

White Plains

Housing Authority Plans

5 Year Plan for Fiscal Years 2006 - 2010
Annual Plan for Fiscal Year 2006

PHA Plan Agency Identification

PHA Name: White Plains Housing Authority

PHA Number: NY042

PHA Fiscal Year Beginning: 04/2006

Public Access to Information

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

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

Display Locations For PHA Plans and Supporting Documents

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

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

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

- Main business office of the PHA
- PHA development management offices
- Other (list below)

5-YEAR PLAN
PHA FISCAL YEARS 2006 - 2010
[24 CFR Part 903.5]

A. Mission

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

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

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

- PHAGoal: 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:

Annual PHA Plan
PHA Fiscal Year 2006
[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

Standard Plan

Streamlined Plan:

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

Troubled Agency Plan

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

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

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

The purpose of this Annual Plan is to provide a framework for local accountability and easily identifiable source by which housing residents, participants in the tenant-based assistance program and other members of the public may locate basic PHA policies, rules and requirements related to the operations, programs and services of the agency.

The Mission Statement and the Goals and Objectives were based on information contained in our jurisdiction's Consolidated Plan and will ensure that our residents will receive the best customer service.

Excellent customer service and fulfillment of the Mission Statement and Goals and Objectives is ensured by implementation of a series of policies that are on display with this Plan. The Admissions and Occupancy Policy is the primary policy on display. This important document cover the public housing tenant selection and assignment plan, outreach services, and grievance procedures, etc.

The most important challenges to be met by the White Plains Housing Authority during FY 2006 include:

- Improvement of the physical conditions of the housing developments through the Capital Funds activities.
- Involve the public housing residents through the Annual Plan Resident Advisory Board.

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

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

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Attachments

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

Required Attachments:

- Admissions Policy for Deconcentration
- FY 2006 Capital Fund Program Annual Statement
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- PHA Management Organizational Chart
- FY 2006 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan

- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- Other (List below, providing each attachment name)

- ny042a02 FY2006 CFP Annual Statement
- ny042b02 Five Year Action Plan
- ny042c02 WPHA Organization Chart
- ny042d02 Resident Advisory Board
- ny042e02 Resident Member on the PHA Governing Board
- ny042f02 Substantial Deviation / Significant Amendment
- ny042g02 P&E Report 2002 (NY36P042501-02)
- ny042h02 P&E Report 2003 (NY36P042501-03)
- ny042i02 P&E Report 2003 (NY36P042502-03)
- ny042j02 P&E Report 2004 (NY36P042501-04)
- ny042k02 P&E Report 2005 (NY36P042501-05)
- ny042l02 Pet Policy

Supporting Documents Available for Review

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Section 8 rent determination (payment standard) policies <input 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	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
	Section 8 informal review and hearing procedures <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
X	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

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

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

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Income <= 30% of AMI	2,052	5	5	5	5	5	5
Income >30% but	1,145	5	5	4	4	4	4

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
<=50% of AMI							
Income >50% but <80% of AMI	504	5	5	4	4	4	4
Elderly	760	5	5	4	5	4	4
Families with Disabilities	840	5	5	4	5	4	4
Black NH	866	5	5	4	4	4	4
Hispanic	1,808	5	5	4	4	4	4
White-NonHispa.	1,773	5	5	4	4	4	4
Asian NH	214	5	5	4	4	4	4
Pacific Island. NH	0	5	5	4	4	4	4
Native Amer. NH	4	5	5	4	4	4	4

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

- Consolidated Plan of the Jurisdiction/s
Indicate year: 1994/Revised 1995
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)

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

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

Housing Needs of Families on the Waiting List	
Waiting list type: (select one)	
<input type="checkbox"/>	Section 8 tenant-based assistance
<input 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:	

Housing Needs of Families on the Waiting List			
	# of families	% of total families	Annual Turnover
Waiting list total	320		30 +/-
Extremely low income <=30% AMI	260	81	
Very low income (>30% but <=50% AMI)	46	14	
Low income (>50% but <80% AMI)	12	3	
Families with children	192	59	
Elderly families	84	26	
Families with Disabilities	44	14	
Black NH	152	47	
White NH	88	27	
Hispanic	69	21	
Other	11	3	
Characteristics by Bedroom Size (Public Housing Only)			
1BR	135	42	
2 BR	117	36	
3 BR	31	9	
4 BR	1	>1	
5 BR	1	>1	
0 BR	35	11	
<p>Is the waiting list closed (select one)? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes If yes: How long has it been closed (# of months) 06/2005 (for families) Does the PHA expect to reopen the list in the PHA Plan year? <input checked="" 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 checked="" type="checkbox"/> Yes (Elderly)</p>			

C. Strategy for Addressing Needs

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

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

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

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units

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

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

Select all that apply

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

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

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

Select all that apply

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

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

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

Select all that apply

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

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

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

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

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

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

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

Select if applicable

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

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units

- Market the section 8 program to owners outside of areas of poverty /minority concentrations
- Other: (list below)

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

(2) Reasons for Selecting Strategies

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

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

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

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

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2006 grants)	1,392,845	
a) Public Housing Operating Fund	509,737.00	
b) Public Housing Capital Fund		
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance		
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		
g) Resident Opportunity and Self-Sufficiency Grants		
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
2. Prior Year Federal Grants (unobligated funds only) (list below)		
NY 36P042501-05	1,392,845.00	
NY 36P042501-04	188,000.00	
NY 36P042502-03	171,890.40	
Subtotal	3,655,317.00	
3. Public Housing Dwelling Rental Income	3,418,730.00	
4. Other income (list below)		
Investment Income	50,000.00	
Other Income	152,000.00	

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
5. Non-federal sources (list below)		
Income other than rent		
Total resources	7,276,047.00	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

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

(1) Eligibility

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

- When families are within a certain number of being offered a unit: (state number) (*Within 10, per unit size*)
- When families are within a certain time of being offered a unit: (state time)
- Other: (describe)

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

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

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

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

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

(2) Waiting List Organization

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

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

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

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

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

1. How many site-based waiting lists will the PHA operate in the coming year?
2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists?
3. Yes No: May families be on more than one list simultaneously?
If yes, how many lists?
4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?
 - PHA main administrative office
 - All PHA development management offices
 - Management offices at developments with site-based waiting lists
 - At the development to which they would like to apply
 - Other (list below)

(3) Assignment

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

- One
- Two
- Three or More

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

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

(4) Admissions Preferences

a. Income targeting:

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

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

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

c. Preferences

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

Former Federal preferences:

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

Other preferences: (select below)

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

Other preference(s) (list below)

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

1 Date and Time

Former Federal preferences:

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

Other preferences (select all that apply)

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

4. Relationship of preferences to income targeting requirements:

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

(5) Occupancy

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

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

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

- At an annual reexamination and lease renewal
- Any time family composition changes
- At family request for revision
- Within 10 days of occurrence

(6) Deconcentration and Income Mixing

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

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

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

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

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

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

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments

- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- Other (list below)

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

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

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

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

B. Section 8

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

(1) Eligibility

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

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

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

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

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

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

- Resident mailing address
- Current and Prior landlords name and mailing address.

