.00
				Fire Hydrant Repair	5,000.00
				Spot Sidewalk Repair	5,000.00
<b>Total CFP Estimated Cost</b>		\$844,792			\$469,669

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Resident Advisory Board Meeting on the Five Year Plan for FFY 2003, PHA FY 2004. n  
Held October 23, 2002 at the Executive Offices of the Housing Authority of the City of  
New Albany.

Note: all attendees were provided with copies of the draft of the Plan and the Five-Year  
Capital Fund Action Plan prior to the meeting.

All RAB members were invited. See list of RAB for invited members.

Attendees:

Nancy Hogan, Mark Elrod Towers  
Lois Wood, Beechwood Court  
Johnny Wood, Beechwood Court  
Donna Hadlisch, Parkview Towers  
Hazel McIntosh, Riverview Towers  
Dorris Byrne, Mark Elrod Towers  
Margaret Bratcher, Parkview Towers  
Bob Ollis, Riverview Towers  
Trin McCulloch, Resident Commissioner  
Bob Lane, Executive Director  
Cora Huffines, Controller

Mr Lane gave an overview of the Five Year Plan Process and the importance of Resident  
comments.

Comments:

Dorris Byrne: I notice we have funds for new community space furniture, what will  
become of the old furniture, will be allowed to keep it?

RX: Yes, where the furniture is safe and sanitary it will be kept. The goal is to replace  
the furniture that cannot be cleaned or is not considered safe for aging communities with  
the type of furniture found in assisted living communities. This is furniture that has arms  
so the clientele can get out of the furniture easily, and can be cleaned.

Dorris Byrne: I notice we have funds for more security at Mark Elrod, that is good, it  
will be more complete and comprehensive. What about having call lights that come on in  
the office.

RX: We have looked at this, and having lights in the manager's office does imply that  
we will have 24 hour response service, and at this point it is not financially possible. We  
continue to look at grants that will provide the personal emergency response for the most  
fragile clients and make referrals to the local Area Agency on Aging when the need is  
apparent.

We are including funds to put phones in all elevators so in the event of emergency the  
person on the elevator can get a real person to talk to.

Hazel McIntosh, Riverview Towers: What about fixing the intercom systems in the  
building, and doing elevator upgrades.

RX: We have included that in the five-year plan. We are looking at soft closing doors and improved sensors for the doors.

Donna Hadlisch, Parkview Towers: What about our elevators?

RX: One of the biggest items in the Capital Fund Plan is the repair of existing stairwells at Parkview Towers, and upgrading the elevator and cab. We are limited by the existing building envelope on increasing the cab size.

Nancy Hogan, Mark Elrod Towers: What about the sidewalk repairs at Mark Elrod?

RX: We have allotted money in the capital plan for spot repairs of sidewalks. We own our own sidewalks, they are not repaired by the City of New Albany. We have made plans with maintenance to do some cut outs around Mark Elrod where the settlement is the worst and we expect these will be done by winter.

Lois Wood, Beechwood Court: What about the doors at Beechwood. I want a door that has a window in it so I can see outside. I do not want to lose my storm doors, I have heard we are not going to have the outside doors.

RX: One of our issues at Beechwood has been the issue of possible Lead Paint issues. There were some containment/abatement programs done there a few years ago, but we want to replace the current doors, casings, storm doors with a more secure metal door with fan lights for security and remove the wood from the outside of the door. This will increase the attractiveness of the unit, allow for uniform size doors, new hardware, cleaner look fronts to the doors.

## FYE 2003 RESIDENT ACTIVITY BOARD

### IN-12-1 Beechwood Court

Ralph Abell, President  
303 Wainwright  
No phone

Lois Wood, Vice President  
506 MacArthur  
948-7727

### IN-12-2 & 4 Crystal & Vance Courts

Christine Johnson, President  
5 Vance Court  
No phone

Patricia Roberson, Vice-Pres  
25 Vance Court  
No phone

### IN 12-3 & 5 Parkview/Broadmeade

Joyce Humphrey, President  
1338 Minton Drive  
944-4784

Juanita Douglas, Vice-Pres  
224 Erni Avenue  
941-0497

### IN-12-6 Parkview Tower

Donna Hadlich, President  
125 Fischer Drive  
Apt. 210  
945-9928

Mary Webb, Vice-Pres  
125 Fischer Drive  
Apartment 308  
944-5811

### IN-12-7 Riverview Tower

Bob Ollis, President  
500 Scribner Drive  
Apartment 505  
944-3453

Jessie Wilson, Vice-Pres  
500 Scribner Drive  
Apartment 609  
945-3069

### IN-12-8 Riverside Terrace

### IN-12-10 Mark Elrod Tower

Dorris Byrne, President  
1 Wolfe Trace  
Apartment 716  
944-5167

Nancy Hogan  
1 Wolfe Trace  
Apartment 306  
945-9197

### At-Large

Gerald Bline  
125 Fischer Drive  
Apartment 810  
812-542-0024

Hazel McIntosh  
500 Scribner Drive  
Apartment 808  
945-9965

James Higdon  
305 Wainwright  
949-2854

Margaret Bratcher  
102 Fischer Dr  
944-5604

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## **SECTION 8 ADMINISTRATIVE PLAN**

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### **1.0 EQUAL OPPORTUNITY**

#### **1.1 FAIR HOUSING**

It is the policy of the New Albany Housing Authority to comply fully with all Federal, State, and local nondiscrimination laws; the Americans With Disabilities Act; and the U. S. Department of Housing and Urban Development regulations governing Fair Housing and Equal Opportunity.

No person shall, on the ground of race, color, sex, religion, national or ethnic origin, familial status, or disability be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under the New Albany Housing Authority housing programs.

To further its commitment to full compliance with applicable Civil Rights laws, the New Albany Housing Authority will provide Federal/State/local information to applicants for and participants in the Section 8 Housing Program regarding discrimination and any recourse available to them if they believe they may be victims of discrimination. Such information will be made available with the application, and all applicable Fair Housing Information and Discrimination Complaint Forms will be made available at the New Albany Housing Authority office. In addition, all written information and advertisements will contain the appropriate Equal Opportunity language and logo.

The New Albany Housing Authority will assist any family that believes they have suffered illegal discrimination by providing them copies of the housing discrimination form. The New Albany Housing Authority will also assist them in completing the form, if requested, and will provide them with the address of the nearest HUD Office of Fair Housing and Equal Opportunity.

#### **1.2 REASONABLE ACCOMODATION**

Sometimes people with disabilities may need a reasonable accommodation in order to take full advantage of the New Albany Housing Authority housing programs and related services. When such accommodations are granted they do not confer special treatment or advantage for the person with a disability; rather, they make the program fully accessible to them in a way that would otherwise not be possible due to their disability. This policy clarifies how people can request accommodations and the guidelines the New Albany Housing Authority will follow in determining whether it is reasonable to provide a requested accommodation. Because disabilities are not always apparent, the New Albany Housing Authority will ensure that all applicants/participants are aware of the opportunity to request reasonable accommodations.

### **1.3 COMMUNICATION**

Anyone requesting an application will also receive a Request for Reasonable Accommodation Form.

Notifications of reexamination, inspection, appointment, or eviction will include information about requesting a reasonable accommodation. Any notification requesting action by the participant will include information about requesting a reasonable accommodation.

All decisions granting or denying requests will be in writing.

### **1.4 QUESTIONS TO ASK IN GRANTING THE ACCOMMODATION**

- A. Is the requestor a person with disabilities? For this purpose the definition of disabilities is different than the definition used for admission. The Fair Housing definition used for this purpose is:

A person with a physical or mental impairment that substantially limits one or more major life activities, has a record of such impairment, or is regarded as having such an impairment. (The disability may not be apparent to others, i.e., a heart condition).

If the disability is apparent or already documented, the answer to this question is yes. It is possible that the disability for which the accommodation is being requested is a disability other than the apparent disability. If the disability is not apparent or documented, the New Albany Housing Authority will obtain verification that the person is a person with a disability.

- B. Is the requested accommodation related to the disability? If it is apparent that the request is related to the apparent or documented disability, the answer to this question is yes. If it is not apparent, the New Albany Housing Authority will obtain documentation that the requested accommodation is needed due to the disability. The New Albany Housing Authority will not inquire as to the nature of the disability.
- C. Is the requested accommodation reasonable? In order to be determined reasonable, the accommodation must meet two criteria:
1. Would the accommodation constitute a fundamental alteration? The New Albany Housing Authority's business is housing. If the request would alter the fundamental business that the New Albany Housing Authority conducts, that would not be reasonable. For instance, the New Albany Housing Authority would deny a request to have the New Albany Housing

Authority do grocery shopping for the person with disabilities.

2. Would the requested accommodation create an undue financial hardship or administrative burden? Frequently the requested accommodation costs little or nothing. If the cost would be an undue burden, the New Albany Housing Authority may request a meeting with the individual to investigate and consider equally effective alternatives.

Generally the individual knows best what they need; however, the New Albany Housing Authority retains the right to be shown how the requested accommodation enables the individual to access or use the New Albany Housing Authority's programs or services.

If more than one accommodation is equally effective in providing access to the New Albany Housing Authority's programs and services, the New Albany Housing Authority retains the right to select the most efficient or economic choice.

If the participant requests, as a reasonable accommodation, that he or she be permitted to make physical modifications to their dwelling unit, at their own expense, the request should be made to the property owner/manager. The Housing Authority does not have responsibility for the owner's unit and does not have responsibility to make the unit accessible.

Any request for an accommodation that would enable a participant to materially violate family obligations will not be approved.

## ***1.5 SERVICES FOR NON-ENGLISH SPEAKING APPLICANTS AND PARTICIPANTS***

The New Albany Housing Authority will endeavor to have bilingual staff or access to people who speak languages other than English to assist non-English speaking families. The following languages will be covered:

**Spanish**

## ***1.6 FAMILY/OWNER OUTREACH***

The New Albany Housing Authority will publicize the availability and nature of the Section 8 Program for extremely low-income, very low and low-income families in a newspaper of general circulation, minority media, and by other suitable means.

To reach persons, who cannot or do not read newspapers, the New Albany Housing Authority will distribute fact sheets to the broadcasting media and initiate personal contacts with members of the news media and community service personnel. The New Albany Housing Authority will also try to utilize public service announcements.

The New Albany Housing Authority will communicate the status of program availability to other service providers in the community and advise them of housing eligibility factors and guidelines so that they can make proper referral of their clients to the program.

The New Albany Housing Authority will hold briefings for owners who participate in or who are seeking information about the Section 8 Program. Owners and managers participating in the Section 8 Program will participate in making this presentation. The briefing is intended to:

- A. Explain how the program works;
- B. Explain how the program benefits owners;
- C. Explain owners' responsibilities under the program. Emphasis is placed on quality screening and ways the New Albany Housing Authority helps owners do better screening; and
- D. Provide an opportunity for owners to ask questions, obtain written materials, and meet New Albany Housing Authority staff.

The New Albany Housing Authority will particularly encourage owners of suitable units located outside of low-income or minority concentration to attend. Targeted mailing lists will be developed and announcements mailed.

### **1.7 RIGHT TO PRIVACY**

All adult members of both applicant and participant households are required to sign HUD Form 9886, *Authorization for Release of Information and Privacy Act Notice*. The *Authorization for Release of Information and Privacy Act Notice* states how family information will be released and includes the *Federal Privacy Act Statement*.

Any request for applicant or participant information will not be released unless there is a signed release of information request from the applicant or participant.

### **1.8 REQUIRED POSTINGS**

The New Albany Housing Authority will post in each of its offices in a conspicuous place and at a height easily read by all persons including persons with mobility disabilities, the following information:

- A. The Section 8 Administrative Plan
- B. Notice of the status of the waiting list (opened or closed)

- C. Address of all New Albany Housing Authority offices, office hours, telephone numbers, TDD numbers, and hours of operation
- D. Income Limits for Admission
- E. Informal Review and Informal Hearing Procedures
- F. Fair Housing Poster
- G. Equal Opportunity in Employment Poster

## **2.0 NEW ALBANY HOUSING AUTHORITY/OWNER RESPONSIBILITY/ OBLIGATION OF THE FAMILY**

This Section outlines the responsibilities and obligations of the New Albany Housing Authority, the Section 8 Owners/Landlords, and the participating families.

### ***2.1 NEW ALBANY HOUSING AUTHORITY RESPONSIBILITIES***

- A. The New Albany Housing Authority will comply with the consolidated ACC, the application, HUD regulations and other requirements, and the New Albany Housing Authority Section 8 Administrative Plan.
- B. In administering the program, the New Albany Housing Authority must:
  - 1. Publish and disseminate information about the availability and nature of housing assistance under the program;
  - 2. Explain the program to owners and families;
  - 3. Seek expanded opportunities for assisted families to locate housing outside areas of poverty or racial concentration;
  - 4. Encourage owners to make units available for leasing in the program, including owners of suitable units located outside areas of poverty or racial concentration;
  - 5. Affirmatively further fair housing goals and comply with equal opportunity requirements;
  - 6. Make efforts to help disabled persons find satisfactory housing;

7. Receive applications from families, determine eligibility, maintain the waiting list, select applicants, issue a voucher to each selected family, and provide housing information to families selected;
8. Determine who can live in the assisted unit at admission and during the family's participation in the program;
9. Obtain and verify evidence of citizenship and eligible immigration status in accordance with 24 CFR part 5;
10. Review the family's request for approval of the tenancy and the owner/landlord lease, including the HUD prescribed tenancy addendum;
11. Inspect the unit before the assisted occupancy begins and at least annually during the assisted tenancy;
12. Determine the amount of the housing assistance payment for a family as long as total family contribution is 40% or less of gross rent.
13. Determine the maximum rent to the owner and whether the rent is reasonable;
14. Make timely housing assistance payments to an owner in accordance with the HAP contract;
15. Examine family income, size and composition at admission and during the family's participation in the program. The examination includes verification of income and other family information;
16. Establish and adjust New Albany Housing Authority utility allowance;
17. Administer and enforce the housing assistance payments contract with an owner, including taking appropriate action as determined by the New Albany Housing Authority, if the owner defaults (e.g., HQS violation);
18. Determine whether to terminate assistance to a participant family for violation of family obligations;
19. Conduct informal reviews of certain New Albany Housing Authority decisions concerning applicants for participation in the program;
20. Conduct informal hearings on certain New Albany Housing Authority decisions concerning participant families;

21. Provide sound financial management of the program, including engaging an independent public accountant to conduct audits; and
22. Administer an FSS program (**if applicable**).

## **2.2 OWNER RESPONSIBILITY**

- A. The owner is responsible for performing all of the owner's obligations under the HAP contract and the lease.
- B. The owner is responsible for:
  1. Performing all management and rental functions for the assisted unit, including selecting a voucher holder to lease the unit, and deciding if the family is suitable for tenancy of the unit.
  2. Maintaining the unit in accordance with HQS, including performance of ordinary and extraordinary maintenance.
  3. Complying with equal opportunity requirements.
  4. Preparing and furnishing to the New Albany Housing Authority information required under the HAP contract.
  5. Collecting from the family:
    - a. Any security deposit required under the lease.
    - b. The tenant contribution (the part of rent to owner not covered by the housing assistance payment.
    - c. Any charges for unit damage by the family.
  6. Enforcing tenant obligations under the lease.
  7. Paying for utilities and services (unless paid by the family under the lease.)
- C. For provisions on modifications to a dwelling unit occupied or to be occupied by a person with disabilities see 24 CFR 100.203.

## **2.3 OBLIGATIONS OF THE PARTICIPANT**

This Section states the obligations of a participant family under the program.

A. Supplying required information.

1. The family must supply any information that the New Albany Housing Authority or HUD determines is necessary in the administration of the program, including submission of required evidence of citizenship or eligible immigration status. Information includes any requested certification, release or other documentation.
2. The family must supply any information requested by the New Albany Housing Authority or HUD for use in a regularly scheduled reexamination or interim reexamination of family income and composition in accordance with HUD requirements.
3. The family must disclose and verify Social Security Numbers and must sign and submit consent forms for obtaining information.
4. Any information supplied by the family must be true and complete.

B. HQS breach caused by the Family

The family is responsible for any HQS breach caused by the family or its guests.

C. Allowing New Albany Housing Authority Inspection

The family must allow the New Albany Housing Authority to inspect the unit at reasonable times and after at least 2 days notice.

D. Violation of Lease

The family may not commit any serious or repeated violation of the lease.

E. Family Notice of Move or Lease Termination

The family must notify the New Albany Housing Authority and the owner before the family moves out of the unit or terminates the lease by a notice to the owner.

F. Owner Eviction Notice

The family must promptly give the New Albany Housing Authority a copy of any owner eviction notice it receives.

G. Use and Occupancy of the Unit

1. The family must use the assisted unit for a residence by the family. The unit must be the family's only residence.

2. The New Albany Housing Authority must approve the composition of the assisted family residing in the unit. The family must promptly inform the New Albany Housing Authority of the birth, adoption or court-awarded custody of a child. The family must request approval from the New Albany Housing Authority to add any other family member as an occupant of the unit. No other person (i.e., no one but members of the assisted family) may reside in the unit (except for a foster child/foster adult or live-in aide as provided in paragraph (4) of this Section).
3. The family must promptly notify the New Albany Housing Authority if any family member no longer resides in the unit.
4. If the New Albany Housing Authority has given approval, a foster child/foster adult or a live-in aide may reside in the unit. The New Albany Housing Authority has the discretion to adopt reasonable policies concerning residence by a foster child/foster adult or a live-in aide and defining when the New Albany Housing Authority consent may be given or denied.
5. Members of the household may engage in legal profit making activities in the unit, but only if such activities are incidental to primary use of the unit for residence by members of the family. Any business uses of the unit must comply with zoning requirements and the affected household member must obtain all appropriate licenses.
6. The family must not sublease or let the unit.
7. The family must not assign the lease or transfer the unit.

H. Absence from the Unit

The family must supply any information or certification requested by the New Albany Housing Authority to verify that the family is living in the unit, or relating to family absence from the unit, including any New Albany Housing Authority requested information or certification on the purposes of family absences. The family must cooperate with the New Albany Housing Authority for this purpose. The family must promptly notify the New Albany Housing Authority of its absence from the unit.

Absence means that no member of the family is residing in the unit. The family may be absent from the unit for up to 30 days. The family must request permission from the New Albany Housing Authority for absences exceeding 30 days. The New Albany Housing Authority will make a determination within 5 business days of the request. An authorized absence may not exceed 180 days.

Any family absent for more than 30 days without authorization will be terminated from the program.

Authorized absences may include, but are not limited to:

1. Prolonged hospitalization
2. Absences beyond the control of the family (i.e., death in the family, other family member illness)
3. Other absences that are deemed necessary by the New Albany Housing Authority

I. Interest in the Unit

The family may not own or have any interest in the unit (except for owners of manufactured housing renting the manufactured home space).

J. Fraud and Other Program Violation

The members of the family must not commit fraud, bribery, or any other corrupt or criminal act in connection with the programs.

K. Crime by Family Members

The members of the family may not engage in drug-related criminal activity or other violent criminal activity.

L. Other Housing Assistance

An assisted family, or members of the family, may not receive Section 8 tenant-based assistance while receiving another housing subsidy, for the same unit or for a different unit, under any duplicative (as determined by HUD or in accordance with HUD requirements) Federal, State or local housing assistance program.

## **3.0 ELIGIBILITY FOR ADMISSION**

### **3.1 INTRODUCTION**

There are five eligibility requirements for admission to Section 8 -- qualifies as a family, has an income within the income limits, meets citizenship/eligible immigrant criteria, provides documentation of Social Security Numbers, and signs consent authorization documents. In addition to the eligibility criteria, families must also meet the New Albany Housing Authority screening criteria in order to be admitted to the Section 8 Program.

### 3.2 **ELIGIBILITY CRITERIA**

#### A. Family status.

1. A **family with or without children**. Such a family is defined as a group of people related by blood, marriage, adoption or affinity that lives together in a stable family relationship.
  - a. Children temporarily absent from the home due to placement in foster care are considered family members.
  - b. Unborn children and children in the process of being adopted are considered family members for purposes of determining bedroom size, but are not considered family members for determining income limit.
2. An **elderly family**, which is:
  - a. A family whose head, spouse, or sole member is a person who is at least 62 years of age;
  - b. Two or more persons who are at least 62 years of age living together; or
  - c. One or more persons who are at least 62 years of age living with one or more live-in aides
3. A **near elderly family**, which is:
  - a. A family whose head, spouse, or sole member is a person who is at least 50 years of age but below the age of 62;
  - b. Two or more persons who are at least 50 years of age but below the age of 62 living together; or
  - c. One or more persons who are at least 50 years of age but below the age of 62 living with one or more live-in aides.
4. A **disabled family**, which is:
  - a. A family whose head, spouse, or sole member is a person with disabilities;
  - b. Two or more persons with disabilities living together; or

c. One or more persons with disabilities living with one or more live-in aides.

5. A **displaced family** is a family in which each member, or whose sole member, has been displaced by governmental action, or whose dwelling has been extensively damaged or destroyed as a result of a disaster declared or otherwise formally recognized pursuant to Federal disaster relief laws.

6. A **remaining member of a tenant family**.

7. A **single person** who is not an elderly or displaced person, or a person with disabilities, or the remaining member of a tenant family.

B. Income eligibility

1. To be eligible to receive assistance a family shall, at the time the family initially receives assistance under the Section 8 program shall be a low-income family that is:

a. A very low-income family;

b. A low-income family continuously assisted under the 1937 Housing Act;

c. A low-income family that meets additional eligibility criteria specified by the Housing Authority;

d. A low-income family that is a nonpurchasing tenant in a HOPE 1 or HOPE 2 project or a property subject to a resident homeownership program under 24 CFR 248.173;

e. A low-income family or moderate-income family that is displaced as a result of the prepayment of the mortgage or voluntary termination of an insurance contract on eligible low-income housing.

f. A low-income family that qualifies for voucher assistance as a non-purchasing family residing in a HOPE 1 (HOPE for public housing homeownership) or HOPE 2 (HOPE for homeownership of multifamily units) project.

2. Income limits apply only at admission and are not applicable for continued occupancy; however, as income rises the assistance will decrease.

3. The applicable income limit for issuance of a voucher is the highest income limit for the family size for areas within the housing authority's jurisdiction. The applicable income limit for admission to the program is the income limit for the area in which the family is initially assisted in the program. The family may only use the voucher to rent a unit in an area where the family is income eligible at admission to the program.
4. Families who are moving into the New Albany Housing Authority's jurisdiction under portability and have the status of applicant rather than of participant at their initial housing authority, must meet the income limit for the area where they were initially assisted under the program.
5. Families who are moving into the New Albany Housing Authority's jurisdiction under portability and are already program participants at their initial housing authority do not have to meet the income eligibility requirement for the New Albany Housing Authority program.
6. Income limit restrictions do not apply to families transferring units within the New Albany Housing Authority Section 8 Program.

C. Citizenship/Eligible Immigrant status

To be eligible each member of the family must be a citizen, national, or a noncitizen who has eligible immigration status under one of the categories set forth in Section 214 of the Housing and Community Development Act of 1980 (see 42 U.S.C. 1436a(a)).

Family eligibility for assistance.

1. A family shall not be eligible for assistance unless every member of the family residing in the unit is determined to have eligible status, with the exception noted below.
2. Despite the ineligibility of one or more family members, a mixed family may be eligible for one of three types of assistance. (See Section 11.5(K) for calculating rents under the noncitizen rule).
3. A family without any eligible members and receiving assistance on June 19, 1995 may be eligible for temporary deferral of termination of assistance.

D. Social Security Number Documentation

To be eligible, all family members 6 years of age and older must provide a Social Security Number or certify that they do not have one.

E. Signing Consent Forms

1. In order to be eligible each member of the family who is at least 18 years of age, and each family head and spouse regardless of age, shall sign one or more consent forms.
2. The consent form must contain, at a minimum, the following:
  - a. A provision authorizing HUD and the New Albany Housing Authority to obtain from State Wage Information Collection Agencies (SWICAs) any information or materials necessary to complete or verify the application for participation or for eligibility for continued occupancy;
  - b. A provision authorizing HUD or the New Albany Housing Authority to verify with previous or current employers income information pertinent to the family's eligibility for or level of assistance;
  - c. A provision authorizing HUD to request income information from the IRS and the SSA for the sole purpose of verifying income information pertinent to the family's eligibility or level of benefits; and
  - d. A statement that the authorization to release the information requested by the consent form expires 15 months after the date the consent form is signed.

- F. Suitability for tenancy. The New Albany Housing Authority determines eligibility for participation and will also conduct criminal background checks on all adult household members, including live-in aides. The New Albany Housing Authority will deny assistance to a family because of drug-related criminal activity or violent criminal activity by family members. This check will be made through state or local law enforcement or court records in those cases where the household member has lived in the local jurisdiction for the last three years. If the individual has lived outside the local area, the New Albany Housing Authority will require checks from law enforcement agencies where the individual had lived, as well as, request a check through the FBI's National Crime Information Center (NCIC).

The New Albany Housing Authority will check with the State sex offender registration program and will ban for life any individual who is registered as a lifetime sex offender.

Additional screening is the responsibility of the owner. Upon the request of a prospective owner, the New Albany Housing Authority will provide any factual information or third party written information they have relevant to a voucher holder's history of, or ability to, comply with material standard lease terms or any history of drug trafficking.

