

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

PHA Plans

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

**NOTE: THIS PHA PLAN TEMPLATE (HUD50075) IS TO BE COMPLETED IN
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

**PHA Plan
Agency Identification**

PHAName: Lexington -FayetteUrbanCountyHousingAuthority

PHANumber: KY36P004

PHAFiscalYearBeginning:(mm/yyyy) 07/2003

Public Access to Information

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

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

Display Locations For PHA Plans and Supporting Documents

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

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

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)

5-YEAR PLAN
PHAF ISCAL YEARS 2000 -2004
[24CFRPart903.5]

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)

To develop and manage safe, sanitary and desirable housing for low and moderate income individuals and families in Lexington and Fayette County. To promote housing and social opportunities which serve as the impetus for increased self sufficiency and community involvement. To create an atmosphere of caring and commitment for those we serve and employ.

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. When selecting the HUD -suggested objectives or their own, **PHAS ARE STRONGLY EN COURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS .** (Quantifiable measures would include target sets such as: numbers of families served or PHA scores achieved.) PHAs should identify these measures in the space 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:
- Reduce public housing vacancies:
- Leverage private or other public funds to create additional housing opportunities:
- Acquire or build units or developments
- Other (list below)

- PHAGoal:Improvethethequalityofassistedhousing
Objectives:
 - Improvepublichousingmanagement:(PHASscore)
 - Improvevouchermanagement:(SEMAPscore)
 - Increasecustomersatisfaction:
 - Concentrateoneffortstoimprovespecificmanagementfunctions:
(list;e.g.,publichousingfinance;voucherunitinspections)
 - Renovateormodernizepublichousingunits:
 - Demolishordisposeofobsoletepublichousing:
 - Providereplacementpublichousing:
 - Providereplacementvouchers:
 - Other:(listbelow)

- PHAGoal:Increaseassistedhousingchoices
Objectives:
 - Providevoucher mobilitycounseling:
 - Conductoutreacheffortstopotentialvoucherlandlords
 - Increasevoucherpaymentstandards
 - Implementvoucherhomeownershipprogram:
 - Implementpublichousingorotherhomeownershipprograms:
 - Implementpublichousing site -basedwaitinglists:
 - Convertpublichousingtovouchers:
 - Other:(listbelow)

HUDStrategicGoal:Improvecommunityqualityoflifeandeconomicvitality

- PHAGoal:Provideanimprovedlivingenvironment
Objectives:
 - Implementmeasurestodeconcentratepovertybybringinghigherincome
publichousinghouseholdsin tolowerincomedevelopments:
 - Implementmeasurestopromoteincomemixinginpublichousingby
assuringaccessforlowerincomefamiliesinto higherincome
developments:
 - Implementpublichousingsecurityimprovements:
 - Designateddevelopmentsorbuildingsfor particularresidentgroups
(elderly, personswith disabilities)
 - Other:(listbelow)

**HUDStrategicGoal:Promoteself -sufficiencyandassetdevelopmentoffamilies
andindividuals**

- PHAGoal:Promoteself -sufficiencyandassetdevelopmentofassisted
households
Objectives:

- Increase the number and percentage of employed persons in assisted families:
- Provide or attract support services to improve assistance recipients' employability:
- Provide or attract support services to increase independence for the elderly or families with disabilities.
- Other: (list below)

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:
 - 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:
 - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
 - Other: (list below)

Other PHA Goals and Objectives: (list below)

- PHA GOAL: Expand the supply of good, desirable assisted housing Objectives:
 - each year, respond to appropriate NOFA's issued by HUD for Section 8 housing choice vouchers
WewerenotawardedtheFairShareIncrementalVoucherslastyear. Wehaveappliedfor101voucherssthroughtheReallocationofHousingChoiceVoucherProgram.
 - leverage private or public funds to create 150 housing opportunities over 5 years
Privateand/orpublicfundinghasbeenleveragedtocrete212housingopportunities,95TheArbors,17West-sidedevelopment,4012thStreet, and60SugarMill.
 - annually review and respond, if appropriate, to HUD NOFA's for acquisition or development of new units
AfterreviewingLHAoptions,adecisionwas madetonotapplyforHOPEVIin2002-2003.

- acquire/develop 150 new units over 5 years
We continue to acquire lots and property on which to develop housing. Construction of 'THEARBORS' subdivision is underway. 65 of 95 houses have been constructed. 40 apartments have been acquired at the 12th Street property. It is anticipated that renovation will begin and be completed by 6/30/04. 60 apartments will be developed on the Sugar Mills site. 17 units will be developed on the former Westside Plaza site.

- PHAGOAL: Adapt Lexington Housing Authority's Housing stock and program resources to more closely meet local housing needs and markets
Objectives:
 - seek approval to demolish 279 units in Bluegrass Aspendale
Demolition application approved 7/26/00. All families were relocated in 2001. Demolition completed February 15, 2003.

 - Seek approval for a demolition HOPE VI grant for Bluegrass Aspendale
Demolition grant for Bluegrass Aspendale approved 07/26/2000.

 - upgrade through renovation activities 150 public housing units
Renovation of 49 of the 97 units in KY4 - 9 has been completed. The remaining 48 will be completed by 6/03. Work has begun on the 20 units in KY4 - 12. It is anticipated that renovation will begin on the 30 units in KY4 - 1 during the 2003 - 2004 fiscal year.

 - evaluate Section 8 homeownership program for viability in Lexington market and implement if applicable
After Board approval, a Section 8 Homeownership plan was submitted to HUD and approved, May 16, 2002. 25 Section 8 Leaseholders attended orientations for the program in January 2003. 23 of these persons have entered the program to pursue homeownership.

- PHAGOAL: Improve management of programs operated by Lexington Housing Authority
Objectives
 - Provide accounting training sessions on a yearly basis
The Director of Finance attended several training stores to remain current on HUD regulations. An Accounting Assistant attended training in tax credit compliance and a TRAC Update. A on-site consultant was brought in to provide support for CCSS software. The consultant was available to all accounting staff to field questions re efficient use of and changes to the accounting software.

 - Insure all housing managers have PHM certification 2 years after hire date
All Housing Managers are PHM certified.

- Upgrade operations management staff through annual training on HUD regulations and innovative techniques for management
Public Housing and Section 8 Management and support staff received HUD training in areas related to their job duties during the past year.
- Update maintenance trades staff through attending training at least once a year
All supervisors and 30 maintenance trades workers attended various maintenance trainings during the past year.
- Annual training for Section 8 inspectors
All Section 8 inspectors received training at a February 2002 McKay workshop. Nan
- HUD will recognize LHA as a PHA high performer by 6/30/04
Baseline score established at 79 in 2000. Advisory score of 92 received in 2001. 2002 PHA score is 92 (High Performer).
- Increase customer satisfaction as indicated by annual surveys
Baseline established at 3.902/5 in 2000. 2001 score: 3.8/5. 2002: 3.8/5.
- Reduce public housing vacancies by 5% in 2005
Baseline established at 77 vacancies in 2000. 111 vacancies in 2001; (2, 3 and 4 BR vacancies were held to house families that were relocated in order to renovate the 97 units in KY4 -9). 81 vacancies in 2002.
- PHA GOAL: Increase assisted housing choices
Objectives:
 - Maintain Section 8 payment standard at 110%
Payment standard has been maintained at 110%.
 - Implement site based waiting lists for public housing
LHA maintains 19 waiting lists.
 - Manage homeownership program to sell at least 3 units per year
Eleven (11) houses have been sold this reporting period.
 - Increase housing opportunities for families who are working part-time or in school using KY004 -007 and KY004 -009
KY004-007 and KY004 -009 approved by Board of Commissioners to be entry-level self-sufficiency housing. Implementation for KY4 -7 is on hold until units are renovated. KY4 -9 has been renovated and added to the self-sufficiency program to provide housing for families who are employed part-time or are full-time students.

- PHAGOAL: Improve community quality of life and economic vitality
Objectives:
- Review and assess Section 8 and public housing units in view of creating partnerships with local agencies
New public housing partnerships have been created with the Arts Council, the Music Institute of Lexington, Employment Solutions, the Mayor's Job Training program, and the LFUCG Immigration Services program. Section 8 has partnered with Community Ventures on behalf of its Section 8 Homeownership Program.
 - Advertise, review and implement, if required, measures to deconcentrate poverty by bringing higher income public housing households into lower income developments
A Deconcentration study was completed for covered developments. A strategy has been devised to address the findings.
 - Advertise, review and implement, if required, measures to promote income mixing in public housing by assuring access for lower income families into higher income developments
A Deconcentration study was completed for covered development. A strategy has been devised to address the findings.
 - Annually monitor and evaluate public housing security measures
Security measures are evaluated weekly during our meetings between LHA managers and police officers. Formally reviewed 3/25/03.
 - Review and refine, if necessary, MOU between LHA/Police Department to assure that program needs are recurrent and reflected in the document
Last reviewed 3/25/03.
- PHAGOAL: Promote self-sufficiency and assist development of families and individuals
Objectives:
- Implement self-sufficiency activities for 250 families under HOPE VI
273 families have been enrolled in self-sufficiency activities under HOPE VI per contractor for HOPE VI Self-Sufficiency.
 - Partner with homebuilders, Community Action Council, Urban League for training activities under Youth Build
Classroom training activities have been completed. A house has been constructed under the Youth Build Program. A ribbon cutting ceremony was held 10/16/02. The house is currently "For Sale".
 - Develop Section 3 Plan for the agency
Hired a consultant to prepare a plan. It has been completed.