(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:

(4) Admissions Preferences

a. Income targeting

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

b. Preferences

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

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

Former Federal preferences

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

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

Other preferences (select all that apply)

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

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

Date and Time

Former Federal preferences

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

Other preferences (select all that apply)

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

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

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

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

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

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

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

(5) Special Purpose Section 8 Assistance Programs

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

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

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

- Through published notices
- Other (list below)

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

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

(1) Income Based Rent Policies

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

a. Use of discretionary policies: (select one)

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

---or---

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

b. Minimum Rent

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

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

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

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

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

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

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

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

For the earned income of a previously unemployed household member

For increases in earned income

Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

Fixed percentage (other than general rent-setting policy)

If yes, state percentage/s and circumstances below:

For household heads

For other family members

For transportation expenses

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

The White Plains Housing Authority does not plan to implement any deductions and/or exclusions

e. Ceiling rents

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

Yes for all developments

Yes but only for some developments

No

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

For all developments

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

For specified general occupancy developments

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

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

Other (list below)

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

Market comparability study

Fair market rents (FMR)

95th percentile rents

75 percent of operating costs

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

f. Rent re-determinations:

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

- Never
- At family option
- Any time the family experiences an income increase
- Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold)_____
- Within 10 days of occurrence

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

(2) Flat Rents

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

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

- FMR's

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. Operations and Management

[24 CFR Part 903.7 9 (e)]

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

A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

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

B. HUD Programs Under PHA Management

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

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	712	10%
Section 8 Vouchers	0	
Section 8 Certificates	0	
Section 8 Mod Rehab	0	
Special Purpose Section 8 Certificates/Vouchers (list individually)	0	
Public Housing Drug Elimination Program (PHDEP)	0	
Other Federal Programs(list individually)		

C. Management and Maintenance Policies

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

- (1) Public Housing Maintenance and Management: (list below)
- *ACOPS*
 - *Maintenance Policy*

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

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

A. Public Housing

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

If yes, list additions to federal requirements below:

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

B. Section 8 Tenant-Based Assistance

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

If yes, list additions to federal requirements below:

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

Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

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

A. Capital Fund Activities

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

(1) Capital Fund Program Annual Statement

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

Select one:

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan , see table of contents.. (**ny042a01**)

-or-

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

(2) Optional 5-Year Action Plan

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

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

b. If yes to question a, select one:

The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (**ny042b01**)

-or-

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

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

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

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

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

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

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

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

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

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

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

2. Activity Description

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

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

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

[24 CFR Part 903.7 9 (i)]

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

1. Yes No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with

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

2. Activity Description

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

Designation of Public Housing Activity Description
1a. Development name: 1b. Development (project) number:
2. Designation type: Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA’s Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: (DD/MM/YY)
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

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

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

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

2. Activity Description

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

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

- Requirements no longer applicable: vacancy rates are less than 10 percent
- Requirements no longer applicable: site now has less than 300 units
- Other: (describe below)

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

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

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

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

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

2. Activity Description

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

Public Housing Homeownership Activity Description (Complete one for each development affected)
1a. Development name:
1b. Development (project) number:
2. Federal Program authority: <input type="checkbox"/> HOPE I

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

B. Section 8 Tenant Based Assistance

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

2. Program Description:

a. Size of Program

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

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

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

b. PHA-established eligibility criteria

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

If yes, list criteria below:

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (1)]

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

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

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

If yes, what was the date that agreement was signed? DD/MM/YY

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

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

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

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

- Public housing rent determination policies
- Public housing admissions policies
- Section 8 admissions policies
- Preference in admission to section 8 for certain public housing families
- Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA

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

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)
- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
 - Informing residents of new policy on admission and reexamination
 - Actively notifying residents of new policy at times in addition to admission and reexamination.
 - Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
 - Establishing a protocol for exchange of information with all appropriate TANF agencies
 - Other: (list below)

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

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

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

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

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)
- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
 - High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
 - Residents fearful for their safety and/or the safety of their children
 - Observed lower-level crime, vandalism and/or graffiti
 - People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime

Other (describe below)

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

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

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

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

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

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

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

C. Coordination between PHA and the police

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

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents

- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
 - Other activities (list below)
2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

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

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

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

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

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

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

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

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

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock , including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?

2. What types of asset management activities will the PHA undertake? (select all that apply)
 - Not applicable
 - Private management
 - Development-based accounting
 - Comprehensive stock assessment
 - Other: (list below)

3. Yes No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

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

2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
 - Attached at Attachment (File name)
 - Provided below:

3. In what manner did the PHA address those comments? (select all that apply)
 - Considered comments, but determined that no changes to the PHA Plan were necessary.
 - The PHA changed portions of the PHA Plan in response to comments
List changes below:
 - Other: (list below)

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

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

3. Description of Resident Election Process

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

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

b. Eligible candidates: (select one)

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

c. Eligible voters: (select all that apply)

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

C. Statement of Consistency with the Consolidated Plan

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

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

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

- Other: (list below)

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

D. Other Information Required by HUD

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

Attachments

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

PHA Plan Table Library

Component 7 Capital Fund Program Annual Statement Parts I, II, and II

Annual Statement Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number
FFY of Grant Approval:

Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	
2	1406 Operations	
3	1408 Management Improvements	
4	1410 Administration	
5	1411 Audit	
6	1415 Liquidated Damages	
7	1430 Fees and Costs	
8	1440 Site Acquisition	
9	1450 Site Improvement	
10	1460 Dwelling Structures	
11	1465.1 Dwelling Equipment-Nonexpendable	
12	1470 Nondwelling Structures	
13	1475 Nondwelling Equipment	
14	1485 Demolition	
15	1490 Replacement Reserve	
16	1492 Moving to Work Demonstration	
17	1495.1 Relocation Costs	
18	1498 Mod Used for Development	
19	1502 Contingency	
20	Amount of Annual Grant (Sum of lines 2-19)	
21	Amount of line 20 Related to LBP Activities	
22	Amount of line 20 Related to Section 504 Compliance	
23	Amount of line 20 Related to Security	
24	Amount of line 20 Related to Energy Conservation Measures	

**Annual Statement for White Plains Housing Authority
 Capital Fund Program (CFP) Part II: Supporting Table
 FFY Year**

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost

**Annual Statement
Capital Fund Program (CFP) Part III: Implementation Schedule**

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Total estimated cost over next 5 years				

HA Name: **WHITE PLAINS HOUSING AUTHORITY** Capital Fund Program: NY36P042501-06 CFP2006

Original Annual Statement Reserve for Disasters/Emergencies.
 Final Performance and Evaluation Report.

Revised Annual Statement/Revision Number
 Performance and Evaluation Report for Program Year Ending

Line No.	Summary by Development Account	TOTAL ESTIMATED COST		TOTAL ACTUAL COST (2)	
		Original	Revised (1)	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not to exceed 20% of line 20)	\$278,569.00			
3	1408 Management Improvements	250,000.00			
4	1410 Administration	139,964.00			
5	1411 Audit				
6	1415 Liquidated damages				
7	1430 Fees and Costs	200,000.00			
8	1440 Site Acquisition				
9	1450 Site Improvements				
10	1460 Dwelling Structures	524,312.00			
11	1465.1 Dwelling Equipment - Nonexpandable				
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	1498 Mod Used for Development				
19	1502 Contingency (May not to exceed 8% of line 20)				
20	Amount of Annual Grant (Sum of lines 2 - 19)	1,392,845.00	-	-	-
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Compliance				
23	Amount of line 20 Related to Security				
24	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director & Date:			Signature of Public Housing Director & Date:		

1- To be completed for the Performance and Evaluation Report or a Revised Annual Statement

2- To be completed for the Performance and Evaluation Report.

