

# PHA Plans

## Streamlined 5-Year/Annual Version

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

OMB No. 2577-0226  
(exp 05/31/2006)

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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937 that introduced 5-year and annual PHA Plans. The full PHA plan provides a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form allows eligible PHAs to make a streamlined annual Plan submission to HUD consistent with HUD's efforts to provide regulatory relief to certain PHAs. Public reporting burden for this information collection is estimated to average 11.7 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

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# Streamlined 5-Year Plan for Fiscal Years 2005 - 2009

## Streamlined Annual Plan for Fiscal Year 2005

Herkimer Housing Authority

ny019v01

**NOTE:** This PHA Plan template (HUD-50075-SA) is to be completed in accordance with instructions contained in previous Notices PIH 99-33 (HA), 99-51 (HA), 2000-22 (HA), 2000-36 (HA), 2000-43 (HA), 2001-4 (HA), 2001-26 (HA), 2003-7 (HA), and any related notices HUD may subsequently issue. Full reporting for each component listed in the streamlined Annual Plan submitted with the 5-year plan is required.

## Streamlined Five-Year PHA Plan Agency Identification

**PHA Name:** Herkimer Housing Authority

**PHA Number:** NY019

**PHA Fiscal Year Beginning:** (mm/yyyy) 07/2005

**PHA Programs Administered:**

**Public Housing and Section 8**

**Section 8 Only**

**Public Housing Only**

Number of public housing units: 175

Number of S8 units:

Number of public housing units:

Number of S8 units: 49

**PHA Consortia:** (check box if submitting a joint PHA Plan and complete table)

Participating PHAs	PHA Code	Program(s) Included in the Consortium	Programs Not in the Consortium	# of Units Each Program
Participating PHA 1:				
Participating PHA 2:				
Participating PHA 3:				

**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 and attachments (if any) 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)

## Streamlined Five-Year PHA Plan PHA FISCAL YEARS 2005 - 2009

[24 CFR Part 903.12]

### 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)

**THE MISSION OF THE HERKIMER HOUSING AUTHORITY IS TO BE THE AREA'S AFFORDABLE HOUSING OF CHOICE. WE PROVIDE AND MAINTAIN SAFE, QUALITY HOUSING IN A COST-EFFECTIVE MANNER. BY PARTNERING WITH OTHERS, WE OFFER RENTAL ASSISTANCE AND OTHER RELATED SERVICES TO OUR COMMUNITY IN A NON-DISCRIMINATORY MANNER.**

### B. Goals

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

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

- PHA Goal: Expand the supply of assisted housing  
Objectives:
- Apply for additional rental vouchers:
  - Reduce public housing vacancies:
  - Leverage private or other public funds to create additional housing opportunities:
  - Acquire or build units or developments
  - Other (list below)
- PHA Goal: Improve the quality of assisted housing  
Objectives:
- Improve public housing management: (PHAS score)
  - Improve voucher management: (SEMAP score)
  - Increase customer satisfaction:
  - Concentrate on efforts to improve specific management functions:

- (list; e.g., public housing finance; voucher unit inspections)
- Renovate or modernize public housing units:
  - Demolish or dispose of obsolete public housing:
  - Provide replacement public housing:
  - Provide replacement vouchers:
  - Other: (list below)

- PHA Goal: Increase assisted housing choices

Objectives:

- Provide voucher mobility counseling:
- Conduct outreach efforts to potential voucher landlords
- Increase voucher payment standards
- Implement voucher homeownership program:
- Implement public housing or other homeownership programs:
- Implement public housing site-based waiting lists:
- Convert public housing to vouchers:
- Other: (list below)

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

- PHA Goal: Provide an improved living environment

Objectives:

- Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
- Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
- Implement public housing security improvements:
- Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
- Other: (list below)

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

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

Objectives:

- Increase the number and percentage of employed persons in assisted families:
- Provide or attract supportive services to improve assistance recipients' employability:
- Provide or attract supportive 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)**

**GOAL: MANAGE THE HERKIMER HOUSING AUTHORITY’S TENANT-BASED ASSISTANCE PROGRAM IN AN EFFICIENT AND EFFECTIVE MANNER.**

**Objective: HUD shall recognize the Herkimer Housing Authority as a high performer under SEMAP. This is an on-going objective.**

**GOAL: MANAGE THE HERKIMER HOUSING AUTHORITY’S PUBLIC HOUSING PROGRAM IN AN EFFICIENT AND EFFECTIVE MANNER**

**Objective: HUD shall recognize the Herkimer Housing Authority as a high performer under PHAS. This is an on-going objective.**

**GOAL: MAINTAIN THE HERKIMER HOUSING AUTHORITY’S PROPERTIES IN A DECENT CONDITION**

**Objective: The Herkimer Housing Authority will continue to deliver timely and high quality maintenance service to the residents. This is an on-going objective.**

## Streamlined Annual PHA Plan PHA Fiscal Year 2005

[24 CFR Part 903.12(b)]

### Table of Contents

Provide the following table of contents for the streamlined Annual Plan submitted with the Five-Year Plan, including all streamlined plan components, and additional requirements, together with the list of supporting documents available for public inspection.

#### **A. ANNUAL STREAMLINED PHA PLAN COMPONENTS**

- 1. Housing Needs
- 2. Financial Resources
- 3. Policies on Eligibility, Selection and Admissions
- 4. Rent Determination Policies
- 5. Capital Improvements Needs
- 6. Demolition and Disposition
- 7. Homeownership
- 8. Civil Rights Certifications (included with PHA Certifications of Compliance)
- 9. Additional Information
  - a. PHA Progress on Meeting 5-Year Mission and Goals
  - b. Criteria for Substantial Deviations and Significant Amendments
  - c. Other Information Requested by HUD
    - i. Resident Advisory Board Membership and Consultation Process
    - ii. Resident Membership on the PHA Governing Board
    - iii. PHA Statement of Consistency with Consolidated Plan
    - iv. (Reserved)
- 10. Project-Based Voucher Program
- 11. Supporting Documents Available for Review
- 12. FY 2005 Capital Fund Program and Capital Fund Program Replacement Housing Factor, Annual Statement/Performance and Evaluation Report
- 13. Capital Fund Program 5-Year Action Plan
- 14. Other (List below, providing name for each item)

Attachment A – Capital Fund Program FY 2004 P & E Report

Attachment B – Capital Fund Program FY 2003 P & E Report (50103)

#### **B. SEPARATE HARD COPY SUBMISSIONS TO LOCAL HUD FIELD OFFICE**

**Form HUD-50077, PHA Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans;**

**Certification by State or Local Official of PHA Plan Consistency with Consolidated Plan.**

For PHAs APPLYING FOR CAPITAL FUND PROGRAM (CFP) GRANTS:

**Form HUD-50070, Certification for a Drug-Free Workplace;**

**Form HUD-50071, Certification of Payments to Influence Federal Transactions;**

**Form SF-LLL & SF-LLLa, Disclosure of Lobbying Activities.**

**Executive Summary (optional)**

[903.7(r)]. If desired, provide a brief overview of the contents of the streamlined 5-Year/Annual Plan.

The Herkimer Housing Authority has prepared this Agency Plan in compliance with Section 511 of the Quality Housing and Work Responsibility Act of 1998 and the ensuing HUD requirements.

We have adopted the following mission statement to guide the activities of the Herkimer Housing Authority.

**THE MISSION OF THE HERKIMER HOUSING AUTHORITY IS TO BE THE AREA'S AFFORDABLE HOUSING OF CHOICE. WE PROVIDE AND MAINTAIN SAFE, QUALITY HOUSING IN A COST-EFFECTIVE MANNER. BY PARTNERING WITH OTHERS, WE OFFER RENTAL ASSISTANCE AND OTHER RELATED SERVICES TO OUR COMMUNITY IN A NON-DISCRIMINATORY MANNER.**

We have adopted the following goals and objectives for the next five years.

**GOAL: MANAGE THE HERKIMER HOUSING AUTHORITY'S TENANT-BASED ASSISTANCE PROGRAM IN AN EFFICIENT AND EFFECTIVE MANNER.**

**Objective: HUD shall recognize the Herkimer Housing Authority as a high performer under SEMAP. This is an on-going objective.**

**GOAL: MANAGE THE HERKIMER HOUSING AUTHORITY'S PUBLIC HOUSING PROGRAM IN AN EFFICIENT AND EFFECTIVE MANNER**

**Objective: HUD shall recognize the Herkimer Housing Authority as a high performer under PHAS. This is an on-going objective.**

**GOAL: MAINTAIN THE HERKIMER HOUSING AUTHORITY'S PROPERTIES IN A DECENT CONDITION**

**Objective: The Herkimer Housing Authority will continue to deliver timely and high quality maintenance service to the residents. This is an on-going objective.**

**Program Summary**

For the ensuing year we made the following changes to our policies and/or programs based on

changes in statutes and/or HUD regulations or discretionary changes.

- We have incorporated the Medicare transitional assistance program provisions into our Admissions and Continued Occupancy Policy and Section 8 Administrative Plan;
- We have revised our Admissions and Continued Occupancy Policy to add provisions for cooperating with law enforcement agencies;
- We have strengthened our Admissions and Continued Occupancy Policy and Section 8 Administrative Plan by adding specific steps for following the five verification methods acceptable to HUD;
- We have added a provision for handling Housing Authority mistakes in calculating rent to our Admissions and Continued Occupancy Policy and Section 8 Administrative Plan; and
- We have updated the portability provisions in our Section 8 Administrative Plan.