Implement assessment activities under Section 3 for 500 families
Some Section 3 assessment activities have been implemented through the Charlotte Court HOPE VI.

Enhance self-sufficiency initiatives for Section 8 and public housing participants with local agencies

Community Ventures conducted the "12 Steps to Financial Stability" Program for public housing residents. Computer training program for public housing residents will be instituted. Section 8 Homeownership program was approved 5/16/02. The Housing Authority has partnered with Community Ventures to implement the program. It is currently underway. A Maintenance apprenticeship program is being explored for public housing and Section 8 participants. Culinary Arts training will be provided for public housing and Section 8 residents utilizing the Ballard dining facility as the training area.

Promote activities to enhance independence of elderly
Wenonah has a substantial elderly population at any of four family sites. Therefore, organized, elderly activities are currently confined to Ballard-Griffith Towers, a designated elderly community. (See below)

Attract supportive services to increase independence of the elderly residing in designated communities

Dining facility re-opened in Ballard Griffith Towers 4/1/02 under LHA management. Partnered with Employment Solutions in 2/03 to manage the facility as a training ground for students in their Culinary Arts program.

Hire a RIC through PHDEP program
RIC hired 7/23/01.

PHA Goal: Ensure equal opportunity and affirmatively further fair housing
Objectives:

Operate Lexington Housing Authority in full compliance with all equal opportunity laws and regulations
LHA complies with the equal opportunity laws and regulations regarding employment and housing. Harassment training was completed February 13 -14, 2003. Title VI & VIII are currently being scheduled.

Implement annual briefing and updates session to attract and retain Section 8 landlords
Landlord briefing held October 2002. 2003 briefing is planned for December.

- Each year, outreach to disability coalition through advertisement/agency contacts/news media
Five (5) agencies contacted in April, 2002. Additional outreach made to community at large through participating in community, faith based and school resource fairs. Information is also provided via an exhibition booth at the Human Rights Commission annual Fair Housing workshop.

AnnualPHAPlan
PHAFiscalYear2003
[24CFRPart903. 7]

i. AnnualPlanType:

SelectwhichtypeofAnnualPlanthePHAwillsubmit.

StandardPlan

StreamlinedPlan:

- HighPerformingPHA**
 SmallAgency(<250PublicHousingUnits)
 AdministeringSection8Only

TroubledAgencyPlan

ii. ExecutiveSummaryoftheAnnualPHAPlan

[24CFRPart903.79(r)]

ProvideabriefoverviewoftheinformationintheAnnualPlan,includinghighlightsof majorinitiativesanddiscretionaryoliciesethePHAhasincludedintheAnnualPlan.

iii. AnnualPlanTableofContents

[24CFRPart903.79(r)]

ProvideatableofcontentsfortheAnnualPlan ,includingattachments,andalistof supportingdocumentsavailableforpublicinspection .

TableofContents

	<u>Page#</u>
AnnualPlan	
i. ExecutiveSummary	
ii. TableofContents	
1. HousingNeeds	5
2. FinancialResources	12
3. PoliciesonEligibility,SelectionandAdmissions	13
4. RentDeterminationPolicies	22
5. OperationsandManagementPolicies	26
6. GrievanceProcedures	28
7. CapitalImprovementNeeds	28
8. DemolitionandDisposition	31
9. DesignationofHousing	32
10. ConversionsofPublicHousing	33
11. Homeownership	35

12. Community Service Programs	37
13. Crime and Safety	39
14. Pets (Inactive for January 1 PHAs)	41
15. Civil Rights Certifications (included with PHA Plan Certifications)	41
16. Audit	41
17. Asset Management	42
18. Other Information	42

Attachments

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

Required Attachments:

- Admissions Policy for Deconcentration **KY004a01**
- FY200 **3** Capital Fund Program Annual Statement **KY004b01**
- Most recent board -approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)
- Community Service **KY004c01**
- Pet Policy **KY004d01**
- Resident Membership on the PHA Governing Board **KY004e01**
- Section 8 Homeownership Capacity Statement **KY004f01**
- FY2000 Performance and Evaluation Reports **KY004j02**
- FY2001 Performance and Evaluation Reports **KY004k02**
- FY2002 Performance and Evaluation Reports **KY004l02**
- Definitions of Substantial Deviation and Significant Amendment **KY004m02**

Optional Attachments:

- PHA Management Organization Chart **KY004g01**
- FY200 **3** Capital Fund Program 5 Year Action Plan **KY004b01**
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- Other (List below, providing each attachment name)
 - Public Hearing Summary and Comments **KY004i01**
 - Resident Advisory Board Membership **KY004h01**

Supporting Documents Available for Review

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certification of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	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 resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board -approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certification 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	Public housing rent determination policies, including the methodology for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach	Annual Plan: Operations and Maintenance

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	infestation)	
X	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD - approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
N/A	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
X	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
X	Approved HOPEVI applications or, if more recent, approved or submitted HOPEVI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
X	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
X	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
X	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
X	Approved or submitted public housing home ownership 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	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self - Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self - Sufficiency
X	Most recent self - sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self - Sufficiency
X	The most recent Public Housing Drug Elimination Program (PHDEP) semi - annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the result 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	Community Services Requirements	Other
X	Pet Policy	Other

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)
X	Resident Survey Action Plan	Other

1. Statement of Housing Needs

[24CFR Part 903 .79(a)]

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

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

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ability	Size	Loca-tion
Income <= 30% of AMI	6,751	5	5	4	3	3	3
Income > 30% but <= 50% of AMI	5,036	4	3	3	2	2	2
Income > 50% but < 80% of AMI	3,171	3	3	3	2	2	2
Elderly	1,949	2	2	2	2	2	2
Families with Disabilities	N/A						
Race/African American	7,882	4	3	3	2	2	2
Race/Ethnicity	N/A						
Race/Ethnicity	N/A						
Race/Ethnicity	N/A						

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
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)
The Lexington - Fayette County Self - Assessment: January, 2003

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 checked="" type="checkbox"/> Section 8 tenant -based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site -Based or sub -jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	3442		600 (Est.)
Extremely low income <= 30% AMI	2502	72.69%	
Very low income (> 30% but <= 50% AMI)	900	26.15%	
Low income (> 50% but < 80% AMI)	40	1.16%	
Families with children	2508	72.86%	
Elderly families	100	2.91%	
Families with Disabilities	700	20.34%	

Housing Needs of Families on the Waiting List			
Race/White	1297	37.682%	
Race/Black	2055	59.71%	
Race/Hispanic	30	0.87%	
Race/Other	60	1.74%	
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2BR			
3BR			
4BR			
5BR			
5+BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes <i>The waiting list is currently not closed. However, we are considering closing the list during the 2003 – 2004 fiscal year. It will probably remain closed throughout the 2003 – 04 year with the exception of the Special partners and Shelter Plus programs.</i>			
If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHAPlan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List			
Waiting list type: (select one) <input type="checkbox"/> Section 8 tenant -based assistance <input checked="" type="checkbox"/> Public Housing <input type="checkbox"/> Combined Section 8 and Public Housing <input type="checkbox"/> Public Housing Site -Based or sub -jurisdictional waiting list (optional) If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	236		151
Extremely low income <= 30% AMI	208	88.14%	
Very low income (> 30% but <= 50%)	27	11.44%	

Housing Needs of Families on the Waiting List			
AMI)			
Low income (>50% but <80% AMI)	1	0.42%	
Families with children	123	52.12%	
Elderly families	5	2.12%	
Families with Disabilities	51	21.61%	
Race/White	104	44.07%	
Race/Black	130	55.08%	
Race/Hispanic	2	0.85%	
Race/Other			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	133	56.5%	
2BR	39	16.5%	
3BR	56	23.7%	
4BR	7	3%	
5BR	1	0.4%	
5+BR	0	0%	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to re-open the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

C. Strategy for Addressing Needs

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

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

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

Select all that apply

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

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

Select all that apply

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed -finance housing
- Pursue housing resources other than public housing or Section 8 tenant -based assistance.
- Other: (list below)
Use Capital Fund to leverage a loan through a financial institution on a bond issue.

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 tenant -based Section 8 assistance
- Employment admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below) *Expand the self-sufficiency housing program to include qualified fulltime students and qualified parttime employees.*

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

- Employment admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other: (list below) *Expand the self-sufficiency housing program to include qualified parttime employees.*

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special -purpose voucher targeted to the elderly, should they become available
- Other: (list below) *Elderly designation for KY4 -23, originally approved 2/13/97. Obtained HUD approval to extend elderly designation effective 2/13/02.*

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special -purpose voucher targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities

Other:(list below)

Need:SpecificFamilyTypes:Racesorethnicitieswithdisproportionatehousing needs

Strategy 1:IncreaseawarenessofPHAresourcesamongfamiliesofracesand ethnicitieswithdisproportionateneeds:

Selectifapplicable

- Affirmativelymarkettoraces/ethnicitiesshowntohavedisproportionate housingneeds
- Other:(listbelow)

Strategy 2:Conductactivitiestoaffirmativelyfurtherfairhousing

Selectallthatapply

- Counselsection8tenantsastolocationofunitsoutsideofareasofpovertyor minorityconcentrationandassistthemtolocatethoseunits.
- Marketthesection8programtoownersoutsideofareasofpoverty/minority concentrations
- Other:(listbelow)

OtherHousingNeeds&Strategies:(listneedsandstrategiesbelow)

(2)ReasonsforSelectingStrategies

Ofthefactorslistedbelow,selectallthatinfluencedthePHA'sselectionofthe strategiesitwillpursue:

- Fundingconstraints
- Staffingconstraints
- Limitedavailabilityofsitesforassistedhousing
- Extenttowhichparticularhousingneedsaremetbyotherorganizationsinthe community
- EvidenceofhousingneedsasdemonstratedintheConsolidatedPlanandother informationavailabletothePHA
- InfluenceofthehousingmarketonPHAprograms
- Communityprioritiesregardinghousingassistance
- Resultsofconsultationwithlocalorstategovernment
- ResultsofconsultationwithresidentsandtheResidentAdvisoryBoard
- Resultsofconsultationwithadvocacygroups
- Other:(listbelow)

2. Statement of Financial Resources

[24CFR Part 903.79(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 and tenant-based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other .