Development Number/Name Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reason for revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
1406 Operations PHA-Wide	8/17/2008			8/17/2009			
1408 Mgmt. Improv. PHA-Wide	8/17/2008			8/17/2009			
1410 Administration PHA-Wide	8/17/2008			8/17/2009			
1430 Fees and Costs PHA-Wide	8/17/2008			8/17/2009			
1460 Dwelling Structures NY42-6	8/17/2008			8/17/2009			
Signature of Executive Director & Date: X				All Funds Expended (Quarter Ending Date) X			

1 To be Completed for the Performance and Evaluation Report or a Revised Annual Statement

2 To be Completed for the Performance and Evaluation Report.

Five-Year Action Plan

Part I: Summary
Capital Fund Program (CFP)

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

Attachment ny042b01

Submission (6/1/96)

OMB Approval No. 2577-0157 (Exp.7/31/98)

H A Name: WHITE PLAINS HOUSING AUTHORITY		Locality: (City/County & State) White Plains, NY		Original	Revision No. _____
A. Development Number/Name	Work Statement for Year 1 FFY: 2006	Work Statement Year 2 FFY: __ 07 __	Work Statement Year 3 FFY: __ 08 __	Work Statement Year 4 FFY: __ 09 __	Work Statement Year 5 FFY: __ 10 __
White Plains Housing Authority	See Annual Statement	\$ 1,392,845.00	\$ 1,392,845.00	\$ 1,392,845.00	\$ 1,392,845.00
B. Physical Improvements Subtotal		\$ 694,991.50	\$ 100,000.00	\$ 268,531.50	\$ 275,000.00
C. Management Improvement		\$ 100,000.00	\$ 100,000.00	\$ 100,000.00	\$ 100,000.00
D. HA-Wide Nondwelling Structures & Equipment		\$ -	\$ 589,245.50	\$ 456,460.00	\$ 449,991.50
E. Administration		\$ 139,284.50	\$ 139,284.50	\$ 139,284.50	\$ 139,284.50
F. Other		\$ 458,569.00	\$ 464,315.00	\$ 428,569.00	\$ 428,569.00
G. Replacement Reserve					
H. Total CGP Funds		\$ 1,392,845.00	\$ 1,392,845.00	\$ 1,392,845.00	\$ 1,392,845.00
I. Total Non-CGP Funds					
J. Grand Total					
Signature of Executive Director:		Date	Signature of Public Housing/Director of Native American Programs Administrator.		Date:

Five-Year Action Plan
 Part III: Supporting Pages
 Management Needs
 Capital Fund Program (CFP)

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

Annual Statement for Year 1 2006	Work Statement for Year 2 FFY: 2007			Work Statement for Year 3 FFY: 2008		
	Development Number/Name/General Description of Major Work Category	Quantity	Estimated Cost	Development Number/Name/General Description of Major Work Category	Quantity	Estimated Cost
See Annual Statement	Operations			Operations		
	Operations		\$278,569.00	Operations		\$278,569.00
	Sub Total Account # 1406		\$278,569.00	Sub Total Account # 1406		\$278,569.00
	1408 MANAGEMENT IMPROVEMENTS			1408 MANAGEMENT IMPROVEMENTS		
	Security/Clerk/Training/Equipment/Travel		\$100,000.00	Security/Clerk/Training/Equipment/Travel		\$100,000.00
	Sub-total Account # 1408		\$100,000.00	Sub-total Account # 1408		\$100,000.00
	1410 ADMINISTRATION			1410 ADMINISTRATION		
	Administrative Salaries		\$41,551.50	Administrative Salaries		\$38,252.50
	Modernization Coordinator (100%)		\$94,268.00	Modernization Coordinator (100%)		\$97,567.00
	Per Diem Account/CPA (15 days per annum)		\$3,465.00	Per Diem Account/CPA (15 days per annum)		\$3,465.00
	Sub-total Account # 1410		\$139,284.50	Sub-total Account # 1410		\$139,284.50
	1430 FEES & COSTS			1430 FEES & COSTS		
	A/E Services/Permits/ Insp. Fees/Travel/Sundry/Fees		\$180,000.00	A/E Services/Permits/ Insp. Fees/Travel/Sundry/Fees		\$185,746.00
	Sub-total Account # 1430		\$180,000.00	Sub-total Account # 1430		\$185,746.00
	1460 DWELLING STRUCTURES			1450-SITE IMPROVEMENTS		
	Boiler Room Floor drains and painting		\$22,000.00	Landscaping, fence work, Gates, Playgrounds, Walks, Ramps, Striping	\$	45,000.00
	Bathroom Renovations		\$233,516.70		\$	45,000.00
	Apartment Painting		\$55,745.80	Subtotal Account # 1450		
	New Apartment Doors		\$123,729.00			
	Reinstall Hot Water tanks		\$120,000.00	1460 DWELLING STRUCTURES		
	New Windows		\$140,000.00	Brick Pointing / Painting	\$	55,000.00
	Subtotal Account # 1460		\$694,991.50	Subtotal Account # 1460	\$	55,000.00
				1465 DWELLING EQUIPMENT		
				New Apartment doors and locks	\$	33,250.00
				Elevator Rehabilitation, maintenance Equipment	\$	100,000.00
				Terrace doors, screens and locks	\$	25,000.00
			New windows	\$	160,268.30	
			Electric Key System	\$	57,744.00	
			Subtotal Account # 1465	\$	376,262.30	
			1470 NON DWELLING STRUCTURES			
			Storage Area for Maintenance	\$	30,000.00	
			Re-Design Front Entrance	\$	182,983.20	
			Subtotal Account # 1470	\$	212,983.20	
	Subtotal of Estimated Cost		\$1,392,845.00	Subtotal of Estimated Cost		\$ 1,392,845.00

Five-Year Action Plan
 Part III: Supporting Pages
 Management Needs
 Capital Fund Program (CFP)

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

Annual Statement for Year 1 2006	Work Statement for Year 4 FFY: 2009			Work Statement for Year 5 FFY: 2010		
	Development Number/Name/General Description of Major Work Category	Quantity	Estimated Cost	Development Number/Name/General Description of Major Work Category	Quantity	Estimated Cost
	Operations			Operations		

See Annual Statement	Operations	\$278,569.00	Operations	\$278,569.00
	Sub Total Account # 1406	\$278,569.00	Sub Total Account # 1406	\$278,569.00
	1408 MANAGEMENT IMPROVEMENTS		1408 MANAGEMENT IMPROVEMENTS	
	Security/Clerk/Training/Equipment/Travel	\$100,000.00	Security/Clerk/Training/Equipment/Travel	\$100,000.00
	Sub-total Account # 1408	\$100,000.00	Sub-total Account # 1408	\$100,000.00
	1410 ADMINISTRATION		1410 ADMINISTRATION	
	Administrative Salaries	\$34,302.50	Administrative Salaries	\$30,768.13
	Modernization Coordinator (100%)	\$100,982.00	Modernization Coordinator (100%)	\$104,516.37
	Per Diem Account/CPA (15 days per annum)	\$4,000.00	Per Diem Account/CPA (15 days per annum)	\$4,000.00
	Sub-total Account # 1410	\$139,284.50	Sub-total Account # 1410	\$139,284.50
1430 FEES & COSTS		1430 FEES & COSTS		
A/E Services/Permits/ Insp. Fees/Travel/Sundry/Fees	\$150,000.00	A/E Services/Permits/ Insp. Fees/Travel/Sundry/Fees	\$150,000.00	
Sub-total Account # 1430	\$150,000.00	Sub-total Account # 1430	\$150,000.00	
1460 DWELLING STRUCTURES		1450 SITE IMPROVEMENTS		
Apartment/Common Area Painting	\$70,000.00	Landscaping, Sidewalks, Paving		
Stair Treads (2 Stairwells each building, 10 total)	\$70,000.00	Subtotal Account #1450	\$50,000.00	
Closet Doors (Floors 1-5)	\$60,000.00			
Bathroom Floors - Ceramic Tiles	\$68,531.50	1460 DWELLING STRUCTURES		
Sub-total Account # 1460	\$268,531.50	Bathroom/Kitchen Renovations	\$225,000.00	
		Subtotal Account #1460	\$225,000.00	
1475 NONDWELLING EQUIPMENT		1465 DWELLING EQUIPMENT		
Elevator Rehabilitation, Maintenance Equipment	\$90,000.00	New Windows/Doors/Lighting	\$400,000.00	
Security Surveillance Equipment	\$366,460.00	Stoves/Refrigerators	\$49,991.50	
Sub-total Account #1475	\$456,460.00	Subtotal Account	\$449,991.50	
	Subtotal of Estimated Cost	\$1,392,845.00	Subtotal of Estimated Cost	\$1,392,845.00
		Page 3 of 3		Form HUD-52834

HA Name: **WHITE PLAINS HOUSING AUTHORITY** Capital Fund Program: NY36P042501-06 CFP2006

X Original Annual Statement Reserve for Disasters/Emergencies.
 Final Performance and Evaluation Report.