**1. Statement of Housing Needs** [24 CFR Part 903.12 (b), 903.7(a)]

**A. 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.

<b>Housing Needs of Families on the PHA’s Waiting Lists</b>			
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	54		35 units
Extremely low income <=30% AMI	47	87%	
Very low income (>30% but <=50% AMI)	6	11%	
Low income (>50% but <80% AMI)	1	2%	
Families with children	33	62%	
Elderly families	5	10%	
Families with Disabilities	23	43%	
Race/ethnicity-White	53	98%	
Race/ethnicity-Black	1	2%	
Race/ethnicity-Hispanic	1	2%	
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
OBR	0		7 units
1BR	20	38%	9 units

Housing Needs of Families on the PHA's Waiting Lists			
2 BR	15	28%	10 units
3 BR	16	30%	8 units
4 BR	2	4%	1 unit
5 BR			
5+ BR			
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 reopen 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			

Housing Needs of Families on the PHA's Waiting Lists			
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	25		6 vouchers
Extremely low income <=30% AMI	22	88%	
Very low income (>30% but <=50% AMI)	2	8%	
Low income (>50% but <80% AMI)	1	4%	
Families with children	16	64%	
Elderly families	1	4%	
Families with Disabilities	10	40%	
Race/ethnicity-White	24	96%	
Race/ethnicity-Black	0		
Race/ethnicity-Hispanic	1	4%	
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)	NA	NA	NA
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
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 reopen 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			

## B. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families on the PHA's public housing and Section 8 waiting lists **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

### (1) Strategies

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

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

Select all that apply

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

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

Select all that apply

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

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

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

Select all that apply

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

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

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

Select all that apply

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

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

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

Select all that apply

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

Our adopted Admissions and Continued Occupancy Policy includes the following provisions:

Families who are elderly, disabled, or displaced will be offered housing before other single persons.

**Buildings Designed for the Elderly and Disabled (Mixed Population Developments):**

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

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

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

Select all that apply

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

Our adopted Admissions and Continued Occupancy Policy includes the following provision:

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

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

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

Select if applicable

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

Note: There is less than a ten (10) percent minority population in Herkimer County and in the Village of Herkimer.

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

Select all that apply

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

Note: There is less than a ten (10) percent minority population in Herkimer County and in the Village of Herkimer.

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

**(2) Reasons for Selecting Strategies**

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

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

**2. Statement of Financial Resources**

[24 CFR Part 903.12 (b), 903.7 (c)]

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

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 2005 grants)</b>		
a) Public Housing Operating Fund	262,100	
b) Public Housing Capital Fund	232,000	
c) HOPE VI Revitalization	0	
d) HOPE VI Demolition	0	
e) Annual Contributions for Section 8 Tenant-Based Assistance	140,736	
f) Resident Opportunity and Self-Sufficiency Grants	0	
g) Community Development Block Grant	0	
h) HOME	0	
Other Federal Grants (list below)	0	
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		
CFP FY 2004	193,643	Modernization
CFP FY 2003 (50103)	82,938	Modernization
<b>3. Public Housing Dwelling Rental Income</b>		
	487,236	Operations

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>4. Other income</b> (list below)		
Interest on General Fund investments	8,300	Operations
<b>4. Non-federal sources</b> (list below)		
<b>Total resources</b>	1,406,953	

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

[24 CFR Part 903.12 (b), 903.7 (b)]

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

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

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

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

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

The following extract from our adopted Admissions and Continued Occupancy Policy describes our process for verifying admission to public housing.

### **7.0 TAKING APPLICATIONS**

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

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

When the family nears the top of the waiting list, the Herkimer Housing Authority will

ensure that verification of all preferences, eligibility, suitability and selection factors are current in order to determine the family's final eligibility for admission into the Public Housing Program.

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

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

When a family appears to be nearing the top of the waiting list, the family will be invited to an interview and the verification process will begin. The family's waiting list preference will be re-verified. If the family no longer qualifies to be near the top of the list, the family's name will be returned to the appropriate spot on the waiting list. The Herkimer Housing Authority must notify the family in writing of this determination and give the family the opportunity for an informal review.

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)

The following extract from our adopted Admissions and Continued Occupancy outlines our non-eligibility requirements for admission.

### **8.3 SUITABILITY**

- A. Applicant families will be evaluated to determine whether, based on their recent behavior, such behavior could reasonably be expected to result in compliance with the public housing lease. The Herkimer Housing Authority will look at past conduct as an indicator of future conduct. Emphasis will be placed on whether a family's admission could reasonably be expected to have a detrimental effect on the development environment, other residents, Herkimer Housing Authority employees, or other people residing in the immediate vicinity of the property. Otherwise eligible families will be denied admission if they fail to meet the suitability criteria.
- B. The Herkimer Housing Authority will consider objective and reasonable aspects of the family's background, including the following:
  - 1. History of meeting financial obligations, especially rent and any utility payments;

2. Ability to maintain (or with assistance would have the ability to maintain) their housing in a decent and safe condition based on living or housekeeping habits and whether such habits could adversely affect the health, safety, or welfare of other residents;
  3. History of criminal activity by any household member involving crimes of physical violence against persons or property and any other criminal activity including drug-related criminal activity that would adversely affect the health, safety, or well being of other residents or staff or cause damage to the property;
  4. History of disturbing neighbors or destruction of property;
  5. Having committed fraud in connection with any Federal housing assistance program, including the intentional misrepresentation of information related to their housing application or benefits derived there from; and
  6. History of abusing alcohol in a way that may interfere with the health, safety, or right to peaceful enjoyment by others.
- C. The Herkimer Housing Authority will ask applicants to provide information demonstrating their ability to comply with the essential elements of the lease. The Herkimer Housing Authority will verify the information provided. Such verification may include but may not be limited to the following:
1. A credit check of the head, spouse, co-head, and any other adult family members;
  2. A rental history check of all adult family members;
  3. A criminal background check on all adult household members, including live-in aides at no cost to the applicant. This check will be made through State or local law enforcement or court records in those cases where the household member has lived in the local jurisdiction for the last three years. Where the individual has lived outside the local area, the Herkimer Housing Authority may contact law enforcement agencies where the individual had lived or request a check through the FBI's National Crime Information Center (NCIC). This criminal background check will proceed after each adult household member has signed a consent form designed by the Herkimer Housing Authority.

The information received as a result of the criminal background check shall be used solely for screening, lease enforcement and eviction purposes. The information derived from the criminal background check shall be shared only with employees of the Herkimer Housing Authority

who have a job-related need to have access to the information. The information shall be maintained confidentially, not misused or improperly disseminated, and destroyed once the purpose(s) for which it was requested has been accomplished and the period for filing a challenge to the Herkimer Housing Authority's action has expired without a challenge or final disposition of any litigation has occurred;

4. A check of the State's lifetime sex offender registration program for each adult household member, including live-in aides. No household with an individual registered under a State sex offender registration will be admitted to public housing. The Herkimer Housing Authority will check with our State registry and if the applicant has resided in another State(s), with that State(s)'s list.

If an applicant is about to be denied housing based on either the criminal check or the sex offender registration program, the applicant will be informed of this fact and given an opportunity to dispute the accuracy of the information before the denial or eviction occurs.

- c.  Yes  No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- d.  Yes  No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- e.  Yes  No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

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

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

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

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

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

- c. Site-Based Waiting Lists-Previous Year – **Not Applicable**

1. Has the PHA operated one or more site-based waiting lists in the previous year? **NO.** If yes, complete the following table; if not skip to d.

Site-Based Waiting Lists				
Development Information: (Name, number, location)	Date Initiated	Initial mix of Racial, Ethnic or Disability Demographics	Current mix of Racial, Ethnic or Disability Demographics since Initiation of SBWL	Percent change between initial and current mix of Racial, Ethnic, or Disability demographics

2. What is the number of site based waiting list developments to which families may apply at one time? \_\_\_

3. How many unit offers may an applicant turn down before being removed from the site-based waiting list? \_\_\_

4.  Yes  No: Is the PHA the subject of any pending fair housing complaint by HUD or any court order or settlement agreement? If yes, describe the order, agreement or complaint and describe how use of a site-based waiting list will not violate or be inconsistent with the order, agreement or complaint below:

d. Site-Based Waiting Lists – Coming Year – **Not Applicable**

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

1. How many site-based waiting lists will the PHA operate in the coming year? None

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

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

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

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

### **(3) Assignment**

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

- One (without good cause)  
 Two (with good cause)  
 Three or More

The following are extracts from our adopted Admissions and Continued Occupancy Policy.

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

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

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

Applicants will be offered the right to an informal review before being removed from the waiting list.

#### **9.6 MISSED APPOINTMENTS**

All applicants who fail to keep a scheduled appointment with the Herkimer Housing Authority will be sent a notice of termination of the process for eligibility.

The Herkimer Housing Authority will allow the family to reschedule for good cause. Generally, no more than one opportunity will be given to reschedule without good cause, and no more than two opportunities will be given for good cause. When good cause exists for missing an appointment, the Herkimer Housing Authority will work closely with the family to find a more suitable time.