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2003 grants)		
a) Public Housing Operating Fund	1,644,780	
b) Public Housing Capital Fund	1,867,284	
c) CF Replacement Housing	260,650	
d) HOPE VIDemolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	11,753,498	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	0	
g) Resident Opportunity and Self-Sufficiency Grants	0	
h) Community Development Block Grant	0	
i) HOME	0	
Other Federal Grants (list below)		
Section 8- FSS	0	
Shelter Plus Care	0	Section 8 Supportive Services
Section 8- Housing Choice	0	
1. Prior Year Federal Grants (unobligated funds only) (list below)		
HOPE VI Revitalization	12,541,200	KY004-002,005
HOPE VIdemolition	261,979	KY004-004
MOD	1,273,839	
3. Public Housing Dwelling Rental Income	2,003,250	Public Housing Operations
4. Other income (list below)		Public Housing Operations
Misc. charges to tenants	62,870	

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
Commissions	1,687	
Collection Loss Recovery	0	
5. Non-federal sources (list below)		
Total resources	31,671,037	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24CFR Part 903.79(c)]

A. Public Housing

Exemptions: PHA 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) **When all eligibility documentation is received.**

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) **Age, balances owed to LHA and other assisted housing properties.**

c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes? **(As a backup for the state, e.g. when state computer is down. Also, when a state does not provide criminal background checks, the local law enforcement agency is contacted.)**

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

e. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC - authorized source) **We have done so in the past but not recently.**

(2)WaitingListOrganization

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

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

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

- PHA main administrative office
- PHA development site management office
- Other (list below) **Ballard/Griffith Towers (for that site only)**

c. If the PHA plan 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?
(18) PH, (1) Section 8 New Construction. Anticipate 3 others: Sugar Mill, 12th Street, Georgetown Street.

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**

3. Yes No: May families be on more than one lists simultaneously
If yes, how many lists? **All for which they qualify.**

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) **Ballard/Griffith Towers (for that site only)**

(3)Assignment

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

- One
- Two **(Before being removed from list)**
- Three or More

b. Yes No: Is this policy consistent across all waiting list types? **However, there are exceptions which can be found in the ACOP.**

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 requirement 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 transfer take precedence over new admissions? (list below)

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

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**)

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
- Household that contribute to meeting income goals (broad range of incomes)
- Household 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) **Order of preference for Singles: 1) Elderly, handicapped, disabled, displaced; 2) Working singles; 3) Full-time students; 4) Other singles.**
- Former Charlotte Court Leaseholders, who were displaced as a result of HOPE VI and who qualify for Westside, Sugar Mill, and 12th Street.**

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 points 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)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Household that contribute to meeting income goals (broad range of incomes)
- Household that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- 2** Other preference(s) (list below) **Order of preference for singles: 1) Elderly, disabled, handicapped, displaced; 2) Working singles who have been employed at least six (6) months prior to application; 3) Full-time students engaged in post-high school education activity; 4) Other singles.**

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers

- Not applicable: the pool of applicant families ensure 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 **LHA website, Lease review at move -in**)

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

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

(6) Deconcentration and Income Mixing

Yes No: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete.

Yes No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If yes, the PHA completes the table shown below. **KY004a01**

a. Yes No: Did the PHA's analysis of its family (general occupancy) development 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:

4-1, 4-3 and 4-8

Employing new admission preferences at targeted developments
If selected, list targeted developments below:

Other (list policies and developments targeted below)
Adding fulltime students to families eligible for our self-sufficiency properties; KY 4-9, 4-12, 4-13, 4-21.

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
- 1) Flat rents at the 4-1 and 4-3 sites are lower than other LHA properties.
2) Expanded eligibility for the self-sufficiency housing program to include qualified fulltime students and qualified parttime employees.**
- 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:

4-1, 4-3, 4-8

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:

4-9, 4-12, 4-13, 4-21 - However, these are scattered -site developments.

B. Section 8

Exemptions: PHA's that do not administer section 8 are not required to complete sub component 3B.

Unless otherwise specified, all questions in this section apply only to the tenant based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

- Criminal or drug -related activity only to the extent required by law or regulation
- Criminal and drug -related activity, more extensively than required by law or regulation
- More general screening than criminal and drug -related activity (list factors below)
- Other (list below) **Balances owed to LHA and other assisted housing properties, income limits, and age requirement.**

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

(As a backup for the state e.g. when the state computer is down. Also, when a state does not provide criminal background checks, the local law enforcement agency is contacted).

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) **(We have in the past, but not recently).**

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

- Criminal or drug -related activity
- Other (describe below) **Share names, addresses, phone numbers of prior landlords, if requested.**

(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)

(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: **Additional 60 days by request.**

(4) Ad missions Preferences

a. Income targeting

- Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admission 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
- Household that contribute to meeting income goals (broad range of incomes)
- Household 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) **LHA/HOPEVI/DEMO/DISPO activity; elderly, disabled, handicapped, displaced over others singles. Special partners – administering self-sufficiency programs, programs for persons with disabilities and drug rehabilitation programs.**

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 the choices (either through an absolute hierarchy or through a points 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)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- 2 Household that contribute to meeting income goals (broad range of incomes)
- 2 Household that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- 2 Other preference(s) (list below) **Elderly, disabled, handicapped, displaced over others singles. Special partners operating self-sufficiency programs and programs for persons with disabilities.**

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

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

5.IfthePHAplanstoemploypreferencesfor“residentstholiveand/orworkinthe jurisdiction”(selectone) *N/A*

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

6.Relationshipofpreferencestoincome targeting requirements:(selectone)

- 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.Inwhichdocumentsorotherreferencematerialsarethepoliciesgoverning eligibility,selection,andadmissionstoanyspecial -purpose section 8 program administered by the PHA contained?(selectallthatapply)

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

b. HowdoesthePHAannounce the availability of any special -purpose section 8 programsto the public?

- Through published notices
 Other(listbelow) **Partners announce availability; PHA eligibility staff/management staff make referrals; announcements at coordinating agency meetings/forums.**

4.PHA Rent Determination Policies

[24CFR Part 903.79(d)]

A.Public Housing

Exemptions:PHA's 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:(selectone)

- 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,skipto sub -component(2))

---or---

- ThePHAemploysdiscretionarypoliciesfordeterminingincomebasedrent(If selected,continuetoquestionb.)

b. Minimum Rent

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

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

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

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

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

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

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

LHA excludes 15% of earned income for public housing residents.

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

- For the earned income of a previously unemployed household member
 For increases in earned income
 Fixed amount (other than general rent -setting policy)
If yes, state amount/s and circumstances below:
- Fixed percentage (other than general rent -setting policy)
If yes, state percentage/s and circumstances below: **15% exclusion to earned income.**
- For household heads
 For other family members **(18 years of age or older)**
 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 specific general occupancy developments
 For certain parts of developments; e.g., the high-rise portion
 For certain size units; e.g., larger bedroom sizes
 Other (list below)

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

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

f. Rent determination:

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
 Anytime the family experiences an income increase
 Anytime a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold) _____
 Other (list below) **(1) Report all changes in family composition within 10 days. (2) Report income increases only if a decrease has been requested between annual recertifications.**

- 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.)

- This 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) **Rents of current PHA leaseholders.**

B. Section 8 Tenant -Based Assistance

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

(1) Payment Standards

Describe the voucher payment standards and policies.

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

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)
Certain census districts where rent comp warrant.

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

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

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

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

d. How often are repayment 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 burden 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)

5. Operations and Management

[24CFR Part 903.79(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.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing		
Section 8 Vouchers		

Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs (list individually)		
Ballard Towers		

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)

Management: Personnel, Procurement, Asset Disposition, and Admission & Continued Occupancy Policies, Lease, and Ballard/Griffith House Rules.

Maintenance: Maintenance Plan, Schedule of Maintenance Charges, and Cockroach Infestation Policy

- (2) Section 8 Management: (list below)

Administrative Plan

6. PHA Grievance Procedures

[24CFRPart903.79(f)]

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

A. Public Housing

1. Yes No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24CFRPart966, Subpart B, for residents of public housing?

If yes, list addition to federal requirements below:

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

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

B. Section 8 Tenant -Based Assistance

1. Yes No: Has the PHA established informal review procedures for applicants to the Section 8 tenant -based assistance program and informal hearing procedures for families assisted by the Section 8 tenant -based assistance program in addition to federal requirements found at 24CFR982?

If yes, list addition to federal requirements below:

2. Which PHA offices should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office
 Other (list below)

7. Capital Improvement Needs

[24CFRPart903.79(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: PHA that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

(1)CapitalFundProgramAnnualStatement

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

Select one:

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment **KY004a01**

-or-

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

(2)Optional5 -YearActionPlan

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 **KY004a01**

-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.HOPEVI and Public Housing Development and Replacement Activities (Non -Capital Fund)

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

Yes No: a) Has the PHA received a HOPEVI 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 HOPEVI revitalization grant (complete one set of questions for each grant)

1. Development name: **Charlotte Court**
2. Development (project) number: **KY004 -002 and KY004 -005**
3. Status of grant: (select the statement that best describes the current status)
 - Revitalization Plan under development
 - Revitalization Plans 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 HOPEVI Revitalization grant in the Plan year?
If yes, list development name/s below:
Financial feasibility of making a Hope V1 application for KY4 -1 Fowler Gardens and KY4 -3 Haverly -Caulderis being considered.