Revised Annual Statement/Revision Number
 Performance and Evaluation Report for Program Year Ending

Line No.	Summary by Development Account	TOTAL ESTIMATED COST		TOTAL ACTUAL COST (2)	
		Original	Revised (1)	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not to exceed 20% of line 20)	\$278,569.00			
3	1408 Management Improvements	250,000.00			
4	1410 Administration	139,964.00			
5	1411 Audit				
6	1415 Liquidated damages				
7	1430 Fees and Costs	200,000.00			
8	1440 Site Acquisition				
9	1450 Site Improvements				
10	1460 Dwelling Structures	524,312.00			
11	1465.1 Dwelling Equipment - Nonexpandable				
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	1498 Mod Used for Development				
19	1502 Contingency (May not to exceed 8% of line 20)				
20	Amount of Annual Grant (Sum of lines 2 - 19)	1,392,845.00	-	-	-
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Compliance				
23	Amount of line 20 Related to Security				
24	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director & Date:			Signature of Public Housing Director & Date:		

1- To be completed for the Performance and Evaluation Report or a Revised Annual Statement

2- To be completed for the Performance and Evaluation Report.

WHITE PLAINS HOUSING AUTHORITY
Resident Advisory Board

120 Lake Street

Lola Small
Lugenia Tribble
Maria Harris
Patricia Diggs

86 DeKalb

Mary Burwell
Diane Diggs

225 MLK

Charlene Phillips
Madeline Bornds
Benzina Mazyck
Lilliam Gram
Ida Stewart
Gladys Bartley
Ida Stewart

11 Fisher

Vicky Ancrum
George Andrews
Shatisha Covington
Desirre Smith

33 Fisher

William Holt
Doreen Turner
Ralph & Mary Roberts

159 So. Lexington Ave

Barbara Edwards
Mary Glover
Louise Morton

135 So. Lexington Ave

Mary Edwards
Betty Gibbons

White Plains Housing Authority

Required Attachment D : Resident Member on the PHA Governing Board

1. Yes No: Does the PHA governing board include at least one member who is directly assisted by the PHA this year? (if no, skip to #2)

A. Name of resident member(s) on the governing board:

- 1) Mary Burwell
- 2) Ida Stewart

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

- Elected
 Appointed

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

- 1) 6/01/2006
- 2) 6/01/2006

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

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

B. Date of next term expiration of a governing board member: 6/04/2006

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

WHITE PLAINS HOUSING AUTHORITY

Substantial Deviation from the 5-year Plan and Significant Amendment or Modification to the Annual Plan

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:

- Any change to the Mission Statement;
- 50% deletion from or addition to the goals and objectives as a whole; and
- 50% or more decrease in the quantifiable measure of any individual goal or objective.

B. Significant Amendment or Modification to the Annual Plan:

- Any increase or decrease over 50% in the funds projected in the Financial Resource Statement;
- Any change in the policy or procedure that requires a regulatory 30-day posting;
- Any submission to HUD that requires a separate notification to residents, such as Homeownership programs; and
- Any change inconsistent with the local, approved Consolidated Plan.

HA Name: White Plains Housing Authority		Capital Fund Program: NY36P042501-02 2002			
Original Annual Statement Reserve for Disasters/Emergencies. X Performance and Evaluation Report for Program Year Ending: 9/30/2005		Revised Annual Statement/Revision Number ____ Final Performance and Evaluation Report			
		TOTAL ESTIMATED COST		TOTAL ACTUAL COST (2)	
Line No.	Summary by Development Account	Original	Revised (1)	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not to exceed 20% of line 20)	\$255,200.00	\$255,200.00	\$255,200.00	\$255,200.00
3	1408 Management Improvements	\$143,000.00	\$147,573.34	\$147,573.34	\$139,777.12
4	1410 Administration	\$114,100.00	\$114,100.00	\$114,100.00	\$114,100.00
5	1411 Audit				
6	1415 Liquidated damages				
7	1430 Fees and Costs	\$174,000.00	\$182,662.00	\$182,662.00	\$180,552.21
8	1440 Site Acquisition				
9	1450 Site Improvements	\$0.00	\$0.00	\$0.00	\$0.00
10	1460 Dwelling Structures	\$10,000.00	\$1,852.50	\$1,852.50	\$1,852.50
11	1465.1 Dwelling Equipment - Nonexpandable				
12	1470 Nondwelling Structures	\$565,100.00	\$565,100.00	\$565,100.00	\$565,100.00
13	1475 Nondwelling Equipment	\$15,000.00	\$9,912.16	\$9,912.16	\$0.00
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1498 Mod Used for Development				
19	1502 Contingency (May not to exceed 8% of line 20)				
20	Amount of Annual Grant (Sum of lines 2 - 19)	\$1,276,400.00	\$1,276,400.00	\$1,276,400.00	\$1,256,581.83
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Compliance				
23	Amount of line 20 Related to Security				
24	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director & Date:		Signature of public Housing Director/Office of Native American Programs Administrator & Date:			

1- To be completed for the Performance and Evaluation Report or a Revised Annual Statement

Development Number/Name HA-wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Fund Expended (2)	
PHA-Wide	Operations	1406						
	Operations			\$255,200.00	\$255,200.00	\$255,200.00	\$255,200.00	completed
	Total Account # 1406			\$255,200.00	\$255,200.00	\$255,200.00	\$255,200.00	
PHA Wide	Management Improvements	1408						
	Security, Training, Uniforms, Equipment			\$120,000.00	\$126,128.85	\$126,128.85	\$120,000.00	obligated
	Clerk Assistance (10%)			\$0.00	\$0.00	\$0.00	\$0.00	
	Management Training / Computers, Telephone			\$8,000.00	\$8,830.37	\$8,830.37	\$8,000.00	obligated
	Equipment / Travel / Utility Software			\$15,000.00	\$12,614.12	\$12,614.12	\$11,777.12	obligated
	Total Account # 1408			\$143,000.00	\$147,573.34	\$147,573.34	\$139,777.12	
	Administration	1410						
	Staff Time			\$113,995.00	\$113,995.00	\$113,995.00	\$113,995.00	completed
	Per Diem Account/CPA			\$105.00	\$105.00	\$105.00	\$105.00	completed
	Legal / Audit Fees			\$0.00	\$0.00	\$0.00	\$0.00	
	Total Account # 1410			\$114,100.00	\$114,100.00	\$114,100.00	\$114,100.00	
PHA Wide	Fees and Costs	1430						
	Sundry			\$4,574.58	\$8,574.58	\$8,574.58	\$8,574.58	completed
	Update Policies & Procedures			\$4,000.00	\$0.00	\$0.00	\$0.00	
	A/E Fees			\$160,681.92	\$169,343.92	\$169,343.92	\$167,234.13	obligated
	Soil Testing			\$4,743.50	\$4,743.50	\$4,743.50	\$4,743.50	completed
	Total Account # 1430			\$174,000.00	\$182,662.00	\$182,662.00	\$180,552.21	
	Dwelling Structures	1460						
NY42-6	Restore Exterior Concrete			10,000.00	1,852.50	1,852.50	1,852.50	completed
	Total Account # 1460			10,000.00	1,852.50	1,852.50	1,852.50	

Signature of Executive Director & Date:

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

X

X

1 To be Completed for the Performance and Evaluation Report or a Revised Annual Statement

2 To be Completed for the Performance Evaluation Report.

Development				Total Estimated Cost	Total Actual Cost	
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Annual Statement/Performance and Evaluation Report
 Capital Fund Program (CFP) PART III: Implementation Schedule
WHITE PLAINS HOUSING AUTHORITY
(CFP2002)

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

OMB Approval No. 2577-0157 (exp. 7/31/98)

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reason for revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
Operations	5/30/2004		5/3/2004	5/30/2006		9/17/2004	
Mgmt. Improv.	5/30/2004		5/3/2004	5/30/2006			
Administration PHA - Wide	5/30/2004		5/3/2004	5/30/2006		10/15/2004	
Fees & Costs PHA - Wide	5/30/2004		5/3/2004	5/30/2006			
Dwelling Structures	5/30/2004		5/3/2004	5/30/2006		12/3/2003	
Non-Dwelling Structures	5/30/2004		5/3/2004	5/30/2006		11/12/2004	
Non-Dwelling Equipment	5/30/2004		5/3/2004	5/30/2006			

Signature of Executive Director & Date:

X

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

X

1 To be Completed for the Performance and Evaluation Report or a Revised Annual Statement

2 To be Completed for the Performance and Evaluation Report.

HA Name: White Plains Housing Authority		Capital Fund Program: NY36P042501-03 2003			
Original Annual Statement Reserve for Disasters/Emergencies. X Performance and Evaluation Report for Program Year Ending: 9/30/2005		Revised Annual Statement/Revision Number____ Final Performance and Evaluation Report			
		TOTAL ESTIMATED COST		TOTAL ACTUAL COST (2)	
Line No.	Summary by Development Account	Original		Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not to exceed 20% of line 20)	\$175,000.00	\$175,000.00	\$175,000.00	\$175,000.00
3	1408 Management Improvements	\$40,000.00	\$40,792.91	\$40,792.91	\$40,792.91
4	1410 Administration	\$123,825.00	\$123,825.00	\$123,825.00	\$123,825.00
5	1411 Audit				
6	1415 Liquidated damages				
7	1430 Fees and Costs	\$182,000.00	\$49,277.95	\$49,277.95	\$49,277.95
8	1440 Site Acquisition				
9	1450 Site Improvements				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment - Nonexpandable				
12	1470 Nondwelling Structures	\$808,171.00	\$940,100.14	\$940,100.14	\$940,100.14
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1498 Mod Used for Development				
19	1502 Contingency (May not to exceed 8% of line 20)				
20	Amount of Annual Grant (Sum of lines 2 - 19)	\$1,328,996.00	\$1,328,996.00	\$1,328,996.00	\$1,328,996.00
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Compliance				
23	Amount of line 20 Related to Security				
24	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director & Date:		Signature of public Housing Director/Office of Native American Programs Administrator & Date:			

1- To be completed for the Performance and Evaluation Report or a Revised Annual Statement

2- To be completed for the Performance and Evaluation Report.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program (CFP) PART III: Implementation Schedule
WHITE PLAINS HOUSING AUTHORITY
(CFP2003)

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

OMB Approval No. 2577-0157 (exp. 7/31/98)

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reason for revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
Operations	1/30/2007			1/30/2008			
Administration PHA - Wide	1/30/2007			1/30/2008			
Fees & Costs PHA - Wide	1/30/2007			1/30/2008			
Dwelling Structures NY42-1/3/6	1/30/2007			1/30/2008			

Signature of Executive Director & Date:

X

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

X

1 To be Completed for the Performance and Evaluation Report or a Revised Annual Statement

2 To be Completed for the Performance and Evaluation Report.

HA Name: White Plains Housing Authority		Capital Fund Program: NY36P042502-03 2003-B			
Original Annual Statement Reserve for Disasters/Emergencies. X Performance and Evaluation Report for Program Year Ending: 9/30/2005		Revised Annual Statement/Revision Number ____ Final Performance and Evaluation Report			
		TOTAL ESTIMATED COST		TOTAL ACTUAL COST (2)	
Line No.	Summary by Development Account	Original	Revised (1)	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not to exceed 20% of line 20)	\$52,972.60	\$52,972.60	\$52,972.60	\$52,972.60
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated damages				
7	1430 Fees and Costs	\$30,000.00	\$30,000.00	\$30,000.00	\$21,461.25
8	1440 Site Acquisition				
9	1450 Site Improvements				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment - Nonexpandable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment	\$181,890.40	\$181,890.40	\$9,954.60	\$9,954.60
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1498 Mod Used for Development				
19	1502 Contingency (May not to exceed 8% of line 20)				
20	Amount of Annual Grant (Sum of lines 2 - 19)	\$264,863.00	\$264,863.00	\$92,927.20	\$84,388.45
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Compliance				
23	Amount of line 20 Related to Security				
24	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director & Date:		Signature of public Housing Director/Office of Native American Programs Administrator & Date:			

1- To be completed for the Performance and Evaluation Report or a Revised Annual Statement

2- To be completed for the Performance and Evaluation Report.

GENERAL PROVISIONS

1 Purpose

The purpose of these policies is to establish the basis for a system of personnel management based on merit principles and to facilitate effective and economical services to the public.

2 Authority

The Housing Authority of the City of Calexico retains the right to exercise customary managerial functions including the right to dismiss, assign, supervise and discipline employees; to determine and change starting time, quitting time, work days and work shifts; to transfer employees within their work unit or into other work units and other classifications; to determine and change the size of and qualifications of the work force; to establish, change and abolish its policies, practices, rules and regulations; to determine and change methods by which its operations are to be carried out; to contract and subcontract; to assign duties to employees in accordance with the needs and requirements determined by the Housing Authority of the City of Calexico, and to carry out all ordinary administrative functions.

3 Applicability

These policies govern personnel administration for all regular full-time and part-time employees of the Housing Authority of the City of Calexico, unless specified otherwise. Exceptions are:

- 3.1 Unclassified personnel.
- 3.2 Members of appointive boards, commissions, and committees.
- 3.3 Persons engaged under contract to supply expert, professional, or technical services.
- 3.4 Volunteer and temporary personnel.

4 Responsibilities

- 4.1 Regular employees of the Housing Authority of the City of Calexico may expect that:
 - 4.1.1 They will be fully informed of their duties and responsibilities.
 - 4.1.2 They will be provided with adequate administrative and supervisory direction.
 - 4.1.3 Their work performance will be regularly appraised and they will be encouraged and helped to improve their level of performance.
 - 4.1.4 They will be provided training, as needed, to ensure high quality of performance.

- 4.1.5 Their eligibility for promotion will be dependent on demonstrated merit and ability.
- 4.1.6 Their treatment in all aspects of personnel administration will be impartial and without regard to race, religious creed, color, ancestry, sex, age, marital status, pregnancy, childbirth or related medical condition, national origin, cancer-related medical condition, or disability, and with proper regard for their privacy and constitutional rights as citizens.
- 4.1.7 Mediocrity and incompetence will not be tolerated.
- 4.2 The Housing Authority of the City of Calexico may expect that its employees will:
 - 4.2.1 Provide faithful and effective performance.
 - 4.2.2 Respect proper protocol and the normal chain of command.
 - 4.2.3 Display proper personal conduct and continuing fitness for the position.
 - 4.2.4 Not abuse the rights, privileges, and benefits provided by employment with the Housing Authority.
 - 4.2.5 Display courtesy and respect to the public.
 - 4.2.6 Observe proper grooming and report for work in neat, clean and appropriate business attire.

5 Scope

The policies, procedures, and rules incorporated herein shall not preclude the development of operating policies, procedures, and rules within specific departments of the Housing Authority nor the development of personnel or administrative policies and procedures governing the implementation of these rules, policies, and procedures. The Housing Authority of the City of Calexico retains the right to modify, supplement, revise, or rescind any provision of this manual without notice, as it deems appropriate in its sole and absolute discretion.