#### **10.5 OFFER OF A UNIT**

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

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

The family will be offered the opportunity to view the unit. The family will have two (2) business days to view and accept or reject the unit. This verbal offer and the family's decision must be documented in the resident file. If the family rejects the offer of the unit, the Herkimer Housing Authority will send the family a letter documenting the offer and the rejection.

### 10.6 REJECTION OF UNIT

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

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

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

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

#### (4) Admissions Preferences

a. Income targeting:

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

b. Transfer policies:

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

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

c. Preferences

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

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

Former Federal preferences:

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

Other preferences: (select below)

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

The following extract from our adopted Admissions and Continued Occupancy Policy illustrates our preferences.

## 10.0 TENANT SELECTION AND ASSIGNMENT PLAN

### 10.1 PREFERENCES

The Herkimer Housing Authority will select families based on the following preferences within each bedroom size category based on our local housing needs and priorities:

- A. Applicants with an adult family member who either lives or works or has been hired to work in the Village of Herkimer.** The residency preference will not have the purpose or effect of delaying or otherwise denying admission to the program based on the race, color, ethnic origin, gender, religion, disability, or age of any member of an applicant family.
- B. Applicants with an adult family member who is a veteran and is a resident of the Village of Herkimer.**

**C. Applicants who are not working and live in the Village of Herkimer**

**D. All other applicants.**

Based on the above preferences, all families in preference A will be offered housing before any families in preference B, preference B families will be offered housing before any families in preference C, and preference C families will be offered housing before any families in preference D.

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

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

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

Date and Time

Former Federal preferences:

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

Other preferences (select all that apply)

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

- 3 Applicants who are not working and live in the Village of Herkimer
- 4 All other applicants.

4. Relationship of preferences to income targeting requirements:

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

**(5) Occupancy**

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

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

Tenant Handbook

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

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

**(6) Deconcentration and Income Mixing**

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

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

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

**B. Section 8**

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

### **(1) Eligibility**

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

- Criminal or drug-related activity only to the extent required by law or regulation
- Criminal and drug-related activity, more extensively than required by law or regulation
- More general screening than criminal and drug-related activity (list factors):
- Other (list below)

The following is an extract from our adopted Administrative Plan.

F. Suitability for tenancy

The Herkimer Housing Authority determines eligibility for participation and will also conduct criminal background checks on all adult household members, including live-in aides. The Herkimer Housing Authority will deny assistance to a family because of drug-related criminal activity or violent criminal activity by family members. This check will be made through state or local law enforcement or court records in those cases where the household member has lived in the local jurisdiction for the last three years. If the individual has lived outside the local area, the Herkimer Housing Authority may contact law enforcement agencies where the individual had lived or request a check through the FBI's National Crime Information Center (NCIC). This criminal background check will proceed after each adult household member has signed a consent form designed by the Herkimer Housing Authority. The information received as a result of the criminal background check shall be used solely for screening purposes. The information shall be maintained confidentially, not misused or improperly disseminated, and destroyed once the purpose(s) for which it was requested has been accomplished and the period for filing a challenge to the Herkimer Housing Authority's action has expired without a challenge or final disposition of any litigation has occurred.

The Herkimer Housing Authority will check with the State sex offender registration program and will ban for life any individual who is registered as a lifetime sex offender. The Herkimer Housing Authority will check with our state registry and if the applicant has resided in another State(s), with that State(s)'s list.

If an applicant is about to be denied housing based on either the criminal check or the sex offender registration program, the applicant will be informed of this fact and given an opportunity to dispute the accuracy of the information before the denial or eviction occurs.

Additional screening is the responsibility of the owner. Upon the written request of a prospective owner, the Herkimer Housing Authority will provide to the owner the name, address, and phone number of the applicant's current landlord and any previous landlords that are known to the housing authority.

In addition, if an owner submits a request to the Herkimer Housing Authority for criminal records concerning an adult member of an applicant or resident household, signed consent forms, and the owner's standards for prohibiting admission, the Herkimer Housing Authority must request the criminal conviction records from the appropriate law enforcement agency or agencies, as determined by the Housing Authority. If the Herkimer Housing Authority receives criminal conviction records requested by an owner, the Herkimer Housing Authority must determine whether criminal action by a household member, as shown by such criminal conviction records, may be a basis for applicant screening, lease enforcement or eviction, as applicable in accordance with HUD regulations and the owner's criteria. The Herkimer Housing Authority must notify the owner whether the Housing Authority has received criminal conviction records concerning the household member, and of its determination whether such criminal conviction records may be a basis for applicant screening, lease enforcement or eviction. However, the PHA must not disclose the household member's criminal conviction record or the content of that record to the owner, but merely the fact of whether or not they comply with HUD regulations and the owner's criteria.

The same service shall be available to owners of federally assisted housing in their attempt to determine if an applicant is on the state sex offender list upon the request of the owner. Once again, the information itself will not be disclosed to the owner; the Herkimer Housing Authority will merely apply the criteria the owner establishes.

- b.  Yes  No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c.  Yes  No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d.  Yes  No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
- e. Indicate what kinds of information you share with prospective landlords? (select all that apply)
- Criminal or drug-related activity
- Other (describe below)

The following is an extract from our adopted Administrative Plan.

F. Suitability for tenancy

The Herkimer Housing Authority determines eligibility for participation and will also conduct criminal background checks on all adult household members,

including live-in aides. The Herkimer Housing Authority will deny assistance to a family because of drug-related criminal activity or violent criminal activity by family members. This check will be made through state or local law enforcement or court records in those cases where the household member has lived in the local jurisdiction for the last three years. If the individual has lived outside the local area, the Herkimer Housing Authority may contact law enforcement agencies where the individual had lived or request a check through the FBI's National Crime Information Center (NCIC). This criminal background check will proceed after each adult household member has signed a consent form designed by the Herkimer Housing Authority. The information received as a result of the criminal background check shall be used solely for screening purposes. The information shall be maintained confidentially, not misused or improperly disseminated, and destroyed once the purpose(s) for which it was requested has been accomplished and the period for filing a challenge to the Herkimer Housing Authority's action has expired without a challenge or final disposition of any litigation has occurred.

The Herkimer Housing Authority will check with the State sex offender registration program and will ban for life any individual who is registered as a lifetime sex offender. The Herkimer Housing Authority will check with our state registry and if the applicant has resided in another State(s), with that State(s)'s list.

If an applicant is about to be denied housing based on either the criminal check or the sex offender registration program, the applicant will be informed of this fact and given an opportunity to dispute the accuracy of the information before the denial or eviction occurs.

Additional screening is the responsibility of the owner. Upon the written request of a prospective owner, the Herkimer Housing Authority will provide to the owner the name, address, and phone number of the applicant's current landlord and any previous landlords that are known to the housing authority.

In addition, if an owner submits a request to the Herkimer Housing Authority for criminal records concerning an adult member of an applicant or resident household, signed consent forms, and the owner's standards for prohibiting admission, the Herkimer Housing Authority must request the criminal conviction records from the appropriate law enforcement agency or agencies, as determined by the Housing Authority. If the Herkimer Housing Authority receives criminal conviction records requested by an owner, the Herkimer Housing Authority must determine whether criminal action by a household member, as shown by such criminal conviction records, may be a basis for applicant screening, lease enforcement or eviction, as applicable in accordance with HUD regulations and the owner's criteria. The Herkimer Housing Authority must notify the owner whether the Housing Authority has received criminal conviction records concerning the household member, and of its determination whether such criminal conviction records may be a basis for applicant screening, lease enforcement or

eviction. However, the PHA must not disclose the household member's criminal conviction record or the content of that record to the owner, but merely the fact of whether or not they comply with HUD regulations and the owner's criteria.

The same service shall be available to owners of federally assisted housing in their attempt to determine if an applicant is on the state sex offender list upon the request of the owner. Once again, the information itself will not be disclosed to the owner; the Herkimer Housing Authority will merely apply the criteria the owner establishes.

### **(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:

#### 6.4 Term of the housing choice Voucher

The initial term of the voucher will be 60 calendar days and will be stated on the Housing Choice Voucher.

The Housing Authority may grant one or more extensions of the term, but the initial term plus any extensions will not exceed 120 calendar days from the initial date of issuance without an extraordinary reason. To obtain an extension, the family must make a request in writing prior to the expiration date. A statement of the efforts the family has made to find a unit must accompany the request. A sample extension request form and a form for recording their search efforts will be included in the family's briefing packet. If the family documents their efforts and additional time can reasonably be expected to result in success, the Housing Authority will grant the length of request sought by the family or 60 calendar days, whichever is less.

If the family includes a person with disabilities and the family requires an extension due to the disability, the Housing Authority will grant an extension allowing the family the full 120 calendar days search time. If the Housing Authority determines that additional search time would be a reasonable accommodation, it will grant the additional search time.

Upon submittal of a completed request for approval of tenancy form, the Herkimer Housing Authority will suspend the term of the housing choice voucher. The term will be in suspension until the date the Housing Authority provides notice that the request has been approved or denied. This policy allows families the full term (60 calendar days, or more with extensions) to find a unit, not penalizing them for the period during which the Housing Authority is taking action on their request. A family may submit a second request for approval of tenancy before the Housing Authority finalizes action on the first request. In this case the suspension will last from the date of the first submittal through the Housing Authority's action on the second submittal. No more than two requests will be concurrently considered.