Yes No: d) Will the PHA be engaging in any mixed -financed development activities for public housing in the Plan year?
If yes, list developments or activities below:
1) Georgetown St duplexes
2) 12th Street apartments
3) Sugar Mill apartments
4) Potential mixed -financed development opportunities being explored:
a) joint venture with Habitat for Humanity
b) acquisition of property on Russell Cave Rd
c) leveraging Capital funds to obtain a loan or bond issue
d) other opportunities that may present themselves

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

[24CFR Part 903.79(h)]

Applicability of component 8: Section 8 only PHA s 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.) **LHA is studying the feasibility of applying for a Demolition grant or pursuing Voluntary Conversion of KY4 -1 and KY4 -3.**

2. Activity Description

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

Demolition/Disposition Activity Description	
1a. Development name:	Fowler Gardens
1b. Development (project) number:	KY004 -001
2. Activity type: Demolition	<input checked="" type="checkbox"/>
Disposition	<input type="checkbox"/>
3. Application status (select one)	
Approved	<input type="checkbox"/>
Submitted, pending approval	<input type="checkbox"/>
Planned application	<input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission:	2003-04 fiscal year
5. Number of units affected:	30
6. Coverage of action (select one)	
<input type="checkbox"/> Part of the development	
<input checked="" type="checkbox"/> Total development	
7. Timeline for activity:	
a. Actual or projected start date of activity:	2004
b. Projected end date of activity:	2007

Demolition/Disposition Activity Description	
1a. Development name:	Haverly-Caulder
1b. Development (project) number:	KY004 -003
2. Activity type: Demolition	<input checked="" type="checkbox"/>
Disposition	<input type="checkbox"/>
3. Application status (select one)	

Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: 2003-04 fiscal year
5. Number of units affected: 30
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2004 b. Projected end date of activity: 2007

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

[24CFR Part 903.79(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.

Designation of Public Housing Activity Description
1a. Development name: Griffith Towers (Connie Griffith Manor)
1b. Development (project) number: KY004-023

2.Designationtype: Occupancybyonly theelderly <input checked="" type="checkbox"/> (Nearelderly&elderly55&over) Occupancybyfamilieswithdisabilities <input type="checkbox"/> Occupancybyonlyelderlyfamiliesandfamilieswithdisabilities <input type="checkbox"/>	
3.Applicationstatus(selectone) Approved;includedinthePHA'sDesignationPlan <input checked="" type="checkbox"/> Submitted,pendingapproval <input type="checkbox"/> Plannedapplication <input type="checkbox"/>	
4.Datethisdesignationapproved,submitted,orplannedforsubmission: <u>13/02/97.</u> Renewalapplication approvedfor2yearextensioneffective2/13/02.	
5.Ifapproved,willthisdesignationconstitutea(selectone) <input type="checkbox"/> NewDesignationPlan <input checked="" type="checkbox"/> RevisionofapreviouslyapprovedDesignationPlan?	
6. Numberofunitsaffected: 183	
7.Coverageofaction(selectone) <input type="checkbox"/> Partofthedevelopment <input checked="" type="checkbox"/> Totaldevelopment	

10. Conversion of Public Housing to Tenant -Based Assistance

[24CFR Part 903.79(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 FY1996 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 as streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

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

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

Voluntary Conversion Initial Assessments

a. How many of the PHA's developments are subject to the Required Initial Assessments? Answer: 11

b. How many of the PHA's developments are not subject to the Required Initial Assessments based on exemptions (e.g., elderly and/or disabled developments not general occupancy projects)?

Answer: 1

c. How many Assessments were conducted for the PHA's covered developments?

Answer: 11

d. Identify PHA developments that may be appropriate for conversion based on the Required Initial Assessments:

Answer: None

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

Answer: N/A

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

11. Homeownership Programs Administered by the PHA

[24CFR Part 903.79(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.)

Public Housing Homeownership Activity Description (Complete one for each development affected)	
1a. Development name:	
1b. Development (project) number:	
2. Federal Program authority:	<input type="checkbox"/> HOPEI <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 at least a minimum submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

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

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

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

b.PHA -establishedeligibilitycriteria

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

[24CFR Part 903.79(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 assigned?

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 programsto 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 home ownership option participation
 - Preference/eligibility for section 8 home ownership option participation
 - Other policies (list below)
- b. Economic and Social self-sufficiency programs

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

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

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2001 Estimate)	Actual Number of Participants (As of: DD/MM/YY)

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

C. Welfare Benefit Reductions

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

C. 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 903.79(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 area 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 level of violent and/or drug -related crime
- Other (describe below)

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

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

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

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

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

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

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

C. Coordination between PHA and the police

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

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

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

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

D. Additional information as required by PHDEP/PHDEP Plan

PHA eligible for FY2001 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 FY2003 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment. (Attachment)

14. RESERVED FOR PET POLICY

[24CFR Part 903.79(n)]

Attachment KY004e01

15. Civil Rights Certifications

[24CFR Part 903.79(o)]

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

16. Fiscal Audit

[24CFR Part 903.79(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)?

17. PHA Asset Management

[24CFR Part 903.79(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

[24CFR Part 903.79(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 as Attachment
 - Provided below: **See below under #3**

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:

Two Resident Advisory Board meetings were held regarding the Annual Plan on January 29, 2003 and March 19, 2003. A summary of the meetings can be found below.

MAINTENANCE

RAB members were given a listing of proposed increases for standard maintenance charges. It was explained that there had not been a revision to standard charges in at least 5 years. There was a good bit of discussion regarding the maintenance increase:

1. Are labor charges inclusive?

2. Is there a charge for removing a washer/dryer from the back patio?

-A RAB member provided a phone number to call city personnel for removal of appliances.

3. Clarification re labor charge applied to standard charges.

4. Inquiry re cost to replace light bulb.

5. Standard charge vs night, weekend and holiday rates

6. Screen charges and storm door glass

7. Is anything free? (Normal wear and tear)

After obtaining answers to their questions, RAB determined that the increase in charges was justified.

ADMISSION AND ELIGIBILITY

LHA proposed relaxing two eligibility criteria which would make it easier for applicants to be admitted to our housing programs:

1. Reduce the requirement for 18 month housing reference to 12 months.

• RAB agreed that 12 month housing reference was sufficient.

2. Reduce the number of months that a person who has been evicted from LHA can be considered for eligibility from 12 to 6.

• RAB felt that 12 months for eligibility to be considered should remain as is. They also suggested that persons who were evicted for non-payment of rent be required to complete a budget counseling class, unless they could provide at least 12 months of satisfactory rental payment history a landlord (not a friend or relative.)

OCCUPANCY

LHA proposed a late charge increase. An informal survey of Housing Authorities and other Assisted Housing properties relative to late charges taken by LHA was shared with the RAB. It was explained that there had not been a late charge increase in more than 18 years. Several options were explored. LHA settled on the first suggestion presented by the RAB of \$15.

• Proposed that households in the Homeownership (H.O .) program who forfeit their H.O. status may remain in the house as long as they meet public housing Self -sufficiency criteria. RAB agreed.

• Advised RAB that HUD is considering making a \$50.00 minimum rent mandatory for all PHA's. Proposed that LHA increase Minimum rent for the next fiscal year to \$50.00 for the Public Housing and Section 8 programs. Shared the results of an informal survey of Housing Authorities taken by LHA re Minimum rents. There was not a great deal of discussion. RAB felt that \$50.00 was not an unreasonable amount to pay for housing.

• Advised that LHA proposed to return to the traditional method of providing Utility Allowances (UA) i.e. rather than paying the full rent amount and receiving a monthly UA check, the UA will be deducted from rent and a lesser rent would be due to LHA. After a few questions, RAB indicated that either way was acceptable.

Other: (list below)
Discussed towing of automobiles, new court costs, false rumor regarding Self-sufficiency houses becoming available for Homeownership, Community Servicer requirement being reactivated, Self -Sufficiency sites and criteria, Flat Rent, Section 8 and Public Housing Homeownership programs, planned renovations for the next fiscal year, Home VI update, an overview of the budget, close -out of PHDEP, new Resident training programs, Management update from Housing Managers, Annual Plan public hearing and recent ice storm.