## **4.0 MANAGING THE WAITING LIST**

### **4.1 *OPENING AND CLOSING THE WAITING LIST***

Opening of the waiting list will be announced via public notice that applications for Section 8 will again be accepted. The public notice will state where, when, and how to apply. The notice will be published in a local newspaper of general circulation, and also by any available minority media. The public notice will state any limitations to who may apply.

The notice will state that applicants already on waiting lists for other housing programs must apply separately for this program, and that such applicants will not lose their place on other waiting lists when they apply for Section 8. The notice will include the Fair Housing logo and slogan and otherwise be in compliance with Fair Housing requirements.

Closing of the waiting list will be announced via public notice. This will be done when the waiting list is adequate for available program funding. The public notice will state the date the waiting list will be closed. The public notice will be published in a local newspaper of general circulation, and also by any available minority media. The New Albany Housing Authority will not discriminate against any family based on race, color, religion, sex, disability, familial status, or national origin.

### **4.2 *TAKING APPLICATIONS***

Families wishing to apply for the Public Housing and Section Eight Programs will be required to complete an application for housing assistance.

Application packets are available during regular business hours at 169 Woodland Drive, New Albany, Indiana. Or, applications will be mailed to interested families upon request.

Applications are taken to compile a waiting list. Completed pre-applications will be accepted for all applicants and the New Albany Housing Authority will verify the information.

Applicants will make an appointment for the completion of the application. The completed application will be dated and time stamped.

Persons with disabilities who require a reasonable accommodation in completing an application may call the New Albany Housing Authority to make special arrangements to complete their application. A Telecommunication Device for the Deaf (TDDY) is available. The TDDY telephone number is (812) 948-4820.

Applicants will be given a pre-application check list of the verifications necessary, and an appointment for the completion of the full application.

Upon completion of the full application, the New Albany Housing Authority will make a determination of eligibility. The New Albany Housing Authority will notify the family in writing of the time and date of placement on the waiting list and the approximate amount of time before housing assistance may be offered. If the New Albany Housing Authority determines the family to be ineligible, the notice will state the reasons therefore and offer the family the opportunity of an informal review of this determination.

An applicant may at any time report changes in family composition, income, or preference factors. The New Albany Housing Authority will annotate the applicant's file and will update the waiting list. Confirmation of the changes will be made to the family in writing.

When the family nears the top of the waiting list, the New Albany Housing Authority will ensure that verification of preferences, eligibility, and suitability selection factors are current in order to determine the family's final eligibility for admission into the housing assistance program.

#### **4.3 ORGANIZATION OF THE WAITING LIST**

The waiting list will be maintained in accordance with the following guidelines:

- A. The application will be a permanent file;
- B. All applications will be maintained in order of preference and then in order of date and time of application;
- C. Any contact between the New Albany Housing Authority and the applicant will be documented in the applicant file.

Note: The waiting list will not be maintained by bedroom size under current HUD regulations.

#### **4.4 FAMILIES NEARING THE TOP OF THE WAITING LIST**

When a family appears to be near being offered assistance, the family's waiting list preference will be verified again. If the family no longer qualifies to be near the top of the list, the family's name will be returned to the appropriate spot on the waiting list. The New Albany Housing Authority must notify the family in writing of this determination, and give the family the opportunity for an informal review.

#### 4.6 Purging the Waiting List

The New Albany Housing Authority will update and purge its waiting list at least annually to ensure that the pool of applicants reasonably represents interested families. Purging also enables the Housing Authority to update the information regarding address, family composition, income category and preferences.

#### 4.7 ***REMOVAL OF APPLICANTS FROM THE WAITING LIST***

The New Albany Housing Authority will not remove an applicant's name from the waiting list unless:

- A. The applicant requests that the name be removed;
- B. The applicant fails to respond to a written request for information or a request to declare their continued interest in the program or misses scheduled appointments;  
or
- C. The applicant does not meet either the eligibility or screening criteria for the program.

#### 4.8 ***GROUND FOR DENIAL***

The New Albany Housing Authority will deny assistance to applicants who:

- A. Do not meet any one or more of the eligibility criteria;
- B. Do not supply information or documentation required by the application process including evidence of citizenship or eligible immigration status;
- C. Fail to respond to a written request for information or a request to declare their continued interest in the program;
- D. Fail to complete any aspect of the application or lease-up process or fails to sign consent forms for obtaining information;
- E. Have a history of criminal activity by any household member involving crimes of physical violence against persons or property, and any other criminal activity

including drug-related criminal activity that would adversely affect the health, safety, or well being of other tenants or staff, or cause damage to the property.

- F. Currently owes rent or other amounts to any housing authority in connection with the public housing or Section 8 Programs or if any member of the family has been evicted from federally assisted housing for serious violation of the lease.
- G. Have committed fraud, bribery, or any other corruption in connection with any Federal housing assistance program, including the intentional misrepresentation of information related to their housing application or benefits derived there from;
- H. Have a family member who was evicted from federally assisted housing within the last five years;
- I. Have a family member who illegally used, or possessed for personal use, a controlled substance, within one year of the date of notice of determination of denial of assistance per 982.553 (b). The NAHA may waive the requirement if:
  - 1. Has an addiction to a controlled substance, has a record of such impairment, or is regarded as having such an impairment; and
  - 2. Is recovering, or has recovered from such addiction and does not currently use or possess controlled substances.
  - 3. The person has otherwise been rehabilitated successfully; or
  - 4. The person is participating in a supervised drug or alcohol rehabilitation Program.
- J. Have engaged in or threatened abusive or violent behavior towards any XYZ Housing staff or residents;
- K. Have a family household member who has been terminated under the Certificate or Voucher Program during the last three years;
- L. Have a family member who has been convicted of manufacturing or producing methamphetamine (speed) (Denied for life);

- M. Have a family member with a lifetime registration under a State sex offender registration program (Denied for life).

#### **4.9 NOTIFICATION OF NEGATIVE ACTIONS**

When deciding to deny, the New Albany will consider circumstances regarding the family's action or failure to act, including the seriousness of the case and the effects on family members who were not involved in the action or failure to act. Any applicant whose name is being removed from the waiting list will be notified by the New Albany Housing Authority, in writing, that they have ten (10) business days, from the date of the written correspondence, to present mitigating circumstances or request an informal review. The letter will also indicate that their name will be removed from the waiting list if they fail to respond within the timeframe specified. The New Albany Housing Authority's system of removing applicants' names from the waiting list will not violate the rights of persons with disabilities. If an applicant's failure to respond to a request for information or updates was caused by the applicant's disability, the New Albany Housing Authority will provide a reasonable accommodation. If the applicant indicates that they did not respond due to a disability, the New Albany Housing Authority will verify that there is in fact a disability and that the accommodation they are requesting is necessary based on the disability. An example of a reasonable accommodation would be to reinstate the applicant on the waiting list based on the date and time of the original application.

#### **4.10 INFORMAL REVIEW**

If the New Albany Housing Authority determines that an applicant does not meet the criteria for receiving Section 8 assistance, the New Albany Housing Authority will promptly provide the applicant with written notice of the determination. The notice will contain a brief statement of the reason(s) for the decision, and state that the applicant may request an informal review of the decision within 10 business days of the denial. The New Albany Housing Authority will describe how to obtain the informal review. The informal review process is described in Section 16.2 of this Plan.

### **5.0 SELECTING FAMILIES FROM THE WAITING LIST**

#### **5.1 WAITING LIST ADMISSIONS**

The Housing Authority will admit an applicant for participation in the program from the waiting list.

#### **5.2 Preferences**

The New Albany Housing Authority will select families based on the following preferences.

- A. Elderly/Disabled/Displaced person(s):
- B. Substandard Housing/Homeless
- C. Working Families (including Education/Job training programs)
- D. Established Rental Record
- E. Veteran
- F. Date/Time

### **5.3 SELECTION FROM THE WAITING LIST**

Based on the above preferences, all families will be assigned point values which will aggregate.

The date and time of application will be utilized to determine the sequence within the above-prescribed preferences.

Notwithstanding the above, families who are elderly, disabled, or displaced will be offered housing before other single persons.

Notwithstanding the above, if necessary to meet the statutory requirement that 75% of newly admitted families in any fiscal year be families who are extremely low-income, the New Albany Housing Authority retains the right to skip higher income families on the waiting list to reach extremely low-income families. This measure will only be taken if it appears the goal will not otherwise be met. To ensure this goal is met, the Housing Authority will monitor incomes of newly admitted families and the income of the families on the waiting list.

If there are not enough extremely low-income families on the waiting list we will conduct outreach on a non-discriminatory basis to attract extremely low-income families to reach the statutory requirement.

## **6.0 ASSIGNMENT OF BEDROOM SIZES (SUBSIDY STANDARDS)**

The New Albany Housing Authority will issue a voucher for a particular bedroom size – the bedroom size is a factor in determining the family’s level of assistance. The following guidelines will determine each family’s unit size without overcrowding or over-housing:

Number of Bedrooms	Number of Persons	
	Minimum	Maximum
0	1	1
1	1	2
2	2	4
3	3	6
4	4	8

These standards are based on the assumption that each bedroom will accommodate no more than two (2) persons.

In determining bedroom size, the New Albany Housing Authority will include the presence of children to be born to a pregnant woman, children who are in the process of being adopted, children whose custody is being obtained, children who are temporarily away at school or temporarily in foster-care.

Bedroom size will also be determined using the following guidelines:

- A. Children of the same sex **will** share a bedroom.
- B. Adults and children will not be required to share a bedroom.
- C. Foster-adults and children will not be required to share a bedroom with family members.
- D. Live-in aides will get a separate bedroom.

The New Albany Housing Authority will grant exceptions to normal occupancy standards when a family requests a larger size than the guidelines allow and documents a medical reason why the larger size is necessary.

The family unit size will be determined by the New Albany Housing Authority in accordance with the above guidelines and will determine the maximum rent subsidy for the family; however, the family may select a unit that may be larger or smaller than the family unit size. If the family selects a smaller unit, the payment standard for the smaller size will be used to calculate the subsidy. If the family selects a larger size, the payment standard for the family unit size will determine the maximum subsidy.

## **6.1 BRIEFING**

When the New Albany Housing Authority selects a family from the waiting list, the family will be invited to attend a briefing explaining how the program works. In order to receive a voucher the family is required to attend the briefing. If they cannot attend the originally scheduled briefing, they may attend a later session. If the family fails to attend two briefings without good cause, they will be denied admission.

If an applicant with a disability requires auxiliary aids to gain full benefit from the briefing, the Housing Authority will furnish such aids where doing so would not result in a fundamental alteration of the nature of the program or in an undue financial or administrative burden. In determining the most suitable auxiliary aid, the Housing Authority will give primary consideration to the requests of the applicant. Families unable to attend a briefing due to a disability may request a reasonable accommodation such as having the briefing presented at an alternate location.

The briefing will cover at least the following subjects:

- A. A description of how the program works;
- B. Family and owner responsibilities;
- C. Where the family may rent a unit, including inside and outside the Housing Authority's jurisdiction;
- D. Types of eligible housing;
- E. For families qualified to lease a unit outside the Housing Authority's jurisdiction under portability, an explanation of how portability works;
- F. An explanation of the advantages of living in an area that does not have a high concentration of poor families; and
- G. An explanation that the total family contribution share may not exceed 40% of the family's monthly adjusted income toward the gross rent of the unit.

## **6.2 PACKET**

During the briefing, the Housing Authority will give the family a packet covering at least the following subjects:

- A. The term of the voucher and the Housing Authority's policy on extensions and suspensions of the term. The packet will include information on how to request an extension and forms for requesting extensions;

- B. How the Housing Authority determines the housing assistance payment and total tenant payment for the family;
- C. Information on the payment standard, exception payment standard rent areas, and the utility allowance schedule;
- D. How the Housing Authority determines the maximum rent for an assisted unit;
- E. Where the family may lease a unit. For families qualified to lease outside the Housing Authority's jurisdiction, the packet includes an explanation of how portability works;
- F. The HUD-required tenancy addendum that provides the language that must be included in any assisted lease, and a sample contract;
- G. The request for approval of the tenancy form and an explanation of how to request Housing Authority approval of a unit;
- H. A statement of the Housing Authority's policy on providing information to prospective owners. This policy requires applicants to sign disclosure statements allowing the Housing Authority to provide prospective owners with the family's current and prior addresses and the names and addresses of the landlords for those addresses. Upon request, the Housing Authority will also supply any factual information or third party verification relating to the applicant's history as a tenant or their ability to comply with material standard lease terms or any history of drug trafficking, drug-related criminal activity or any violent criminal activity;
- I. The Housing Authority's subsidy standards, including when the Housing Authority will consider granting exceptions to the standards;
- J. The HUD brochure on how to select a unit ("A Good Place to Live");
- K. The HUD-required lead-based paint brochure;
- L. Information on Federal, State, and local equal opportunity laws; the brochure "Fair Housing: It's Your Right;" and a copy of the housing discrimination complaint form;
- M. A list of landlords or other parties known to the New Albany Housing Authority who may be willing to lease a unit to the family or help the family find a unit;
- N. Notice that if the family includes a person with disabilities, the family may request a current list of accessible units known to the New Albany Housing Authority that may be available;

- O. The family's obligations under the program;
- P. The grounds upon which the Housing Authority may terminate assistance because of the family's action or inaction;
- Q. New Albany Housing Authority informal hearing procedures, including when the Housing Authority is required to provide the opportunity for an informal hearing, and information on how to request a hearing; and
- R. The New Albany Housing Authority owner information brochure. This brochure can be given by the applicant to a prospective owner to help explain the program.

### **6.3 ISSUANCE OF VOUCHER; REQUEST FOR APPROVAL OF TENANCY**

The New Albany Housing Authority issues only vouchers.

Once all family information has been verified, their eligibility determined, their subsidy calculated, and they have attended the family briefing, the New Albany Housing Authority will issue the voucher. At this point the family begins their search for a unit.

When the family finds a unit that the owner is willing to lease under the program, the family and the owner will complete and sign a proposed lease, the HUD required tenancy addendum and the request for approval of the tenancy form. The family will submit the proposed lease and the request form to the Housing Authority during the term of the voucher. The Housing Authority will review the request, the lease, and the HUD required tenancy addendum and make an initial determination of approval of tenancy. The Housing Authority may assist the family in negotiating changes that may be required for the tenancy to be approvable. Once it appears the tenancy may be approvable, the Housing Authority will schedule an appointment to inspect the unit within 15 days after the receipt of inspection request from the family and owner. The 15 day period is suspended during any period the unit is unavailable for inspection. The Housing Authority will promptly notify the owner and the family whether the unit and tenancy are approvable.

During the initial stage of qualifying the unit, the Housing Authority will provide the prospective owner with information regarding the program. Information will include Housing Authority and owner responsibilities for screening and other essential program elements. The Housing Authority will provide the owner with the family's current and prior address as shown in the Housing Authority records along with the name and address (if known) of the landlords for those addresses.

Additional screening is the responsibility of the owner. Upon request by a prospective owner, the Housing Authority will provide any factual information or third party written information they have relevant to a voucher holder's history of, or ability to, comply with standard material lease terms.

#### **6.4 TERM OF THE VOUCHER**

The initial term of the voucher will be 60 days and will be stated on the Housing Choice Voucher.

The Housing Authority may grant one or more extensions of the term, but the initial term plus any extensions will never exceed 120 calendar days from the initial date of issuance. To obtain an extension, the family must make a request in writing prior to the expiration date. A statement of the efforts the family has made to find a unit must accompany the request. A sample extension request form and a form for recording their search efforts will be included in the family's briefing packet. If the family documents their efforts and additional time can reasonably be expected to result in success, the Housing Authority will grant the length of request sought by the family or 60 days, whichever is less.

If the family includes a person with disabilities and the family requires an extension due to the disability, the Housing Authority will grant an extension allowing the family the full 120 days search time. If the Housing Authority determines that additional search time would be a reasonable accommodation, or determines other good cause, the Housing Authority can approve additional time as needed.

Upon submittal of a completed request for approval of tenancy form, the New Albany Housing Authority will suspend the term of the voucher. The term will be in suspension until the date the Housing Authority provides notice that the request has been approved or denied. This policy allows families the full term (60 days, or more with extensions) to find a unit, not penalizing them for the period during which the Housing Authority is taking action on their request. A family may submit a second request for approval of tenancy before the Housing Authority finalizes action on the first request. In this case the suspension will last from the date of the first submittal through the Housing Authority's action on the second submittal. No more than two requests will be concurrently considered.

#### **6.5 APPROVAL TO LEASE A UNIT**

The New Albany Housing Authority will approve a lease if all of the following conditions are met:

- A. The unit is eligible;
- B. The unit is inspected by the Housing Authority and passes HQS;
- C. The lease is approvable and includes the language of the tenancy addendum;
- D. The rent to owner is reasonable;

- E. The family contribution toward the gross rent of the unit does not exceed 40% of their monthly adjusted income.
- E. The owner has not been found to be debarred, suspended, or subject to a limited denial of participation by HUD or the Housing Authority; and
- G. The family continues to meet all eligibility and screening criteria.

If tenancy approval is denied, the Housing Authority will advise the owner and the family in writing and advise them also of any actions they could take that would enable the Housing Authority to approve the tenancy.

The lease term may begin only after all of the following conditions are met:

- A. The unit passes the Housing Authority HQS inspection;
- B. The landlord and tenant sign the approved list that lease that includes the HUD required addendum; or the HA provided lease
- C. HAP Contract

The Housing Authority will prepare the contract when the unit is approved for tenancy. Generally, the landlord, simultaneously with the signing of the lease and the HUD required tenancy addendum, will execute the contract. Upon receipt of the executed lease and the signed contract by the landlord, the Housing Authority will execute the contract. The Housing Authority will not pay any housing assistance to the owner until the contract is executed.

In no case will the contract be executed later than 60 days after the beginning of the lease term.

Any contract executed after the 60-day period will be void and the Housing Authority will not pay housing assistance to the owner.

## **6.6 NEW ALBANY HOUSING AUTHORITY DISAPPROVAL OF OWNER**

The Housing Authority will deny participation by an owner at the direction of HUD. The Housing Authority will also deny the owner's participation for any of the following reasons:

- A. The owner has violated any obligations under a Section 8 Housing Assistance Payments Contract;
- B. The owner has committed fraud, bribery, or any other corrupt or criminal act in connection with any Federal housing program;

- C. The owner has engaged in drug-related criminal activity or any violent criminal activity;
- D. The owner has a history or practice of non-compliance with HQS for units leased under Section 8 or with applicable housing standards for units leased with project-based Section 8 assistance or leased under any other Federal housing program;
- E. The owner has a history or practice of renting units that fail to meet State or local codes; or
- F. The owner has not paid State or local real estate taxes, fines, or assessments.
- G. The owner refuses (or has a history of refusing) to evict families for drug-related or violent criminal activity, or for activity that threatens the health, safety or right of peaceful enjoyment of the:
  - 1. premises by tenants, New Albany Housing Authority employees or owner employees; or
  - 2. residences by neighbors;
- H. Other conflicts of interest under Federal, State, or local law.

**6.7 *INELIGIBLE/ELIGIBLE HOUSING***

The following types of housing cannot be assisted under the Section 8 Tenant-Based Program:

- A. A public housing or Indian housing unit;
- B. A unit receiving project-based assistance under a Section 8 Program;
- C. Nursing homes, board and care homes, or facilities providing continual psychiatric, medical or nursing services;
- D. College or other school dormitories;
- E. Units on the grounds of penal, reformatory, medical, mental, and similar public or private institutions;
- F. A unit occupied by its owner. This restriction does not apply to cooperatives or to assistance on behalf of a manufactured home owner leasing a manufactured home space; and

- G. A unit receiving any duplicative Federal, State, or local housing subsidy. This does not prohibit renting a unit that has a reduced rent because of a tax credit.

The New Albany Housing Authority will not approve a lease for any of the following special housing types, except as a reasonable accommodation for a family with disabilities:

- A. Congregate housing
- B. Group homes
- C. Shared housing
- D. Cooperative housing
- E. Single room occupancy housing

The New Albany Housing Authority will approve leases for the following housing types:

- A. Single family dwellings
- B. Apartments
- C. Manufactured housing
- D. Manufactured home space rentals

### **6.8.1 SECURITY DEPOSIT**

The owner may collect a security deposit from the tenant in an amount not in excess of amounts charged in private market practice and not in excess of amounts charged by the owner to unassisted tenants.

When the tenant moves out of the dwelling unit, the owner, subject to State or local law, may use the security deposit, including any interest on the deposit, in accordance with the lease, as reimbursement for any unpaid rent payable by the tenant, damages to the unit or for other amounts the tenant owes under the lease.

The owner must give the tenant a written list of all items charged against the security deposit and the amount of each item. After deducting the amount, if any, used to reimburse the owner, the owner must refund promptly the full amount of the unused balance to the tenant.

If the security deposit is not sufficient to cover amounts the tenant owes under the lease, the owner may seek to collect the balance from the tenant.

## **7.0 MOVES WITH CONTINUED ASSISTANCE**

Participating families are allowed to move to another unit after the initial 12 months has expired, if the landlord and the participant have mutually agreed to terminate the lease, or if the Housing Authority has terminated the HAP contract. The New Albany Housing Authority will issue the family a new voucher if the family does not owe the New Albany Housing Authority or any other Housing Authority money, has not violated a Family Obligation, has not moved or been issued a certificate or voucher within the last 12 months, and if the New Albany Housing Authority has sufficient funding for continued assistance. If the move is necessitated for a reason other than family choice, the 12-month requirement will be waived.

### **7.1 WHEN A FAMILY MAY MOVE**

For families already participating in the Certificate and Voucher Program, the New Albany Housing Authority will allow the family to move to a new unit if:

- A. The assisted lease for the old unit has terminated;
- B. The owner has given the tenant a notice to vacate, has commenced an action to evict the tenant, or has obtained a court judgment or other process allowing the owner to evict the tenant; or
- C. The tenant has given notice of lease termination (if the tenant has a right to terminate the lease on notice to the owner).

### **7.2 PROCEDURES REGARDING FAMILY MOVES**

Families considering transferring to a new unit will be scheduled to attend a mover's briefing. All families who are moving, including any families moving into or out of the New Albany Housing Authority's jurisdiction, will be required to attend a mover's briefing prior to the New Albany Housing Authority entering a new HAP contract on their behalf.

This briefing is intended to provide the following:

- A. A refresher on program requirements and the family's responsibilities. Emphasis will be on giving proper notice and meeting all lease requirements such as leaving the unit in good condition;
- B. Information about finding suitable housing and the advantages of moving to an area that does not have a high concentration of poor families;

- C. Payment standards, exception payment standard rent areas, and the utility allowance schedule;
- D. An explanation that the total family contribution may not exceed 40% of the family's monthly adjusted income toward the gross rent of the unit.
- E. Portability requirements and opportunities;
- F. The need to have a reexamination conducted within 120 days prior to the move;
- G. An explanation and copies of the forms required to initiate and complete the move; and
- H. All forms and brochures provided to applicants at the initial briefing.

Families are required to give proper written notice of their intent to terminate the lease. In accordance with HUD regulations, no notice requirement may exceed 60 days. During the initial term, families may not end the lease unless they and the owner mutually agree to end the lease. If the family moves from the unit before the initial term of the lease ends without the owner's and the New Albany Housing Authority's approval, it will be considered a serious lease violation and subject the family to termination from the program.

The family is required to give the New Albany Housing Authority a copy of the notice to terminate the lease at the same time as it gives the notice to the landlord. A family's failure to provide a copy of the lease termination notice to the New Albany Housing Authority will be considered a violation of Family Obligations and may cause the family to be terminated from the program.

A family who gives notice to terminate the lease must mail the notice by certified mail or have the landlord or his agent sign a statement stating the date and time received. The family will be required to provide the certified mail receipt and a copy of the lease termination notice to the New Albany Housing Authority, or a copy of the lease termination notice and the signed statement stating the date and time the notice was received. If the landlord or his/her agent does not accept the certified mail receipt, the family will be required to provide the receipt and envelope showing that the attempt was made.

Failure to follow the above procedures may subject the family to termination from the program.

## **8.0 PORTABILITY**

## **8.1 GENERAL POLICIES OF THE NEW ALBANY HOUSING AUTHORITY**

A family whose head or spouse has a domicile (legal residence) or works in the jurisdiction of the New Albany Housing Authority at the time the family first submits its application for participation to the New Albany Housing Authority may lease a unit anywhere in the jurisdiction of the New Albany Housing Authority or outside the New Albany Housing Authority jurisdiction as long as there is another entity operating a tenant-based Section 8 program covering the location of the proposed unit.

If the head or spouse of the assisted family does not have a legal residence or work in the jurisdiction of the New Albany Housing Authority at the time of its application, the family will not have any right to lease a unit outside of the New Albany Housing Authority jurisdiction for a 12-month period beginning when the family is first admitted to the program. During this period, the family may only lease a unit located in the jurisdiction of the New Albany Housing Authority.

Families participating in the Voucher Program will not be allowed to move more than once in any 12-month period and under no circumstances will the New Albany Housing Authority allow a participant to improperly break a lease. Under extraordinary circumstances the New Albany Housing Authority may consider allowing more than one move in a 12-month period.

Families may only move to a jurisdiction where a Section 8 Program is being administered.