If a family's voucher expires, the family is no longer eligible for housing assistance. They are free to re-apply to the Housing Choice Voucher program and start over again at the bottom of the waiting list. If the waiting list is closed, they must wait until the Herkimer Housing Authority is once again accepting applicants for the Section 8 program. They will be treated exactly like all other new applicants for the program.

#### **(4) Admissions Preferences**

a. Income targeting

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

b. Preferences

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

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

Former Federal preferences

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

High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

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

**Applicants who are not working and live in the City of Herkimer**

**All other applicants.**

The following extract from our adopted Administrative Plan describes our preferences.

## 5.2 Preferences

Consistent with the Herkimer Housing Authority Agency Plan, the Herkimer Housing Authority will select families based on the following preferences based on local housing needs and priorities. They are consistent with the Herkimer Housing Authority's Agency Plan and the Consolidated Plan that covers our jurisdiction.

- A. Applicants with an adult family member who either lives or works or has been hired to work in the City of Herkimer.** The residency preference will not have the purpose or effect of delaying or otherwise denying admission to the program based on the race, color, ethnic origin, gender, religion, disability, or age of any member of an applicant family.
- B. Applicants with an adult family member who is a veteran and is a resident of the City of Herkimer.**
- C. Applicants who are not working and live in the City of Herkimer**
- D. All other applicants.**

The Herkimer Housing Authority will not deny a local preference, nor otherwise exclude or penalize a family in admission to the program, solely because the family resides in public housing.

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space

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

Date and Time

Former Federal preferences:

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

Other preferences (select all that apply)

- 1 Working families and those unable to work because of age or disability
- 2 Veterans and veterans’ families
- 1,2 Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

**3 Applicants who are not working and live in the City of Herkimer**

**4 All other applicants.**

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

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

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

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

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

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

### **(5) Special Purpose Section 8 Assistance Programs – Not Applicable**

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

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

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

- Through published notices
- Other (list below)

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

[24 CFR Part 903.12(b), 903.7(d)]

### **A. Public Housing**

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

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

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

a. Use of discretionary policies: (select one of the following two)

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

b. Minimum Rent

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

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

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

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

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

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

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

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

For the earned income of a previously unemployed household member

For increases in earned income

Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

Fixed percentage (other than general rent-setting policy)

If yes, state percentage/s and circumstances below:

For household heads

For other family members

For transportation expenses

For the non-reimbursed medical expenses of non-disabled or non-elderly families

Other (describe below)

e. Ceiling rents

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

Yes for all developments

Yes but only for some developments

No

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

For all developments

For all general occupancy developments (not elderly or disabled or elderly only)

For specified general occupancy developments

For certain parts of developments; e.g., the high-rise portion

For certain size units; e.g., larger bedroom sizes

Other (list below)

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

apply)

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

f. Rent re-determinations:

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

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

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

## **(2) Flat Rents**

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

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

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

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

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

Describe the voucher payment standards and policies.

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

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

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

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

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

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

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

- Annually
- Other (list below)

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

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

## **(2) Minimum Rent**

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

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

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

## **5. Capital Improvement Needs**

[24 CFR Part 903.12(b), 903.7 (g)]

Exemptions from Component 5: Section 8 only PHAs are not required to complete this component and may skip to Component 6.

## A. Capital Fund Activities

Exemptions from sub-component 5A: PHAs that will not participate in the Capital Fund Program may skip to component 5B. All other PHAs must complete 5A as instructed.

### (1) Capital Fund Program

- a.  Yes  No Does the PHA plan to participate in the Capital Fund Program in the upcoming year? If yes, complete items 12 and 13 of this template (Capital Fund Program tables). If no, skip to B.
- b.  Yes  No: Does the PHA propose to use any portion of its CFP funds to repay debt incurred to finance capital improvements? If so, the PHA must identify in its annual and 5-year capital plans the development(s) where such improvements will be made and show both how the proceeds of the financing will be used and the amount of the annual payments required to service the debt. (Note that separate HUD approval is required for such financing activities.).

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

Applicability of sub-component 5B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

### (1) Hope VI Revitalization

- a.  Yes  No: Has the PHA received a HOPE VI revitalization grant? (if no, skip to next component; if yes, provide responses to questions on chart below for each grant, copying and completing as many times as necessary)
- b. Status of HOPE VI revitalization grant (complete one set of questions for each grant)  
Development name:  
Development (project) number:  
Status of grant: (select the statement that best describes the current status)  
 Revitalization Plan under development  
 Revitalization Plan submitted, pending approval  
 Revitalization Plan approved  
 Activities pursuant to an approved Revitalization Plan underway
- c.  Yes  No: Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year? If yes, list development name/s below:

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

**6. Demolition and Disposition**

[24 CFR Part 903.12(b), 903.7 (h)]

Applicability of component 6: Section 8 only PHAs are not required to complete this section.

- a.  Yes  No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 or 24 (Hope VI) of the U.S. Housing Act of 1937 (42 U.S.C. 1437p) or Section 202/Section 33 (Mandatory Conversion) in the plan Fiscal Year? (If “No”, skip to component 7; if “yes”, complete one activity description for each development on the following chart.)

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

**7. Section 8 Tenant Based Assistance--Section 8(y) Homeownership Program**

[24 CFR Part 903.12(b), 903.7(k)(1)(i)]

- (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 the next component; if “yes”, complete each program description below (copy and complete questions for each

program identified.)

## (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, what is the maximum number of participants this fiscal year? \_\_\_

### b. PHA established eligibility criteria

Yes  No: Will the PHA's program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria? If yes, list criteria below:

c. What actions will the PHA undertake to implement the program this year (list)?

## (3) Capacity of the PHA to Administer a Section 8 Homeownership Program

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

- a.  Establishing a minimum homeowner downpayment requirement of at least 3 percent of purchase price and requiring that at least 1 percent of the purchase price comes from the family's resources.
- b.  Requiring that financing for purchase of a home under its Section 8 homeownership will be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards.
- c.  Partnering with a qualified agency or agencies to administer the program (list name(s) and years of experience below).
- d.  Demonstrating that it has other relevant experience (list experience below).

## **8. Civil Rights Certifications**

[24 CFR Part 903.12 (b), 903.7 (o)]

Civil rights certifications are included in the *PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans*, which is submitted to the Field Office in hard copy—see Table of Contents.

## **9. Additional Information**

[24 CFR Part 903.12 (b), 903.7 (r)]

### **A. PHA Progress in Meeting the Mission and Goals Described in the 5-**

**Year Plan**

*(Provide a statement of the PHA's progress against the goals and objectives established in the previous 5-Year Plan for the period FY 2005 - 2009.)*

**Statement of Progress in Meeting the FY 2000 – 2004 5-Year Plan Goals and Objectives**

The following table reflects the progress we have made in achieving our goals and objectives:

<b>GOAL: MANAGE THE HERKIMER HOUSING AUTHORITY'S TENANT-BASED ASSISTANCE PROGRAM IN AN EFFICIENT AND EFFECTIVE MANNER.</b>	
Objective	Progress
<b>1. HUD shall recognize the Herkimer Housing Authority as a standard performer under SEMAP for our fiscal year ending June 30, 2001.</b>	We were designated a standard performer for the fiscal year ended June 30, 2001 with a score of 84. <b>This objective has been accomplished.</b>
<b>2. HUD shall recognize the Herkimer Housing Authority as a high performer under SEMAP for our fiscal year ending June 30, 2002.</b>	We were designated a high performer for the fiscal year ended June 30, 2002 with a score of 96. <b>This objective has been accomplished.</b>
<b>3. HUD shall recognize the Herkimer Housing Authority as a high performer under SEMAP for our fiscal year ending June 30, 2003.</b>	We were designated a high performer for the fiscal year ended June 30, 2003 with a score of 96. <b>This objective has been accomplished.</b>
<b>4. HUD shall recognize the Herkimer Housing Authority as a high performer under SEMAP for our fiscal year ending June 30, 2004.</b>	We were not rated for this fiscal year.
<b>5. HUD shall recognize the Herkimer Housing Authority as a high performer under SEMAP for our fiscal year ending June 30, 2005</b>	Not applicable for this reporting period.