FAIR EMPLOYMENT

11 Equal Employment Opportunity

It is the policy of the Housing Authority of the City of Calexico to employ, retain, promote, terminate, and otherwise treat all employees and job applicants on the basis of merit, qualifications, and competence. This policy shall be applied without regard to any individual's sex, race, color, ancestry, religious creed, national origin, pregnancy, childbirth or related medical condition, age, marital status, cancer-related medical condition, disabled or disability, so long as bona-fide occupational qualifications are met.

12 Affirmative Action

The Housing Authority of the City of Calexico recognizes that its commitment to equal employment opportunity entails the responsibility to ensure that every reasonable effort is made to obtain a proportional representation of minorities and women among Housing Authority employees by taking affirmative action to increase the representation of minorities and women in the Housing Authority workforce as appropriate. The Housing Authority's Affirmative Action Program is available under separate cover.

13 Policy Against Harassment

The Housing Authority of the City of Calexico is committed to providing a work environment that is free from discrimination. In keeping with this commitment, the Housing Authority maintains a strict policy prohibiting unlawful harassment, including sexual harassment. This policy applies to all Housing Authority agents and employees, including supervisors and non-supervisory employees. Furthermore, it prohibits harassment in any form, including verbal, physical, and visual harassment.

Sexual harassment includes, but is not limited to, making unwanted sexual advances and requests for sexual favors where either: (1) submission to such conduct is made an explicit or implicit term or condition of employment; (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or (3) such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment. Employees who violate this policy shall be subject to discipline.

Any employee who believes he or she has been harassed by a co-worker, supervisor, or agent of the Housing Authority should report the facts of the incident promptly to his/her supervisor, or in the alternative, to the Executive Director or his/her designee. Supervisors should immediately report any incidents of harassment to the Executive Director or his/her designee. The Executive Director will ensure that all such claims are promptly investigated and that appropriate disciplinary action is taken.

GENERAL RULES FOR HOUSING AUTHORITY EMPLOYEES

19 Political Activities

The political activities of Housing Authority employees are restricted by certain State and Federal laws. Employees of the Housing Authority shall obey all applicable laws.

Employees are specifically prohibited from engaging in political activities at any time while on duty, while wearing a Housing Authority uniform, or while on Housing Authority premises provided, however, that an employee may participate in public political meetings on Housing Authority property. Housing Authority employees may not use Housing Authority funds or equipment for the purpose of providing support or opposition to a candidate or a ballot measure. Housing Authority employees may not solicit political contributions from other Housing Authority employees nor from persons on eligible lists for Housing Authority jobs, except that they may solicit contributions from employees in connection with ballot issues affecting their wages, hours, and working conditions. Employees may make appeals to the public generally, even though this includes Housing Authority employees.

Nothing stated herein shall be construed as limiting any employee's right to vote, or freedom of reasonable expression or right of association, nor the exercise of any rights protected by the Constitution of the United States of America and the State of California.

20 Gifts and Gratuities

Employees of the Housing Authority of the City of Calexico are expected to provide the public with efficient and courteous service. Since such service is given impartially to all, the acceptance of gifts, money, or gratuities from any person or organization is discouraged.

21 Immigration Reform and Control Act Compliance

The Housing Authority of the City of Calexico is committed to full compliance with the federal immigration laws. These laws require that all individuals pass an employment verification procedure after they are hired. These procedures have been established by law. The law requires that within three days after commencing work, an employee must produce documents providing satisfactory evidence of his/her identity and authority to work in the United States or receipts showing application for acceptable documents. An employee who presents receipts showing application for acceptable documents must present within an additional eighteen days (twenty-one days after hire), documents establishing satisfactory proof of his/her identity and legal authority to work in the United States. An employee who cannot present such documents will be terminated. All new hires must go through this procedure.

22 Outside Employment

A Housing Authority employee shall not engage in any outside employment that is detrimental to, or in conflict with, his/her duties or service within the Housing Authority. Employees shall be subject to appropriate departmental policies and procedures affecting outside employment. The Executive Director and Department Heads shall have the right to promulgate policies and procedures affecting a department's employees with regard to this policy.

Regular employees of the Housing Authority must report outside employment to the appropriate Department Head. The Department Head, in coordination with the Executive Director, shall have the authority to determine if an employment conflict exists. That determination may be appeal by the employee to the Executive Director.

23 Nepotism

Employment of relatives in Housing Authority positions is restricted where (1) an employee would exercise a supervisory or evaluative role in relation to a relative; or (2) an employee is in a position to exert direct influence on the hiring, promotion, transfer, or performance evaluation of a relative; or (3) where potential problems of safety, security or morale exist.

23.1 For purposes of this policy, relatives include an employee's or Board of Commissioners member's parent, child, spouse, brother, sister, in-laws, and step relationships. "Spouse" includes persons who cohabit without benefit of a legal marriage contract.

23.2 If two employees marry or otherwise become related in a capacity specified in 23.1 above, and the potential problems noted above exist, only one of the employees will be permitted to remain in his/her current position. The Housing Authority will work with the employees to explore reasonable accommodations which can be made to eliminate the potential problems. The decision as to which employee will remain in his/her current position must be made by the two employees within 30 calendar days. If no decision has been made during this time, the Housing Authority has discretion to regulate the employment or transfer the relative and will take whatever action is necessary.

24 Smoking Policy

The Housing Authority of the City of Calexico is committed to providing a healthful and safe working environment for employees. In keeping with this commitment, smoking is permitted only in areas designated for that purpose.

25 Safety

- 25.1 The practice of accident prevention is one of the most important employee responsibilities. Knowing and applying safe working methods are fundamental parts of every job.
- 25.2 For their own protection, and in the interest of fellow workers and the public served, employees must learn and follow all established safety practices and avoid taking any chances that might result in injury. When in doubt, they should check with their supervisor. Any unsafe or hazardous condition must be reported directly to a supervisor immediately.

26 Reimbursement

- 26.1 Mileage
Employees who travel in their own vehicles on Housing Authority business are eligible for reimbursement at the rate established by the Housing Authority.
- 26.2 Other Expenses
Reimbursement for meals, lodging, and incidental expenses will be made to employees on approved travel for the Housing Authority of the City of Calexico.
- 26.3 Reimbursement ceilings and eligible expenses will be established by the Board of Commissioners upon recommendation by the Executive Director.

PERSONNEL ACTIONS

32 Employment

- 32.1 All vacancies for regular positions will be filled and recruitment procedures conducted in accordance with good personnel management practices and the principles of merit.
- 32.2 The Executive Director shall establish uniform procedures and methods for the selection of persons for employment, assignment, promotion, demotion, discharge, and other personnel actions. Evaluations of fitness shall be reasonable and practical in nature, including, but not limited to, one or more of the following:
 - 32.2.1 Written or oral tests.
 - 32.2.2 Performance tests.
 - 32.2.3 Rating of education, training, and experience.
 - 32.2.4 Professional certification.
 - 32.2.5 Physical examination, including screening for drugs and alcohol.
 - 32.2.6 Psychological examination.
- 32.3 The Executive Director may, however, exercise his/her discretion to implement the evaluation criteria appropriate to meet any particular situation or circumstance and to serve the best interests of the Housing Authority of the City of Calexico.
- 32.4 Vacancies for part-time or hourly positions may be filled without using the recruitment and selection procedures required for regular full time positions. Determination of the appropriate methods and procedures for filling part-time or hourly vacancies will be made by the Executive Director.