If a family has moved out of their assisted unit in violation of the lease, the New Albany Housing Authority will not issue a voucher, and will terminate assistance in compliance with Section 17.0, Grounds for Termination of the Lease and Contract.

## **8.2 INCOME ELIGIBILITY**

### **A. Admission**

A family must be income-eligible in the area where the family first leases a unit with assistance in the Voucher Program.

B. If a portable family is already a participant in the Initial Housing Authority's Voucher Program, income eligibility is not re-determined.

## **8.3 PORTABILITY: ADMINISTRATION BY RECEIVING HOUSING AUTHORITY**

A. When a family utilizes portability to move to an area outside the Initial Housing Authority jurisdiction, another Housing Authority (the Receiving Housing Authority) must administer assistance for the family if that Housing Authority has a tenant-based program covering the area where the unit is located.

- B. A Housing Authority with jurisdiction in the area where the family wants to lease a unit must issue the family a voucher. If there is more than one such housing authority, the Initial Housing Authority may choose which housing authority shall become the Receiving Housing Authority.

#### **8.4 PORTABILITY PROCEDURES**

- A. When the New Albany Housing Authority is the Initial Housing Authority:
  - 1. The New Albany Housing Authority will brief the family on the process that must take place to exercise portability. The family will be required to attend an applicant or mover's briefing.
  - 2. The New Albany Housing Authority will determine whether the family is income-eligible in the area where the family wants to lease a unit (if applicable).
  - 3. The New Albany Housing Authority will advise the family how to contact and request assistance from the Receiving Housing Authority.
  - 4. The New Albany Housing Authority will, within ten (10) calendar days, notify the Receiving Housing Authority to expect the family.
  - 5. The New Albany Housing Authority will immediately mail to the Receiving Housing Authority the most recent HUD Form 50058 (Family Report) for the family, and related verification information.
- B. When the New Albany Housing Authority is the Receiving Housing Authority:
  - 1. When the portable family requests assistance from the New Albany Housing Authority, the New Albany Housing Authority will within ten (10) calendar days inform the Initial Housing Authority whether it will bill the Initial Housing Authority for assistance on behalf of the portable family, or absorb the family into its own program. When the New Albany Housing Authority receives a portable family, the family will be absorbed if funds are available and a voucher will be issued.
  - 2. The New Albany Housing Authority will issue a voucher to the family. The term of the New Albany Housing Authority's voucher will not expire before the expiration date of any Initial Housing Authority's voucher. The New Albany Housing Authority will determine whether to extend the voucher term. The family must submit a request for tenancy approval to the New Albany Housing Authority during the term of the New Albany Housing Authority's voucher.

3. The New Albany Housing Authority will determine the family unit size for the portable family. The family unit size is determined in accordance with the New Albany Housing Authority's subsidy standards.
4. The New Albany Housing Authority will within ten (10) calendar days notify the Initial Housing Authority if the family has leased an eligible unit under the program, or if the family fails to submit a request for tenancy approval for an eligible unit within the term of the voucher.
5. If the New Albany Housing Authority opts to conduct a new reexamination, the New Albany Housing Authority will not delay issuing the family a voucher or otherwise delay approval of a unit unless the re-certification is necessary to determine income eligibility.
6. In order to provide tenant-based assistance for portable families, the New Albany Housing Authority will perform all Housing Authority program functions, such as reexaminations of family income and composition. At any time, either the Initial Housing Authority or the New Albany Housing Authority may make a determination to deny or terminate assistance to the family in accordance with 24 CFR 982.552.

C. Absorption by the New Albany Housing Authority

1. If funding is available under the consolidated ACC for the New Albany Housing Authority's Housing Choice Voucher Program when the portable family is received, the New Albany Housing Authority will absorb the family into its Voucher Program. After absorption, the family is assisted with funds available under the consolidated ACC for the New Albany Housing Authority's Tenant-Based Program.

D. Portability Billing

1. To cover assistance for a portable family, the Receiving Housing Authority may bill the Initial Housing Authority for housing assistance payments and administrative fees. The billing procedure will be as follows:
  - a. As the Initial Housing Authority, the New Albany Housing Authority will promptly reimburse the Receiving Housing Authority for the full amount of the housing assistance payments made by the Receiving Housing Authority for the portable family. The amount of the housing assistance payment for a portable family in the Receiving Housing Authority's program is

determined in the same manner as for other families in the Receiving Housing Authority's program.

- b. The Initial Housing Authority will promptly reimburse the Receiving Housing Authority for 80% of the Initial Housing Authority's on-going administrative fee for each unit month that the family receives assistance under the tenant-based programs and is assisted by the Receiving Housing Authority. If both Housing Authorities agree, we may negotiate a different amount of reimbursement.

E. When a Portable Family Moves

When a portable family moves out of the tenant-based program of a Receiving Housing Authority that has not absorbed the family, the Housing Authority in the new jurisdiction to which the family moves becomes the Receiving Housing Authority, and the first Receiving Housing Authority is no longer required to provide assistance for the family.

## **9.0 DETERMINATION OF FAMILY INCOME**

### **9.1 INCOME, EXCLUSIONS FROM INCOME, DEDUCTIONS FROM INCOME**

To determine annual income, the New Albany Housing Authority counts the income of all family members, excluding the types and sources of income that are specifically excluded. Once the annual income is determined, the New Albany Housing Authority subtracts out all allowable deductions (allowances) as the next step in determining the Total Tenant Payment.

### **9.2 INCOME**

- A. Annual income means all amounts, monetary or not, that:
  - 1. Go to (or on behalf of) the family head or spouse (even if temporarily absent) or to any other family member, or
  - 2. Are anticipated to be received from a source outside the family during the 12-month period following admission or annual reexamination effective date; and
  - 3. Are not specifically excluded from annual income.
- B. Annual income includes, but is not limited to:

1. The full amount, before any payroll deductions, of wages and salaries, overtime pay, commissions, fees, tips and bonuses, and other compensation for personal services.
2. The net income from the operation of a business or profession. Expenditures for business expansion or amortization of capital indebtedness are not used as deductions in determining net income. An allowance for depreciation of assets used in a business or profession may be deducted, based on straight-line depreciation, as provided in Internal Revenue Service regulations. Any withdrawal of cash or assets from the operation of a business or profession is included in income, except to the extent the withdrawal is reimbursement of cash or assets invested in the operation by the family.
3. Interest, dividends, and other net income of any kind from real or personal property. Expenditures for amortization of capital indebtedness are not used as deductions in determining net income. An allowance for depreciation of assets used in a business or profession may be deducted, based on straight-line depreciation, as provided in Internal Revenue Service regulations. Any withdrawal of cash or assets from an investment is included in income, except to the extent the withdrawal is reimbursement of cash or assets invested by the family. Where the family has net family assets in excess of \$5,000, annual income includes the greater of the actual income derived from all net family assets or a percentage of the value of such assets based on the current passbook savings rate, as determined by HUD.
4. The full amount of periodic amounts received from Social Security, annuities, insurance policies, retirement funds, pensions, disability or death benefits, and other similar types of periodic receipts, including a lump-sum amount or prospective monthly amounts for the delayed start of a periodic amount. (However, deferred periodic amounts from supplemental security income and Social Security benefits that are received in a lump sum amount or in prospective monthly amounts are excluded.)
5. Payments in lieu of earnings, such as unemployment and disability compensation, worker's compensation and severance pay. (However, lump sum additions such as insurance payments from worker's compensation are excluded.)
6. Welfare assistance.
  - a. If the welfare assistance payment includes an amount specifically designated for shelter and utilities that is subject to adjustment by

the welfare assistance agency in accordance with the actual cost of shelter and utilities, the amount of welfare assistance income to be included as income consists of:

- i. The amount of the allowance or grant exclusive of the amount specifically designated for shelter or utilities; plus
  - ii. The maximum amount that the welfare assistance agency could in fact allow the family for shelter and utilities. If the family's welfare assistance is ratably reduced from the standard of need by applying a percentage, the amount calculated under this requirement is the amount resulting from one application of the percentage.
- b. If the amount of welfare is reduced due to an act of fraud by a family member or because of any family member's failure to comply with requirements to participate in an economic self-sufficiency program or work activity, the amount of rent required to be paid by the family will not be decreased. In such cases, the amount of income attributable to the family will include what the family would have received had they complied with the welfare requirements and/or had not committed an act of fraud.
  - c. If the amount of welfare assistance is reduced as a result of a lifetime time limit, the reduced amount is the amount that shall be counted.
7. Periodic and determinable allowances, such as alimony and child support payments, and regular contributions or gifts received from organizations or from persons not residing in the dwelling.
  8. All regular pay, special pay, and allowances of a member of the Armed Forces. (Special pay to a member exposed to hostile fire is excluded.)

### **9.3 EXCLUSIONS FROM INCOME**

Annual income does not include the following:

- A. Income from employment of children (including foster children) under the age of 18 years;
- B. Payments received for the care of foster children or foster adults (usually persons with disabilities, unrelated to the tenant family, who are unable to live alone);

- C. Lump-sum additions to family assets, such as inheritances, insurance payments (including payments under health and accident insurance and worker's compensation), capital gains and settlement for personal or property losses;
- D. Amounts received by the family that is specifically for, or in reimbursement of, the cost of medical expenses for any family member;
- E. Income of a live-in aide;
- F. The full amount of student financial assistance paid directly to the student or to the educational institution;
- G. The special pay to a family member serving in the Armed Forces who is exposed to hostile fire;
- H. The amounts received from the following programs:
  - 1. Amounts received under training programs funded by HUD;
  - 2. Amounts received by a person with a disability that are disregarded for a limited time for purposes of Supplemental Security Income eligibility and benefits because they are set aside for use under a Plan to Attain Self-Sufficiency (PASS);
  - 3. Amounts received by a participant in other publicly assisted programs that are specifically for or in reimbursement of out-of-pocket expenses incurred (special equipment, clothing, transportation, child care, etc.) and that are made solely to allow participation in a specific program;
  - 4. Amounts received under a resident service stipend. A resident service stipend is a modest amount (not to exceed \$200 per month) received by a resident for performing a service for the Housing Authority or owner, on a part-time basis, that enhances the quality of life in the development. Such services may include, but are not limited to, fire patrol, hall monitoring, lawn maintenance, and resident initiative coordination. No resident may receive more than one such stipend during the same period of time;
  - 5. Incremental earnings and benefits resulting to any family member from participation in qualifying State or local employment training programs (including training programs not affiliated with a local government) and training of a family member as resident management staff. Amounts excluded by this provision must be received under employment training programs with clearly defined goals and objectives and are excluded only for the period during which the family member participates in the employment training program;

6. Temporary, nonrecurring, or sporadic income (including gifts);
7. Reparation payments paid by a foreign government pursuant to claims filed under the laws of that government by persons who were persecuted during the Nazi era;
8. Earnings in excess of \$480 for each full-time student 18 years old or older (excluding the head of household and spouse);
9. Adoption assistance payments in excess of \$480 per adopted child;
10. Deferred periodic amounts from Supplemental Security Income and Social Security benefits that are received in a lump sum amount or in prospective monthly amounts;
11. Amounts received by the family in the form of refunds or rebates under State or local law for property taxes paid on the dwelling unit;
12. Amounts paid by a State agency to a family with a member who has a developmental disability and is living at home to offset the cost of services and equipment needed to keep the developmentally disabled family member at home; or
13. Amounts specifically excluded by any other Federal statute from consideration as income for purposes of determining eligibility or benefits.

These exclusions include:

- a. The value of the allotment of food stamps
- b. Payments to volunteers under the Domestic Volunteer Services Act of 1973
- c. Payments received under the Alaska Native Claims Settlement Act
- d. Income from submarginal land of the U.S. that is held in trust for certain Indian tribes
- e. Payments made under HHS's Low-Income Energy Assistance Program
- f. Payments received under the Job Training Partnership Act

- g. Income from the disposition of funds of the Grand River Band of Ottawa Indians
- h. The first \$2000 per capita received from judgment funds awarded for certain Indian claims
- i. Amount of scholarships awarded under Title IV including Work-Study
- j. Payments received under the Older Americans Act of 1965
- k. Payments from Agent Orange Settlement
- l. Payments received under the Maine Indian Claims Act
- m. The value of child care under the Child Care and Development Block Grant Act of 1990
- n. Earned income tax credit refund payments
- o. Payments for living expenses under the AmeriCorps Program

#### **9.4 DEDUCTIONS FROM ANNUAL INCOME**

The following deductions will be made from annual income:

- A. \$480 for each dependent
- B. \$400 for any elderly family or disabled family
- C. For any family that is not an elderly or disabled family but has a member (other than the head or spouse) who is a person with a disability, disability assistance expenses in excess of 3% of annual income. This allowance may not exceed the employment income received by family members who are 18 years of age or older as a result of the assistance to the person with disabilities.
- D. For any elderly or disabled family:
  - 1. That has no disability assistance expenses, an allowance for medical expenses equal to the amount by which the medical expenses exceed 3% of annual income;
  - 2. That has disability expenses greater than or equal to 3% of annual income, an allowance for disability assistance expenses computed in accordance with paragraph C, plus an allowance for medical expenses that equal the

family's medical expenses;

3. That has disability assistance expenses that are less than 3% of annual income, an allowance for combined disability assistance expenses and medical expenses that is equal to the total of these expenses less 3% of annual income.

E. Child care expenses.

## **10.0 VERIFICATION**

The Section Eight Coordinator will conduct an audit on each record to determine:

- A. Third party documentation has been obtained for:
  - 1) income, assets, and deductions
  - 2) correct utility allowance is used
  - 3) allowances have been correctly been attributed and calculated
- B. Audits will be conducted at entrance to the program and at reexaminations with a copy of the audit form, any explanations, comments, etc.
- C. The Audit Forms will be kept on file.

### **10.1 ACCEPTABLE METHODS OF VERIFICATION**

Age, relationship, U.S. citizenship, and Social Security Numbers will generally be verified with documentation provided by the family. For citizenship, the family's certification will be accepted. (Or for citizenship documentation such as listed below will be required.) Verification of these items will include photocopies of the Social Security cards and other documents presented by the family, the INS SAVE approval code, and forms signed by the family.

Other information will be verified by third party verification. This type of verification includes written documentation (with forms sent directly to and received directly from a source, not passed through the hands of the family). This verification may also be direct contact with the source, in person or by telephone. It may also be a report generated by a request from the New Albany Housing Authority or automatically by another government agency, i.e. the Social Security Administration. Verification forms and reports received will be contained in the applicant/tenant file. Oral third party documentation will include the same information as if the documentation had been written, i.e. name date of contact, amount received, etc.

When third party verification cannot be obtained, the New Albany Housing Authority will accept documentation received from the applicant/participant. Hand-carried

documentation will be accepted if the New Albany Housing Authority has been unable to obtain third party verification in a four week period of time. Photocopies of the documents provided by the family will be maintained in the file.

When neither third party verification nor hand-carried verification can be obtained, the New Albany Housing Authority will accept a notarized statement signed by the head, spouse or co-head. Such documents will be maintained in the file.

**10.2 TYPES OF VERIFICATION**

The chart below outlines the factors that may be verified and gives common examples of the verification that will be sought. To obtain written third party verification, the New Albany Housing Authority will send a request form to the source along with a release form signed by the applicant/participant via first class mail.

Verification Requirements for Individual Items		
Item to Be Verified	3 <sup>rd</sup> party verification	Hand-carried verification
<b>General Eligibility Items</b>		
Social Security Number	Letter from Social Security, electronic reports	Social Security card
Citizenship	N/A	Signed certification, voter's registration card, birth certificate, etc.
Eligible immigration status	INS SAVE confirmation #	INS card
Disability	Letter from medical professional, SSI, etc	Proof of SSI or Social Security disability payments
Full time student status (if >18)	Letter from school	For high school students, any document evidencing enrollment
Need for a live-in aide	Letter from doctor or other professional knowledgeable of condition	N/A
Child care costs	Letter from care provider	Bills and receipts
Disability assistance expenses	Letters from suppliers, care givers, etc.	Bills and records of payment

Verification Requirements for Individual Items		
Item to Be Verified	3 <sup>rd</sup> party verification	Hand-carried verification
Medical expenses	Letters from providers, prescription record from pharmacy, medical professional's letter stating assistance or a companion animal is needed	Bills, receipts, records of payment, dates of trips, mileage log, receipts for fares and tolls
<b>Value of and Income from Assets</b>		
Savings, checking accounts	Letter from institution	Passbook, most current statements
CDs, bonds, etc	Letter from institution	Tax return, information brochure from institution, the CD, the bond
Stocks	Letter from broker or holding company	Stock or most current statement, price in newspaper or through Internet
Real property	Letter from tax office, assessment, etc.	Property tax statement (for current value), assessment, records or income and expenses, tax return
Personal property	Assessment, bluebook, etc	Receipt for purchase, other evidence of worth
Cash value of life insurance policies	Letter from insurance company	Current statement
Assets disposed of for less than fair market value	N/A	Original receipt and receipt at disposition, other evidence of worth
<b>Income</b>		
Earned income	Letter from employer	Multiple pay stubs
Self-employed	N/A	Tax return from prior year, books of accounts
Regular gifts and contributions	Letter from source, letter from organization receiving gift (i.e., if grandmother pays day care provider,	Bank deposits, other similar evidence

Verification Requirements for Individual Items		
Item to Be Verified	3 <sup>rd</sup> party verification	Hand-carried verification
	the day care provider could so state)	
Alimony/child support	Court order, letter from source, letter from Human Services	Record of deposits, divorce decree
Periodic payments (i.e., social security, welfare, pensions, workers' comp, unemployment)	Letter or electronic reports from the source	Award letter, letter announcing change in amount of future payments
Training program participation	Letter from program provider indicating <ul style="list-style-type: none"> <li>- whether enrolled</li> <li>- whether training is HUD-funded</li> <li>- whether State or local program</li> <li>- whether it is employment training</li> <li>- whether payments are for out-of-pocket expenses incurred in order to participate in a program</li> </ul>	N/A

### **10.3 VERIFICATION OF CITIZENSHIP OR ELIGIBLE NONCITIZEN STATUS**

The citizenship/ eligible noncitizen status of each family member regardless of age must be determined.

Prior to being admitted, or at the first reexamination, all citizens and nationals will be required to sign a declaration under penalty of perjury. (They will be required to show proof of their status by such means as Social Security card, birth certificate, military ID or military DD 214 Form.)

Prior to being admitted or at the first reexamination, all eligible noncitizens who are 62 years of age or older will be required to sign a declaration under penalty of perjury. They will also be required to show proof of age.

Prior to being admitted or at the first reexamination, all eligible noncitizens must sign a declaration of their status and a verification consent form and provide their original INS documentation. The New Albany Housing Authority will make a copy of the individual's

INS documentation and place the copy in the file. The New Albany Housing Authority also will verify their status through the INS SAVE system. If the INS SAVE system cannot confirm eligibility, the New Albany Housing Authority will mail information to the INS so a manual check can be made of INS records.

Family members who do not claim to be citizens, nationals or eligible noncitizens, or whose status cannot be confirmed, must be listed on a statement of non-eligible members and the list must be signed by the head of the household.

Noncitizen students on student visas, though in the country legally, are not eligible to be admitted to the Section 8 Program.

Any family member who does not choose to declare their status must be listed on the statement of non-eligible members.

If no family member is determined to be eligible under this Section, the family's admission will be denied.

The family's assistance will not be denied, delayed, reduced or terminated because of a delay in the process of determining eligible status under this Section, except to the extent that the delay is caused by the family.

If the New Albany Housing Authority determines that a family member has knowingly permitted an ineligible noncitizen (other than any ineligible noncitizens listed on the lease) to permanently reside in their Section 8 unit, the family's assistance will be terminated. Such family will not be eligible to be readmitted to Section 8 for a period of 24 months from the date of termination.

#### **10.4 VERIFICATION OF SOCIAL SECURITY NUMBERS**

Prior to admission, each family member who has a Social Security Number and who is at least six years of age must provide verification of his or her Social Security Number. New family members at least six years of age must provide this verification prior to being added to the lease. Children in assisted households must provide this verification at the first regular reexamination after turning six.

The best verification of the Social Security Number is the original Social Security card. If the card is not available, the New Albany Housing Authority will accept letters from Social Security that establish and state the number. Documentation from other governmental agencies will also be accepted that establish and state the number. Driver's license, military ID, passports, or other official documents that establish and state the number are also acceptable.

If an individual states that they do not have a Social Security Number they will be required to sign a statement to this effect. The New Albany Housing Authority will not

require any individual who does not have a Social Security Number to obtain a Social Security Number.

If a member of an applicant family indicates they have a Social Security Number, but cannot readily verify it, the family cannot be assisted until verification is provided.

If a member of a tenant family indicates they have a Social Security Number, but cannot readily verify it, they shall be asked to certify to this fact and shall have up to 60 days to provide the verification. If the individual is at least 62 years of age, they will be given 120 days to provide the verification. If the individual fails to provide the verification within the time allowed, the family will be denied assistance or will have their assistance terminated.

### ***10.5 TIMING OF VERIFICATION***

Verification must be dated within 60 days of certification or reexamination. If the verification is older than this, the source will be contacted and asked to provide information regarding any changes.

When an interim reexamination is conducted, the Housing Authority will verify and update only those elements reported to have changed.

### ***10.6 FREQUENCY OF OBTAINING VERIFICATION***

For each family member, citizenship/eligible noncitizen status will be verified only once. This verification will be obtained prior to admission. If the status of any family member was not determined prior to admission, verification of their status will be obtained at the next regular reexamination. Prior to a new member joining the family, their status will be verified.

For each family member age 6 and above, verification of Social Security Number will be obtained only once. This verification will be accomplished prior to admission. When a family member who did not have a Social Security Number at admission receives a Social Security Number, that number will be verified at the next regular reexamination. Likewise, when a child turns six, their verification will be obtained at the next regular reexamination.

## **11.0 RENT AND HOUSING ASSISTANCE PAYMENT**

### ***11.1 GENERAL***

The New Albany Housing Authority issues only vouchers to applicants, movers, and families entering the jurisdiction through portability.

## **11.2 RENT REASONABLENESS**

The Housing Authority will not approve an initial rent or a rent increase in any of the tenant-based programs without determining that the rent amount is reasonable. Reasonableness is determined prior to the initial lease and at the following times:

- A. Before any increase in rent to owner is approved;
- B. If 60 days before the contract anniversary date there is a 5% decrease in the published FMR as compared to the previous FMR; and
- C. If the Housing Authority or HUD directs that reasonableness be re-determined.

## **11.3 COMPARABILITY**

In making a rent reasonableness determination, the Housing Authority will compare the rent for the unit to the rent of comparable units in the same or comparable neighborhoods. The Housing Authority will consider the location, quality, size, number of bedrooms, age, amenities, housing services, maintenance and utilities of the unit and the comparable units.

The Housing Authority will maintain current survey information on rental units in the jurisdiction. The Housing Authority will also obtain from landlord associations and management firms the value of the array of amenities.

The Housing Authority will establish minimum base rent amounts for each unit type and bedroom size. To the base the Housing Authority will be able to add or subtract the dollar value for each characteristic and amenity of a proposed unit.

Owners are invited to submit information to the survey at any time. Owners may review the determination made on their unit and may submit additional information or make improvements to the unit that will enable the Housing Authority to establish a higher value.

The owner must certify the rents charged for other units. By accepting the housing assistance payment each month the owner is certifying that the rent to owner is not more than the rent charged by the owner for comparable unassisted units in the premises.

## **11.4 MAXIMUM SUBSIDY**

The Fair Market Rent (FMR) published by HUD or the exception payment standard rent (requested by the New Albany Housing Authority and approved by HUD) determines the maximum subsidy for a family.

For the Voucher Program, the maximum payment standard will be 110% of the FMR without prior approval from HUD, or the exception payment standard approved by HUD.

For a voucher tenancy in an insured or noninsured 236 project, a 515 project of the Rural Development Administration, or a Section 221(d)(3) below market interest rate project the payment standard may not exceed the basic rent charged including the cost of tenant-paid utilities.

For manufactured home space rental, the maximum subsidy under any form of assistance is the Fair Market Rent for the space as outlined in 24 CFR 982.888.

#### **11.4.1 Setting the Payment Standard**

HUD requires that the payment standard be set by the Housing Authority at between 90 and 110% of the FMR. The New Albany Housing Authority will review its determination of the payment standard annually after publication of the FMRs. The New Albany Housing Authority will consider vacancy rates and rents in the market area, size and quality of units leased under the program, rents for units leased under the program, success rates of voucher holders in finding units, and the percentage of annual income families are paying for rent under the Voucher Program. If it is determined that success rates will suffer or that families are having to rent low quality units or pay over 40% of income for rent, the payment standard may be raised to the level judged necessary to alleviate these hardships.

Payment standards will not be raised solely to allow the renting of luxury quality units.

If success levels are projected to be extremely high and rents are projected to be at or below 30% of income, the Housing Authority will reduce the payment standard. Payment standards for each bedroom size are evaluated separately so that the payment standard for one bedroom size may increase or decrease while another remains unchanged. The New Albany Housing Authority may consider adjusting payment standards at times other than the annual review when circumstances warrant.

The New Albany Housing Authority may establish a high payment standard within the basic range (90% - 100%) if required as a reasonable accommodation for a family that includes a person with disabilities.