<b>GOAL: EXPAND THE RANGE AND QUALITY OF HOUSING CHOICES AVAILABLE TO PARTICIPANTS IN OUR TENANT-BASED ASSISTANCE PROGRAM.</b>	
Objective	Progress
<b>1. The Herkimer Housing Authority shall maintain a utilization rate of ninety-five (95) percent in its tenant-based program through June 30, 2005.</b>	We make every effort to fully utilize our vouchers and are generally successful in achieving 95% or better. Our ability to achieve this objective is, in part, subject to applicable HUD regulations and funding. This objective is being accomplished.
<b>2. The Herkimer Housing Authority shall attract ten (10) new landlords who want to participate in the tenant-based assistance program. This objective will be accomplished by June 30, 2005.</b>	To date we have successfully attracted seven (7) new landlords. <b>This objective is being accomplished.</b>

<b>GOAL: MANAGE THE HERKIMER HOUSING AUTHORITY'S PUBLIC HOUSING PROGRAM IN AN EFFICIENT AND EFFECTIVE MANNER</b>	
<b>Objective</b>	<b>Progress</b>
<b>1. HUD shall recognize the Herkimer Housing Authority as a standard performer under PHAS for our fiscal year ending June 30, 2001.</b>	We were designated a high performer for the fiscal year ended June 30, 2001 with a score of 90.  <b>This objective has been accomplished.</b>
<b>2. HUD shall recognize the Herkimer Housing Authority as a high performer under PHAS for our fiscal year ending June 30, 2002.</b>	We were designated a standard performer for the fiscal year ended June 30, 2002 with a score of 84.
<b>3. HUD shall recognize the Herkimer Housing Authority as a high performer under PHAS for our fiscal year ending June 30, 2003.</b>	We were designated a standard performer for the fiscal year ended June 30, 2003 with a score of 87.
<b>4. HUD shall recognize the Herkimer Housing Authority as a high performer under PHAS for our fiscal year ending June 30, 2004.</b>	We were not rated for this fiscal year.
<b>5. HUD shall recognize the Herkimer Housing Authority as a high performer under PHAS for our fiscal year ending June 30, 2005.</b>	Not applicable for this reporting period.
<b>6. The Herkimer Housing Authority shall make our public housing program more marketable to the community as evidenced by an increase in our waiting lists to one that requires a six-month wait for housing. This will be accomplished by June 30, 2005.</b>	We had 70 applicants on our waiting list in 2000 and we currently have 54 applicants on our waiting list. We attribute this reduction, in part, to the extent to which particular housing needs are met by other organizations in the community and Influence of the housing market on PHA programs
<b>7. The Herkimer Housing Authority shall promote a motivating work environment with a capable and efficient team of employees to operate as a customer-friendly and fiscally prudent leader in the affordable housing industry. This is an on-going objective.</b>	Administrative and maintenance staff regularly attend industry conferences and work shops in order to keep abreast of changes in statutes and regulations and to share program related issues and experiences with others in the industry. <b>This objective is being accomplished.</b>

<b>GOAL: MAINTAIN THE HERKIMER HOUSING AUTHORITY'S PROPERTIES IN A DECENT CONDITION</b>	
<b>Objective</b>	<b>Progress</b>
<b>1. The Herkimer Housing Authority will continue to deliver timely and high quality maintenance service to the residents. This is an on going objective.</b>	Maintenance services are provided to all residents in a timely manner as reflected in our PHAS scores and the results of the Resident Satisfaction Survey. <b>This objective is being accomplished.</b>
<b>2. The Herkimer Housing Authority shall create an appealing, up to date environment in its developments by June 30, 2005.</b>	We make every effort to achieve proper curb appeal by making site improvements, keeping the grass cut, making other improvements and other actions such as sidewalk repairs, repaving parking areas, installation of fencing. <b>This objective is being accomplished.</b>
<b>3. The Herkimer Housing Authority will adopt</b>	We have an adopted policy for the prevention

<p><b>a policy for the prevention or eradication of pest infestation (including cockroach infestation), by June 30, 2001.</b></p>	<p>and/or eradication of pest infestation.  <b>This objective has been accomplished.</b></p>
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<p><b>GOAL: ENHANCE THE MARKETABILITY OF THE HERKIMER HOUSING AUTHORITY'S PUBLIC HOUSING UNITS</b></p>	
<p><b>Objective</b></p>	<p><b>Progress</b></p>
<p><b>1. The Herkimer Housing Authority shall achieve a level of customer satisfaction that gives the agency the highest score possible in this element of the Public Housing Assessment System for the Fiscal Year ending June 30, 2001.</b></p>	<p>We received a score of 9.2 out of a possible score of 10 under RASS for the fiscal year ended June 30, 2001. In 2002 our score was 9.3 and in 2003 our score was 9.4.   <b>This objective is being accomplished.</b></p>

<p><b>GOAL: PROVIDE A SAFE AND SECURE ENVIRONMENT IN THE HERKIMER HOUSING AUTHORITY'S PUBLIC HOUSING DEVELOPMENTS</b></p>	
<p><b>Objective</b></p>	<p><b>Progress</b></p>
<p><b>1. The Herkimer Housing Authority shall reduce crime in its developments so that the crime rate is less than their surrounding neighborhood by June 30, 2005.</b></p>	<p>Due to the loss of PHDEP and reductions in capital and operating funds, we are unable to secure the services required.</p>
<p><b>2. The Herkimer Housing Authority shall refine the memorandum of understanding between the jurisdictions' police force and this agency. The purpose of this is to better define the "edge problem" of crime that occurs near our developments and develop strategies for identifying and reducing this problem. This objective will be accomplished by June 30, 2001.</b></p>	<p>Due to the loss of PHDEP and reductions in capital and operating funds, we are unable to secure the services required.</p>
<p><b>3. The Herkimer Housing Authority shall reduce its evictions due to violations of criminal laws by ten (10) percent through aggressive screening procedures. This objective will be accomplished by June 30, 2005,</b></p>	<p>We have adopted and are enforcing aggressive suitability requirements that are in accordance with the former One Strike provisions. We enforce a zero tolerance for violations of criminal laws. We are successfully rejecting applicants that do not meet our requirements. <b>This objective is being accomplished.</b></p>

<p><b>GOAL: ENSURE FULL COMPLIANCE WITH ALL APPLICABLE STANDARDS AND REGULATIONS INCLUDING GOVERNMENT GENERALLY ACCEPTED ACCOUNTING PRACTICES.</b></p>	
<p><b>Objective</b></p>	<p><b>Progress</b></p>
<p><b>1. The Herkimer Housing Authority shall make every effort to operate so that income exceeds</b></p>	<p>This objective has been deleted. The continuing uncertainty and reductions of HUD</p>

<b>expenses every year. This is an on-going objective.</b>	funding render this objective impossible to meet
<b>2. The Herkimer Housing Authority shall fully implement GAAP by June 30, 2001.</b>	<b>This objective has been accomplished</b>

## **B. Criteria for Substantial Deviations and Significant Amendments**

### **(1) Amendment and Deviation Definitions**

24 CFR Part 903.7(r)

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

- a. Substantial Deviation from the 5-Year Plan
- b. Significant Amendment or Modification to the Annual Plan

The following definition has been formally adopted by the Board of Commissioners.

Substantial deviation and significant amendments or modifications are defined as discretionary changes in the plans or policies of the Herkimer Housing Authority that fundamentally change the mission, goals, objectives, or plans of the agency and which require formal approval of the Board of Commissioners.

## **C. Other Information**

[24 CFR Part 903.13, 903.15]

### **(1) Resident Advisory Board Recommendations**

- a.  Yes  No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

If yes, provide the comments below:

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

- Considered comments, but determined that no changes to the PHA Plan were necessary.
- The PHA changed portions of the PHA Plan in response to comments  
List changes below:
- Other: (list below)

### **(2) Resident Membership on PHA Governing Board**

The governing board of each PHA is required to have at least one member who is directly assisted by the

PHA, unless the PHA meets certain exemption criteria. Regulations governing the resident board member are found at 24 CFR Part 964, Subpart E.

a. Does the PHA governing board include at least one member who is directly assisted by the PHA this year?

Yes  No:

If yes, complete the following:

Name of Resident Member of the PHA Governing Board:

Rose Doxtater  
Arlene Conley

Method of Selection:

Appointment

**The term of appointment is (include the date term expires):** 2 year terms expiring 4/1/07

Election by Residents (if checked, complete next section--Description of Resident Election Process)

It is the policy of the Herkimer Housing Authority that nominations of candidates for tenant representatives on the Board of Commissioners shall be made by a petition (which shall be supplied by the Authority) containing the signatures of qualified residents from the same district wherein the candidate resides within the Authority's housing.

### Description of Resident Election Process

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)

All residents in good standing whose names are listed with the Authority, who have resided in an Authority project for at least ninety days prior to the date set for election and are eighteen (18) years of age or older on the date of election, shall be eligible to nominate, vote for and be a tenant representative.

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)

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)

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

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

Date of next term expiration of a governing board member: **04/2006**

Name and title of appointing official(s) for governing board (indicate appointing official for the next available position): Mayor Mark Ainsworth

### **(3) PHA Statement of Consistency with the Consolidated Plan**

[24 CFR Part 903.15]

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

#### **Consolidated Plan jurisdiction: (State of New York)**

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

- The Herkimer Housing Authority will continue to renovate its public housing units utilizing Capital Fund Program funds provided by HUD.
- The Herkimer Housing Authority will continue to meet the special needs of families with disabilities by providing accessible housing in the public housing program.
- The Herkimer Housing Authority will continue to market its public housing and Section 8 programs to make families and elderly persons aware of the availability of decent, safe, sanitary and affordable housing in the community.

Other: (list below)

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

The New York State Consolidated Plan establishes three strategic objectives that are of equal importance and form the basis of New York State's strategy:

**1. Preserve and increase the supply of decent, safe and affordable housing available to all low and moderate income households, and help identify and develop available resources to assist in the development of housing.**

While not specifically targeting funds in the Consolidated Plan for such programs, New York State believes it has a vested interest in the federal government's commitment to continue to provide resources for the operations, maintenance and preservation of Section 8 and public housing. The Consolidate Plan states: "The preservation of this irreplaceable low-income housing asset should remain a federal priority. Specifically, the federal government should maintain its commitment to rental assistance, preservation of housing eligible for mortgage prepayment and funding for operations, repairs, maintenance and modernization of public housing."