33 Classification Plan

- 33.1 The purpose of the classification plan is to ensure each position is allocated to the appropriate class.
- 33.2 All positions in the Housing Authority are grouped into classes. Each class includes those positions sufficiently similar in duties and responsibilities to require similar education, experience, knowledge, skills, abilities, and personal characteristics; and are sufficiently alike to permit use of a single descriptive title, the same qualification requirements and the same test for competence.
- 33.3 The Executive Director will ensure the preparation and maintenance of class specifications covering all positions, the allocation of positions to the appropriate classification, and the revision of the classification plan when appropriate.
- 33.4 Re-classification
 - 33.4.1 The Executive Director shall ensure the periodic review of the classification plan.
 - 33.4.2 When the Housing Authority has assigned duties to a position which has caused material changes to duties and responsibilities of that position, the Executive Director shall recommend the allocation of the position to a more appropriate class.
 - 33.4.2.1 Duties voluntarily assumed by an employee will not be cause for reclassification.
 - 33.4.3 Incumbents may or may not be reclassified with their positions, based upon the recommendation of the appropriate Department Head, in coordination with and approval of the Executive Director.
 - 33.4.4 An employee holding a regular position may request a classification review for the purposes of reclassification. Such requests will be reviewed by the Executive Director or his/her designee at a designated time period.

34 Appointments

34.1 Full-time Employees

A regular appointment is one established on a permanent, continuous basis, works minimum (or equivalent to forty (40) hours per week, fifty-two (52) weeks per year, less earned vacation and sick leave benefits and is entitled to all fringe benefits provided by the Housing Authority of the City of Calexico.

34.1.1 Introductory: All appointments made to a vacant regular position, whether initial or promotional, shall be considered introductory for six (6) months.

34.1.1.1A introductory employee must demonstrate satisfactory performance in order to achieve permanent status.

34.1.1.2 If an employee is granted a leave of absence during a introductory period, the time on leave shall not be considered in determining the fulfillment of required introductory service.

34.1.1.3 An employee on introductory status may be suspended without pay, demoted or dismissed by the Housing Authority at any time, with cause.

34.1.1.4 Service in any type of appointment other than regular shall not constitute service towards fulfillment of the introductory period of a regular appointment.

34.1.1.5 Former employees who are rehired and appointed to regular positions will serve the introductory period appropriate for the position.

34.1.1.6 Employees promoted to a higher position who do not demonstrate satisfactory performance in order to achieve regular status in that position, will have the right to return to the previous position they held before the promotion took place.

34.1.2 Regular: Status achieved after serving the required introductory period in a satisfactory manner.

34.1.2.1 Regular status may not be granted to any employee whose services have not been rated as meeting Housing Authority standards.

34.2 Temporary Employees

A temporary employee is one established to meet staffing requirements of short-term duration such as extra workloads, vacation relief, paid sick leave or other situations requiring short-term fluctuating staff needs.

34.2.1 Temporary Employees will not be entitled to the benefits granted regular employees.

34.2.2 Time spent in temporary status shall not be considered as service towards fulfillment of the introductory period of a regular appointment.

34.2.3 Persons in temporary status will be paid an hourly rate established by the Executive Director, which will not exceed the rate established for comparable full-time positions.

34.2.4 Temporary position may be established by the Executive Director when deemed essential to the work program.

34.3 Regular Part-time Employees

A regular part-time employee is an employee who works less than the standard work week. Vacation and sick leave can be used only after the initial six (6) months of service. Prorated benefits will be determined by the average number of hours worked in proportion to full-time positions. Regular part-time employees will be paid for Holidays that fall on regularly scheduled workdays for that employee. Employees who can set their own schedules each week will not be paid for Holidays. Further, all regular part-time employees over 18 years of age working more than 1,040 hours per year must participate in the pension plan. An employee designated as regular part-time shall receive no other fringe benefits except those fringe benefits expressly required by law.

34.4 Emergency Employees:

A temporary part-time employee who is hired at an hourly rate for a period of time not to exceed nine (9) months in any given calendar year to perform a job that is needed to alleviate an emergency situation. An employee hired in this manner is compensated at an hourly rate for the actual number of hours worked and receives no fringe benefits of any kind.

35 Promotions

35.1 Positions may be filled by promotion from within or on an open competitive basis. Determination of the method of selection shall be made by the Executive Director.

35.2 Employees are encouraged to apply for promotional vacancies.

35.3 Final selection of an applicant for any position will be in accordance with established procedures.

36 Demotions

- 36.1 No employee shall demoted to a position for which he/she does not possess the minimum qualifications.
- 36.2 Voluntary Demotion
 - 36.2.1 A voluntary demotion may occur following a request by an employee and, upon the recommendation of the appropriate Department Head and upon the recommendation of the appropriate department.
- 36.3 Voluntary Demotion Due to Lack of Work or Lack of Funds
 - 36.3.1 An employee may be offered a demotion in lieu of layoff for lack of work or lack of funds, provided a position is available.
- 36.4 Demotion for Reasons other than Lack of Work or Lack of Funds
 - 36.4.1 The Housing Authority may demote an employee for reasons other than lack of work or lack of funds.
 - 36.4.1.1 An employee serving his/her introductory period may be demoted at any time, with or without cause, and without right of appeal.
 - 36.4.1.2 If an employee has gained regular status, a demotion will be enacted in accordance with established procedures, which will include right of appeal.
 - 36.4.1.3 A demoted employee will be placed at the salary step of the appropriate salary range that does not provide an increase in salary. A demoted employee will retain his/her anniversary date for purposes of salary review.

37 Transfers

- 37.1 Transfers are available to enhance employees' career advancement and growth possibilities. Transfers may either be voluntary (employee-initiated) or involuntary (Housing Authority-initiated) and will be approved when considered to be in the best interests of the Housing Authority.
- 37.2 A transferred employee shall retain his/her rate of pay and his/her anniversary date for purposes of salary review.
- 37.3 An employee will not be transferred to a position for which he/she does not possess the minimum qualifications.
- 37.4 All transfer requests will be reviewed by the Executive Director and all transfers are subject to the approval of the Executive Director.
- 37.4.1 A transfer request must be approved by the Department Head of the employee's current department. If the transfer involves a change from one department to another, both Department Heads must agree to the transfer unless the Executive Director directs the transfer for purposes of economy and efficiency.
- 37.5 A transferred employee will be required to satisfactorily complete a new introductory period in the position to which he/she is transferred. Failure to satisfactorily complete the new introductory period will be grounds for dismissal from the new position.
- 37.6 Voluntary Transfers
- To be eligible for a voluntary transfer, an employee must meet the following conditions:
- 37.6.1 If the minimum qualifications are substantially different from an employee's current or previous classification, the employee requesting the transfer shall be required to demonstrate his/her eligibility for employment in the position under consideration.
- 37.6.2 An employee must be in good standing, with a performance rating of satisfactory or better. A written warning received in the six-month period preceding the transfer request will constitute unsatisfactory job performance for purposes of this policy.

37.6.3 The employee must possess the minimum qualifications required for the position to which a transfer is sought.

37.6.3.1 If the minimum qualifications are substantially different from an employee's current or previous classification, the employee requesting the transfer shall be required to demonstrate his/her eligibility for employment in the position under consideration.

37.6.4 The employee must have completed a minimum of six months of active service in his/her present job.

38 Separation From Employment

38.1 Employee-initiated

38.1.1 An employee wishing to leave in good understanding will submit a written resignation on the appropriate Housing Authority form to his/her supervisor at least two weeks prior to the effective date of such resignation.

38.1.2 Absence without leave, whether voluntary or involuntary, for three consecutive days, shall be construed as an automatic resignation from employment, effective as of the last date the employee worked.

38.2 Housing Authority-initiated

38.2.1 Housing Authority-initiated terminations of regular employees shall be subject to the disciplinary provisions of these policies.