Before increasing any payment standard, the Housing Authority will conduct a financial feasibility test to ensure that in using the higher standard, adequate funds will continue to be available to assist families in the program.

#### **11.4.2 Selecting the Correct Payment Standard for a Family**

A. For the voucher tenancy, the payment standard for a family is the lower of:

1. The payment standard for the family unit size; or
  3. The payment standard amount for the size of the dwelling unit rented by the family.
- B. If the unit rented by a family is located in an exception rent area, the Housing Authority will use the appropriate payment standard for the exception rent area.
- C. During the HAP contract term for a unit, the amount of the payment standard for a family is the higher of:
1. The initial payment standard (at the beginning of the lease term) minus any amount by which the initial rent to owner exceeds the current rent to owner; or
  2. The payment standard as determined at the most recent regular reexamination of family income and composition effective after the beginning of the HAP contract term.
- D. At the next annual reexamination following a change in family size or composition during the HAP contract term and for any reexamination thereafter, paragraph C above does not apply.
- E. If there is a change in family unit size resulting from a change in family size or composition, the new family unit size will be considered when determining the payment standard at the next annual reexamination.

### **11.4.3 Area Exception Rents**

In order to help families find housing outside areas of high poverty or when voucher holders are having trouble finding housing for lease under the program, the Housing Authority may request that HUD approve an exception payment standard rent for certain areas within its jurisdiction. The areas may be of any size, though generally not smaller than a census tract. The Housing Authority may request one such exception payment standard area or many. Exception payment standard rent authority may be requested for all or some unit sizes, or for all or some unit types.

When an exception payment standard rent has been approved and the FMR increases, the exception rent remains unchanged until such time as the Housing Authority requests and HUD approves a higher exception payment standard rent. If the FMR decreases, the exception payment standard rent authority automatically expires.

## ***11.5 ASSISTANCE AND RENT FORMULAS***

A. Total Tenant Payment

The total tenant payment is equal to the highest of:

1. 10% of monthly income
2. 30% of adjusted monthly income
3. Minimum rent
4. The welfare rent

Plus any rent above the payment standard.

B. Minimum Rent.

The New Albany Housing Authority has set the minimum rent as \$ **40.00**. However, if the family requests a hardship exemption, the New Albany Housing Authority will suspend the minimum rent for the family beginning the month following the family's hardship request. The suspension will continue until the Housing Authority can determine whether hardship exists and whether the hardship is of a temporary or long-term nature. During suspension, the family will not be required to pay a minimum rent and the Housing Assistance Payment will be increased accordingly.

1. A hardship exists in the following circumstances:
  - a. When the family has lost eligibility for or is awaiting an eligibility determination for a Federal, State or local assistance program;
  - b. When the family would be evicted as a result of the imposition of the minimum rent requirement;
  - c. When the income of the family has decreased because of changed circumstances, including loss of employment;
  - d. When the family has an increase in expenses because of changed circumstances, for medical costs, childcare, transportation, education, or similar items;
  - e. When a death has occurred in the family.
2. No hardship. If the Housing Authority determines there is no qualifying hardship, the minimum rent will be reinstated, including requiring back

payment of minimum rent to the Housing Authority for the time of suspension.

3. Temporary hardship. If the Housing Authority determines that there is a qualifying hardship but that it is of a temporary nature, the minimum rent will not be imposed for a period of 90 days from the date of the family's request. At the end of the 90-day period, the minimum rent will be imposed retroactively to the time of suspension. The Housing Authority will offer a reasonable repayment agreement for any minimum rent back payment paid by the Housing Authority on the family's behalf during the period of suspension.
4. Long-term hardship. If the Housing Authority determines there is a long-term hardship, the family will be exempt from the minimum rent requirement until the hardship no longer exists.
5. Appeals. The family may use the informal hearing procedure to appeal the Housing Authority's determination regarding the hardship. No escrow deposit will be required in order to access the informal hearing procedures.

C. Section 8 Housing Choice Vouchers

1. The payment standard is set by the Housing Authority between 90% and 110% of the FMR or higher or lower with HUD approval.
2. The participant pays the greater of the Total Tenant Payment or the minimum rent, plus the amount by which the gross rent exceeds the payment standard.
3. For new admissions and moves the total family contribution toward the gross rent of the unit shall not exceed 40% of the adjusted monthly income.

D. Section 8 Preservation Vouchers

1. Payment Standard
  - a. The payment standard is the lower of:
    - i. The payment standard amount for the appropriate family unit size; or
    - ii. The payment standard amount for the size of the dwelling unit actually rented by the family.

- b. Minimum rent will be the gross rent of the unit the tenant was paying at pre-payment.
  - c. If the dwelling unit is located in an exception area, the New Albany Housing Authority will use the appropriate payment standard for the exception area.
  - d. During the HAP contract term, the payment standard for the family is the higher of :
    - i. The initial payment standard (at the beginning of the HAP contract term), as determined in accordance with paragraph (1)(a) or (1)(b) of this section, minus any amount by which the initial rent to the owner exceeds the current rent to the owner; or
    - ii. The payment standard as determined in accordance with paragraph (1)(a) or (1)(b) of this section, as determined at the most recent regular reexamination of family income and composition effective after the beginning of the HAP contract term.
  - e. At the next regular reexamination following a change in family composition that causes a change in family unit size during the HAP contract term, and for any examination thereafter during the term:
    - i. Paragraph (c)(i) of this section does not apply; and
    - ii. The new family unit size must be used to determine the payment standard.
2. The New Albany Housing Authority will pay a monthly housing assistance payment on behalf of the family that equals the lesser of:
    - a. The payment standard minus the total tenant payment; or
    - b. The gross rent minus the total tenant payment.
  3. Those funds received for this project but not utilized are converted to regular Housing Choice Vouchers with normal NAHA and HCV regulations applying instead of those specifically stated in PIH 2000-9 for those families staying at Valley Ridge or moving from Valley Ridge with the preservation voucher.

E. Manufactured Home Space Rental: Section 8 Vouchers

1. The payment standard for a participant renting a manufactured home space is the published FMR for rental of a manufactured home space.
2. The space rent is the sum of the following as determined by the Housing Authority:
  - a. Rent to the owner for the manufactured home space;
  - b. Owner maintenance and management charges for the space; and
  - c. Utility allowance for tenant paid utilities.
3. The participant pays the rent to owner less the HAP.
4. HAP equals the lesser of:
  - a. The payment standard minus the total tenant payment; or
  - b. The rent paid for rental of the real property on which the manufactured home owned by the family is located.

F. Rent for Families under the Noncitizen Rule

A mixed family will receive full continuation of assistance if all of the following conditions are met:

1. The family was receiving assistance on June 19, 1995;
2. The family was granted continuation of assistance before November 29, 1996;
3. The family's head or spouse has eligible immigration status; and
4. The family does not include any person who does not have eligible status other than the head of household, the spouse of the head of household, any parent of the head or spouse, or any child (under the age of 18) of the head or spouse.

If a mixed family qualifies for prorated assistance but decides not to accept it, or if the family has no eligible members, the family may be eligible for temporary deferral of termination of assistance to permit the family additional time for the

orderly transition of some or all of its members to locate other affordable housing. Under this provision the family receives full assistance. If assistance is granted under this provision prior to November 29, 1996, it may last no longer than three years. If granted after that date, the maximum period of time for assistance under the provision is 18 months. The New Albany Housing Authority will grant each family a period of 6 months to find suitable affordable housing. If the family cannot find suitable affordable housing, the New Albany Housing Authority will provide additional search periods up to the maximum time allowable.

Suitable housing means housing that is not substandard and is of appropriate size for the family. Affordable housing means that it can be rented for an amount not exceeding the amount the family pays for rent, plus utilities, plus 25%.

The family's assistance is prorated in the following manner:

1. Find the prorated housing assistance payment (HAP) by dividing the HAP by the total number of family members, and then multiplying the result by the number of eligible family members.
2. Obtain the prorated family share by subtracting the prorated HAP from the gross rent (contract rent plus utility allowance).
3. The prorated tenant rent equals the prorated family share minus the full utility allowance.

**G. SHARE VOUCHERS**

The New Albany Housing Authority received 20 share vouchers effective 09/01/2000. All Housing Choice Vouchers program regulations apply.

**H. DESIGNATED VOUCHERS**

The New Albany Housing Authority received 200 Designated Vouchers effective November 1, 2000. These vouchers are specifically designated for non-elderly disabled families.

1. Eligible participants.
  - a. Only non-elderly disabled families that are income eligible under 24 CFR 982.201(b) and who live in public housing that has been designated for occupancy by the elderly, or non-elderly disabled families who are on the PHA's public housing waiting list, may receive a voucher awarded in conjunction with an approved designated housing plan. Such families need not be listed on NAHA's Section 8 waiting list in order to be offered and receive a Section 8 voucher. These families may be admitted to the Section 8 program as a special admission (24 CFR 982.203).

2. Voucher assistance requirements. NAHA will administer the Section 8 vouchers in accordance with HUD regulations and requirements governing the Section 8 Housing Choice Voucher Program.
3. Section 8 admission requirements. Section 8 assistance will be provided to eligible applicants in conformity with regulations and requirements governing the Section 8 Housing Choice Voucher Program and those listed in NAHA's administrative plan.
4. When a voucher becomes available for reissuance, the rental assistance may be used only for another individual or family eligible for assistance under this section subject to appropriations for renewal funding, from the date the rental assistance is placed under the annual contributions contract (ACC).
5. NAHA responsibilities:
  - a. Where requested by an individual, assist participants to gain access to supportive services available within the community.
  - b. Identify public and private funding sources to assist participants with disabilities in covering the costs of structural alterations and other accessibility features that are needed as accommodations for their disabilities.
  - c. Not deny person who qualify for rental assistance under this program other housing opportunities, or otherwise restrict access to NAHA programs to eligible applicants who choose not to participate.
  - d. Provide Section 8 search assistance.
  - e. In accordance with regulatory guidance, provide higher rent to owners necessary for the provision of accessible units and structural modifications for persons with disabilities.
  - f. Provide technical assistance to owners for making reasonable accommodations or making units accessible to person with disabilities.

I. .FAMILY UNIFICATION PROGRAM (FUP)

The New Albany Housing Authority received 50 FUP Vouchers effective January 1, 2001.

1. Families must meet the following criteria to be eligible for FUP:
  - a. The lack of adequate housing\* is a primary reason for the imminent placement of a family's child or children in out-of-home care, or in the delay in reuniting a

child(ren) who are in out-of-home care with the family (as determined by CWA); and,

- b. The qualifies for the Section 8 rental assistance as determined by the Housing Authority of the City of New Albany.

\*Families facing a “lack of adequate housing” may be: living in substandard or dilapidated housing, homeless, or living in overcrowded conditions. They may also have been voluntarily or involuntarily displaced from their homes by domestic violence.

- 2. Procedures for administering the PHA Section 8 waiting list
  - a. The NAHA first reviews its waiting list for any CWA referred families; these families will be among the first served through FUP assistance, once they are determined to meet Section 8 criteria.
  - b. If the NAHA waiting list is closed, then NAHA will open the list for FUP eligible families only. These families must be referred by the CWA and place on the Section 8 waiting list (assuming no FUP vouchers are available) and coded as FUP eligible. NAHA will then disburse FUP vouchers to families according to their rank order on the Section 8 waiting list.
  - c. If NAHA’s Section 8 waiting list is open, FUP families will be added to the waiting list (if no FUP units are available) and coded as FUP eligible. FUP families will then be served according to their rank and order on the waiting list.
- 3. FUP eligible families on the PHA Section 8 waiting list will be offered housing based on:
  - a. The availability of a Family Unification Program Section 8 Voucher; and
  - b. Their rank and order on the Section 8 waiting list.
- 4. Section 8/FUP grievance procedures
  - a. All persons applying for the Family Unification Program can request an informal Hearing from the PHA on their Section 8 application (per HUD 24CFR, Section 982.554).
  - b. NAHA will be responsible for defending its decisions pertaining to family’s eligibility for Section 8 rental assistance and will follow standard Section 8 informal hearing procedures, as set forth in this board approved administrative plan.
  - c. The Floyd County Division of Family and Children (DFC), Child Protective Services will be responsible for defending its FUP eligibility determinations.
- 5. NAHA Responsibilities:
  - a. Accept families certified by the Floyd County DFC CPS as eligible for FUP. NAHA, upon receipt of the DFC list of families currently in the DFC caseload, must compare the names with those of families already on NAHA’s Section 8 waiting list. Any family on NAHA’s Section 8 waiting list that matches with the DFC CPS list must be assisted in order of their position on the waiting list in accordance with PHA

admission policies. Any family certified by the DFC CPS as eligible and not on the waiting list. If NAHA has a closed Section 8 waiting list, NAHA will reopen the waiting list to accept the FUP applicant family who is not currently on NAHA's Section 8 waiting list.

- b. Determine if any families with children on its waiting list are living in temporary shelters or on the street and may qualify for FUP, and refer such applicants to the Floyd County DFC CPS.
- c. Determine if families referred by Floyd DFC CPS are eligible for Section 8 assistance and place eligible families on the Section 8 waiting list.
- d. Amend the administrative plan in accordance with applicable program regulations and requirements.
- e. Administer the vouchers in accordance with applicable program regulations and requirements.
- f. Assure the quality of the evaluation that HUD intends to conduct on the FUP and cooperate with and provide requested data to the HUD office or HUD-approved contractor responsible for program evaluation.
- g. NAHA will comply with all actions to be taken by NAHA as specified by the Memorandum of Understanding (MOU) between NAHA and the Floyd County Division of Family and Children, Child Protective Services.

6. Section 8 Voucher Assistance

- a. The FUP provides funding for rental assistance under the Section 8 Housing Choice Voucher Program. NAHA will administer this program in accordance with HUD's regulations governing the Section 8 Housing Choice Voucher Program. If a Section 8 voucher for a family under this program is terminated, the voucher will be reissued to another FUP eligible family for five years from the initial date of execution of the Annual Contributions Contract subject to the availability of renewal funding.

## ***11.6 UTILITY ALLOWANCE***

The Housing Authority maintains a utility allowance schedule for all tenant-paid utilities (except telephone), for cost of tenant-supplied refrigerators and ranges, and for other tenant-paid housing services (e.g., trash collection (disposal of waste and refuse)).

The utility allowance schedule is determined based on the typical cost of utilities and services paid by energy-conservative households that occupy housing of similar size and type in the same locality. In developing the schedule, the Housing Authority uses normal patterns of consumption for the community as a whole and current utility rates.

The Housing Authority reviews the utility allowance schedule annually and revises any allowance for a utility category if there has been a change of 10% or more in the utility rate since the last time the utility allowance schedule was revised. The Housing Authority maintains information supporting the annual review of utility allowances and any

revisions made in its utility allowance schedule. Participants may review this information at any time by making an appointment with the **Section 8 Coordinator**.

The Housing Authority uses the appropriate utility allowance for the size of dwelling unit actually leased by the family (rather than the family unit size as determined under the Housing Authority subsidy standards).

At each reexamination, the Housing Authority applies the utility allowance from the most current utility allowance schedule.

The Housing Authority will approve a request for a utility allowance that is higher than the applicable amount on the utility allowance schedule if a higher utility allowance is needed as a reasonable accommodation to make the program accessible to and usable by the family member with a disability.

The utility allowance will be subtracted from the family's share to determine the amount of the Tenant Rent. The Tenant Rent is the amount the family owes each month to the owner. The amount of the utility allowance is then still available to the family to pay the cost of their utilities. Any utility cost above the allowance is the responsibility of the tenant. Any savings resulting from utility costs below the amount of the allowance belong to the tenant.

#### ***11.7 DISTRIBUTION OF HOUSING ASSISTANCE PAYMENT***

The Housing Authority pays the owner the lesser of the housing assistance payment or the rent to owner. If payments are not made when due, the owner may charge the New Albany Housing Authority a late payment, agreed to in the Contract and in accordance with generally accepted practices in the New Albany/Floyd County jurisdiction.

#### ***11.8 CHANGE OF OWNERSHIP***

The New Albany Housing Authority requires a written request by the owner who executed the HAP contract in order to make changes regarding who is to receive the New Albany Housing Authority's rent payment or the address as to where the rent payment should be sent.

In addition, the New Albany Housing Authority requires a written request from the new owner to process a change of ownership. The following documents must accompany the written request:

- A. Deed of Trust showing the transfer of title; and
- B. Tax Identification Number or Social Security Number.

New owners will be required to execute IRS form W-9. The New Albany Housing Authority may withhold the rent payment until the taxpayer identification number is received.

## **12.0 INSPECTION POLICIES, HOUSING QUALITY STANDARDS, AND DAMAGE CLAIMS**

The New Albany Housing Authority will inspect all units to ensure that they meet Housing Quality Standards (HQS). No unit will be initially placed on the Section 8 Existing Program unless the HQS is met. Units will be inspected at least annually, and at other times as needed, to determine if the units meet HQS.

The New Albany Housing Authority must be allowed to inspect the dwelling unit at reasonable times with reasonable notice. The family and owner will be notified of the inspection appointment by first class mail. If the family can not be at home for the scheduled inspection appointment, the family must call and reschedule the inspection or make arrangements to enable the Housing Authority to enter the unit and complete the inspection.

If the family misses the scheduled inspection and fails to reschedule the inspection, the New Albany Housing Authority will only schedule one more inspection. If the family misses two inspections, the New Albany Housing Authority will consider the family to have violated a Family Obligation and their assistance will be terminated.

### **12.1 TYPES OF INSPECTIONS**

There are seven types of inspections the New Albany Housing Authority will perform:

- A. Initial Inspection - An inspection that must take place to insure that the unit passes HQS before assistance can begin.
- B. Annual Inspection - An inspection to determine that the unit continues to meet HQS.
- C. Complaint Inspection - An inspection caused by the Authority receiving a complaint on the unit by anyone.
- D. Special Inspection - An inspection caused by a third party, i.e. HUD, needing to view the unit.
- E. Emergency - An inspection that takes place in the event of a perceived emergency. These will take precedence over all other inspections.

- F. Move Out Inspection (if applicable) - An inspection required for units in service before October 2, 1995, and optional after that date. These inspections document the condition of the unit at the time of the move-out.
- G. Quality Control Inspection - Supervisory inspections on at least 5% of the total number of units that were under lease during the Housing Authority's previous fiscal year.

## **12.2 OWNER AND FAMILY RESPONSIBILITY**

### **A. Owner Responsibility for HQS**

- 1. The owner must maintain the unit in accordance with HQS.
- 2. If the owner fails to maintain the dwelling unit in accordance with HQS, the New Albany Housing Authority will take prompt and vigorous action to enforce the owner obligations. The New Albany Housing Authority's remedies for such breach of the HQS include termination, suspension or reduction of housing assistance payments and termination of the HAP contract.
- 3. The New Albany Housing Authority will not make any housing assistance payments for a dwelling unit that fails to meet the HQS, unless the owner corrects the defect within the period specified by the New Albany Housing Authority and the New Albany Housing Authority verifies the correction. If a defect is life threatening, the owner must correct the defect within no more than 24 hours. For other defects the owner must correct the defect within no more than 30 calendar days (or any New Albany Housing Authority approved extension).
- 4. The owner is not responsible for a breach of the HQS that is not caused by the owner, and for which the family is responsible. Furthermore, the New Albany Housing Authority may terminate assistance to a family because of the HQS breach caused by the family.

### **B. Family Responsibility for HQS**

- 1. The family is responsible for a breach of the HQS that is caused by any of the following:
  - a. The family fails to pay for any utilities that the owner is not required to pay for, but which are to be paid by the tenant;

- b. The family fails to provide and maintain any appliances that the owner is not required to provide, but which are to be provided by the tenant; or
  - c. Any member of the household or a guest damages the dwelling unit or premises (damage beyond ordinary wear and tear).
- 2. If an HQS breach caused by the family is life threatening, the family must correct the defect within no more than 24 hours. For other family-caused defects, the family must correct the defect within no more than 30 calendar days (or any New Albany Housing Authority approved extension).
  - 3. If the family has caused a breach of the HQS, the New Albany Housing Authority will take prompt and vigorous action to enforce the family obligations. The New Albany Housing Authority may terminate assistance for the family in accordance with 24 CFR 982.552.

### ***12.3 HOUSING QUALITY STANDARDS (HQS) 24 CFR 982.401***

This Section states performance and acceptability criteria for these key aspects of the following housing quality standards:

#### **A. Sanitary Facilities**

##### **1. Performance Requirements**

The dwelling unit must include sanitary facilities located in the unit. The sanitary facilities must be in proper operating condition and adequate for personal cleanliness and the disposal of human waste. The sanitary facilities must be usable in privacy.

##### **2. Acceptability Criteria**

- a. The bathroom must be located in a separate private room and have a flush toilet in proper operating condition.
- b. The dwelling unit must have a fixed basin in proper operating condition, with a sink trap and hot and cold running water.
- c. The dwelling unit must have a shower or a tub in proper operating condition with hot and cold running water.
- d. The facilities must utilize an approvable public or private disposal system (including a locally approvable septic system).

B. Food Preparation and Refuse Disposal

1. Performance Requirements

- a. The dwelling unit must have suitable space and equipment to store, prepare, and serve foods in a sanitary manner.
- b. There must be adequate facilities and services for the sanitary disposal of food wastes and refuse, including facilities for temporary storage where necessary (e.g., garbage cans).

2. Acceptability Criteria

- a. The dwelling unit must have an oven, a stove or range, and a refrigerator of appropriate size for the family. All of the equipment must be in proper operating condition. Either the owner or the family may supply the equipment. A microwave oven may be substituted for a tenant-supplied oven and stove or range. A microwave oven may be substituted for an owner-supplied oven and stove or range if the tenant agrees and microwave ovens are furnished instead of an oven and stove or range to both subsidized and unsubsidized tenants in the building or premises.
- b. The dwelling unit must have a kitchen sink in proper operating condition, with a sink trap and hot and cold running water. The sink must drain into an approvable public or private system.
- c. The dwelling unit must have space for the storage, preparation, and serving of food.
- d. There must be facilities and services for the sanitary disposal of food waste and refuse, including temporary storage facilities where necessary (e.g., garbage cans).

C. Space and security

1. Performance Requirement

The dwelling unit must provide adequate space and security for the family.

2. Acceptability Criteria

- a. At a minimum, the dwelling unit must have a living room, a kitchen area, and a bathroom.

- b. The dwelling unit must have at least one bedroom or living/sleeping room for each two persons. Children of opposite sex, other than very young children, may not be required to occupy the same bedroom or living/sleeping room.
- c. Dwelling unit windows that are accessible from the outside, such as basement, first floor, and fire escape windows, must be lockable (such as window units with sash pins or sash locks, and combination windows with latches). Windows that are nailed shut are acceptable only if these windows are not needed for ventilation or as an alternate exit in case of fire.
- d. The exterior doors of the dwelling unit must be lockable. Exterior doors are doors by which someone can enter or exit the dwelling unit.

D. Thermal Environment

1. Performance Requirement

The dwelling unit must have and be capable of maintaining a thermal environment healthy for the human body.

2. Acceptability Criteria

- a. There must be a safe system for heating the dwelling unit (and a safe cooling system, where present). The system must be in proper operating condition. The system must be able to provide adequate heat (and cooling, if applicable), either directly or indirectly, to each room, in order to assure a healthy living environment appropriate to the climate.
- b. The dwelling unit must not contain unvented room heaters that burn gas, oil, or kerosene. Electric heaters are acceptable.

E. Illumination and Electricity

1. Performance Requirement

Each room must have adequate natural or artificial illumination to permit normal indoor activities and to support the health and safety of occupants. The dwelling unit must have sufficient electrical sources so occupants can use essential electrical appliances. The electrical fixtures and wiring must ensure safety from fire.

2. Acceptability Criteria

- a. There must be at least one window in the living room and in each sleeping room.
- b. The kitchen area and the bathroom must have a permanent ceiling or wall light fixture in proper operating condition. The kitchen area must also have at least one electrical outlet in proper operating condition.
- c. The living room and each bedroom must have at least two electrical outlets in proper operating condition. Permanent overhead or wall-mounted light fixtures may count as one of the required electrical outlets.

F. Structure and Materials

1. Performance Requirement

The dwelling unit must be structurally sound. The structure must not present any threat to the health and safety of the occupants and must protect the occupants from the environment.

2. Acceptability Criteria

- a. Ceilings, walls, and floors must not have any serious defects such as severe bulging or leaning, large holes, loose surface materials, severe buckling, missing parts, or other serious damage.
- b. The roof must be structurally sound and weather tight.
- c. The exterior wall structure and surface must not have any serious defects such as serious leaning, buckling, sagging, large holes, or defects that may result in air infiltration or vermin infestation.
- d. The condition and equipment of interior and exterior stairs, halls, porches, walkways, etc., must not present a danger of tripping and falling. For example, broken or missing steps or loose boards are unacceptable.
- e. Elevators must be working and safe.

G. Interior Air Quality

1. Performance Requirement

The dwelling unit must be free of pollutants in the air at levels that threaten the health of the occupants.

2. Acceptability Criteria

- a. The dwelling unit must be free from dangerous levels of air pollution from carbon monoxide, sewer gas, fuel gas, dust, and other harmful pollutants.
- b. There must be adequate air circulation in the dwelling unit.
- c. Bathroom areas must have one window that can be opened or other adequate exhaust ventilation.
- d. Any room used for sleeping must have at least one openable window.