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

3. Description of Resident Election Process

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

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

b. Eligible candidates: (select one)

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

c. Eligible voters: (select all that apply)

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

C. Statement of Consistency with the Consolidated Plan

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

1. Consolidated Plan jurisdiction: (provide name here) **Lexington-Fayette Urban County Government**

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

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

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below) **Charlotte Court HOPEVI donation of land for development.**

D. Other Information Required by HUD

Attachments

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

TableLibrary

Annual Statement/Performance and Evaluation Report
 Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary

PHAName: Lexington-Fayette Urban County Housing Authority	Grant Type and Number: Capital Fund Program Grant No: KY36-P004-501-03 Replacement Housing Factor Grant No:	Federal FY of Grant
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Original Annual Statement Reserve for Disasters/Emergencies Revised Annual Statement (revision no:)

Performance and Evaluation Report for Period Ending: Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Costs		Total Actual Cost
		Original	Revised	Obligated
1	Total non-CFP Funds			
2	1406 Operations	373,456.00		
3	1408 Management Improvements Soft Costs	36,000.00		
	Management Improvements Hard Costs			
4	1410 Administration	186,128.40		
5	1411 Audit			
6	1415 Liquidated Damages			
7	1430 Fees and Costs	86,423.57		
8	1440 Site Acquisition			
9	1450 Site Improvement			
10	1460 Dwelling Structures	1,170,006.03		
11	1465.1 Dwelling Equipment--Nonexpendable	15,270.00		
12	1470 Nondwelling Structures			
13	1475 Nondwelling Equipment			
14	1485 Demolition			
15	1490 Replacement Reserves			
16	1492 Moving to Work Demonstration			
17	1495.1 Relocation Costs			
18	1499 Development Activities			
19	Amount of Annual Grant (sum of lines 2-19)	\$1,867,284.00		
20	Amount of line 2 Related to LBP Activities			
21	Amount of line 2 Related to Section 504 Compliance			
22	Amount of line 2 Related to Security-Soft Costs			
23	Amount of line 2 Related to Security-Hard Costs			
24	Amount of line 2 Related to Energy Conservation Measures			
25	Collateralization Expenses or Debt Service			

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

PHAName: Lexington-Fayette Urban County Housing Authority		Grant Type and Number: Capital Fund Program Grant No: KY36-P004-501-03 Replacement Housing Factor Grant No:			Federal FY of Grant: 7/2003	
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Estimated Cost	Total Actual Cost	
					Obligated	Expended
1. LHAWide Operations	Operations	1406		373,456.00		
2. LHAWide Mgmt. Improvements	Management Improvements Security Griffith	1408		36,000.00		
3. LHAWide Administration	Administration Administrative Salaries & Benefits prorated among the following: Mod Coordinators Executive Director Director of Finance Director of Housing Management Accounting Staff Staff Facilitator	1410		186,128.40		
4. Fees & Costs	A/E Fees and Costs	1430		86,423.57		
	A/E Services for design & contract administration			86,423.57		

Annual Statement/Performance and Evaluation Report							
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)							
Part II: Supporting Pages							
PHAName: Lexington-Fayette Urban County Housing Authority			Grant Type and Number: Capital Fund Program Grant No: KY36-P004-501-03 Replacement Housing Factor Grant No:			Federal FY of Grant: 7/2003	
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Estimated Cost	Total Actual Cost		Status of Work
					Obligated	Expended	
5. LHA Wide KY4-1	Dwelling Structures	1460	30	1,170,006.03			
	Replacement Units KY4-4			700,000.00			
	a. Add split system furnace/AC units			126,000.00			
	b. Replace electrical panel boxes (upgrade)			33,000.00			
	c. Add primary trunk/Electrical line to units			21,500.00			
	d. Replace gas hot water heaters			22,950.00			
	e. Paint electrical service panels			400.00			
	f. Replace kitchen sinks, cabinets & countertops			62,450.16			
	g. Range hoods (est. 100.00 X 30)			3,000.00			
	h. Add grease splash panel			1,500.00			
	i. Replace ceramic tile & vinyl tile			44,200.00			
	j. Replace interior doors & hardware			17,410.00			
k. Replace bath fixtures (toilets, sinks, tubs, showers & medicine cabinet)	23,340.00						
KY4-1&4-3	Roof Replacements			114,255.87			
6. LHA-Wide	Dwelling Equipment (KY4-1)	1465		15,270.00			

Annual Statement/Performance and Evaluation Report							
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)							
Part III: Implementation Schedule							
PH Name: Lexington-Fayette Urban County Housing Authority			Grant Type and Number: Capital Fund Program Grant No: KY36-P004-501-03 Replacement Housing Factor Grant No:			Federal FY of Grant: 7/2003	
Development Number Name/HA-Wide Activities				All Fund Expended (Quarter Ending Date)			Reason for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
(1) Operations	09/30/05			09/30/06			
(2) LHA Wide-Mgmt. Improvements							
(3) LHA Wide-Administration							
(4) Fees & Costs							
(5) Dwelling Structure							
(6) Dwelling Equipment							

WorkStatementforYear5
FFYGrant:2007
PHAFY:

373,456.00
36,000.00
186,128.40
55,569.60
700,000.00
500,860.00
15,270.00

1,867,284.00

0.00

Capital Fund Program Five-Year Action Plan					
Part II: Supporting Pages --- Work Activities					
Activities for Year 2004			Activities for Year 2005		
FFY Grant: 2004 PHAFY: 2004			FFY Grant: 2005 PHAFY: 2005		
Development Number/Name	Major Work Categories	Estimated Costs	Development Number/Name	Major Work Categories	Estimated Costs
LHAWide	Operations	373,456.00	LHAWide	Operations	373,456.00
LHAWide	Mgmt Improvements (Security at Griffith)	36,000.00	LHAWide	Mgmt Improvements (Security at Griffith)	36,000.00
LHAWide	Administration	186,128.40	LHAWide	Administration	186,128.40
LHAWide	A&E Fees	55,569.60	LHAWide	A&E Fees	55,569.60
	TOTAL	651,154.00		TOTAL	651,154.00
LHA-Wide	citywide public housing replacement units (KY4-4)	700,000.00	LHA-Wide	citywide public housing replacement units (KY4-4)	700,000.00
KY4-3 Haverly-Caulder (30 units)	Add split system furnace/AC units	236,000.00	KY4-3 Haverly-Caulder (30 units)	Add split system furnace/AC units	236,000.00
	Replace electrical panel boxes (upgrade)	33,000.00		Replace electrical panel boxes (upgrade)	33,000.00
	Add primary trunk/Electrical line units	21,500.00		Add primary trunk/Electrical line units	21,500.00
	Replace gas hot water heaters	22,950.00		Replace gas hot water heaters	22,950.00
	Paint electrical service panels	400.00		Paint electrical service panels	400.00
	Replace kitchen sinks	13,320.00		Replace kitchen sinks	13,320.00
	Rangehoods	3,000.00		Rangehoods	3,000.00
	Add grease splash panel	1,500.00		Add grease splash panel	1,500.00
	Replace medicine cabinets	2,580.00		Replace medicine cabinets	2,580.00
	Replace ceramic tile & vinyl tile	44,200.00		Replace ceramic tile & vinyl tile	44,200.00
	Replace interior doors & hardware	17,410.00		Replace interior doors & hardware	17,410.00
	Replace kitchen cabinets	54,600.00		Replace kitchen cabinets	54,600.00
	Replace bath fixtures (toilets, sinks, tubs, showers)	44,100.00		Replace bath fixtures (toilets, sinks, tubs, showers)	44,100.00
	Replace kitchen countertop	6,300.00		Replace kitchen countertop	6,300.00
	TOTAL	500,860.00		TOTAL	500,860.00
KY4-3 Haverly-Caulder (30 units)	Replace ranges & refrigerators	15,270.00	KY4-3 Haverly-Caulder (30 units)	Replace ranges & refrigerators	15,270.00
	Total CFPEstimated Costs	\$1,867,284.00		Total CFPEstimated Costs	\$1,867,284.00

CapitalFundProgramFive-YearActionPlan						
PartII:SupportingPages--WorkActivities						
ActivitiesforYear2006 FYGrant:2006 PHAFY:2006				ActivitiesforYear2007 FFYGrant:2007 PHAFY:2007		
Development Number/Name	MajorWork Categories	EstimatedCosts	Development Number/Name	MajorWork Categories	EstimatedCosts	
LHAWide	Operations	373,456.00	LHAWide	Operations	373,456.00	
LHAWide	MgmtImprovements(SecurityatGriffith)	36,000.00	LHAWide	MgmtImprovements(SecurityatGriffith)	36,000.00	
LHAWide	Administration	186,128.40	LHAWide	Administration	186,128.40	
LHAWide	A&EFees	55,569.60	LHAWide	A&EFees	55,569.60	
	TOTAL	651,154.00		TOTAL	651,154.00	
LHA-Wide	citywidepublichousingreplacementunits(KY4-4)	700,000.00	LHA-Wide	citywidepublichousingreplacementunits(KY4-4)	700,000.00	
KY4-3Haverly-Caulder (30units)	Addsplitsystemfurnace/ACunits	236,000.00	KY4-3Haverly-Caulder (30units)	Addsplitsystemfurnace/ACunits	236,000.00	
	Replaceelectricalpanelboxes(upgrade)	33,000.00		Replaceelectricalpanelboxes(upgrade)	33,000.00	
	Addprimarytrunk/Electricalinestounits	21,500.00		Addprimarytrunk/Electricalinestounits	21,500.00	
	Replacegashotwaterheaters	22,950.00		Replacegashotwaterheaters	22,950.00	
	Paintelectricalservicepanels	400.00		Paintelectricalservicepanels	400.00	
	Replacekitchensinks	13,320.00		Replacekitchensinks	13,320.00	
	Rangehoods	3,000.00		Rangehoods	3,000.00	
	Addgreasesplashpanel	1,500.00		Addgreasesplashpanel	1,500.00	
	Replacemedicinecabinets	2,580.00		Replacemedicinecabinets	2,580.00	
	Replaceceramictile&vinyltile	44,200.00		Replaceceramictile&vinyltile	44,200.00	
	Replaceinteriordoors&hardware	17,410.00		Replaceinteriordoors&hardware	17,410.00	
	Replacekitchencabinets	54,600.00		Replacekitchencabinets	54,600.00	
	Replacebathfixtures(toilets,sinks,tubs,showers)	44,100.00		Replacebathfixtures(toilets,sinks,tubs,showers)	44,100.00	
	Replacekitchencountertops	6,300.00		Replacekitchencountertops	6,300.00	
	TOTAL	500,860.00		TOTAL	500,860.00	
KY4-3Haverly-Caulder (30units)	Replaceranges&Refrigerators	15,270.00	KY4-3Haverly-Caulder (30units)	Replaceranges&Refrigerators	15,270.00	
	TotalCFPEstimatedCosts	\$1,867,284.00		TotalCFPEstimatedCosts	\$1,867,284.00	