**2. Improve the ability of low and moderate income New Yorkers to access rental and home-ownership opportunities.**

The Consolidate Plan includes the provision of rental assistance where possible and also to providing home-ownership opportunities to low-income and minority households. State housing agencies are encouraged to apply for Section 8 program funding.

**3. Address the shelter, housing, and service needs of the homeless poor and others with special needs.**

Among the programs to be utilized, are the various Section 8 programs.

The Consolidated Plan addresses Public Housing Resident Initiatives. The Plan states that “the State of New York does not directly own or administer Federal public housing. Therefore the requirements of this section of the Consolidated Plan do not apply to the State of New York.”

“The State does have a State public housing program as noted in the Needs Assessment. Tenant participation in the management of housing authorities is not only encouraged in this State, but mandated in New York’s Public Housing Law, which provides that authorities having a population under one million be composed of up to seven members, including two tenants elected by public housing residents. The underlying philosophy has been to ensure that tenants’ needs and concerns are effectively communicated to the governing body of the authority and, when necessary, to DHCR, as the supervising State agency.”

In summary, the New York State Consolidated Plan strategies are consistent with and support the goals and objectives of the Herkimer Housing Authority.

**(4) (Reserved)**

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

**10. Project-Based Voucher Program**

- a.  Yes  No: Does the PHA plan to “project-base” any tenant-based Section 8 vouchers in the coming year? If yes, answer the following questions.
- b.  Yes  No: Are there circumstances indicating that the project basing of the units, rather than tenant-basing of the same amount of assistance is an appropriate option?

If yes, check which circumstances apply:

- Low utilization rate for vouchers due to lack of suitable rental units
- Access to neighborhoods outside of high poverty areas
- Other (describe below:)

- c. Indicate the number of units and general location of units (e.g. eligible census tracts or smaller areas within eligible census tracts):

**11. List of Supporting Documents Available for Review for Streamlined Five-Year/ Annual PHA Plans**

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
X	<i>PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans.</i>	Standard 5 Year and Annual Plans; streamlined 5 Year Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan.	5 Year Plans
X	Fair Housing Documentation Supporting Fair Housing Certifications: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
NA	Housing Needs Statement of the Consolidated Plan for the jurisdiction(s) in which the PHA is located and any additional backup data to support statement of housing needs for families on the PHA's public housing and Section 8 tenant-based waiting lists.	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O/ACOP), which includes the Tenant Selection and Assignment Plan [TSAP] and the Site-Based Waiting List Procedure.	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Any policy governing occupancy of Police Officers and Over-Income Tenants in Public Housing. <input checked="" type="checkbox"/> Check here if included in the public housing A&O Policy.	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the method for setting public housing flat rents. <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development. <input 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 (if included in plan, not necessary as a supporting document) and written analysis of Section 8 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 infestation).	Annual Plan: Operations and Maintenance
X	Results of latest Public Housing Assessment System (PHAS) Assessment (or other applicable assessment).	Annual Plan: Management and Operations
X	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary)	Annual Plan: Operations and Maintenance and Community Service & Self-Sufficiency
X	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
X	Any policies governing any Section 8 special housing types <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Operations and Maintenance
NA	Consortium agreement(s).	Annual Plan: Agency Identification and Operations/ Management
X	Public housing grievance procedures <input 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 Capital Fund/Comprehensive Grant Program Annual Statement /Performance	Annual Plan: Capital

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
	and Evaluation Report for any active grant year.	Needs
NA	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants.	Annual Plan: Capital Needs
NA	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans, or any other approved proposal for development of public housing.	Annual Plan: Capital Needs
NA	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing Section 504 of the Rehabilitation Act and the Americans with Disabilities Act. See PIH Notice 99-52 (HA).	Annual Plan: Capital Needs
NA	Approved or submitted applications for demolition and/or disposition of public housing.	Annual Plan: Demolition and Disposition
NA	Approved or submitted applications for designation of public housing (Designated Housing Plans).	Annual Plan: Designation of Public Housing
NA	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act, Section 22 of the US Housing Act of 1937, or Section 33 of the US Housing Act of 1937.	Annual Plan: Conversion of Public Housing
X	Documentation for required Initial Assessment and any additional information required by HUD for Voluntary Conversion.	Annual Plan: Voluntary Conversion of Public Housing
NA	Approved or submitted public housing homeownership programs/plans.	Annual Plan: Homeownership
NA	Policies governing any Section 8 Homeownership program (Section _____ of the Section 8 Administrative Plan)	Annual Plan: Homeownership
X	Public Housing Community Service Policy/Programs <input checked="" type="checkbox"/> Check here if included in Public Housing A & O Policy	Annual Plan: Community Service & Self-Sufficiency
NA	Cooperative agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies.	Annual Plan: Community Service & Self-Sufficiency
NA	FSS Action Plan(s) for public housing and/or Section 8.	Annual Plan: Community Service & Self-Sufficiency
X	Section 3 documentation required by 24 CFR Part 135, Subpart E for public housing.	Annual Plan: Community Service & Self-Sufficiency
NA	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports for public housing.	Annual Plan: Community Service & Self-Sufficiency
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Pet Policy
X	The results of the most recent fiscal year audit of the PHA conducted under the Single Audit Act as implemented by OMB Circular A-133, the results of that audit and the PHA's response to any findings.	Annual Plan: Annual Audit
NA	Consortium agreement(s), if a consortium administers PHA programs.	Joint PHA Plan for Consortia
NA	Consortia Joint PHA Plans ONLY: Certification that consortium agreement is in compliance with 24 CFR Part 943 pursuant to an opinion of counsel on file and available for inspection	Joint PHA Plan for Consortia
NA	Other supporting documents (optional). List individually.	(Specify as needed)

**12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report**

<b>Annual Statement/Performance and Evaluation Report</b>					
<b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
<b>PHA Name:</b> Herkimer Housing Authority		<b>Grant Type and Number</b> Capital Fund Program Grant No: NY06P01950105 Replacement Housing Factor Grant No:			<b>Federal FY of Grant:</b> 2005
<input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	21,000			
3	1408 Management Improvements	3,000			
4	1410 Administration	21,000			
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	14,620			
8	1440 Site Acquisition				
9	1450 Site Improvement	20,000			
10	1460 Dwelling Structures	138,380			
11	1465.1 Dwelling Equipment—Nonexpendable	9,000			
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment	5,000			
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	232,000			
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				

**12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report**

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Herkimer Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY06P01950105 Replacement Housing Factor Grant No:			Federal FY of Grant: 2005			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
<b>HA Wide</b>	<b><u>Operations</u></b>	1406						
	P H Operations		LS	21,000				
	<b>Subtotal Acct 1406</b>			<b>21,000</b>				
<b>HA Wide</b>	<b><u>Management Improvements</u></b>	1408						
	Computer software upgrades		LS	3,000				
	<b>Subtotal Acct 1408</b>			<b>3,000</b>				
<b>HA Wide</b>	<b><u>Administration</u></b>	1410						
	Salaries/benefits for administration of CFP Program		LS	21,000				
	<b>Subtotal Acct 1410</b>			<b>21,000</b>				
<b>HA Wide</b>	<b><u>Fees and Costs</u></b>	1430						
	A&E Fees; reimbursable costs		LS	14,620				
	<b>Subtotal Acct 1430</b>			<b>14,620</b>				
	<b><u>Site Improvements</u></b>	1450						
<b>NY019-1 Eastern Gardens</b>	Sidewalk replacement		LS	20,000				

**12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report**

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Herkimer Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY06P01950105 Replacement Housing Factor Grant No:			Federal FY of Grant: 2005			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
	<b>Subtotal Acct 1450</b>			<b>20,000</b>				
	<b><u>Dwelling Structures</u></b>	1460						
<b>NY 019-2 Creekside Courts</b>	Replace roofs @ 6 buildings		6 Bldgs	35,000				
<b>NY 019-2 Creekside Courts</b>	Replace floors @ J & K bldgs; 4 @ \$2,095 est.		4 units	8,380				
<b>NY019-3 Mid Town Apts</b>	Replace roof		LS	95,000				
	<b>Subtotal Acct 1460</b>			<b>138,380</b>				
	<b><u>Dwelling Equipment</u></b>	1465.1						
<b>NY019-1 Eastern Gardens</b>	Replace ranges and refrigerators		10 each	3,000				
<b>NY019-2 Creekside Courts</b>	Replace ranges and refrigerators		10 each	3,000				
<b>NY019-3 Mid Town Apts</b>	Replace ranges and refrigerators		10 each	3,000				
	<b>Subtotal Acct 1465.1</b>			<b>9,000</b>				
	<b><u>Non-Dwelling Equipment</u></b>	1475						

**12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report**

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Herkimer Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY06P01950105 Replacement Housing Factor Grant No:			Federal FY of Grant: 2005			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
<b>HA Wide</b>	Upgrade computer hardware		LS	5,000				
	<b>Subtotal Acct 1475</b>			<b>5,000</b>				
	<b>Grand Total</b>			<b>232,000</b>				