H. Water Supply

1. Performance Requirements

The water supply must be free from contamination.

2. Acceptability Criteria

The dwelling unit must be served by an approvable public or private water supply that is sanitary and free from contamination.

I. Lead-based Paint

1. Definitions

- a. Chewable surface: Protruding painted surfaces up to five feet from the floor or ground that are readily accessible to children under six years of age; for example, protruding corners, window sills and frames, doors and frames, and other protruding woodwork.
- b. Component: An element of a residential structure identified by type and location, such as a bedroom wall, an exterior window sill, a baseboard in a living room, a kitchen floor, an interior window sill in a bathroom, a porch floor, stair treads in a common stairwell, or an exterior wall.

- c. Defective paint surface: A surface on which the paint is cracking, scaling, chipping, peeling, or loose.
- d. Elevated blood level (EBL): Excessive absorption of lead. Excessive absorption is a confirmed concentration of lead in whole blood of 20 ug/dl (micrograms of lead per deciliter) for a single test or of 15-19 ug/dl in two consecutive tests 3-4 months apart.
- e. HEPA: A high efficiency particle accumulator as used in lead abatement vacuum cleaners.
- f. Lead-based paint: A paint surface, whether or not defective, identified as having a lead content greater than or equal to 1 milligram per centimeter squared ( $\text{mg}/\text{cm}^2$ ), or 0.5 % by weight or 5000 parts per million (PPM).

## 2. Performance Requirements

- a. The purpose of this paragraph of this section is to implement Section 302 of the Lead-Based Paint Poisoning Prevention Act, 42 U.S.C. 4822, by establishing procedures to eliminate as far as practicable the hazards of lead-based paint poisoning for units assisted under this part. This paragraph is issued under 24 CFR 35.24(b)(4) and supersedes, for all housing to which it applies, the requirements of subpart C of 24 CFR part 35.
- b. The requirements of this paragraph of this Section do not apply to 0-bedroom units, units that are certified by a qualified inspector to be free of lead-based paint, or units designated exclusively for the elderly. The requirements of subpart A of 24 CFR part 35 apply to all units constructed prior to 1978 covered by a HAP contract under part 982.
- c. If a dwelling unit constructed before 1978 is occupied by a family that includes a child under the age of six years, the initial and each periodic inspection (as required under this part), must include a visual inspection for defective paint surfaces. If defective paint surfaces are found, such surfaces must be treated in accordance with paragraph k of this Section.
- d. The Housing Authority may exempt from such treatment defective paint surfaces that are found in a report by a qualified lead-based paint inspector not to be lead-based paint, as defined in paragraph 1(f) of this Section. For purposes of this Section, a qualified lead-based paint inspector is a State or local health or housing agency, a

lead-based paint inspector certified or regulated by a State or local health or housing agency, or an organization recognized by HUD.

- e. Treatment of defective paint surfaces required under this Section must be completed within 30 calendar days of Housing Authority notification to the owner. When weather conditions prevent treatment of the defective paint conditions on exterior surfaces within the 30-day period, treatment as required by paragraph k of this Section may be delayed for a reasonable time.
- f. The requirements in this paragraph apply to:
  - i. All painted interior surfaces within the unit (including ceilings but excluding furniture);
  - ii. The entrance and hallway providing access to a unit in a multi-unit building; and
  - iii. Exterior surfaces up to five feet from the floor or ground that are readily accessible to children under six years of age (including walls, stairs, decks, porches, railings, windows and doors, but excluding outbuildings such as garages and sheds).
- g. In addition to the requirements of paragraph c of this Section, for a dwelling unit constructed before 1978 that is occupied by a family with a child under the age of six years with an identified EBL condition, the initial and each periodic inspection (as required under this part) must include a test for lead-based paint on chewable surfaces. Testing is not required if previous testing of chewable surfaces is negative for lead-based paint or if the chewable surfaces have already been treated.
- h. Testing must be conducted by a State or local health or housing agency, an inspector certified or regulated by a State or local health or housing agency, or an organization recognized by HUD. Lead content must be tested by using an X-ray fluorescence analyzer (XRF) or by laboratory analysis of paint samples. Where lead-based paint on chewable surfaces is identified, treatment of the paint surface in accordance with paragraph k of this Section is required, and treatment shall be completed within the time limits in paragraph c of this Section.

- i. The requirements in paragraph g of this Section apply to all protruding painted surfaces up to five feet from the floor or ground that are readily accessible to children under six years of age:
  - i. Within the unit;
  - ii. The entrance and hallway providing access to a unit in a multi-unit building; and
  - iii. Exterior surfaces (including walls, stairs, decks, porches, railings, windows and doors, but excluding outbuildings such as garages and sheds).
- j. In lieu of the procedures set forth in paragraph g of this Section, the housing authority may, at its discretion, waive the testing requirement and require the owner to treat all interior and exterior chewable surfaces in accordance with the methods set out in paragraph k of this Section.
- k. Treatment of defective paint surfaces and chewable surfaces must consist of covering or removal of the paint in accordance with the following requirements:
  - i. A defective paint surface shall be treated if the total area of defective paint on a component is:
    - (1) More than 10 square feet on an exterior wall;
    - (2) More than 2 square feet on an interior or exterior component with a large surface area, excluding exterior walls and including, but not limited to, ceilings, floors, doors, and interior walls;
    - (3) More than 10% of the total surface area on an interior or exterior component with a small surface area, including, but not limited to, windowsills, baseboards and trim.
  - ii. Acceptable methods of treatment are the following: removal by wet scraping, wet sanding, chemical stripping on or off site, replacing painted components, scraping with infra-red or coil type heat gun with temperatures below 1100 degrees, HEPA vacuum sanding, HEPA vacuum needle gun, contained hydroblasting or high pressure wash with HEPA vacuum, and abrasive sandblasting with HEPA

vacuum. Surfaces must be covered with durable materials with joint edges sealed and caulked as needed to prevent the escape of lead contaminated dust.

- iii. Prohibited methods of removal are the following: open flame burning or torching, machine sanding or grinding without a HEPA exhaust, uncontained hydroblasting or high pressure wash, and dry scraping except around electrical outlets or except when treating defective paint spots no more than two square feet in any one interior room or space (hallway, pantry, etc.) or totaling no more than twenty square feet on exterior surfaces.
- iv. During exterior treatment soil and playground equipment must be protected from contamination.
- v. All treatment procedures must be concluded with a thorough cleaning of all surfaces in the room or area of treatment to remove fine dust particles. Cleanup must be accomplished by wet washing surfaces with a lead solubilizing detergent such as trisodium phosphate or an equivalent solution.
- vi. Waste and debris must be disposed of in accordance with all applicable Federal, State, and local laws.
- l. The owner must take appropriate action to protect residents and their belongings from hazards associated with treatment procedures. Residents must not enter spaces undergoing treatment until cleanup is completed. Personal belongings that are in work areas must be relocated or otherwise protected from contamination.
- m. Prior to execution of the HAP contract, the owner must inform the Housing Authority and the family of any knowledge of the presence of lead-based paint on the surfaces of the residential unit.
- n. The Housing Authority must attempt to obtain annually from local health agencies the names and addresses of children with identified EBLs and must annually match this information with the names and addresses of participants under this part. If a match occurs, the Housing Authority must determine whether local health officials have tested the unit for lead-based paint. If the unit has lead-based paint, the Housing Authority must require the owner to treat the lead-based paint. If the owner does not complete the corrective

actions required by this Section, the family must be issued a certificate or voucher to move.

- o. The Housing Authority must keep a copy of each inspection report for at least three years. If a dwelling unit requires testing, or if the dwelling unit requires treatment of chewable surfaces based on the testing, the Housing Authority must keep the test results indefinitely and, if applicable, the owner certification and treatment. The records must indicate which chewable surfaces in the dwelling units have been tested and which chewable surfaces were tested or tested and treated in accordance with the standards prescribed in this Section, such chewable surfaces do not have to be tested or treated at any subsequent time.
- p. The dwelling unit must be able to be used and maintained without unauthorized use of other private properties. The building must provide an alternate means of exit in case of fire (such as fire stairs or egress through windows).

J. Access

1. Performance Requirements

The dwelling unit must be able to be used and maintained without unauthorized use of other private properties. The building must provide an alternate means of exit in case of fire (such as fire stairs or egress through windows).

K. Site and Neighborhood

1. Performance Requirements

The site and neighborhood must be reasonably free from disturbing noises and reverberations and other dangers to the health, safety, and general welfare of the occupants.

2. Acceptability Criteria

The site and neighborhood may not be subject to serious adverse environmental conditions, natural or manmade, such as dangerous walks or steps; instability; flooding, poor drainage, septic tank back-ups or sewage hazards; mudslides; abnormal air pollution, smoke or dust; excessive noise, vibration or vehicular traffic; excessive accumulations of trash; vermin or rodent infestation; or fire hazards.

L. Sanitary Condition

1. Performance Requirements

The dwelling unit and its equipment must be in sanitary condition.

2. Acceptability Criteria

The dwelling unit and its equipment must be free of vermin and rodent infestation.

M. Smoke Detectors

1. Performance Requirements

a. Except as provided in paragraph b below of this Section, each dwelling unit must have at least one battery-operated or hard-wired smoke detector, in proper operating condition, on each level of the dwelling unit, including basements but excepting crawl spaces and unfinished attics. Smoke detectors must be installed in accordance with and meet the requirements of the National Fire Protection Association Standard (NFPA) 74 (or its successor standards). If the dwelling unit is occupied by any hearing-impaired person, smoke detectors must have an alarm system, designed for hearing-impaired persons as specified in NFPA 74 (or successor standards).

b. For units assisted prior to April 24, 1993, owners who installed battery-operated or hard-wired smoke detectors prior to April 24, 1993, in compliance with HUD's smoke detector requirements, including the regulations published on July 30, 1992, (57 FR 33846), will not be required subsequently to comply with any additional requirements mandated by NFPA 74 (i.e., the owner would not be required to install a smoke detector in a basement not used for living purposes, nor would the owner be required to change the location of the smoke detectors that have already been installed on the other floors of the unit).

**12.4 EXCEPTIONS TO THE HQS ACCEPTABILITY CRITERIA**

The New Albany Housing Authority will utilize the acceptability criteria as outlined above with applicable State and local codes. Additionally, the New Albany Housing Authority has received HUD approval to require the following additional criteria:

A. In each room, there will be at least one exterior window that can be opened and that contains a screen.

- B. Owners will be required to scrape peeling paint and repaint all surfaces cited for peeling paint with 2 coats of non-lead paint. An extension may be granted as a severe weather related item as defined below.
- C. Adequate heat shall be considered to be 68 degrees.
- D. In units where the tenant must pay for utilities, each unit must have separate metering device(s) for measuring utility consumption.
- E. A ¾" overflow pipe must be present on the hot water heater safety valves and installed down to within 6 inches of the floor.

## **12.5 TIME FRAMES AND CORRECTIONS OF HQS FAIL ITEMS**

### **A. Correcting Initial HQS Fail Items**

The New Albany Housing Authority will schedule a timely inspection of the unit on the date the owner indicates that the unit will be ready for inspection, or as soon as possible thereafter (within 5 working days) upon receipt of a Request for Tenancy Approval. The owner and participant will be notified in writing of the results of the inspection. If the unit fails HQS again, the owner and the participant will be advised to notify the New Albany Housing Authority to reschedule a re-inspection when the repairs have been properly completed.

On an initial inspection, the owner will be given up to 30 days to correct the items noted as failed, depending on the extent of the repairs that are required to be made. No unit will be placed in the program until the unit meets the HQS requirements.

### **B. HQS Fail Items for Units under Contract**

The owner or participant will be given time to correct the failed items cited on the inspection report for a unit already under contract. If the failed items endanger the family's health or safety (using the emergency item list below), the owner or participant will be given 24 hours to correct the violations. For less serious failures, the owner or participant will be given up to 30 days to correct the failed item(s).

If the owner fails to correct the HQS failed items after proper notification has been given, the New Albany Housing Authority will abate payment and terminate the contract in accordance with Sections 12.7 and 17.0(B)(3).

If the participant fails to correct the HQS failed items that are family-caused after proper notification has been given, the New Albany Housing Authority will

terminate assistance for the family in accordance with Sections 12.2(B) and 17.0(B)(3).

C. Time Frames for Corrections

1. Emergency repair items must be abated within 24 hours.
2. Repair of refrigerators, range and oven, or a major plumbing fixture supplied by the owner must be abated within 72 hours.
3. Non-emergency items must be completed within 10 days of the initial inspection.
4. For major repairs, the owner will have up to 30 days to complete.

D. Extensions

At the sole discretion of the New Albany Housing Authority, extensions of up to 30 days may be granted to permit an owner to complete repairs if the owner has made a good faith effort to initiate repairs. If repairs are not completed within 60 days after the initial inspection date, the New Albany Housing Authority will abate the rent and cancel the HAP contract for owner noncompliance. Appropriate extensions will be granted if a severe weather condition exists for such items as exterior painting and outside concrete work for porches, steps, and sidewalks.

**12.6 EMERGENCY FAIL ITEMS**

The following items are to be considered examples of emergency items that need to be abated within 24 hours:

- A. No hot or cold water
- B. No electricity
- C. Inability to maintain adequate heat
- D. Major plumbing leak
- E. Natural gas leak
- F. Broken lock(s) on first floor doors or windows
- G. Broken windows that unduly allow weather elements into the unit
- H. Electrical outlet smoking or sparking

- I. Exposed electrical wires which could result in shock or fire
- J. Unusable toilet when only one toilet is present in the unit
- K. Security risks such as broken doors or windows that would allow intrusion
- L. Other conditions which pose an immediate threat to health or safety

### **12.7 ABATEMENT**

When a unit fails to meet HQS and the owner has been given an opportunity to correct the deficiencies, but has failed to do so within in the required timeframe, the rent for the dwelling unit will be abated.

The initial abatement period will not exceed 7 days. If the corrections of deficiencies are not made within the 7-day timeframe, the abatement will continue until the HAP contract is terminated. When the deficiencies are corrected, the New Albany Housing Authority will end the abatement the day the unit passes inspection. Rent will resume the following day and be paid the first day of the next month.

For tenant caused HQS deficiencies, the owner will not be held accountable and the rent will not be abated. The tenant is held to the same standard and timeframes for correction of deficiencies as owners. If repairs are not completed by the deadline, the New Albany Housing Authority will send a notice of termination to both the tenant and the owner. The tenant will be given the opportunity to request an informal hearing.

## **13.0 OWNER CLAIMS FOR DAMAGES, UNPAID RENT, AND VACANCY LOSS AND PARTICIPANT'S INSURING RESPONSIBILITIES**

This Section only applies to HAP contracts in effect before October 2, 1995. Vouchers have a provision for damages and unpaid rent. No vacancy loss is paid on vouchers. No Damage Claims will be processed unless the New Albany Housing Authority has performed a move-out inspection. Either the tenant or the owner can request the move-out inspection. Ultimately, it is the owner's responsibility to request the move-out inspection if he/she believes there may be a claim.

Damage claims are limited in the following manner:

- A. In the Voucher Program, owners are allowed to claim up to one (1) month contract rent minus greater of the security deposit collected or the security deposit

that should have been collected under the lease. There will be no payment for vacancy losses under the Voucher Program.

- B. No damage claims will be paid under either program effective on or after October 2, 1995.

### **13.1 OWNER CLAIMS FOR PRE-OCTOBER 2, 1995, UNITS**

In accordance with the HAP contract, owners can make special claims for damages, unpaid rent, and vacancy loss (vacancy loss can not be claimed for vouchers) after the tenant has vacated or a proper eviction proceeding has been conducted.

Owner claims for damages, unpaid rent, and vacancy loss are reviewed for accuracy and completeness. Claims are then compared to the move-in and move-out inspections to determine if an actual claim is warranted. No claim will be paid for normal wear and tear. Unpaid utility bills are not an eligible claim item.

The New Albany Housing Authority will make payments to owners for approved claims. It should be noted that the tenant is ultimately responsible for any damages, unpaid rent, and vacancy loss paid to the owner and will be held responsible to repay the New Albany Housing Authority to remain eligible for the Section 8 Program.

Actual bills and receipts for repairs, materials, and labor must support claims for damages. The New Albany Housing Authority will develop a list of reasonable costs and charges for items routinely included on damage claims. This list will be used as a guide.

Owners can claim unpaid rent owned by the tenant up to the date of HAP termination.

In the Certificate Program, owners can claim for a vacancy loss as outlined in the HAP contract. In order to claim a vacancy loss, the owner must notify the New Albany Housing Authority immediately upon learning of the vacancy or suspected vacancy. The owner must make a good faith effort to rent the unit as quickly as possible to another renter.

All claims and supporting documentation under this Section must be submitted to the New Albany Housing Authority within thirty (30) days of the move-out inspection. Any reimbursement shall be applied first towards any unpaid rent. No reimbursement may be claimed for unpaid rent for the period after the family vacates.

### **13.2 PARTICIPANT RESPONSIBILITIES**

If a damage claim or unpaid rent claim has been paid to an owner, the participant is responsible for repaying the amount to the New Albany Housing Authority. This shall be done by either paying the full amount due immediately upon the New Albany Housing

Authority requesting it or through a Repayment Agreement that is approved by the New Albany Housing Authority.

If the participant is not current on any Repayment Agreements or has unpaid claims on more than one unit, the participant shall be terminated from the program. The participant retains the right to request an informal hearing.

## **14.0 RECERTIFICATION**

### **14.1 ANNUAL REEXAMINATION**

At least annually the New Albany Housing Authority will conduct a reexamination of family income and circumstances. The results of the reexamination determine (1) the rent the family will pay, and (2) whether the family subsidy is correct based on the family unit size.

The New Albany Housing Authority will send a notification letter to the family letting them know that it is time for their annual reexamination and scheduling an appointment. The letter includes forms for the family to complete in preparation for the interview. The letter includes instructions permitting the family to reschedule the interview if necessary. The letter tells families who may need to make alternate arrangements due to a disability that they may contact staff to request an accommodation of their needs.

During the interview, the family will provide all information regarding income, assets, expenses, and other information necessary to determine the family's share of rent. The family will sign the HUD consent form and other consent forms that later will be mailed to the sources that will verify the family circumstances.

Upon receipt of verification, the New Albany Housing Authority will determine the family's annual income and will calculate their family share.

#### **14.1.1 Effective Date of Rent Changes for Annual Reexaminations**

The new family share will generally be effective upon the anniversary date with 30 days notice of any rent increase to the family.

If the rent determination is delayed due to a reason beyond the control of the family, then any rent increase will be effective the first of the month after the month in which the family receives a 30 day notice of the amount. If the new rent is a reduction and the delay is beyond the control of the family, the reduction will be effective as scheduled on the anniversary date.

If the family caused the delay, then any increase will be effective on the anniversary date. Any reduction will be effective the first of the month after the rent amount is determined.

### **14.1.2 Missed Appointments**

If the family fails to respond to the letter and fails to attend the interview, a second letter will be mailed. The second letter will advise of a new time and date for the interview, allowing for the same considerations for rescheduling and accommodation as above. The letter will also advise that failure by the family to attend the second scheduled interview will result in the New Albany Housing Authority taking action to terminate the family's assistance.

### **14.2 INTERIM REEXAMINATIONS**

During an interim reexamination only the information affected by the changes being reported will be reviewed and verified.

Families will not be required to report any increase in income or decreases in allowable expenses between annual reexaminations.

Families are required to report the following changes to the New Albany Housing Authority between regular reexaminations. These changes will trigger an interim reexamination.

- A. A member has been added to the family through birth or adoption or court-awarded custody.
- B. A household member is leaving or has left the family unit.
- C. Family break-up

In circumstances of a family break-up, the New Albany Housing Authority will make a determination of which family member will retain the certificate or voucher, taking into consideration the following factors:

1. To whom the certificate or voucher was issued.
2. The interest of minor children or of ill, elderly, or disabled family members.
3. Whether the assistance should remain with the family members remaining in the unit.
4. Whether family members were forced to leave the unit as a result of actual or threatened physical violence by a spouse or other member(s) of the household.

If a court determines the disposition of property between members of the assisted family in a divorce or separation under a settlement of judicial decree, the New Albany Housing Authority will be bound by the court's determination of which family members continue to receive assistance in the program.

Because of the number of possible different circumstances in which a determination will have to be made, the New Albany Housing Authority will make determinations on a case by case basis.

The New Albany Housing Authority will issue a determination within 10 business days of the request for a determination. The family member requesting the determination may request an informal hearing in compliance with the informal hearings in Section 16.3.

In order to add a household member other than through birth or adoption (including a live-in aide) the family must request that the new member be added to the lease. Before adding the new member to the lease, the individual must complete an application form stating their income, assets, and all other information required of an applicant. The individual must provide their Social Security Number if they have one, and must verify their citizenship/eligible immigrant status (Their housing will not be delayed due to delays in verifying eligible immigrant status other than delays caused by the family). The new family member will go through the screening process similar to the process for applicants. The New Albany Housing Authority will determine the eligibility of the individual before allowing them to be added to the lease. If the individual is found to be ineligible or does not pass the screening criteria, they will be advised in writing and given the opportunity for an informal review. If they are found to be eligible and do pass the screening criteria, the New Albany Housing Authority will grant approval to add their name to the lease. At the same time, the family's annual income will be recalculated taking into account the income and circumstances of the new family member. The effective date of the new rent will be in accordance with paragraph below 14.2.2.

Families are not required to, but may at any time, request an interim reexamination based on a decrease in income, an increase in allowable expenses, or other changes in family circumstances. Upon such request, the New Albany Housing Authority will take timely action to process the interim reexamination and recalculate the family share.

#### **14.2.1 Special Reexaminations**

If a family's income is too unstable to project for 12 months, including families that temporarily have no income or have a temporary decrease in income, the New Albany Housing Authority may schedule special reexaminations every 60 days until the income stabilizes and an annual income can be determined.

#### **14.2.2 Effective Date of Rent Changes Due to Interim or Special Reexaminations**

Unless there is a delay in reexamination processing caused by the family, any rent increase will be effective the first of the second month after the month in which the family receives notice of the new rent amount. If the family causes a delay, then the rent increase will be effective on the date it would have been effective had the process not been delayed (even if this means a retroactive increase).

If the new rent is a reduction and any delay is beyond the control of the family, the reduction will be effective the first of the month after the interim reexamination should have been completed.

If the new rent is a reduction and the family caused the delay or did not report the change in a timely manner, the change will be effective the first of the month after the rent amount is determined.

## **15.0 TERMINATION OF ASSISTANCE TO THE FAMILY BY THE NEW ALBANY HOUSING AUTHORITY**

The Housing Authority may at any time terminate program assistance for a participant, because of any of the actions or inaction by the household:

- A. If the family violates any family obligations under the program.
- B. If a family member fails to sign and submit consent forms.
- C. If a family fails to establish citizenship or eligible immigrant status and is not eligible for or does not elect continuation of assistance, pro-ration of assistance, or temporary deferral of assistance. If the New Albany Housing Authority determines that a family member has knowingly permitted an ineligible noncitizen (other than any ineligible noncitizens listed on the lease) to permanently reside in their Section 8 unit, the family's assistance will be terminated. Such family will not be eligible to be readmitted to Section 8 for a period of 24 months from the date of termination.
- D. If any member of the family has ever been evicted from public housing.
- E. If the Housing Authority has ever terminated assistance under the Certificate or Voucher Program for any member of the family.
- F. If any member of the family commits drug-related criminal activity, or violent criminal activity.
- G. If any member of the family commits fraud, bribery or any other corrupt or criminal act in connection with any Federal housing program.

- H. If the family currently owes rent or other amounts to the Housing Authority or to another Housing Authority in connection with Section 8 or public housing assistance under the 1937 Act.
- I. If the family has not reimbursed any Housing Authority for amounts paid to an owner under a HAP contract for rent, damages to the unit, or other amounts owed by the family under the lease.
- J. If the family breaches an agreement with the Housing Authority to pay amounts owed to a Housing Authority, or amounts paid to an owner by a Housing Authority. (The Housing Authority, at its discretion, may offer a family the opportunity to enter an agreement to pay amounts owed to a Housing Authority or amounts paid to an owner by a Housing Authority. The Housing Authority may prescribe the terms of the agreement.)
- K. If a family participating in the FSS program fails to comply, without good cause, with the family's FSS contract of participation.
- L. If the family has engaged in or threatened abusive or violent behavior toward Housing Authority personnel.
- M. If any household member is subject to a lifetime registration requirement under a State sex offender registration program.
- N. If a household member's illegal use (or pattern of illegal use) of a controlled substance, or whose abuse (or pattern of abuse) of alcohol, is determined by the New Albany Housing Authority to interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents.

**16.0 COMPLAINTS, INFORMAL REVIEWS FOR APPLICANTS, INFORMAL HEARINGS FOR PARTICIPANTS**

**16.1 COMPLAINTS**

The New Albany Housing Authority will investigate and respond to complaints by participant families, owners, and the general public. The New Albany Housing Authority may require that complaints other than HQS violations be put in writing. Anonymous complaints are investigated whenever possible.

**16.2 INFORMAL REVIEW FOR THE APPLICANT**

- A. Informal Review for the Applicant

The New Albany Housing Authority will give an applicant for participation in the Section 8 Existing Program prompt notice of a decision denying assistance to the applicant. The notice will contain a brief statement of the reasons for the New Albany Housing Authority decision. The notice will state that the applicant may request an informal review within 10 business days of the denial and will describe how to obtain the informal review.