ANNUAL STATEMENT/PERFORMANCE and EVALUATION REPORT

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)

Part I: Summary

PHAName: Lexington-Fayette Urban County Housing Authority		Grant Type and Number Capital Fund Program Grant No. Y36-P004-501-00 Replacement Housing Factor Grant No:	Federal FY of Grant: 2000
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<input type="checkbox"/> Original Annual Statement	<input type="checkbox"/> Reserve for Disasters/Emergencies	<input type="checkbox"/> Revised Annual Statement/Revision No.
<input checked="" type="checkbox"/> Performance and Evaluation Report for Yr Ending 3/31/2003	<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	\$617,874.00	\$617,874.00	\$617,874.00	\$617,874.00
3	1408 Management Improvements Soft Costs	\$207,078.00	\$62,946.34	\$62,946.34	\$20,542.79
	Management Improvements Hard Costs				
4	1410 Administration	\$216,254.00	\$248,141.39	\$248,141.39	\$243,967.76
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$194,136.00	\$120,384.68	\$120,384.68	\$60,300.17
8	1440 Site Acquisition				
9	1450 Site Improvement	\$214,018.00	\$44,663.01	\$44,663.01	\$31,304.50
10	1460 Dwelling Structures	\$1,640,011.00	\$1,824,180.47	\$1,824,180.47	\$1,779,926.42
11	1465.1 Dwelling Equipment--Nonexpendable		\$48,170.00	\$48,170.00	\$11,230.00
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment		\$119,011.11	\$119,011.11	\$118,611.11
14	1485 Demolition				
15	1490 Replacement Reserves				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs		\$4,000.00	\$4,000.00	\$4,000.00
18	1498 Mod Used for Development				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant (Sum of lines 2-19)	\$3,089,371.00	\$3,089,371.00	\$3,089,371.00	\$2,887,756.75
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Compliance				
23	Amount of line 20 Related to Security				
24	Amount of line 20 Related to Energy Conservation Measures				
25	Collateralization Expenses or Debt Service				

Signature of Executive Director and Date	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)

Part II: Supporting Pages

PHAName:				Grant Type and Number				Federal FY of Grant:
Lexington-Fayette Urban County Housing Authority				Capital Fund Program Grant No: KY36-P004-501-00		03/31/03		2000
Development				Replacement Housing Factor Grant No:				
Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
1. LHA-wide Operations	General Operating Subsidy	1406		617,874.00	617,874.00	617,874.00	617,874.00	COMPLETED
2. LHA-wide Mgmt. Improvement	Mgmt. Improvements a. Resident Employment Program-Employment Training, Grounds Maintenance b. Upgrade Computer System (Gorrell's) EMPHASYTECH c. Telecommunications Upgrade-Mobile phones, Radios & base systems d. HJ Financial Group (Project based accounting system study) e. Quadel Consulting f. Elliotts Safety & Security	1408		207,078.00	62,946.34	62,946.34	20,542.79	reduced by 3135.291408 reduced by 5750.001430
				84,692.68	3,626.55	3,626.55	3,325.00	COMPLETED
				73,692.66	3,488.16	3,488.16	3,488.16	COMPLETED
					5,796.13	5,796.13	5,796.13	COMPLETED
					4,336.21	4,336.21	4,336.21	COMPLETED
				48,692.66				
					3,510.29	3,510.29	3,135.29	
					41,727.00	41,727.00	0.00	
		Constitution	KY4-9		462.00	462.00	462.00	COMPLETED
3. LHA-wide Administration	Administration a. MOD Coordinator Salary & Benefits b. Administrative salaries prorated among the following: -Executive Director -Director of Finance -Director of Operations -Accounting Assistant c. Legal expenses d. Bid advertisement (KY4-23) Lynn Imaging (4-8) Lynn Imaging (4-12)	1410		216,254.00	248,141.39	248,141.39	243,967.76	COMPLETED
						48,317.95	48,317.95	COMPLETED
						196,578.01	192,404.38	
						1,790.94	1,790.94	
						462.10	462.10	
						250.49	250.49	
						741.90	741.90	

Part II: Supporting Pages

PH Name:		Grant Type and Number						Federal FY of Grant:
Lexington-Fayette Urban County Housing Authority		Capital Fund Program Grant No: 636-P004-501-00						2000
		Replacement Housing Factor Grant No:						
Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
4. Fees and Cost	A/E Fees and Costs A/E Services/Master Plan Services Steve Albert KY4-9 (balance in 708) Steve Albert KY4-12 Steve Albert KY4-23 (Fire Alarm System) KY4-1, 4-3, 4-9, 4-12, 4-13, 4-14, 4-15 KY4-9 Morrow & Cobb Pine Valley SCB KY4-1, 4-3 & 4-4 BGR Revitalization (balance in 708) Durveman & Brooks BGR Revitalization (balance in 708) MG ASSOCIATES KY4-19 Steve Albert KY4-3 (Fire Damaged) Units Lexington Herald-Leader bids (KY4-12) Lexington Herald-Leader re-bids (KY4-12) Springfield Wholesale Supply	1430		194,136.00	120,384.68	120,384.68	60,300.17	
	Site Improvements	1450		214,018.00	44,663.01	44,663.01	31,304.50	
5. KY4-1 KY4-3 KY4-9 KY4-12 KY4-14 KY4-15 KY4-21 KY4-9 KY4-9 KY4-9	Site Drainage & Sidewalks Site Drainage & Sidewalks Regrade yards/wrought iron fencing/concrete walks Water damage repair/prevention Sidewalk repairs Sidewalk repairs Site Drainage Sharp Lawn Lexington Tree Service Dumpster for Constitution Sharp Lawn (Landscaping Pine Valley)			11,950.85 11,950.85 133,425.90 15,837.85 14,450.85 14,450.85 11,950.85	22,529.50 1,625.00 950.00 19,558.51	22,529.50 1,625.00 950.00 19,558.51	22,529.50 1,625.00 950.00 6,200.00	COMPLETED COMPLETED COMPLETED
6. KY4-9	Dwelling Structures a. Install A/C, replace kitchen cabinets/counters b. Renovation Bainbridge Ct. Constitution Sq & Pine Valley Remainder of RAW Williams contract from 708	1460		1,640,011.00	1,824,180.47	1,824,180.47	1,779,926.42	
KY4-23	FIRE ALARM UPGRADE (General Sound)				127,245.00	127,245.00	127,245.00	completed
KY4-12 KY4-13	Install A/C (9 units) install vinyl flooring Install A/C (36 units), carpet bedrooms			336,966.75 575,456.25				
KY4-9	Appliances	1465		0.00		48,170.00	11,230.00	
KY4-9	Non-Dwelling Equipment Office Security System (Simplex Grinnell)	1475			28,123.00	119,011.11	118,611.11	
LH A wide	16 computers (Gateway) Tapedrive & cartridges Pomeroy Computer Resources 2 CHECKS WORLDWIDE TECHNOLOGY				22,505.00 2,583.00	22,505.00 2,583.00	22,505.00 2,583.00	
KY4-9	Relocation	1495			850.00	4,000.00	4,000.00	COMPLETED

Part III: Implementation Schedule

PHAName: Lexington-Fayette Urban County Housing Authority	Grant Type and Number Capital Fund Program Grant No: 06-P004-501-00 Replacement Housing Factor Grant No:	Federal FY of Grant: 2000 03/31/03
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Development Number/Name HA-Wide Activities	Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
(1) Operations	March 02	September 02	September 02	September 03			
(2) LHA-Wide Mgmt Imp.	"	"	"	"			
(3) LHA-Wide Adm.	"	"	"	"			
(4) Fees & Cost	"	"	"	"			
(5) KY 4-1, 4-3, 4-9, 4-12, 4-14, 4-15, 4-21	"	"	"	"			
(6) KY 4-1, 4-12, 4-13	"	"	"	"			
(7) KY 4-4 Aspendale	"	"	"	"			
(8) KY 4-8 Pimlico	"	"	"	"			

Annual Statement/Performance and Evaluation Report
 Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary

PH Name: Lexington-Fayette Urban County Housing Authority	Grant Type and Number: Capital Fund Program Grant No: KY36-P004-501-01 Replacement Housing Factor Grant No:	Federal FY of Grant: July 2001
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Original Annual Statement
 Reserve for Disasters/Emergencies
 Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: **03/31/03**
 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Costs		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non-CFP Funds				
2	1406 Operations	\$498,525.60	\$498,525.60	\$498,525.60	\$498,525.60
3	1408 Management Improvements Soft Costs	\$498,525.60	\$130,000.00	\$50,000.00	\$50,000.00
	Management Improvements Hard Costs				
4	1410 Administration	\$249,262.80	\$249,262.80	\$249,262.80	\$172,293.66
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$106,682.10	\$26,407.91	\$26,407.91	\$22,921.87
8	1440 Site Acquisition			\$1,625.79	\$1,625.79
9	1450 Site Improvement	\$267,411.00	\$263,938.19	\$263,938.19	\$219,722.60
10	1460 Dwelling Structures	\$817,410.00	\$1,324,493.50	\$1,323,098.50	\$83,675.91
11	1465.1 Dwelling Equipment--Nonexpendable	\$54,810.90	\$0.00	\$0.00	\$0.00
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment			\$79,769.21	\$61,887.96
14	1485 Demolition				
15	1490 Replacement Reserves				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	Amount of Annual Grant (sum of lines 2-19)	\$2,492,628.00	\$2,492,628.00	\$2,492,628.00	\$1,110,653.39
20	Amount of line 20 Related to LBP Activities				
21	Amount of line 20 Related to Section 504 Compliance				
22	Amount of line 20 Related to Security-Soft Costs				
23	Amount of line 20 Related to Security-Hard Costs				
24	Amount of line 20 Related to Energy Conservation Measures				
25	Collateralization Expenses or Debt Service				