**13. Capital Fund Program Five-Year Action Plan**

<b>Annual Statement/Performance and Evaluation Report</b> <b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)</b> <b>Part III: Implementation Schedule</b>							
PHA Name: Herkimer Housing Authority			<b>Grant Type and Number</b> Capital Fund Program No: NY06P01950105 Replacement Housing Factor No:				Federal FY of Grant: 2005
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
HA Wide	09/30/07			09/30/09			
NY019-1 Eastern Gardens	09/30/07			09/30/09			
NY019-2 Creekside Courts	09/30/07			09/30/09			
NY019-3 Mid Town Apts	09/30/07			09/30/09			

### 13. Capital Fund Program Five-Year Action Plan

<b>Capital Fund Program Five-Year Action Plan</b>					
<b>Part I: Summary</b>					
PHA Name: Herkimer Housing Authority			<input checked="" type="checkbox"/> <b>Original 5-Year Plan</b> <input type="checkbox"/> <b>Revision No:</b>		
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: 2006 PHA FY: 07/01/2006 – 06/30/2007	Work Statement for Year 3 FFY Grant: 2007 PHA FY: 07/01/2007 – 06/30/2008	Work Statement for Year 4 FFY Grant: 2008 PHA FY: 07/01/2008 – 06/30/2009	Work Statement for Year 5 FFY Grant: 2009 PHA FY: 07/01/2009 – 06/30/2010
	Annual Statement				
HA Wide		84,000	96,000	109,600	133,000
NY019-1 Eastern Gardens			81,500	82,400	33,000
NY019-2 Creekside Courts		78,000	31,500	30,000	33,000
NY019-3 Mid Town Apts		70,000	23,000	10,000	33,000
CFP Funds Listed for 5-year planning		232,000	232,000	232,000	232,000
Replacement Housing Factor Funds					

### 13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan						
Part II: Supporting Pages—Work Activities						
Activities for Year 1	Activities for Year : <u>2</u> FFY Grant: 2006 PHA FY: 07/01/2006 – 06/30/2007			Activities for Year: <u>3</u> FFY Grant: 2007 PHA FY: : 07/01/2007 – 06/30/2008		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See	HA Wide	<u>Operations (1406)</u>		HA Wide	<u>Operations (1406)</u>	
Annual		P H Operations	23,200		P H Operations	23,200
Statement	HA Wide	<u>Mgt Improvements (1408)</u>		HA Wide	<u>Mgt Improvements (1408)</u>	
		Computer software upgrades	2,000		Computer software upgrades	2,000
	HA Wide	<u>Administration (1410)</u>		HA Wide	<u>Administration (1410)</u>	
		Salaries/benefits for administration of CFP	23,200		Salaries/benefits for administration of CFP	23,200
	HA Wide	<u>Fees and Costs (1430)</u>		HA Wide	<u>Fees and Costs (1430)</u>	
		A&E Fees; reimbursable costs	23,200		A&E Fees; reimbursable costs	23,200
	HA Wide	<u>Non-Dwelling Equipment (1475)</u>		HA Wide	<u>Non-Dwelling Equipment (1475)</u>	
		Replace truck #1	10,400		Replace truck #2	10,400
		Upgrade computer hardware	2,000		Upgrade computer hardware	2,000
		<b>Total HA Wide</b>	<b>84,000</b>		Replace 3 tractors @4,000	12,000
					<b>Total HA Wide</b>	<b>96,000</b>
	NY019-2 Creekside Courts	<u>Dwelling Structures (1460)</u>		NY019-1 Eastern Gardens	<u>Site Improvements (1450)</u>	
		Upgrade electrical panels	70,000		Resurface & restripe parking	10,000

### 13. Capital Fund Program Five-Year Action Plan

		Replace floors @ J & K bldgs; 4 @ 2,095 est.	8,000	<b>NY019-1 Eastern Gardens</b>	<b><u>Dwelling Structures</u> (1460)</b>	
		<b>Total NY019-2</b>	<b>78,000</b>		Install dryer vents	8,500
					Upgrade electrical panels	60,000
	<b>NY019-3 Mid Town Apts</b>	<b><u>Dwelling Structures</u> (1460)</b>		<b>NY019-1 Eastern Gardens</b>	<b><u>Dwelling Equipment</u> (1465.1)</b>	
		Upgrade fire alarm system	70,000		Replace ranges & refrigerators: 10 @ \$300	3,000
		<b>Total NY019-3</b>	<b>70,000</b>		<b>Total NY019-1</b>	<b>81,500</b>
				<b>NY019-2 Creekside Courts</b>	<b><u>Site Improvements</u> (1450)</b>	
					Resurface & restripe parking	10,000
				<b>NY019-2 Creekside Courts</b>	<b><u>Dwelling Structures</u> (1460)</b>	
					Install dryer vents	8,500
					Replace floors @ J & K bldgs.: 5 @ 2,000 est.	10,000
				<b>NY019-2 Creekside Courts</b>	<b><u>Dwelling Equipment</u> (1465.1)</b>	
					Replace ranges & refrigerators: 10 @ \$300	3,000
					<b>Total NY019-2</b>	<b>31,500</b>
				<b>NY019-3 Mid Town Apts</b>	<b><u>Site Improvements</u> (1450)</b>	
					Replace sidewalks	20,000
				<b>NY019-3 Mid Town Apts</b>	<b><u>Dwelling Equipment</u> (1465.1)</b>	

### **13. Capital Fund Program Five-Year Action Plan**

					Replace ranges & refrigerators: 10 @ \$300	3,000
					<b>Total NY019-3</b>	<b>23,000</b>
Total CFP Estimated Cost			\$232,000			\$232,000

### 13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan					
Part II: Supporting Pages—Work Activities			Part II: Supporting Pages—Work Activities		
Activities for Year : <u>4</u> FFY Grant: 2008 PHA FY: 07/01/2008 – 06/30/2009			Activities for Year: <u>5</u> FFY Grant: 2009 PHA FY: 07/01/2009 – 06/30/2010		
Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
HA Wide	<b><u>Operations (1406)</u></b>		HA Wide	<b><u>Operations (1406)</u></b>	
	P H Operations	23,200		P H Operations	23,200
HA Wide	<b><u>Mgt Improvements (1408)</u></b>		HA Wide	<b><u>Mgt Improvements (1408)</u></b>	
	Computer software upgrades	2,000		Computer software upgrades	3,000
HA Wide	<b><u>Administration (1410)</u></b>		HA Wide	<b><u>Administration (1410)</u></b>	
	Salaries/benefits for administration of CFP	23,200		Salaries/benefits for administration of CFP	23,200
HA Wide	<b><u>Fees and Costs (1430)</u></b>		HA Wide	<b><u>Fees and Costs (1430)</u></b>	
	A&E Fees; reimbursable costs	23,200		A&E Fees; reimbursable costs	23,200
HA Wide	<b><u>Dwelling Structures (1460)</u></b>		HA Wide	<b><u>Non-Dwelling Structures (1460)</u></b>	
	Handicapped access improvements	35,000		Construct maintenance storage shed (50% of cost)	61,400
HA Wide	<b><u>NonDwelling Equipment (1475)</u></b>			<b>Total HA Wide</b>	<b>133,000</b>
	Upgrade computer hardware	3,000			
	<b>Total HA Wide</b>	<b>109,600</b>	<b>NY019-1 Eastern Gardens</b>	<b><u>Dwelling Structures (1460)</u></b>	
				Replace kitchen cabinets and countertops	30,000
<b>NY019-1 Eastern Gardens</b>	<b><u>Dwelling Structures (1460)</u></b>			<b><u>Dwelling Equipment (1465.1)</u></b>	

### 13. Capital Fund Program Five-Year Action Plan

	Replace hot water tanks	20,000		Replace ranges & refrigerators: 10 @ \$300	3,000
	Replace roofs @ 8 bldgs	<b>62,400</b>		<b>Total NY019-1</b>	<b>33,000</b>
	<b>Total NY019-1</b>	<b>82,400</b>			
<b>NY019-2 Creekside Courts</b>	<b><u>Dwelling Structures</u> (1460)</b>		<b>NY019-2 Creekside Courts</b>	<b><u>Dwelling Structures</u> (1460)</b>	
	Replace hot water tanks	20,000		Replace kitchen cabinets and countertops	30,000
	Replace floors @ J & K bldgs.: 5 @ 2,000	10,000		<b><u>Dwelling Equipment</u> (1465.1)</b>	
	<b>Total NY019-2</b>	<b>30,000</b>		Replace ranges & refrigerators: 10 @ \$300	3,000
				<b>Total NY019-2</b>	<b>33,000</b>
<b>NY019-3 Mid Town Apts</b>	<b><u>Site Improvements</u> (1450)</b>				
	Resurface & restripe parking	5,000	<b>NY019-3 Mid Town Apts</b>	<b><u>Dwelling Structures</u> (1460)</b>	
	<b><u>Dwelling Structures</u> (1460)</b>			Replace carpet in units including asbestos floor tile abatement: 6 @ 5,000	30,000
	Replace hot water tanks	5,000		<b><u>Dwelling Equipment</u> (1465.1)</b>	
	<b>Total NY019-3</b>	<b>10,000</b>		Replace ranges & refrigerators: 10 @ \$300	3,000
				<b>Total NY019-3</b>	<b>33,000</b>
	<b>Total CFP Estimated Cost</b>	<b>\$232,000</b>			<b>\$232,000</b>