B. When an Informal Review is not Required

The New Albany Housing Authority will not provide the applicant an opportunity for an informal review for any of the following reasons:

1. A determination of the family unit size under the New Albany Housing Authority subsidy standards.
2. A New Albany Housing Authority determination not to approve an extension or suspension of a certificate or voucher term.
3. A New Albany Housing Authority determination not to grant approval to lease a unit under the program or to approve a proposed lease.
4. A New Albany Housing Authority determination that a unit selected by the applicant is not in compliance with HQS.
5. A New Albany Housing Authority determination that the unit is not in accordance with HQS because of family size or composition.
6. General policy issues or class grievances.
7. Discretionary administrative determinations by the New Albany Housing Authority.

C. Informal Review Process

The New Albany Housing Authority will give an applicant an opportunity for an informal review of the New Albany Housing Authority decision denying assistance to the applicant. The procedure is as follows:

1. The review will be conducted by any person or persons designated by the New Albany Housing Authority other than the person who made or approved the decision under review or a subordinate of this person.
2. The applicant will be given an opportunity to present written or oral objections to the New Albany Housing Authority decision.

3. The New Albany Housing Authority will notify the applicant of the New Albany Housing Authority decision after the informal review within 14 calendar days. The notification will include a brief statement of the reasons for the final decision.

D. Considering Circumstances

In deciding whether to terminate assistance because of action or inaction by members of the family, the Housing Authority may consider all of the circumstances in each case, including the seriousness of the case, the extent of participation or culpability of individual family members, and the effects of denial or termination of assistance on other family members who were not involved in the action or failure.

The Housing Authority may impose, as a condition of continued assistance for other family members, a requirement that family members who participated in or were culpable for the action or failure will not reside in the unit. The Housing Authority may permit the other members of a participant family to continue receiving assistance.

If the Housing Authority seeks to terminate assistance because of illegal use, or possession for personal use, of a controlled substance, or pattern of abuse of alcohol, such use or possession or pattern of abuse must have occurred within one year before the date that the Housing Authority provides notice to the family of the Housing Authority determination to deny or terminate assistance. In determining whether to terminate assistance for these reasons the New Albany Housing Authority will consider evidence of whether the household member:

1. Has successfully completed a supervised drug or alcohol rehabilitation program (as applicable) and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol;
2. Has otherwise been rehabilitated successfully and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol; or
3. Is participating in a supervised drug or alcohol rehabilitation program and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol.

E. Informal Review Procedures for Denial of Assistance on the Basis of Ineligible Immigration Status

The applicant family may request that the New Albany Housing Authority provide for an informal review after the family has notification of the INS

decision on appeal, or in lieu of request of appeal to the INS. This request must be made by the applicant family within 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or within 30 days of receipt of the INS appeal decision.

For applicant families, the Informal Review Process above will be utilized with the exception that the applicant family will have up to 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or of the INS appeal decision to request the review.

### **16.3 INFORMAL HEARINGS FOR PARTICIPANTS**

#### **A. When a Hearing is Required**

1. The New Albany Housing Authority will give a participant family an opportunity for an informal hearing to consider whether the following New Albany Housing Authority decisions relating to the individual circumstances of a participant family are in accordance with the law, HUD regulations, and New Albany Housing Authority policies:
  - a. A determination of the family's annual or adjusted income, and the use of such income to compute the housing assistance payment.
  - b. A determination of the appropriate utility allowance (if any) for tenant-paid utilities from the New Albany Housing Authority utility allowance schedule.
  - c. A determination of the family unit size under the New Albany Housing Authority subsidy standards.
  - d. A determination to terminate assistance for a participant family because of the family's action or failure to act.
  - e. A determination to terminate assistance because the participant family has been absent from the assisted unit for longer than the maximum period permitted under the New Albany Housing Authority policy and HUD rules.
2. In cases described in paragraphs 16.3(A)(1)(d), (e), and (f), of this Section, the New Albany Housing Authority will give the opportunity for an informal hearing before the New Albany Housing Authority terminates housing assistance payments for the family under an outstanding HAP contract.

#### **B. When a Hearing is not Required**

The New Albany Housing Authority will not provide a participant family an opportunity for an informal hearing for any of the following reasons:

1. Discretionary administrative determinations by the New Albany Housing Authority.
2. General policy issues or class grievances.
3. Establishment of the New Albany Housing Authority schedule of utility allowances for families in the program.
4. A New Albany Housing Authority determination not to approve an extension or suspension of a certificate or voucher term.
5. A New Albany Housing Authority determination not to approve a unit or lease.
6. A New Albany Housing Authority determination that an assisted unit is not in compliance with HQS. (However, the New Albany Housing Authority will provide the opportunity for an informal hearing for a decision to terminate assistance for a breach of the HQS caused by the family.)
7. A New Albany Housing Authority determination that the unit is not in accordance with HQS because of the family size.
8. A determination by the New Albany Housing Authority to exercise or not exercise any right or remedy against the owner under a HAP contract.

C. Notice to the Family

1. In the cases described in paragraphs 16.3(A)(1)(a), (b), and (c), of this Section, the New Albany Housing Authority will notify the family that the family may ask for an explanation of the basis of the New Albany Housing Authority's determination, and that if the family does not agree with the determination, the family may request an informal hearing on the decision.
2. In the cases described in paragraphs 16.3(A)(1)(d), (e), and (f), of this Section, the New Albany Housing Authority will give the family prompt written notice that the family may request a hearing within 10 business days of the notification. The notice will:
  - a. Contain a brief statement of the reasons for the decision; and

- b. State this if the family does not agree with the decision, the family may request an informal hearing on the decision within 10 business days of the notification.

D. Hearing Procedures

The New Albany Housing Authority and participants will adhere to the following procedures:

1. Discovery

- a. The family will be given the opportunity to examine before the hearing any New Albany Housing Authority documents that are directly relevant to the hearing. The family will be allowed to copy any such document at the family's expense. If the New Albany Housing Authority does not make the document(s) available for examination on request of the family, the New Albany Housing Authority may not rely on the document at the hearing.
- b. The New Albany Housing Authority will be given the opportunity to examine, at the New Albany Housing Authority's offices before the hearing, any family documents that are directly relevant to the hearing. The New Albany Housing Authority will be allowed to copy any such document at the New Albany Housing Authority's expense. If the family does not make the document(s) available for examination on request of the New Albany Housing Authority, the family may not rely on the document at the hearing.

Note: The term **document** includes records and regulations.

2. Representation of the Family

At its own expense, a lawyer or other representative may represent the family.

3. Hearing Officer

- a. The hearing will be conducted by any person or persons designated by the New Albany Housing Authority, other than a person who made or approved the decision under review or a subordinate of this person.

- b. The person who conducts the hearing will regulate the conduct of the hearing in accordance with the New Albany Housing Authority hearing procedures.

4. Evidence

The New Albany Housing Authority and the family must have the opportunity to present evidence and may question any witnesses. Evidence may be considered without regard to admissibility under the rules of evidence applicable to judicial proceedings.

5. Issuance of Decision

The person who conducts the hearing must issue a written decision within 14 calendar days from the date of the hearing, stating briefly the reasons for the decision. Factual determinations relating to the individual circumstances of the family shall be based on a preponderance of the evidence presented at the hearing.

6. Effect of the Decision

The New Albany Housing Authority is not bound by a hearing decision:

- a. Concerning a matter for which the New Albany Housing Authority is not required to provide an opportunity for an informal hearing under this Section, or that otherwise exceeds the authority of the person conducting the hearing under the New Albany Housing Authority hearing procedures.
- b. Contrary to HUD regulations or requirements, or otherwise contrary to Federal, State, or local law.
- c. If the New Albany Housing Authority determines that it is not bound by a hearing decision, the New Albany Housing Authority will notify the family within 14 calendar days of the determination, and of the reasons for the determination.

E. Considering Circumstances

In deciding whether to terminate assistance because of action or inaction by members of the family, the Housing Authority may consider all of the circumstances in each case, including the seriousness of the case, the extent of participation or culpability of individual family members, and the effects of denial or termination of assistance on other family members who were not involved in the action or failure.

The Housing Authority may impose, as a condition of continued assistance for other family members, a requirement that family members who participated in or were culpable for the action or failure will not reside in the unit. The Housing Authority may permit the other members of a participant family to continue receiving assistance.

If the Housing Authority seeks to terminate assistance because of illegal use, or possession for personal use, of a controlled substance, or pattern of abuse of alcohol, such use or possession or pattern of abuse must have occurred within one year before the date that the Housing Authority provides notice to the family of the Housing Authority determination to deny or terminate assistance. In determining whether to terminate assistance for these reasons the New Albany Housing Authority will consider evidence of whether the household member:

1. Has successfully completed a supervised drug or alcohol rehabilitation program (as applicable) and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol;
2. Has otherwise been rehabilitated successfully and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol; or
3. Is participating in a supervised drug or alcohol rehabilitation program and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol.

F. Informal Hearing Procedures for Denial of Assistance on the Basis of Ineligible Immigration Status

The participant family may request that the New Albany Housing Authority provide for an informal hearing after the family has notification of the INS decision on appeal, or in lieu of request of appeal to the INS. This request must be made by the participant family within 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or within 30 days of receipt of the INS appeal decision.

For the participant families, the Informal Hearing Process above will be utilized with the exception that the participant family will have up to 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or of the INS appeal decision.

## **17.0 TERMINATION OF THE LEASE AND CONTRACT**

The term of the lease and the term of the HAP contract are the same. They begin on the same date and they end on the same date. The lease may be terminated by the owner, by

the tenant, or by the mutual agreement of both. The owner may only terminate the contract by terminating the lease. The HAP contract may be terminated by the New Albany Housing Authority. Under some circumstances the contract automatically terminates.

A. Termination of the lease

1. By the family

The family may terminate the lease without cause upon proper notice to the owner and to the New Albany Housing Authority after the first year of the lease. The length of the notice that is required is stated in the lease (generally 30 days).

2. By the owner.

a. The owner may terminate the lease during its term on the following grounds:

- i. Serious or repeated violations of the terms or conditions of the lease;
- ii. Violation of Federal, State, or local law that impose obligations on the tenant in connection with the occupancy or use of the unit and its premises;
- iii. Criminal activity by the household, a guest, or another person under the control of the household that threatens the health, safety, or right to peaceful enjoyment of the premises by other persons residing in the immediate vicinity of the premises;
- iv. Any drug-related criminal activity on or near the premises;
- v. Other good cause. Other good cause may include, but is not limited to:
  - (1) Failure by the family to accept the offer of a new lease;
  - (2) Family history of disturbances of neighbors or destruction of property, or living or housekeeping habits resulting in damage to the property or unit;

- (3) The owner's desire to utilize the unit for personal or family use or for a purpose other than use as a residential rental unit;
    - (4) A business or economic reason such as sale of the property, renovation of the unit, desire to rent at a higher rental amount.
  - b. During the first year the owner may not terminate tenancy for other good cause unless the reason is because of something the household did or failed to do.
  - c. The owner may only evict the tenant by instituting court action. The owner must give the New Albany Housing Authority a copy of any owner eviction notice to the tenant at the same time that the owner gives the notice to the tenant.
  - d. The owner may terminate the contract at the end of the initial lease term or any extension of the lease term without cause by providing notice to the family that the lease term will not be renewed.
- 3. Termination of the Lease by mutual agreement

The family and the owner may at any time mutually agree to terminate the lease.

## B. Termination of the Contract

- 1. Automatic termination of the Contract
  - a. If the New Albany Housing Authority terminates assistance to the family, the contract terminates automatically.
  - b. If the family moves out of the unit, the contract terminates automatically.
  - c. The contract terminates automatically 180 calendar days after the last housing assistance payment to the owner.
- 2. Termination of the contract by the owner

The owner may only terminate tenancy in accordance with lease and State and local law.
- 3. Termination of the HAP contract by the New Albany Housing Authority

The Housing Authority may terminate the HAP contract because:

- a. The Housing Authority has terminated assistance to the family.
- b. The unit does not meet HQS space standards because of an increase in family size or change in family composition.
- c. The unit is larger than appropriate for the family size or composition under the regular Certificate Program.
- d. When the family breaks up and the New Albany Housing Authority determines that the family members who move from the unit will continue to receive the assistance.
- e. The New Albany Housing Authority determines that there is insufficient funding in their contract with HUD to support continued assistance for families in the program.
- f. The owner has breached the contract in any of the following ways:
  - i. If the owner has violated any obligation under the HAP contract for the dwelling unit, including the owner's obligation to maintain the unit in accordance with the HQS.
  - ii. If the owner has violated any obligation under any other housing assistance payments contract under Section 8 of the 1937.
  - iii. If the owner has committed fraud, bribery, or any other corrupt or criminal act in connection with any Federal housing program.
  - iv. For projects with mortgages insured by HUD or loans made by HUD, if the owner has failed to comply with the regulations for the applicable mortgage insurance or loan program, with the mortgage or mortgage note, or with the regulatory agreement;
  - v. If the owner has engaged in drug trafficking.

4. Final HAP payment to owner

The HAP payment stops when the lease terminates. The owner may keep the payment for the month in which the family moves out. If the owner

has begun eviction proceedings and the family continues to occupy the unit, the Housing Authority will continue to make payments until the owner obtains a judgment or the family moves out.

## **18.0 CHARGES AGAINST THE SECTION 8 ADMINISTRATIVE FEE RESERVE**

Occasionally, it is necessary for the New Albany Housing Authority to spend money of its Section 8 Administrative Fee Reserve to meet unseen or extraordinary expenditures or for its other housing related purposes consistent with State law.

The New Albany Housing Authority Board of Commissioners authorizes the Executive Director to expend without prior Board approval up to **\$10,000.00** for authorized expenditures.

Any item(s) exceeding **\$10,000.00** will require prior Board of Commissioner approval before any charge is made against the Section 8 Administrative Fee Reserve.

## **19.0 INTELLECTUAL PROPERTY RIGHTS**

No program receipts may be used to indemnify contractors or subcontractors of the New Albany Housing Authority against costs associated with any judgement of infringement of intellectual property rights.

## GLOSSARY

**1937 Housing Act:** The United States Housing Act of 1937 [42 U.S.C. 1437 et seq.]

**Absorption:** In portability, the point at which a receiving housing authority stops billing the initial housing authority for assistance on behalf of a portable family. [24 CFR 982.4]

**Adjusted Annual Income:** The amount of household income, after deductions for specified allowances, on which tenant rent is based.

**Administrative fee:** Fee paid by HUD to the housing authority for the administration of the program.

**Administrative Plan:** The plan that describes housing authority policies for the administration of the tenant-based programs.

**Admission:** The point when the family becomes a participant in the program. In a tenant-based program, the date used for this purpose is the effective date of the first HAP Contract for a family (first day of initial lease term).

**Adult:** A household member who is 18 years or older or who is the head of the household, or spouse, or co-head.

**Allowances:** Amounts deducted from the household's annual income in determining adjusted annual income (the income amount used in the rent calculation). Allowances are given for elderly families, dependents, medical expenses for elderly families, disability expenses, and child care expenses for children under 13 years of age. Other allowance can be given at the discretion of the housing authority.

**Amortization Payment:** In a manufactured home space rental: The monthly debt service payment by the family to amortize the purchase price of the manufactured home.

**Annual Contributions Contract (ACC):** The written contract between HUD and a housing authority under which HUD agrees to provide funding for a program under the 1937 Act, and the housing authority agrees to comply with HUD requirements for the program.

**Annual Income:** All amounts, monetary or not, that:

- a. Go to (or on behalf of) the family head or spouse (even if temporarily absent) or to any other family member, or
- b. Are anticipated to be received from a source outside the family during the 12-month period following admission or annual reexamination effective date; and

- c. Are not specifically excluded from Annual Income.
- d. Annual Income also includes amounts derived (during the 12-month period) from assets to which any member of the family has access.

**Applicant (applicant family):** A family that has applied for admission to a program but is not yet a participant in the program.

**Assets:** see net family assets.

**Asset Income:** Income received from assets held by household members. If assets total more than \$5,000, income from the assets is "imputed" and the greater of actual asset income and imputed asset income is counted in annual income.

**Assisted lease (lease):** A written agreement between an owner and a family for the leasing of a dwelling unit to the family. The lease establishes the conditions for occupancy of the dwelling unit by a family with housing assistance payments under a HAP contract between the owner and the housing authority.

**Certificate:** A document issued by a housing authority to a family selected for admission to the Certificate Program. The certificate describes the program and the procedures for housing authority approval of a unit selected by the family. The certificate also states the obligations of the family under the program.

**Certification:** The examination of a household's income, expenses, and family composition to determine the household's eligibility for program participation and to calculate the household's rent for the following 12 months.

**Child:** For purposes of citizenship regulations, a member of the family other than the family head or spouse who is under 18 years of age.

**Child care expenses:** Amounts anticipated to be paid by the family for the care of children under 13 years of age during the period for which annual income is computed, but only where such care is necessary to enable a family member to actively seek employment, be gainfully employed, or to further his or her education and only to the extent such amounts are not reimbursed. The amount deducted shall reflect reasonable charges for child care. In the case of childcare necessary to permit employment, the amount deducted shall not exceed the amount of employment income that is included in annual income.

**Citizen:** A citizen or national of the United States.

**Common space:** In shared housing: Space available for use by the assisted family and other occupants of the unit.

**Congregate housing:** Housing for elderly or persons with disabilities that meets the HQS for congregate housing.

**Consent form:** Any consent form approved by HUD to be signed by assistance applicants and participants for the purpose of obtaining income information from employers and SWICAs, return information from the Social Security Administration, and return information for unearned income from the Internal Revenue Service. The consent forms may authorize the collection of other information from assistance applicants or participant to determine eligibility or level of benefits.

**Contiguous MSA:** In portability, an MSA that shares a common boundary with the MSA in which the jurisdiction of the initial housing authority is located.

**Continuously assisted:** An applicant is continuously assisted under the 1937 Housing Act if the family is already receiving assistance under any 1937 Housing Act program when the family is admitted to the Voucher Program.

**Cooperative:** Housing owned by a non-profit corporation or association, and where a member of the corporation or association has the right to reside in a particular apartment, and to participate in management of the housing.

**Domicile:** The legal residence of the household head or spouse as determined in accordance with State and local law.

**Decent, safe, and sanitary:** Housing is decent, safe, and sanitary if it satisfies the applicable housing quality standards.

**Department:** The Department of Housing and Urban Development.

**Dependent:** A member of the family (except foster children and foster adults) other than the family head or spouse, who is under 18 years of age, or is a person with a disability, or is a full-time student.

**Disability assistance expenses:** Reasonable expenses that are anticipated, during the period for which annual income is computed, for attendant care and auxiliary apparatus for a disabled family member and that are necessary to enable a family member (including the disabled member) to be employed, provided that the expenses are neither paid to a member of the family nor reimbursed by an outside source.

**Disabled family:** A family whose head, spouse, or sole member is a person with disabilities; or two or more persons with disabilities living together; or one or more persons with disabilities living with one or more live-in aides.

**Disabled person:** See "person with disabilities."

**Displaced family:** A family in which each member, or whose sole member, is a person displaced by governmental action (such as urban renewal), or a person whose dwelling has been extensively damaged or destroyed as a result of a disaster declared or otherwise formally recognized pursuant to Federal disaster relief laws.

**Displaced person:** A person displaced by governmental action (such as urban renewal), or a person whose dwelling has been extensively damaged or destroyed as a result of a disaster declared or otherwise formally recognized pursuant to Federal disaster relief laws.

**Drug related criminal activity:** Illegal use or personal use of a controlled substance, and the illegal manufacture, sale, distribution, use or possession with intent to manufacture, sell, distribute or use, of a controlled substance.

**Drug trafficking:** The illegal manufacture, sale, or distribution, or the possession with intent to manufacture, sell, or distribute, of a controlled substance.

**Elderly family:** A family whose head, spouse, or sole member is a person who is at least 62 years of age; or two or more persons who are at least 62 years of age living together; or one or more persons who are at least 62 years of age living with one or more live-in aides.

**Elderly person:** A person who is at least 62 years of age.

**Evidence of citizenship or eligible status:** The documents that must be submitted to evidence citizenship or eligible immigration status.

**Exception rent:** An amount that exceeds the published fair market rent.

**Extremely low-income families:** Those families whose incomes do not exceed 30% of the median income for the area, as determined by the Secretary with adjustments for smaller and larger families.

**Fair Housing Act:** Title VIII of the Civil Rights Act of 1968, as amended by the Fair Housing Amendments Act of 1988 (42 U.S.C. 3601 et seq.).

**Fair market rent (FMR):** The rent, including the cost of utilities (except telephone), as established by HUD for units of varying sizes (by number of bedrooms), that must be paid in the housing market area to rent privately owned, existing, decent, safe and sanitary rental housing of modest (non-luxury) nature with suitable amenities. FMRs are published periodically in the Federal Register.

**Family** includes but is not limited to:

- a. A family with or without children (the temporary absence of a child from the home due to placement in foster care shall not be considered in determining family composition and family size);
- b. An elderly family;

- c. A near-elderly family;
- d. A disabled family;
- e. A displaced family;
- f. The remaining member of a tenant family; and
- g. A single person who is not an elderly or displaced person, or a person with disabilities, or the remaining member of a tenant family.

**Family members:** include all household members except live-in aides, foster children and foster adults. All family members permanently reside in the unit, though they may be temporarily absent. All family members are listed on the HUD-50058.

**Family self-sufficiency program (FSS program):** The program established by a housing authority to promote self-sufficiency of assisted families, including the coordination of supportive services (42 U.S.C. 1437u).

**Family share:** The portion of rent and utilities paid by the family.

**Family unit size:** The appropriate number of bedrooms for a family as determined by the housing authority under the housing authority's subsidy standards.

**50058 Form:** The HUD form that Housing Authority's are required to complete for each assisted household in public housing to record information used in the certification and re-certification process, and, at the option of the housing authority, for interim reexaminations.

**FMR/exception rent limit:** The Section 8 existing housing fair market rent published by HUD headquarters, or any exception rent. For a tenancy in the Voucher Program, the housing authority may adopt a payment standard up to the FMR/exception rent limit.

**Full-time student:** A person who is carrying a subject load that is considered full-time for day students under the standards and practices of the educational institution attended. An educational institution includes a vocational school with a diploma or Certificate Program, as well as an institution offering a college degree.

**Gross rent:** The sum of the rent to the owner plus any utilities.

**Group Home:** A dwelling unit that is licensed by a State as a group home for the exclusive residential use of two to twelve persons who are elderly or persons with disabilities (including any live-in aide).

**Head of household:** The adult member of the family who is the head of the household for purposes of determining income eligibility and rent.

**Household members:** include all individuals who reside or will reside in the unit and who are listed on the lease, including live-in aides, foster children and foster adults.

**Housing Assistance Payment (HAP):** The monthly assistance by a housing authority, which includes (1) a payment to the owner for rent to the owner under the family's lease, and (2) an additional payment to the family if the total assistance payment exceeds the rent to owner.

**Housing quality standards (HQS):** The HUD minimum quality standards for housing assisted under the Section 8 program.

**Housing voucher:** A document issued by a housing authority to a family selected for admission to the Voucher Program. This document describes the program and the procedures for housing authority approval of a unit selected by the family. The voucher also states the obligations of the family under the program.

**Housing voucher holder:** A family that has an unexpired housing voucher.

**Imputed income:** For households with net family assets of more than \$5,000, the amount calculated by multiplying net family assets by a HUD-specified percentage. If imputed income is more than actual income from assets, the imputed amount is used in determining annual income.

**Income category:** Designates a family's income range. There are three categories: low income, very low income and extremely low-income.

**Incremental income:** The increased portion of income between the total amount of welfare and earnings of a family member prior to enrollment in a training program and welfare and earnings of the family member after enrollment in the training program. All other amounts, increases and decreases, are treated in the usual manner in determining annual income.

**Initial Housing Authority:** In portability, both: (1) a housing authority that originally selected a family that later decides to move out of the jurisdiction of the selecting housing authority; and (2) a housing authority that absorbed a family that later decides to move out of the jurisdiction of the absorbing housing authority.

**Initial payment standard:** The payment standard at the beginning of the HAP contract term.

**Initial rent to owner:** The rent to owner at the beginning of the initial lease term.

**Interim (examination):** A reexamination of a household's income, expenses, and household status conducted between the annual recertifications when a change in a household's circumstances warrant such a reexamination.

**Jurisdiction:** The area in which the housing authority has authority under State and local law to administer the program.

**Lease:** A written agreement between an owner and tenant for the leasing of a dwelling unit to the tenant. The lease establishes the conditions for occupancy of the dwelling unit by a family with

housing assistance payments under a HAP Contract between the owner and the housing authority.

**Live-in aide:** A person who resides with one or more elderly persons, or near-elderly persons, or persons with disabilities, and who:

- a. Is determined to be essential to the care and well-being of the persons;
- b. Is not obligated for the support of the persons; and
- c. Would not be living in the unit except to provide the necessary supportive services.

**Low-income families:** Those families whose incomes do not exceed 80% of the median income for the area, as determined by the Secretary with adjustments for smaller and larger families. [1937Act)

**Manufactured home:** A manufactured structure that is built on a permanent chassis, is designed for use as a principal place of residence, and meets the HQS.