Signature of Executive Director and Date	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: Lexington-Fayette Urban County Housing Authority		Grant Type and Number: Capital Fund Program Grant No: KY36-P004-501-01 Replacement Housing Factor Grant No:			Federal FY of Grant: July 2001 03/31/03			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Billed Cost	Total Actual Cost		Status of Work	
					Obligated	Expended		
1. LHAWide Operations	Operations	1406		498,525.60		498,525.60	498,525.60	Completed
2. LHAWide Mgmt Improvements	Mgmt Improvements	1408		498,525.60	130,000.00	50,000.00	50,000.00	Completed
Mgmt Improvements	Resident Employment Program			90,000.00	0.00			
	Upgrade Computer System			158,525.60	0.00			
	Telecommunications Upgrade			50,000.00	80,000.00			
	Vehicles/Equipment			150,000.00	0.00			
	Security Services Griffith			50,000.00	50,000.00	50,000.00	50,000.00	
3. LHAWide Administration	Administration	1410		249,262.80	249,262.80	249,262.80	172,293.66	
Administration	Administrative Salaries & Benefits prorated	among the following:					171,917.13	
	Mod Coordinator			30,138.66	30,138.66	30,138.66		
	Executive Director			62,218.48	62,218.48	62,218.48		
	Director of Finance			19,603.07	19,603.07	19,603.07		
	Director of Housing Management			30,292.08	30,292.08	30,292.08		
	Accounting Staff			70,624.77	70,624.77	70,624.77		
	Staff Facilitator			36,385.74	36,385.74	36,009.21		
	BID KY 4-8			0.00	376.53	376.53	376.53	completed
4. Fees & Costs	A/E Fees and Costs	1430		106,682.10	26,407.91	26,407.91	22,921.87	
	A/E Services/Master Plan Services			0.00	13,196.91	13,196.91	9,710.87	
	A&E Pimlico Shingles (Albert & Associates) 4-8			0.00	13,211.00	13,211.00	13,211.00	completed
	Lead Inspection (4-8) LFUCG							
5. Property Purchase	Property Purchase	1440				1,625.79	1,625.79	Completed
	571 Georgetown St (bal of what City did not pay)				0.00	230.79	230.79	
	Survey KY 4-12				0.00	1,395.00	1,395.00	

Annual Statement/Performance and Evaluation Report							
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)							
Part II: Supporting Pages							
PHAN Name:			Grant Type and Number:		Federal FY of Grant:		
Lexington-Fayette Urban County Housing Authority			Capital Fund Program Grant No: KY36-P004-501-01		July 2001		
			Replacement Housing Factor Grant No:		03/31/03		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Estimated Cost	Total Actual Cost		Status of Work
					Obligated	Expended	
5.KY4-7	Site Improvements	1450		267,411.00	263,938.19	263,938.19	\$219,722.60
	a.replace/repair/recaulk sidewalk/curbs		2350	10,450.00			
	b.replace/paint/repair handrails& wrought iron		1605	8,100.00			
	c.add exterior lighting& metal poles& paint		53	51,410.00			
	d.wash/seal wood privacy fence/paint fencing-wrought iron						
	at patios and perimeter, replace 20 feet of wood privacy fence		3020	6,400.00			
	e.repair damaged keystone wall sections		50	1,500.00			
	f.reseed lawn. Add trees& shrubs		1267	10,530.00			
	g.overlay asphalt, restripe parking spaces, seal asphalt		5906	11,103.00			
	h.roof replace/repair, repair gutters/downspouts, add ridge vents		1590	9,082.00			
	i.repair brick, repair/replace vinyl siding, remove graffiti		1700	1,300.00			
	j.replace windows, screen and frames		550	3,780.00			
	k.replace front& rear entry door, replace storm door& hardware		282	20,616.00			
KY4-8	a.install exterior condensing unit cages		8	2,400.00			
	b.repair damaged shingles, gutters& downspouts(Central Ky Contracting-roof)		700	3,760.00	\$263,938.19	263,938.19	\$219,722.60
	c.tuckpoint, caulk mortar joints		500	4,000.00			
	d.caulk expansion joints, paint/caulk lintels		2400	9,600.00			
	e.add trees& shrubs, re-seed lawn areas		3577	19,171.00			
KY4-9	Dumpster for Constitution Apts			0.00			
KY4-12	a.pressure wash/seal wood privacy fence, seal deck		1380	1,830.00			
	b.replace fence section-wood privacy, replace 4 feet wood privacy fence with chain link		160	2,000.00			
	c.remove/replace caulk sidewalk/driveways, replace concrete driveway section		504	1,728.00			
	d.replace wood stoops at patios		12	1,200.00			
	e.add lights-20 feet metal poles		4	10,700.00			
	f.add planting trees, prune/trim trees		12	5,720.00			
	g.re-grade lawn sidewalk, re-seed lawns		150	520.00			
	h.replace patio doors& add prefabricated canopies		5	7,500.00			
	i.repair vinyl siding		1000	4,000.00			
	j.repair/replaced damaged window units		100	2,500.00			
	k.remove, replace caulk at window units		800	1,600.00			
	l.replace storm doors		20	1,210.00			
	m.paint lintels, door frames, ceilings, gas meters, gable vents		20	2,000.00			
KY4-13	a.seal wood privacy fence		10680	10,680.00			
	b.install fence-4 feet chain link		200	1,600.00			
	c.repair damaged shingles& ridge vents, repair damaged gutter/downspouts		700	2,700.00			
	d.remove/replace caulk sidewalk, buildings& driveways		2020	4,040.00			
	e.paint lintels, door frames, gas meters& gable vents		60	6,000.00			
	f.seal crack/seal asphalt parking lot, restripe parking lot		3772	4,841.00			
	g.regrade/reseed lawn areas, paint wrought iron fence, add trees& shrubs		377	3,480.00			
	h.seal wood patio decks		2400	2,400.00			
KY4-21	a.replace trees		18	5,220.00			
	b.repair damaged shingles& ridge vents, repair damaged gutter/downspouts		300	1,150.00			
KY4-23	a.add dripped gear 10th floor concrete beams outside		320	3,200.00			
	b.repair cracks in foundation at cooling tower		20	40.00			
	c.replace/repair& refinish benches by walking track/entrance		10	1,200.00			
	d.pressure wash& seal wood fence at walking area& cooling tower, seal wood planter boxes by walking track		2040	2,280.00			
	e.add planting rear patio and building-trees& shrubs		8	1,020.00			
	f.replaced damaged windows		70	1,750.00			
	g.paint exterior gas line by mechanical room		100	100.00			

Annual Statement/Performance and Evaluation Report								
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)								
Part II: Supporting Pages								
PHAName: Lexington-Fayette Urban County Housing Authority			Grant Type and Number: Capital Fund Program Grant No: KY36-P004-501-01 Replacement Housing Factor Grant No:			Federal FY of Grant: July 2001 03/31/03		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	ed Cost		Total Actual Cost		Status of Work
						Obligated	Expended	
6.KY4-7	Dwelling Structure	1460		783,603.00	1,323,098.50	1,323,098.50	83,675.91	
	a.replace kitchen cabinets base		150	3,000.00				
	b.add splash panels at ranges, replace range hoods		83	3,895.00				
	c.replace bathroom exhaust fans		33	4,719.00				
	d.install GF I kitchen and bathrooms		204	10,404.00				
	e.add DX coil, refrigerant lines & condenser to furnaces		68	170,000.00				
	f.replace electrical panel boxes (upgrade)		68	74,800.00				
	g.install dryervents throughout sidewall		54	16,200.00				
	h.paint electrical service panels		11	1,100.00				
	i.replace ceramic tile		600	3,210.00				
j.replace countertop sink kitchen	680	20,400.00						
KY4-8	a. Install GFCI receptacles- kitchen & bathrooms	412	20,600.00					
	b.add split-system furnace/AC units	5	21,000.00					
	c.convert electric to split-system A/C unit	3	22,500.00					
	d.replace/upgrade electrical panel boxes	8	8,800.00					
	e.replace mechanical room door, frame & hardware	206	39,323.00					
	f.convert electric water heater to natural gas units	3	3,300.00					
	g.replace window screens and frames	40	5,120.00					
	h.paint electrical service panels	30	3,000.00					
	I. Remove graffiti	1000	1,700.00					
KY4-9	RAWILLIAMS (Balance from 707,708 & 501-00)			0.00	304,536.65	304,536.65		
KY4-12	a.add split-system Furnances/AC units	20	84,000.00					
	b.replace smoke detectors	20	2,520.00					
	c.replace interior doors & hardware	12	1,012.00					
	H&N Contracting-Renovation KY4-12	20	0.00	418,950.00	418,950.00	418,950.00	\$83,675.91	
KY4-13	add DX coils, refrigerant lines and condensing units	96	240,000.00					
KY4-23	a.add/replace GFCI receptacles	120	6,000.00					
	b.replace water heaters	2	1,000.00					
	c.replace remaining mini-blinds	160	16,000.00					
LHAWide	Georgetown Street PH Units approx 119,986.83 ea 461,465,467 & 471 Georgetown St units	(6 units)	Bal in 501-02	599,611.85	599,611.85			
7.LHAWide	Non-Dwelling Equipment-telephone system Exp @ nets	1475				79,769.21	61,887.96	