## Attachment A

<b>Annual Statement/Performance and Evaluation Report</b>					
<b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
PHA Name: <b>Herkimer Housing Authority</b>			Grant Type and Number Capital Fund Program Grant No: NY06P019050104 Replacement Housing Factor Grant No:		Federal FY of Grant: <b>2004</b>
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:    )					
<input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/04 <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	24,205		24,205.00	24,205.00
3	1408 Management Improvements	2,000		0	0
4	1410 Administration	24,205		24,205.00	0
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	24,205		0	0
8	1440 Site Acquisition				
9	1450 Site Improvement	72,000		0	0
10	1460 Dwelling Structures	21,438		0	0
11	1465.1 Dwelling Equipment—Nonexpendable	74,000		0	0
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	242,053		48,410.00	24,205.00
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				

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

PHA Name: Herkimer Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY06P01950104 Replacement Housing Factor Grant No:			Federal FY of Grant: 2004			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
<b>HA Wide</b>	<b><u>Operations</u></b>	1406						100%
	P H Operations		LS	24,205		24,205.00	24,205.00	
	<b>Subtotal Acct 1406</b>			<b>24,205</b>		<b>24,205.00</b>	<b>24,205.00</b>	
<b>HA Wide</b>	<b><u>Management Improvements</u></b>	1408						Not started
	Computer software upgrades		LS	2,000		0	0	
	<b>Subtotal Acct 1408</b>			<b>2,000</b>		<b>0</b>	<b>0</b>	
<b>HA Wide</b>	<b><u>Administration</u></b>	1410						In progress
	Salaries/benefits for administration of CFP Program		LS	24,205		24,205	0	
	<b>Subtotal Acct 1410</b>			<b>24,205</b>		<b>24,205</b>	<b>0</b>	
<b>HA Wide</b>	<b><u>Fees and Costs</u></b>	1430						Not started
	A&E Fees; reimbursable costs		LS	24,205		0	0	

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

PHA Name: Herkimer Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY06P01950104 Replacement Housing Factor Grant No:			Federal FY of Grant: 2004			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
	<b>Subtotal Acct 1430</b>			<b>24,205</b>		<b>0</b>	<b>0</b>	
	<b><u>Site Improvements</u></b>	1450						Not started
<b>NY019-1 Eastern Gardens</b>	Sidewalk replacement		LS	22,000		0	0	
<b>NY019-2 Creekside Courts</b>	Replace steps/walks		LS	50,000		0	0	
	<b>Subtotal Acct 1450</b>			<b>72,000</b>		<b>0</b>	<b>0</b>	
	<b><u>Dwelling Structures</u></b>	1460						
<b>NY019-1 Eastern Gardens</b>	Replace 5 water storage tanks @\$2,800 est.		LS	14,000				
<b>NY019-2 Creekside Courts</b>	Replace floors @ J & K Bldgs. @\$2,479 est.		3 units	7,438				
	<b>Subtotal Acct 1460</b>			<b>23,380</b>				
	<b><u>Dwelling Equipment</u></b>	1465.1						Not started

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

PHA Name: Herkimer Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY06P01950104 Replacement Housing Factor Grant No:			Federal FY of Grant: 2004			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
<b>NY019-2 Creekside Courts</b>	Replace emergency generator		LS	65,000		0	0	
<b>NY019-1 Eastern Gardens</b>	Replace ranges/refrigerators @300		10	3,000		0	0	
<b>NY019-2 Creekside Courts</b>	Replace ranges/refrigerators @300		10	3,000		0	0	
<b>NY019-3 Mid Town Apts</b>	Replace ranges/refrigerators @300		10	3,000		0	0	
	<b>Subtotal Acct 1465.1</b>			<b>74,000</b>		<b>0</b>	<b>0</b>	
	<b>Grand Total</b>			<b>242,053</b>		<b>48,410.00</b>	<b>24,205.00</b>	

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

PHA Name: Herkimer Housing Authority		Grant Type and Number Capital Fund Program No: NY06P01950104 Replacement Housing Factor No:					Federal FY of Grant: 2004	
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates	
	Original	Revised	Actual	Original	Revised	Actual		
HA Wide	09/13/06			09/13/08			ACC Amendment Dates	
NY019-1 Eastern Gardens	09/13/06			09/13/08				
NY019-2 Creekside Courts	09/13/06			09/13/08				
NY019-3 Mid Town Apts	09/13/06			09/13/08				

**Attachment B**

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

PHA Name: Herkimer Housing Authority	Grant Type and Number Capital Fund Program Grant No: NY06P01950103 Replacement Housing Factor Grant No:	Federal FY of Grant: <b>2003</b>
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Original Annual Statement  Reserve for Disasters/ Emergencies  Revised Annual Statement (revision no: )  
 Performance and Evaluation Report for Period Ending: 12/31/04  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	51,481		51,481.00	51,481.00
3	1408 Management Improvements	2,000		763.81	763.81
4	1410 Administration	20,685		20,685.00	20,685.00
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	20,685		0	0
8	1440 Site Acquisition				
9	1450 Site Improvement	30,000		20,111.00	19,165.00
10	1460 Dwelling Structures	22,000		21,446.48	21,446.48
11	1465.1 Dwelling Equipment—Nonexpendable	8,000		8,000.00	8,000.00
12	1470 Nondwelling Structures	44,000		0	0
13	1475 Nondwelling Equipment	8,000		1,426.00	1,426.00
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	206,851		123,913.29	122,967.29
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				

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

PHA Name: Herkimer Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY06P01950103 Replacement Housing Factor Grant No:			Federal FY of Grant: 2003			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
<b>HA Wide</b>	<b><u>Operations</u></b>	1406						100%
	P H Operations		Lump Sum	51,481		51,481.00	51,481.00	
	<b>Subtotal Acct. 1406</b>			<b>51,481</b>		<b>51,481.00</b>	<b>51,481.00</b>	
<b>HA Wide</b>	<b><u>Management Improvements</u></b>	1408						38%
	Computer software upgrades;		Lump Sum	2,000		763.81	763.81	
	<b>Subtotal Acct. 1408</b>			<b>2,000</b>		<b>763.81</b>	<b>763.81</b>	
<b>HA Wide</b>	<b><u>Administration</u></b>	1410						100%
	Salaries/benefits for administration of CFP Program		Lump Sum	20,685		20,685.00	20,685.00	
	<b>Subtotal Acct. 1410</b>			<b>20,685</b>		<b>20,685.00</b>	<b>20,685.00</b>	
<b>HA Wide</b>	<b><u>Fees and Costs</u></b>	1430						Not started
	A&E Fees; reimbursable costs		Lump Sum	20,685		0	0	
	<b>Subtotal Acct 1430</b>			<b>20,685</b>		<b>0</b>	<b>0</b>	
	<b><u>Site Improvements</u></b>	1450						
<b>NY019-1</b>	Repair/replace chain link fence		Lump Sum	20,000		20,000.00	19,165.00	In progress
<b>NY019-2</b>	Repair/replace chain link fence		Lump Sum	5000		111.00	0	In progress
<b>NY019-3</b>	Repair/replace chain link fence		Lump Sum	5,000		0	0	Not started
	<b>Subtotal Acct 1450</b>			<b>30,000</b>		<b>20,111.00</b>	<b>19,165.00</b>	
	<b><u>Dwelling Structures</u></b>	1460						

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

PHA Name: Herkimer Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY06P01950103 Replacement Housing Factor Grant No:			Federal FY of Grant: 2003			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
NY019-1	Install smoke and CO detectors		164	11,000		10,723.24	10,723.24	In progress
NY019-2	Install smoke and CO detectors		156	11,000		10,723.24	10,723.24	In progress
	<b>Subtotal Acct 1460</b>			<b>22,000</b>		<b>21,446.48</b>	<b>21,446.48</b>	
	<b>Dwelling Equipment</b>	1465.1						100%
NY019-1	Replace ranges/refrigerators			3,000		3,000.00	3,000.00	
NY019-2	Replace ranges/refrigerators			3,000		3,000.00	3,000.00	
NY019-3	Replace ranges/refrigerators			2,000		2,000.00	2,000.00	
	<b>Subtotal Acct 1465.1</b>			<b>8,000</b>		<b>8,000.00</b>	<b>8,000.00</b>	
	<b>Non Dwelling Structures</b>	1470						
NY019-1	Construct maintenance and storage/garage (est. 50% of total cost – See CFY 50-203)		Lump Sum	44,000		0	0	Not started
	<b>Subtotal Acct. 1470</b>			<b>44,000</b>		<b>0</b>	<b>0</b>	
<b>HA Wide</b>	<b>Non Dwelling Equipment</b>	1475						
	Purchase Office Equipment	1475.1	Lump Sum	2,000		0	0	Not started
	Purchase Truck Radios	1475.2	Lump Sum	3,000		0	0	Not started
	Computer hardware	1475.4	Lump Sum	3,000		1,426.00	1,426.00	In progress
	<b>Subtotal Acct 1475</b>			<b>8,000</b>		<b>1,426.00</b>	<b>1,426.00</b>	
	<b>Grand Total</b>			<b>206,851</b>		<b>123,913.29</b>	<b>122,967.29</b>	