**Manufacture home space:** In manufactured home space rental: A space leased by an owner to a family. A manufactured home owned and occupied by the family is located on the space.

**Medical expenses:** Medical expenses, including medical insurance premiums, that are anticipated during the period for which annual income is computed, and that are not covered by insurance.

**Mixed family:** A family whose members include those with citizenship or eligible immigration status, and those without citizenship or eligible immigration status.

**Moderate rehabilitation:** Rehabilitation involving a minimum expenditure of \$1000 for a unit, including its prorated share of work to be accomplished on common areas or systems, to:

- a. upgrade to decent, safe and sanitary condition to comply with the Housing Quality Standards or other standards approved by HUD, from a condition below these standards (improvements being of a modest nature and other than routine maintenance; or
- b. repair or replace major building systems or components in danger of failure.

**Monthly adjusted income:** One twelfth of adjusted income.

**Monthly income:** One twelfth of annual income.

**Mutual housing** is included in the definition of "cooperative".

**National:** A person who owes permanent allegiance to the United States, for example, as a result of birth in a United States territory or possession.

**Near-elderly family:** A family whose head, spouse, or sole member is a person who is at least 50 years of age but below the age of 62; or two or more persons, who are at least 50 years of age but below the age of 62, living together; or one or more persons who are at least 50 years of age but below the age of 62 living with one or more live-in aides.

**Net family assets:**

- a. Net cash value after deducting reasonable costs that would be incurred in disposing of real property, savings, stocks, bonds, and other forms of capital investment, excluding interests in Indian trust land and excluding equity accounts in HUD homeownership programs. The value of necessary items of personal property such as furniture and automobiles shall be excluded.
- b. In cases where a trust fund has been established and the trust is not revocable by, or under the control of, any member of the family or household, the value of the trust fund will not be considered an asset so long as the fund continues to be held in trust. Any income distributed from the trust fund shall be counted when determining annual income.
- c. In determining net family assets, housing authorities or owners, as applicable, shall include the value of any business or family assets disposed of by an applicant or tenant for less than fair market value (including a disposition in trust, but not in a foreclosure or bankruptcy sale) during the two years preceding the date of application for the program or reexamination, as applicable, in excess of the consideration received therefor. In the case of a disposition as part of a separation or divorce settlement, the disposition will not be considered to be for less than fair market value if the applicant or tenant receives important consideration not measurable in dollar terms.

**Noncitizen:** A person who is neither a citizen nor national of the United States.

**Notice Of Funding Availability (NOFA):** For budget authority that HUD distributes by competitive process, the Federal Register document that invites applications for funding. This document explains how to apply for assistance, and the criteria for awarding the funding.

**Occupancy standards:** The standards that the housing authority establishes for determining the appropriate number of bedrooms needed to house families of different sizes or composition.

**Owner:** Any person or entity, including a cooperative, having the legal right to lease or sublease existing housing.

**Participant (participant family):** A family that has been admitted to the housing authority's program and is currently assisted in the program. The family becomes a participant on the effective date of the first HAP contract executed by the housing authority for the family (first day of initial lease).

**Payment standard:** In a voucher tenancy, the maximum monthly assistance payment for a family (before deducting the total tenant payment by family contribution). For a voucher

tenancy, the housing authority sets a payment standard in the range from 90% to 110% of the current FMR.

**Person with disabilities:** A person who:

- a. Has a disability as defined in Section 223 of the Social Security Act,

"Inability to engage in any substantial, gainful activity by reason of any medically determinable physical or mental impairment that can be expected to result in death or that has lasted or can be expected to last for a continuous period of not less than 12 months, or

In the case of an individual who attained the age of 55 and is blind and unable by reason of such blindness to engage in substantial, gainful activity requiring skills or ability comparable to those of any gainful activity in which he has previously engaged with some regularity and over a substantial period of time."

- b. Is determined, pursuant to regulations issued by the Secretary, to have a physical, mental, or emotional impairment that:

- (1) is expected to be of long-continued and indefinite duration,

- (2) substantially impedes his or her ability to live independently, and

- (3) is of such a nature that such ability could be improved by more suitable housing conditions, or

- c. Has a developmental disability as defined in Section 102(7) of the of the Developmental Disabilities Assistance and Bill of Rights Act.

"Severe chronic disability that:

- (1) is attributable to a mental or physical impairment or combination of mental and physical impairments;

- (2) is manifested before the person attains age 22;

- (3) is likely to continue indefinitely;

- (4) results in substantial functional limitation in three or more of the following areas of major life activity: (1) self care, (2) receptive and responsive language, (3) learning, (4) mobility, (e) self-direction, (6) capacity for independent living, and (7) economic self-sufficiency; and

(5) reflects the person's need for a combination and sequence of special, interdisciplinary, or generic care, treatment, or other services that are of lifelong or extended duration and are individually planned and coordinated."

This definition does not exclude persons who have the disease of acquired immunodeficiency syndrome or any conditions arising from the etiologic agent for acquired immunodeficiency syndrome.

No individual shall be considered to be a person with disabilities for purposes of eligibility solely based on any drug or alcohol dependence.

**Portability:** Renting a dwelling unit with Section 8 tenant-based assistance outside the jurisdiction of the initial housing authority.

**Premises:** The building or complex in which the dwelling unit is located, including common areas and grounds.

**Private space:** In shared housing: The portion of a contract unit that is for the exclusive use of an assisted family.

**Preservation:** This program encourages owners of eligible multifamily housing projects to preserve low-income housing affordability and availability while reducing the long-term cost of providing rental assistance. The program offers several approaches to restructuring the debt of properties developed with project-based Section 8 assistance whose HAP contracts are about to expire.

**Proration of assistance:** The reduction in a family's housing assistance payment to reflect the proportion of family members in a mixed family who are eligible for assistance.

**Public Housing Agency:** A State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) authorized to engage in or assist in the development or operation of low-income housing.

**Reasonable rent:** A rent to owner that is not more than charged: (a) for comparable units in the private unassisted market; and (b) for a comparable unassisted unit in the premises.

**Receiving Housing Authority:** In portability, a housing authority that receives a family selected for participation in the tenant-based program of another housing authority. The receiving housing authority issues a certificate or voucher, and provides program assistance to the family.

**Re-certification:** A reexamination of a household's income, expenses, and family composition to determine the household's rent for the following 12 months.

**Remaining member of a tenant family:** A member of the family listed on the lease who continues to live in an assisted household after all other family members have left.

**Rent to owner:** The monthly rent payable to the owner under the lease. Rent to owner covers payment for any housing services, maintenance, and utilities that the owner is required to provide and pay for.

**Set-up charges:** In a manufactured home space rental, charges payable by the family for assembly, skirting and anchoring the manufactured home.

**Shared housing:** A unit occupied by two or more families. The unit consists of both common space for shared use by the occupants of the unit and separate private space for each assisted family.

**Shelter Allowance:** That portion of a welfare benefit (e.g., TANF) that the welfare agency designates to be used for rent and utilities.

**Single person:** Someone living alone or intending to live alone who does not qualify as an elderly person, a person with disabilities, a displaced person, or the remaining member of a tenant family.

**Single room occupancy housing (SRO):** A unit for occupancy by a single eligible individual capable of independent living that contains no sanitary facilities or food preparation facilities, or contains either, but not both, types of facilities.

**Special admission:** Admission of an applicant that is not on the housing authority waiting list, or without considering the applicant's waiting list position.

**Special housing types:** Special housing types include: SRO housing, congregate housing, group homes, shared housing, cooperatives (including mutual housing), and manufactured homes (including manufactured home space rental).

**State Wage Information Collection Agency (SWICA):** The State agency receiving quarterly wage reports from employers in the State, or an alternative system that has been determined by the Secretary of Labor to be as effective and timely in providing employment-related income and eligibility information.

**Statement of family responsibility:** An agreement in the form prescribed by HUD, between the housing authority and a Family to be assisted under the Moderate Rehabilitation Program, stating the obligations and responsibilities of the family.

**Subsidy standards:** Standards established by a housing authority to determine the appropriate number of bedrooms and amount of subsidy for families of different sizes and compositions.

**Suspension:** Stopping the clock on the term of a family's certificate or voucher, for such period as determined by the housing authority, from the time when the family submits a request for

housing authority approval to lease a unit, until the time when the housing authority approves or denies the request. Also referred to as tolling.

**Tenant:** The person or persons (other than a live-in aide) who executes the lease as lessee of the dwelling unit.

**Tenant rent:** The amount payable monthly by the family as rent to the owner minus any utility allowance.

**Third-party (verification):** Oral or written confirmation of a household's income, expenses, or household composition provided by a source outside the household, such as an employer, doctor, school official, etc.

**Tolling:** see suspension.

**Total tenant payment (TTP):**

(1) Total tenant payment is the amount calculated under Section 3(a)(1) of the 1937 Act. which is the higher of :

30% of the family's monthly adjusted income;

10% of the family's monthly income;

Minimum rent; or

if the family is receiving payments for welfare assistance from a public agency and a part of such payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of such payments which is so designated.

If the family's welfare assistance is ratably reduced from the standard of need by applying a percentage, the amount calculated under Section 3(a)(1) shall be the amount resulting from one application of the percentage.

**Utility allowance:** If the cost of utilities (except telephone) and other housing services for an assisted unit is not included in the tenant rent but is the responsibility of the family occupying the unit, an amount equal to the estimate made or approved by a housing authority or HUD of the monthly cost of a reasonable consumption of such utilities and other services for the unit by an energy-conservative household of modest circumstances consistent with the requirements of a safe, sanitary, and healthful living environment.

**Utility hook-up charge:** In a manufactured home space rental, costs payable by a family for connecting the manufactured home to utilities such as water, gas, electrical and sewer lines.

**Utility reimbursement:** The amount, if any, by which the utility allowance for the unit, if applicable, exceeds the total tenant payment for the family occupying the unit.

**Verification:**

- a. The process of obtaining statements from individuals who can attest to the accuracy of the amounts of income, expenses, or household member status (e.g., employers, public assistance agency staff, doctors).
- b. The three types of verification are:
  - (1) Third-party verification, either written or oral, obtained from employers, public assistance agencies, schools, etc.)
  - (2) Documentation, such as a copy of a birth certificate or bank statement
  - (3) Family certification or declaration (only used when third-party or documentation verification is not available)

**Very low-income families:** Low-income families whose incomes do not exceed 50% of the median family income for the area, as determined by the Secretary with adjustments for smaller and larger families. *[1937 Act]*

**Violent criminal activity:** Any illegal criminal activity that has as one of its elements the use, attempted use, or threatened use of physical force against the person or property of another.

**Voucher (rental voucher):** A document issued by a housing authority to a family selected for admission to the Housing Choice Voucher Program. This document describes the program and the procedures for housing authority approval of a unit selected by the family and states the obligations of the family under the program.

**Voucher holder:** A family holding a voucher with unexpired search time.

**Waiting list admission:** An admission from the housing authority waiting list. *[24 CFR 982.4]*

**Welfare assistance.** Welfare or other payments to families or individuals, based on need, that are made under programs funded by Federal, State or local governments. *[24 CFR 5.603(d)]*

**Welfare rent:** In "as-paid" welfare programs, the amount of the welfare benefit designated for shelter and utilities.

## ACRONYMS

ACC	Annual Contributions Contract
CACC	Consolidated Annual Contributions Contract
CFR	Code of Federal Regulations
FMR	Fair Market Rent
FSS	Family Self Sufficiency (program)
HA	Housing Authority
HAP	Housing Assistance Payment
HCDA	Housing and Community Development Act
HQS	Housing Quality Standards
HUD	Department of Housing and Urban Development
INS	(U.S.) Immigration and Naturalization Service
NAHA	(Cranston-Gonzalez) National Affordable Housing Act
NOFA	Notice of Funding Availability
OMB	(U.S.) Office of Management and Budget
PBC	Project-Based Certificate (program)
QHWRA	Quality Housing and Work Responsibility Act of 1998
PHA	Public Housing Agency
TTP	Total Tenant Payment

**NEW ALBANY HOUSING AUTHORITY**

**FIVE (5) YEAR STRATEGIC PLAN**  
(Plan begins on pg. 7)

**FISCAL YEARS 2001—2005**

**Core Values, Vision and Mission  
of the  
New Albany Housing Authority**

The core **Values, Vision and Mission** make up the **core ideology** of an organization. Core ideology defines the organization with an enduring identity that goes beyond various social, cultural and market trends, competitive marketing and business strategy. The core ideology is **the guiding “soul” of the organization, articulating and driving through the several dimensions and dynamics of its daily operation.** The core ideology represents and sustains the guiding light in developing a powerful and vivid description of what the future looks like.

**1999**

**THE CORE VALUES OF THE NEW ALBANY HOUSING AUTHORITY AND  
ITS EMPLOYEES:**

*To treat each Person with respect and dignity, in a valued manner*

*To acknowledge and appreciate the worth and potential of each Person*

*To provide and foster opportunities for individuals to exercise Choice responsibly*

*To participate and contribute to one’s own Community*

*To recognize and build on the potential, and the diversity, interdependence and partnership  
dimensions of Community*

*That people deserve safe, affordable Homes*

*That “Neighborhood” is important to a person’s Home*

*That quality service creates opportunities which truly build and enhance  
each Family’s “Quality of Life”*

*That our Stewardship  
of all our resources benefits our Community*

**July, 1999**

**NEW ALBANY HOUSING AUTHORITY**

**VISION STATEMENT**

***EVERYONE CAN HAVE AFFORDABLE HOMES  
IN SAFE AND PROSPEROUS NEIGHBORHOODS***

**MISSION STATEMENT**

***PROMOTING AND SUSTAINING  
OUR COMMUNITY'S VITALITY  
THROUGH SAFE, AFFORDABLE HOUSING  
AND CREATIVE ECONOMIC DEVELOPMENT***

*July, 1999*

## **“Five Year” Planning Process and Strategic Issues**

### **Planning Process**

The planning process has been guided by a fundamental belief that the lasting strength of effective organizations lies in their reliable ability to **identify, articulate and revisit a chosen core ideology**. Identification and articulation of NAHA’s ideology, as well its strategic issues and competitive advantages, have emerged through:

- Senior management retreat, followed by staff discussion and dialogue with NAHA’s Board of Commissioners
- A Strengths, Weakness, Opportunities and Threats (SWOT) analysis and
- An open, listening, stakeholder input process.

**I.** The senior management retreat in June, 1999 Acted to fashion **NAHA’s first core agency and employee values, Vision statement and the “engine” of a Mission**. This “draft” was disseminated to all other management and supervisory staff for their review and inputs. Moreover, the “draft” was distributed to NAHA’s Board of Commissioners for in depth review and discussion.

**II.** The **SWOT analysis** occurred across three (3) sessions and approximately eight (8) hours of review, visioning and prioritizing with all management staff (15 persons). **SWOT activities** described, interpreted and measured:

- the array of local, regional and national marketplace trends and change conditions,
- both competition from and collaboration with other vendors, entities and institutions,
- the identified needs and interests of the respective customer and funding groups, and
- an examination of the relationships within the existing organization.

**SWOT inputs**, which became prioritized out of 135 final staff inputs, originally crossed the following ten (10) areas:

- Personnel Resources
- Housing Related Services and Systems
- Public Image/Public Relations
- Financial Resources
- Facilities and Physical Plant
- Technology
- Changing Demographics, Societal and Cultural Trends
- New Legislation, Changes in Political and Community Leadership and/or Support
- Changes in Funding Patterns and Economic Trends
- New Developments in the Field

**III.** **Nine (9) focus groups** have occurred, incorporating over 800 inputs from residents at all seven (7) property sites, a community public and private sector services provider forum and a general citizen forum. These sessions introduced:

- 1) A brief history and status summary of NAHA,
- 2) The new federal legislation: the Quality Housing and Work Responsibility Act/QHWRA, and
- 3) Descriptions of the work of other “exemplary” Housing Authority work locally, regionally and nationally.

The sessions then typically received 1.5 hours each of collective input from residents.

. (Please refer to the attachments which provide a full record of all SWOT analysis and prioritizing inputs and all focus group inputs.)

**IV.** NAHA staff also attended national training with Joseph Schiff and Associates to assist in understanding the rationale, intent and content of QHWRA and one of its first requirements: an agency plan. As well, the consulting services of Dr. Cecilia Wooden (Wooden and Associates) and Mr. Vern Eswine (The Marketing Co.) have assisted in insuring a quality planning process.

#### **V. Review of the Strategic Plan and Approval**

Once drafted, the Strategic Plan will be reviewed, critiqued and refined based on final inputs from NAHA's various "publics". This review process includes:

**A)** Public review of the draft document: The Plan will be available for review by any citizen between January 24, 2000 and February 23, 2000. The Plan will be available at each NAHA property in the property manager's office and at the following sites:

- New Albany Housing Authority Administrative Offices
- New Albany-Floyd County Public Library
- City of New Albany, Redevelopment Department

Citizens may gain a copy of parts of the Plan, as specified, or the entire plan, at a reasonable cost. Written comment may be made on-site or they may be mailed to NAHA's Administrative Offices. All comments will be considered in preparing the Plan. They will be listed/summarized, with brief responses by NAHA, as an attachment to the final Plan submitted to the Department of Housing and Urban Development (HUD).

**B)** The draft Plan will be distributed to all members of the Resident Advisory Board (RAB), which includes representation of/by all NAHA developments and properties. RAB members will seek local input and resident opinion and represent those opinions as well as their own at a special RAB meeting to be held in late January, 2000. All inputs/comments will be recorded and considered in preparing the final Strategic Plan.

**C)** A draft Plan will be distributed to an array of community resources stakeholders, such as the City, non-profit organizations, civic groups, churches, business, etc. They are requested to review the Plan and provide written and/or verbal comment. Written comment may be returned directly to NAHA's Administrative offices. Verbal comments and discussion opportunity will occur at a special focus group/forum held during the second week of February. Vern Eswine (an objective 3rd party planning expert) will facilitate the forum. The forum is designed to maximize honest and open input regarding NAHA's future strategic direction with those it serves and the general community. All such comments will be summarized, with responses by NAHA, in an attachment to the Plan submitted to HUD.

**D)** The Board of Commissioners of NAHA has received the draft Plan as of January 10, 2000 at NAHA's January Board meeting. Members had received earlier drafts of NAHA's Core Values, Vision and Mission and Plan format and portions thereof, with presentation on the Plan, its perspective, process and content, at an earlier Board meetings, since July, 1999. The Board will review the Plan, with final discussion and anticipated approval at a special February NAHA Board meeting. Board members may contact the Executive Director or other Directors with questions, comments and/or discussion interest at any time in January and February, 2000. Their inputs will be considered in preparing the final Plan.

**E)** All NAHA Directors and Managers will convene for a special meeting at which their individual and collective Plan inputs can be expressed. Inputs will be discussed and clarified. This meeting represents the third set of inputs by staff regarding NAHA's future direction and operations. The SWOT analysis (see attached) represents earlier inputs. The meeting is scheduled for January 26, 2000 at the Carnegie Museum of Art and History in New Albany, Indiana. These inputs will be summarized and considered in preparing the final Plan.

(As well, all staff attended a day-long in-service training on November 18, 1999, at the Villages of Park-DuValle development in Louisville, Kentucky so that they could see firsthand new and different types of affordable and mixed-income housing, both rental and homeownership, and new neighborhood development approaches, crafted in a progressive, quality manner.)

All staff will have access to a copy of the draft Strategic Plan. A presentation regarding the draft plan will be made to all staff. Staff have the opportunity to offer input, to discuss the draft plan, and to make suggestions regarding its scope and content.

F) A Public Hearing will be held on February 17, 2000 at The Brown-Starks Neighborhood Place, located in the Parkview/Broadmeade property area. The meeting will be presided over by NAHA's Board of Commissioners. Any citizen may express his/her comments verbally regarding the Strategic Plan; organizations may also formally make comment on the draft Plan at this hearing. Special arrangements will be made, upon request, so that persons with disabilities can attend the hearing and make their comments known. As well, special arrangements will be made so that persons, who are unable to speak English well or not able to speak it at all, are able to communicate their comments to NAHA and its Board effectively. All comments will be listed and summarized, with responses by NAHA, as an attachment to the Plan submitted to HUD.

## VI. Final Plan Product

Once all final inputs have been gained and considered, with final revisions made to the plan, the Plan will be formally approved by NAHA's Board of Commissioners. Then, the Five Year Strategic Plan will be detailed, per objective, with:

- action steps,
- estimated timelines for accomplishing phases of each objective,
- staff assigned to the objective, and
- procedures for a periodic reporting on progress/achievement.

Objectives will likely be prioritized annually to insure time and resources are allocated to those areas deemed most important each year. Details of action steps, etc. will follow from this prioritization; that is, those with more priority will have more detail, as necessary.

## VII. Strategic Issues

Such organizations use the core ideology to guide the organization forward. In so doing, that guidance is translated dynamically, so that **stakeholders at every level genuinely identify with, commit to and act over time in accord with the core ideology.**

This Strategic Plan thus describes and incorporates the core Values, Vision and Mission of the New Albany Housing Authority. In light of this core or "foundation", both the planning process (described above), new federal legislation (The Quality Housing and Work Responsibility Act of 1998/QHWRA), the identified competitive advantages and the critical strategic issues can best be viewed.

**Specifically, based on all stakeholder inputs, four (4) basic strategic issues have been identified as core to Values, Vision and Mission of the New Albany Housing Authority:**

- 1) *How does the New Albany Housing Authority support its residents toward economic self-sufficiency, asset development, living affordably and an improved "quality of life"?*
- 2) *How does the New Albany Housing Authority meet the needs for decent, safe, affordable and valued housing?*
- 3) *How does the New Albany Housing Authority educate the public and create a positive valuing of affordable housing in and by the whole community?*
- 4) *How does the New Albany Housing Authority maximize its particular and joint stewardship of resources for the benefit of the citizens it directly serves and for our community?*

To firmly build its broad niche as a vital part of the quality affordable housing, neighborhood renewal and community/economic development capacities growing in New Albany-Floyd County, **NAHA and its diverse**

**stakeholders must focus their energies, talents and resources to forward and accomplish the NAHA and community Visions.**

### **VIII. Sustainable Competitive Advantages**

The New Albany Housing Authority (NAHA) has actively and thoughtfully crafted its five-year Strategic Plan through a structural analysis and a broad range of stakeholder involvement. A thorough Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis was conducted with many employees. **The analysis revealed that NAHA has several significant competitive advantages in the affordable housing and community building marketplace.** These competitive advantages spring from SWOT activities designed to define and contextually describe the industry/market in which NAHA operates and competes.

Based on the analysis, the senior management of NAHA identified the following sustainable competitive advantages:

- Assets of buildings and properties
- A positive affordable housing alternative for senior housing
- An asset-based focus toward people and neighborhoods
- The expertise, vision and commitment of staff
- A unique Mission in New Albany-Floyd County that complements and strengthens the community-oriented Missions of other local institutions and entities
- Networking with our community to synergize resources and thus maximize their benefit to our community
- Initiative and resources to assist in catalyzing needed, planned and valued community and economic development
- Viewed and utilized well as a growing leader in community building

## New Albany Housing Authority (NAHA)

### *Five Year Strategic Plan*

**Fiscal Years 2001-2005**

*1) How will the New Albany Housing Authority support its residents toward economic self- sufficiency, living affordably, asset development and an improved “quality of life”?*

**OUTCOME: Residents**

Residents, both as individuals, families and neighborhoods:

- a) Improve or gain their real and lasting self-sufficiency and/or
- b) Improve and/or keep a healthy, productive and “personally” meaningful, asset-based “quality of life”, based on identified needs, interests, and “vision”.

**GOAL 1: To increase, sustain and nurture the empowerment of residents in their “owning” and accomplishing of personal and neighborhood improvements, both formally and informally.**

**Objective 1A:**

NAHA shall facilitate the establishing or maintaining of effective and fully functioning resident organizations in every public housing development, with a separate central resident advisory council, by March 31, 2001.

**Objective 1B:**

A resident organization shall gain a separate and independent 501c3 non-profit status, having the general purpose of improving their “quality of life”, with NAHA’s technical assistance, by December 1, 2000.

**Objective 1C:**

A resident-based non-profit organization shall gain regular resources, via grant or other funding, to meet resident-focused and/or neighborhood(s)-based needs identified in their mission-driven “plan”, by December 31, 2002.

**Objective 1D:**

NAHA shall assist with or accomplish at least 30 specific site-based improvements across all properties cumulatively in accord with resident or neighborhood(s)-based “plans” by June 30, 2001. (Examples: neighborhood dinners/celebrations, block watch, beautification, after-school programs, etc.)

**GOAL 2: To establish and grow diverse products/services capacity, based on identified resident, Neighborhood and/or community need and interest, with at least “near maximum” resident use and benefit.**

**Objective 2A:**

NAHA shall create a non-profit Community Development Corporation by June 30, 2000, designed to more quickly and fully meet the continuum of resident, affordable housing and/or community development needs/interests identified by stakeholders, New Albany’s Comprehensive Plan and Consolidated Plan, etc.

**Objective 2B:**

NAHA shall expand and enhance a full Family Self-Sufficiency (FSS) program for resident use and benefit, based on a “best practices” approach and maximizing available resources, by January 1, 2001.