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

PHAName: Lexington-Fayette Urban County Housing Authority	Grant Type and Number: Capital Fund Program Grant No: KY36-P004-501-01 Replacement Housing Factor Grant No:	Federal FY of Grant: July 2001
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Development Number Name/HA-Wide Activities	Original Date			All Fund Expended (Quarter Ending Date)			Reason for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
(1) Operations	09/30/03			09/30/05			
(2) LHAWide Mgmt Imp.	"			"			
(3) Administration	"			"			
(4) Fees & Cost	"			"			
(5) KY4-7	"			"			
KY4-8	"			"			
KY4-12	"			"			
KY4-13	"			"			
KY4-21	"			"			
KY4-23	"			"			
(6) KY4-7	"			"			
KY4-8	"			"			
KY4-12	"			"			
KY4-13	"			"			
KY4-23	"			"			
(7) LHAWide DWEquip.	"			"			

Annual Statement/Performance and Evaluation Report
 Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary

PHAName: Lexington-Fayette Urban County Housing Authority	Grant Type and Number: Capital Fund Program Grant No: KY36-P004-501-02 Replacement Housing Factor Grant No:	Federal FY of Grant: July 2002
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Original Annual Statement
 Reserve for Disasters/Emergencies
 Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: **03/31/03**
 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Costs		Total Actual Cost 2/21/2003	
		Original	Revised	Obligated	Expended
1	Total Non-CFP Funds				
2	1406 Operations	\$498,525.60	373,456.00	373,456.00	373,456.00
3	1408 Management Improvements Soft Costs				
	Management Improvements Hard Costs				
4	1410 Administration	\$199,262.80	149,383.00	149,383.00	62,838.95
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$94,839.60	94,839.60	128,596.00	69,514.66
8	1440 Site Acquisition			20,996.44	4,525.00
9	1450 Site Improvement			2,508.10	
10	1460 Dwelling Structures	\$700,000.00	249,605.40	366,844.46	0.00
11	1465.1 Dwelling Equipment--Nonexpendable				
12	1470 Nondwelling Structures	\$1,000,000.00	1,000,000.00	811,270.00	109,085.00
13	1475 Nondwelling Equipment				
14	1485 Demolition			14,230.00	0.00
15	1490 Replacement Reserves				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	Amount of Annual Grant (sum of lines 2-19)	\$2,492,628.00	\$1,867,284.00	\$1,867,284.00	\$619,419.61
20	Amount of line 20 Related to LBP Activities		HUD Approved Amount		
21	Amount of line 20 Related to Section 504 Compliance		\$1,867,284.00		
22	Amount of line 20 Related to Security-Soft Costs				
23	Amount of line 20 Related to Security-Hard Costs				
24	Amount of line 20 Related to Energy Conservation Measures		All blue items is what HUD actually approved		
25	Collateralization Expenses or Debt Service		Green is what was discussed in the 2-5-03 CF Meeting		

Signature of Executive Director and Date	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: Lexington-Fayette Urban County Housing Authority	Grant Type and Number: Capital Fund Program Grant No: KY36-P004-501-02 Replacement Housing Factor Grant No:	Federal FY of Grant: July 2002 03/31/03
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Planned Cost		Total Actual Cost		Status of Work
						Obligated	Expended	
1. LHAWide Operations	Operations	1406		498,525.60	373,456.00	373,456.00	373,456.00	Completed
2. LHAWide Administration	Administration	1410		199,262.80	149,383.00	149,383.00	62,838.95	
	Administrative Salaries & Benefits prorated among the following:					148,763.02	62,376.85	
	Mod Coordinator			30,138.66	21,825.36			
	Executive Director			49,718.48	41,405.18			
	Director of Finance			19,603.07	11,289.77			
	Director of Housing Management			30,292.08	21,978.78			
	Accounting Staff			45,624.77	37,311.47			
	Staff Facilitator			23,885.74	15,572.44			
	Lexington Herald Leader bids Central Office					462.10	462.10	completed
	Greenebaum Doll McDonald (GT scattered sites)					157.88	0.00	
3. Fees & Costs	A/E Fees and Costs	1430		94,839.60	94,839.60	128,596.00	69,514.66	
	A/E Services for design & contract administration			44,839.60				
	Sherman Carter Barnhart (Central Office)				70,000.00	70,000.00	66,064.66	
	Asbestos Sampling 571 Georgetown St					3,450.00	3,450.00	completed
	Utility Study by Engineering Consultant			50,000.00	24,839.60			
	Fayette Co Clerk-amend Dev Plat Central Office					11.50	0.00	
	Fay Co Clerk Dev Plan 465/467 GT, 461 Michigan					23.00	0.00	
	Fay Co Clerk Zone Change 465/467 GT					11.50	0.00	
	Sherman Carter Barnhart (Georgetown Scattered Sites)					12,250.00	0.00	
	LOX Consulting Phase 1-531 E 3rd St					2,850.00		
	Quadel reorganization input (AS 3/31/03)					40,000.00		

Annual Statement/Performance and Evaluation Report							
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)							
Part II: Supporting Pages							
PHAN Name:			Grant Type and Number:			Federal FY of Grant: July 2002	
Lexington-Fayette Urban County Housing Authority			Capital Fund Program Grant No: KY36-P004-501-02			03/31/03	
			Replacement Housing Factor Grant No:				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Budgeted Cost	Total Actual Cost		Status of Work
					Obligated	Expended	
4. LHA Wide	Property Purchase Appraisal (531 E. 3rd Street) Galloway Appraisal	1440		0.00	20,996.44	4,525.00	COMPLETED
	Survey (531 E. 3rd Street) Morrow & Cobb				250.00	250.00	
	Survey & Appraisal 571 Georgetown Street				1,105.00	1,105.00	
	Survey - Morrow & Cobb Central Office				1,700.00	3,170.00	
5. KY4-4	Greenebaum Doll & McDonald (531 E. 3rd St) Purchase 531 East 3rd Lex Tree Ser. (bal from BGT ree removal after ice storm)	1450		0	2,508.10		
	Greenebaum Doll & McDonald (531 E. 3rd St) Title search				700.44		
	Greenebaum Doll & McDonald (531 E. 3rd St) Title search				281.45		
5. LHA-Wide	Dwelling Structure	1460		326,544.00	249,605.40	366,844.46	0.00
LHA Wide	Debt service to repay loan for replacement of Public Housing units (KY4-4)						
KY4-1 & 4-3	a. Balance needed for G'town St. PH Units	6 units			120,309.13		3/17/03 decrease by 33886.55 change has not been recorded in 5 original 325,534.87 decrease 33886.55 now 291,648.32 decrease again by 1395.00 now 290,253.32 decrease by 2508.101450 now 287,745.22 decrease by 11281.451440 now 276,463.77 decrease by 41857.69 now 234,605.98 decrease by 42508.10 now 192,097.88 decrease by 462.00 now 191,635.88 decrease by 16081.89 now 175,553.99
	b. Roof Repair \$500,000.00 approx (Baltogoto 501-03)				175,553.99		
KY4-9	c. Balance of RAWilliams				70,981.34		
	d. Purchase of 531 E 3rd St						
6. LHA-Wide	Non-dwelling Structures	1470		1,000,000.00	811,270.00	109,085.00	
	Cost to construct maintenance facility (EH Construction)				811,270.00	109,085.00	
7. Demo	Demolition	1485		0.00	14,230.00		
	Demolition of 465, 467 & 571 Georgetown Street				14,230.00		

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

PHAName: Lexington-Fayette Urban County Housing Authority	Grant Type and Number: Capital Fund Program Grant No: KY36-1-KY36-P004-501-02 Replacement Housing Factor Grant No:	Federal FY of Grant: July 2002
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Development Number Name/HA-Wide Activities	Original Target Date (Original Target Date)			All Fund Expended (Quarter Ending Date)			Reason for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
(1) Operations	09/30/04			09/30/05			
(2) LHA-Administration	"			"			
(3) Fees & Costs	"			"			
(4) LHA Wide-DW Structure	"			"			
(5) LHA Wide-non-DW Structure	"			"			

Definition of Significant Amendment to the Annual Plan and Substantial Deviation from the 5 -Year PHA Plan

Substantial deviations and significant amendments to the LHA plans are defined as follows:

1. **NEW** changes to rent or admissions policies or organization of the waiting list that have no relationship to the policies already established in the ACOP.

(Expansions, clarifications, modifications, deletions and/or revisions to existing policies in the ACOP shall not be considered a substantial deviation or significant amendment).

2. Addition of non -emergency work items not included in the current Annual plan or 5 -Year Action Plan.

(Additions, modifications, deletions and/or revisions of non - emergency work items or change in use of replacement reserve funds under the Capital Fund as determined and defined by the 5-year Physical Need assessments shall not be considered a substantial deviation or significant amendment).

- 3 Addition of **NEW** activities not included in the current PHDEP plan.

(Expansions, additions, deletions, modifications and/or revisions to programs and activities in the plans shall not be considered a substantial deviation or significant amendment).

4. Any **NEW** change with regard to demolition or disposition, designation, homeownership programs or conversion activities.

(Expansions, deletions, modifications and/or revision to existing programs shall not be considered a substantial deviation or significant amendment).