**Note:** FSS services generally occur in conjunction with Welfare Reform W2W county-based services; an aim is each TANF-assisted resident leaving TANF in their allotted time without a penalty.)

**Objective 2C:**

NAHA shall establish or assist in creating a quality Homeownership services operation, designed to assist residents in all phases of homeownership, by March 31, 2001, with a specific expectation of assisting at least 20 NAHA residents to gain and keep homeownership by March 31, 2005.

**Objective 2D:**

NAHA shall increase 1) resident access to and 2) effective, individualized use of current and new community resources by 20% (given adequate baseline data) by Sept. 30, 2001. (Examples: IMPACT, health screenings/care, WIC, Healthy Families, personal counseling, GED/ABE, financial literacy, cooking & housekeeping, senior social and recreational opportunities, etc.)

**Note:** Action steps can include developing case management support at each site, as needed; securing new resources via grant efforts/awards; partnership with other community resources; outreach work, transit assistance, etc.

**Objective 2E:**

NAHA will operate an Assisted Living operation, serving at least 30 senior citizens and/or persons with a disability in a properly accredited manner, by March 31, 2004.

**Objective 2F:**

NAHA shall facilitate and/or conduct quality resident research at least annually to identify/ track change/progress in the types and degrees of resident need, life circumstances and satisfaction (for the purposes of well-directed resource seeking, resource-use monitoring, resident “quality of life” information, etc.), beginning by September 30, 2000.

**Objective 2G:**

NAHA shall access and/or establish and operate individual asset development resources serving at least 30 residents/families by September 30, 2001.

**Note:** Escrow accounts, IDAs, microloan access, etc.; resident may craft assets whether as an FSS program participant or otherwise.

**Objective 2H:**

NAHA shall ensure that support services are available directly (through NAHA) or via referral (with NAHA’s assistance as needed) to every public housing resident by March 31, 2003.

**2) How will the New Albany Housing Authority meet the needs for decent, safe, affordable and valued housing?**

**OUTCOME: Neighborhood and “Home”**

Specific neighborhoods and the adjacent areas of the city are improved or revitalized in terms of housing, infrastructure, property management, neighborhood relations, safety and both resident and community “peaceful enjoyment”:

- a) according to measurable stakeholder-based criteria
- b) in a sustainable manner that benefits the entire community.

**GOAL 3: Improve and adapt NAHA's housing stock and program resources to meet, as fully as possible, the housing needs and markets identified:**

- a) in our needs assessment,
- b) New Albany's Comprehensive Plan and Consolidated Plan,
- c) New Albany-Floyd County's Community-wide Affordable Housing Strategy, community-based and citizen forums/focus groups input and
- d) by HUD's strategic goals and "best practices" in affordable housing and community building (Ex.: mixed income approaches; mixed use approaches; partnerships in developing and/or managing new developments, etc.)

**Objective 3A:**

NAHA shall substantially renovate or fully replace at least 100 family housing units (14%) by March 31, 2005, based on a "threshold criteria" analysis of each property.

**Objective 3B:**

NAHA shall acquire, renovate and/or build 40 new rental affordable housing units for the residents of our community by March 31, 2005.

**Objective 3C:**

NAHA shall: a) acquire and renovate older single family unit housing stock with quality or  
b) build new single family houses

for various purposes, inclusive of public housing, Section 8 use, or (conversion to) homeownership (the latter being the preference), totaling at least 35, by March 31, 2005.

**Objective 3D:**

NAHA shall create or co-create 1 new residential community with a mixed financing approach (HUD/PH funding, tax credit financing, etc.) by March 31, 2005.

**Objective 3E:**

NAHA shall renovate or develop at least 40 units of housing to accommodate people with special needs by March 31, 2003.

**Objective 3F:**

NAHA shall expand its tenant-based assistance program, inclusive of greater range and quality of housing choices available to participants, to total 200 vouchers, 15% more range (including more non low-income areas), and a regular good-to-excellent range of participant satisfaction, by March 31, 2003.

**Note:** Attract new landlords; increase inspection efficiencies/turnaround; regularly survey tenants, etc.

**Objective 3G:**

NAHA shall add one (1) or more "amenities" to at least 50% of its residential units by March 31, 2003, based on a) resident inputs and preference and b) a study of market-rate, private sector "amenities". (Examples: ceiling fans, computer ready apt., etc.)

**GOAL 4: Establish and appropriately maintain new "quality of life" community assets (human & bricks & mortar infrastructures) across all NAHA developments.**

**Objective 4A:**

Increase community transportation (TARC; brokered system, etc.) capacity by July 31, 2000 to meet significantly more transportation needs identified by NAHA residents and as estimated for the residents in adjacent neighborhoods.

**Objective 4B:**

Explore and determine the need, value and feasibility of a new Recreational complex, designed to meet a wide range of child, adolescent and adult needs and interests identified in the New Albany-Floyd County area, on or near NAHA property by March 31, 2001.

**Objective 4C:**

NAHA (in partnership with other local institutions, resident groups and/or community planning groups, as appropriate) will improve and then maintain at least 33% of its property infrastructure, inclusive of, for example, increased greenspace, a variety of beautification and curb appeal projects, sidewalks, street lighting, drainage, etc. by March 31, 2005.

**Objective 4D:**

NAHA shall maintain or exceed “private-sector”-oriented standards of property management care and cleanliness, shaped in part by a consensus of employees, tenant organizations, city government, and property management “experts”, with monthly regularity (4 consecutive month minimum) by September 30, 2001.

**Note:** Action Examples – Lease upgrades and enforcement (see Obj. 8E), upgraded landscaping, grass regularly cut, litter-free properties, removing all graffiti within 24 hours, etc.

**Objective 4E:**

NAHA shall facilitate the establishing of 1 or more affordable, specialized or commercial alternatives of food and related goods near or on NAHA property by March 31, 2003.

**Objective 4F:**

NAHA shall create adequate resident meeting/group activity space on each of its family unit properties by September 30, 2002.

**GOAL 5: To provide a safe, secure neighborhood environment on all NAHA properties.**

**Objective 5A:**

NAHA shall reduce crime in its developments so that its crime rate is less than or no more than the rate of any other neighborhood/city area, in proactive, innovative and diverse partnership activity mode with local institutions, by March 31, 2004.

**Note:** Action examples -- Increased policing, “Policing with Partners”, refine MOU with the local police regarding “edge” problem of crime, eviction procedures, police officers living in its developments, etc.

**Objective 5B:**

NAHA shall assist and/or lead in establishing 3 or more proactive, preventive measures with and for residents across the majority of developments, as appropriate, designed to reduce 1<sup>st</sup> time and/or repeated criminal activity, by March 31, 2001.

**Note:** Block watches, case management supports with 1<sup>st</sup> time offenders, a variety of positive after-school programs for children and adolescents, etc.

**Objective 5C:**

NAHA shall reduce its evictions due to violations of criminal laws by 50% by March 31, 2002.

**Note:** Action examples – aggressive screening procedures, case management supports, etc.

**GOAL 6: Achieve community and economic improvements, desired by particular neighborhoods and the City community in general, per New Albany’s Comprehensive Plan, the city’s Consolidated Plan, Urban Enterprise Zone Plan, etc.**

**Objective 6A:**

NAHA shall assist in identifying, designing, establishing and/or maintaining a variety of new community improvements and increased economic/employment opportunities, totaling at least 3 significant items, by March 31, 2005.

**Note:** Examples – Community Center; Van service, jobs access, affordable assisted living, downtown revitalization related projects, Community Development Financial Institution, etc.

**Objective 6B:**

NAHA shall explore and determine the feasibility of a project-based partnership with the New Albany-Floyd County Community Housing Development organization (CHDO) or other similar local or regional organization, by March 31, 2002.

**Objective 6C:**

NAHA shall co-lead, via a financial “match” partnership with the city of New Albany and other partnership with “Develop New Albany”, in creating a Downtown Revitalization Plan, to be completed by June 30, 2001.

**Objective 6D:**

NAHA shall participate regularly in the formation, growth and business activities of New Albany’s Urban Enterprise Zone Association, seeking to positively maximize its community reinvestment impacts in the “Zone” and adjacent areas, beginning by April 1, 2000 and growing significantly by March 31, 2005.

***3) How will the New Albany Housing Authority educate the public and create a positive valuing of affordable housing in and by the whole community?***

**OUTCOME: Education/Public relations**

The New Albany-Floyd County community has a measurably more positive, consistent and participatory understanding and observable valuing of the abiding need, role and value of affordable housing in its full community context.

**GOAL 7: To develop and sustain a broad, effective, valid and persuasive “positive public perception” of the New Albany Housing Authority which engenders a variety of expressed community support for:**

- a) **its current and future work as “community assets”and**
- b) **affordable housing, vital neighborhoods, and strong, healthy community in general.**

**Objective 7A:**

NAHA shall develop and fully carry out a multi-faceted and effective long term marketing plan, which:

- a) **meaningfully communicates to several audiences on a regular basis (residents, employees and board members, community-based organizations, local institutions, and the general public)**
- b) **is in full operation by July 31, 2001.**

**Note:** Logo, brochure(s), newsletter(s), regular positive media attention (about NAHA, residents, partner contributions, etc.); speaking engagements; may seek a college intern to assist, employee training in customer service/relations, etc.

**Objective 7B:**

NAHA shall co-sponsor at least 4 local/regional training opportunities for a broad, diverse audience (PH, AH, Community Development/Redevelopment professionals, local govt., human services, etc.) annually over the next 2 calendar years, ending December 31, 2001.

**Objective 7C:**

NAHA shall participate regularly and responsibly in various local, state and national “councils”/organizations to both learn, network, educate, advocate and build resources, regarding any and all facets of affordable housing, (80% or less median income) citizen “needs”, and community issues, challenges and/or improvements.

**Note:** NAHRO, PHADA, Metropolitan Housing Coalition, Southern Indiana Housing Initiative, Transit Advisory Group, Workforce Investment Board, Welfare Reform Planning Council, STEP AHEAD, etc.

*4) How will the New Albany Housing Authority maximize its particular and joint stewardship of resources for the benefit of the citizens it directly serves and for our community?*

**OUTCOME: NAHA Performance**

Organizationally, the New Albany Housing Authority performs “measurably” in all facets of its operation, per HUD/PHA standards (and other accreditation standards that may apply) and its own internal standards, as a “center of excellence” for its community.

**GOAL 8: To upgrade, implement, monitor and refine all organizational systems (and performance), which generally serves to orient, structure and drive the daily operation, in a “best practices” manner.**

**Objective 8A:**

NAHA shall upgrade and/or create all organizational and operational policies, as identified at a minimum by the “Annual Agency Plan”, per:

- a) federal legislation (QHWRA/HUD, Fair Housing , ADA, OSHA, etc.)
- b) sound business and human resources practice (Example: Performance expectations and periodic review and correction), and
- c) our core ideology,  
by June 30, 2000.

**Note:** Examples – Personnel, Maintenance (include “preventive”), Fiscal, ACOP, Safety, Homeownership, etc.

**Objective 8B:**

All NAHA employees will gain and use technology (computers, communications equipment, maintenance equipment, etc.) regularly and appropriately, in accord with their respective job descriptions, by March 31, 2001, with equipment, skills and support upgrades thereafter, as necessary.

**Note:** Objective assumes actions of equipment and support purchases.

**Objective 8C:**

NAHA shall develop and fully implement a complete vendor/subcontractor performance policy, emphasizing timeliness, quality and cost-efficiency, with development completed by May 31, 2000 and full, “routine” implementation established (based on adequate review process/correction data) by May 31, 2001.

**Objective 8D:**

NAHA shall manage its programs and services efficiently and effectively, thus maintaining its status as a “high performer” annually.

**Objective 8E:**

NAHA shall upgrade its rent/lease policy in a manner that is fair, equitable and in accord with the intent and requirements of QHWRA by March 31, 2000.

Note: Consider lease and regulation aspects that act to:

- a) provide functional and motivational incentive(s) (Ex: no rent increase when a tenant gains employment) to tenants,
- b) provide real consequences to tenants who have notable misconduct and/or endanger others.

**Objective 8F:**

NAHA shall increase the percentage of rents collected from 87% to 95% by March 31, 2002.

**Objective 8G:**

NAHA shall sustain an occupancy rate of 95% annually.

**Objective 8H:**

NAHA shall have all its units in compliance with the New Albany Housing Code, by March 31, 2004.

Note: A critical first task phase is the updating/revamping of the Housing Code itself, followed by creation of a local, regularly enforced Rental Inspection Ordinance, developed in conjunction with the City of New Albany.

**GOAL 9: To maintain and improve NAHA's financial stability and strength thereby responsibly guiding:**

- a) a variety of residential and neighborhood initiatives to be achieved and
- b) the use and growth of its assets and reserves.

**Objective 9A:**

NAHA shall implement and maintain GAP accounting, beginning March 31, 2000.

**Objective 9B:**

NAHA shall implement its asset management plan by March 31, 2001.

**Objective 9C:**

NAHA shall improve management and resource efficiencies and/or create profitable products/services, gaining at least \$50,000 in discretionary income annually.

**Note:** Energy conservation, service partnerships, leveraging of resources, in-kind strategies, consultation and training, college interns, etc.

**Objective 9D:**

NAHA shall explore and gain new sources of funding, permitting:

- a) current programs and services to continue (fully or in part) and/or new or increased services, identified as needed
  - b) new affordable housing and community/economic development capacity
  - c) coverage of all non-HUD development-related fees and associated operating overhead
  - d) long term profit potential in appropriate instances and
  - e) Reduction of dependence on HUD
- ("c, d, and e" by March 31, 2005.)

**Objective 9E:**

NAHA shall operate so that income equals expenses annually.

**Objective 9F:**

NAHA shall at least maintain its operating reserves between now and March 31, 2005.

**GOAL 10: To create and sustain a "work culture" that fosters, expects, evaluates and appreciates the mix of employee skills, work environment and technology essential to succeed, on behalf of our community, in the 21<sup>st</sup> century PHA industry.**

**Objective 10A:**

NAHA shall provide required and elective staff training/development and tracking annually, with all staff.

**Note:** Certain tuition benefits are/may be available.

**Objective 10B:**

NAHA employees will enhance their customer relations skills, applying them daily with specific skills designated as appropriate to each employee's performance evaluation process, with specific and periodic trainings, beginning April 2000.

**Objective 10C:**

NAHA will implement a Continuous Quality Improvement (CQI) approach to staff performance and daily operations by September 30, 2001.

**Note:** CQI includes, for example, staff input and feedback mechanisms, peer review processes, performance-based staff evaluation based on job description, staff appreciation and celebration, high performance teamwork, enhancements in physical work setting/conditions, etc.

**Objective 10D:**

NAHA shall renovate office space and improve work area cleanliness to:

- a) enhance work performance,
- b) create a more positive and employee/person-friendly "welcoming" environment and
- c) provide a healthier, safer work area on-site

beginning April, 2000 and completed in a prioritized manner by March 31, 2003.

**Note:** Improvement can include extensive renovation or a new office site.

### *Qualities of Plan Implementation*

The following list of “approach” or “process” factors will act as important guides in how the Strategic Plan is implemented over the five years’ timeline. These “principles” represent the ways in which many objectives will be executed and achieved.

- **Collaboration with a wide variety of community resources and institutions in:**
  - a) research and study,
  - b) need identification,
  - c) program and services design and practices and
  - d) a task-oriented commitment and follow—throughto achieve the most effective outcomes possible with and for individuals, families and neighborhoods.
- **Partnerships**, via Memorandums of Understanding/Agreement, project sponsorships, grant applications and activities, financial or in-kind match and /or investment, etc. Partnerships may focus on resident programs and services, neighborhood improvement(s), building affordable housing capacity or economic development. Partnerships may be made with city and/or county government, non-profit organizations and/or the private sector, for example.
- **Maximizing the effective use of “existing” community resources.** Whether viewing the need for a specific support service, a Resident Organization opportunity, an infrastructure improvement or building affordable housing capacity/improvements, for example, NAHA will seek to bring already existing quality resources into resident and/or organizational use in order to achieve or exceed a given plan objective. NAHA’s priority is to better insure that any particular resource is, in fact, available and accessible to/by residents, and effective in its performance.
- **NAHA’s efforts will be holistic in serving individuals and families.** NAHA will consider each family in their context, in their “home” and neighborhood, with their needs, issues, concerns, goals, hopes and dreams. This approach is in keeping with “best practices” in human, social, family or neighborhood services, especially in relation to Welfare Reform’s Work First mandates and “quality of Life” themes and priorities for families and seniors. **As a consequence, NAHA’s service efforts will incorporate individual and family needs and goals involving transportation, child care, employment services, health care, education and career development and financial “asset-building”.** The holistic approach serves to emphasize the value, relevance and benefits of:
  - a) **collaboration,**
  - b) **partnership,**
  - c) **a coordinated and cohesive service effort and**
  - d) **a good, efficient, synergizing use of community resources**  
in achieving the aims of the Strategic Plan.

- **NAHA may provide direct services only in the event of:**
  - a) the service or resource is not present in the community or
  - b) existing services are clearly evidenced as not accessible, not affordable and/or of inadequate quality to residents in need.

**In effect, NAHA may invest itself in helping to meet a “GAP” need identified by NAHA staff, the Floyd County Welfare Reform Local Planning Council, Lifepan Resources, the Southern Indiana Housing Initiative, City Government and/or other organizations or institutions.**
- **Ventures** such as a Metro United Way Venture Grant opportunity designed to meet a “GAP” need, or a business venture with a private sector interest.
- **Consortiums**, such as working jointly in a project or partnership mode with a one (1) or more of the Public Housing Authorities in the metropolitan area. **HUD encourages such consortiums as an efficient and synergizing mechanism by which (senior, family, etc.) needs can be met and/or affordable housing capacity can be increased, for instance.**
- **Internal Performance Improvements** in NAHA’s systems and procedures, our customer services, maintenance outcomes, vendor quality control, etc.
- **“Private Sector”** property management **practices and operations.**
- **Measurable performance**, procedural and outcomes “accountability” for NAHA and its staff and for **those entities with whom NAHA partners.**

***EXAMPLES OF SOURCES OF FUNDING NECESSARY TO STRATEGIC PLAN PROGRESS AND ACCOMPLISHMENT***

- Various types of HUD funding
- Indiana Housing Finance Authority
- Federal Home Loan Bank of Indianapolis
- Department of Commerce
- Family and social Services Administration
- Social Security
- United Way
- Private Foundations
- Financial Institutions

***Highlights/Activities and action steps regarding the 1<sup>st</sup> (fiscal\*) year implementation of the five-year Strategic Plan:***

- 1) Facilitating and supporting the establishing of effective a) resident organizations in each property area/”neighborhood” and b) a central Resident Advisory Board with regular and active representatives from each and all properties (family areas and senior areas respectively).
- 2) Assisting in the identifying site-based improvements in accord with resident or neighborhood-based needs and plans; accomplishing the 1<sup>st</sup> several improvements.
- 3) Creating a non-profit Community Development Corporation (CDC).
- 4) Expanding Family Self-Sufficiency services to better serve all PH properties and neighborhoods, with emphasis on active partnershiping with a variety of community resources. NAHA sees its obligation to be actively engaged in this effort; historically, NAHA’s involvement has been passive at best. Implement the HUD EDSS (Economic Development and Support Services) grant.
- 5) Building capacity in the area of Homeownership Counseling services in partnership with the city and the Homeownership Partners, Inc. (of Louisville): Marketing and “scholarship” efforts, etc. This service can be a component of an expanded Family Self-Sufficiency program.
- 6) Increasing support services only as relates to helping to meet community-identified “GAP” needs; the focus is apt to center on case management supports available to residents at all properties. As such, these supports will help to identify and address individual and family needs in a more timely and effective manner than has occurred to date. Such supports **emphasis is on improving “client” access and use, and quality of service.**
- 7) Do initial research and exploration regarding “affordable” assisted living operations, based on demographic data pointing to emerging, current and/or future community need.
- 8) Conduct resident-oriented research, possibly in conjunction with IUS’s Applied Education and Research Center resources.
- 9) Facilitate, establish or operate Individual Development Accounts with/for 5-10 residents; will be partnership-based activity with a local non-profit organization and/or financial institution; accounts can be generated in conjunction with an expanded and cohesive Family Self-Sufficiency program.
- 10) Gain technical assistance funds that permit a “master planning” of 1 or more NAHA properties for upgrade, redesigning, renovation, and/or increased affordable housing capacity of rental and/or homeownership units.

11) Seek funding which allows the purchase and quality renovation of older housing stock and/or the construction of new single family houses principally for use as a Section 8 property or for use as an opportunity for “affordable” homeownership; can be sought either through NAHA directly or through the CDC, for example.

12) Identify at least 8 units in need of “accommodation” for individuals with disabilities; specify the accommodation(s) needed; complete that work.

13) Apply for additional Section 8 vouchers and seek a wider range of “range” of property locations in New Albany for voucher use; gain vouchers.

14) Identify types of “amenities” which are desired, are able to be fit into/with unit design, and are affordable. Begin amenity installation.

15) Advocate for and secure improved public transportation access for most or all PH properties.

16) Seek funding to conduct a feasibility study, in partnership with the NA-FC Parks and Recreation Dept., for a Recreational Center in/for the City, near NAHA property.

17) Study and assess property infrastructure conditions; identify areas of need; craft a multi-phase work plan for improvements over at least 33% of NAHA properties (if that extent of improvement is indicated); begin 1<sup>st</sup> phase of work.

18) Study, create and adopt new property management procedures and practices, especially as relates to a) lease policies and enforcement and b) property care and cleanliness; initial implementation phase of new practices, inclusive of work force duties reorganization as needed and staff training.

19) Initial exploring of “affordable” commercial grocery near NAHA property.

20) Access properties to determine availability and need for community center space, per property. Based on needs identified, draft plans for building/space plans and design.

21) Determine the types and scopes of programs and services judged to be effective in  
a) reducing crime on (and near) NAHA properties and  
b) establishing and maintaining well-used, positive youth development supports and resources.

The approach is to be multi-faceted and may use both external measures of increased security and protection and internal organizational measures such as both upgraded screening and eviction procedures. Internal procedures will be first researched based on proven positive and effective measures used by other housing authorities. Youth development resources will be shaped in a community partnership mode (Ex: Step Ahead Council; Juvenile Justice Council; Youth Leadership; 4H Youth programs; 21<sup>st</sup> Century Scholars, etc.)

22) Assist in identifying, designing or establishing at least 1 community improvement. Examples include: improved TARC service, a 40-50 van “pooled” brokerage transit system, a true Community Development capacity in a financial institution locally, a community center, etc.

23) Continue to have a working relationship with the NA-FA Community Housing Development Organization. Participate on its committees and in its activities. Explore a specific development partnership.

Seek and gain funding, in partnership with the city and Develop New Albany, to permit a downtown revitalization plan to be produced. Participate in all phases of the study and planning process.

25) Participate regularly and actively in the New Albany Urban Enterprise Zone Association goals and activities. Build zone activity and momentum for business investment and increased employment opportunities.

26) Design and implement a NAHA marketing and community relations/education plan.

27) Co-sponsor and co-design training events/opportunities for Community Development and Human Development practitioners and professionals in the Southern Indiana region.

28) Participate regularly, actively and meaningfully on a variety local, regional and state organizations that relate to or represent affordable housing. Examples include the Metropolitan Housing Coalition, Southern Indiana Housing Initiative, SITAG, CTAC, to Repair Affair, etc. An offshoot of this participation is the emergence of opportunities collaborate and work directly with other Public Housing Authorities in the metro area, such as the Jeffersonville Housing Authority, Louisville Housing Authority, the Housing Authority of Jefferson County, etc.

29) Review, upgrade and/or create all needed organization al policies and procedures. This is a broad and diverse objective that will have outcomes associated with a wide array of positive changes and improvements. Areas to be influenced and affected as these policies are implemented, with the expectation of success, include, for example: Personnel policies, Maintenance and Property Management policies, GAP accounting systems, ACOP, Staff Development, etc...

30) Identify all technology-related needs throughout the organization. Prioritize needs. Purchase equipment through a prioritized purchasing and work plan. Provide staff training on equipment purchases made. Care for and maximize effective use of technology and related equipment.

31) Design, adopt and implement an effective subcontractor/vendor performance and quality control policy. Focus includes, for example, timeliness of work completion, quality of work performed (materials, workmanship, etc.), cost-efficiency, etc. Quality control in maintenance

dept. work and activities will also be integrated into internally handled maintenance and property management work.

32) Upgrade and enforce the lease policy as a multi-faceted means of improving each neighborhood and providing meaningful tenant incentives.

33) Increase rent collection and occupancy rates via implementing various procedures (Ex: unit turnaround and prepping, marketing units, etc.)

34) Working with the NA-FC Community Development Organization and the City to update, create and adopt a new housing code in general, incorporating a rental inspection ordinance component.

35) Complete NAHA asset management study and planning.

36) Craft a set of strategies, adopt measures and initially implement procedures that improve services and also provide new discretionary income which can be dedicated to further both housing capacity and quality and related services.

37) Design and implement an organization-wide staff/professional development program, which seeks to improve employee skills, competencies and satisfaction on a regular basis over time. A particular training target will be customer service skills.

38) Assess, redesign and upgrade at least 33% of NAHA office spaces to provide a healthier, safer and more welcoming work environment for both employees and “clients”.