38.2.2 Employees other than those assigned to regular positions may be terminated at any time.

38.2.3 The Executive Director may terminate the employment of any employee, whether introductory, regular, temporary, or otherwise, for lack of funds or lack of work, or by reason of termination of the position or termination of the program to which the position is assigned.

38.3 Exit Interviews

It is the policy of the Housing Authority of the City of Calexico to hold an exit interview with departing employees. The purpose of this interview will be to allow employees to communicate their views on their work with the Housing Authority and the job requirements, operations, and training needs. It also provides the employee an opportunity to discuss issues concerning benefits and insurance.

38.4 Return of Housing Authority Property

Employees are expected to return all Housing Authority property in their possession or control on their final day of employment. This includes Housing Authority-furnished uniforms, tools, and equipment.

39 Layoffs

39.1 Order of Layoff

39.1.1 Except as otherwise provided in an applicable Memorandum of Understanding, when a reduction in the work force is necessary, employees shall be laid off in an order based on consideration of:

39.1.1.1 Employment status;

39.1.1.2 Past performance;

38.1.1.3 Seniority.

39.1.2 This procedure shall not apply to a temporary layoff of less than four (4) consecutive weeks.

38.2 Seniority Defined

38.2.1 Seniority will be calculated on time served in present classification plus time served in higher classifications. Length of service in lower classifications will not be considered in seniority calculations for the purpose of layoff.

38.3 Notification of Employees

Written notice giving the date and reason for the layoff shall be given to an employee or sent by registered or certified mail to the last known mailing address at least fourteen (14) calendar days prior to the effective date of the layoff.

38.2.1 When appropriate, the notification provisions of the Worker Adjustment Retraining and Notification (WARN) Act will be applied.

38.4 Status on Re-employment

An employee who has been laid off and re-employed in a regular position within one (1) year from the date of his/her layoff shall receive the following considerations and benefits:

39.1.3 All sick leave credited to the employee's account when laid off shall be restored.

39.1.4 All prior service shall be credited for purpose of determining vacation earning rate and service awards.

39.1.5 The employee shall be placed in the salary range as if he had been on a leave of absence without pay.

39.1.6 The introductory status of the employee shall be as if he had been on a leave of absence without pay except that a six (6) month introductory period shall be required if re-employment is in an occupation different than that employed in at the time of layoff.

WORK SCHEDULES

46 Work Week and Working Hours

- 46.1 Except as otherwise provided, the official work week or all employees shall consist of 40 hours commencing at 12:01 a.m. on Monday and ending at 12:00 midnight the following Sunday.
- 46.2 Employees shall be notified of their specific work hours at the time of initial appointment or appointment to a new position within the Housing Authority service.
- 46.3 Changes in work days, working hours, reporting times, or shifts may be made by the Executive Director or his/her designee whenever it is appropriate in the best interest of the Housing Authority. Schedule changes will be communicated to affected employees as soon as practical and prior to the change in schedule.

47 Exempt/Non-Exempt Status

- 47.1 Non-exempt employees include all regular full time, part time hourly, or temporary employees who are covered by the overtime provisions of the Federal Fair Labor Standards Act. Employees in this category are entitled to premium pay at the rate of one and one-half times their regular hourly rate for all hours worked in excess of their regular work shift in a workweek in accordance with Section 50.3.
- 47.2 Exempt employees include all regular full time, part time, or temporary employees whose positions are determined to be exempt from the overtime provisions of the Federal Fair Labor Standards Act. Such employees serve in positions designated as exempt executive, administrative, or professional positions.
- 47.3 If it is determined by the Executive Director to be in the best interests of the Housing Authority, non-exempt employees may be compensated for overtime work by granting compensatory time off (CTO) at the rate of one and one-half hours earned for each overtime hour worked.
- 47.4 Exempt employees will not be eligible for overtime pay or compensatory time off (CTO).
- 47.5 Employees will be notified of the exempt or non-exempt status of the positions to which they are appointed at the time of appointment.

48 Time Cards

48.1 All non-exempt employees are required to complete a time card to record daily time worked during each pay period. Each time card is to be completed to provide an accurate record of hours worked, meal periods, overtime, absences and vacations.

48.1.1 Employees should record the time they begin and end work each day, the beginning and end of each meal period, and the beginning and end of any split shift.

48.2 No employee may complete a time card for another employee. Such an offense may result in disciplinary action, up to and including dismissal.

49 Rest Periods

- 49.1 Each nonexempt employee is provided a fifteen (15) minute rest period during each four (4) hours of work.
- 49.2 Rest periods are scheduled by each employee's supervisor to ensure that the employee's position and duties will be covered during periods of rest.
 - 49.2.1 Rest periods may be combined or added to an employee's lunch break in accordance with the Employee's Union Memorandum of Understanding.
 - 49.2.2 Rest periods are to be scheduled approximately in the middle of each four (4) hour shift and may not be taken within one (1) hour of the beginning or ending of the four (4) hour shift.
- 49.3 Employees may not leave work premises during a paid rest period without special permission from the appropriate supervisor. Employees are free to leave work premises during an unpaid meal period.
- 49.4 Since rest periods are intended to provide employees with an opportunity for rest and relaxation, they should be taken away from the employee's work area. Employees are not permitted to perform any duties during such periods.

50 Overtime

- 50.1 Employees are expected to work reasonable amounts of overtime according to the Housing Authority's needs.
- 50.2 All overtime work by a non-exempt employee must be approved in advance by the employee's supervisor.
- 50.3 All non-exempt employees not assigned to a regular shift of more than 40 hours per week will be compensated for overtime work in accordance with the Fair Labor Standards Act for all hours worked in excess of 40 hours in each work week.
 - 50.3.1 For purposes of this section, hours worked includes holidays and vacation time. It does not include hours away from work due to sickness even when these hours are in paid status. Unpaid sick leave, personal leave, or any other time away from work is also not considered hours worked.
- 50.4 The Housing Authority may compensate eligible employees for overtime work with Compensatory Time Off (CTO). CTO may be accumulated to a maximum of 240 hours, representing 160 hours of overtime worked.
- 50.5 CTO that has been earned but not taken will be paid to the employee upon termination of employment.
- 50.6 The Housing Authority may require an employee to schedule time off in order to use accrued CTO. Time off will be scheduled at the Housing Authority's discretion with due regard for the employee's convenience and the Housing Authority's work requirements.

51 Attendance and Punctuality

- 51.1 Punctual and consistent attendance is a condition of employment. It is the employee's responsibility to be at work as scheduled, to arrange his/her personal schedule to meet established working hours, and to notify his/her supervisor as early as possible if he/she expects to be absent or tardy.
- 51.2 An employee is expected to be at his/her work station, ready to begin work, at the beginning of his/her assigned shift.
- 51.3 An employee who is absent for three consecutive days without permission and without notification to his/her supervisor will be considered to have voluntarily terminated from employment with the Housing Authority.
- 51.4 If it becomes necessary for an employee to leave his/her work location or work premises during working hours, he/she must obtain permission to leave from his/her supervisor prior to leaving. Leaving the work location or premises without permission may be cause for disciplinary action.

EMPLOYEE DEVELOPMENT

57 Training and Orientation

57.1 Orientation

A new employee will be scheduled for an orientation program in order to receive an introduction to Housing Authority employment, including its history, its operations, its personnel policies, and a review of employee benefits. During this period, employees are also asked to complete new-hire paper work. In addition, employees will receive orientation to their Department and Division procedures.

57.2 Training

57.2.1 It is the policy of the Housing Authority to encourage and promote training and education opportunities for all Housing Authority employees to the end that the services they render to the Housing Authority may be made more effective. The Executive Director and Department Heads shall establish such procedures as they deem appropriate to assist in the implementation of this policy.

57.2.2 Introductory employees will receive instruction in the policies, procedures, and equipment use necessary to perform their job effectively.

57.2.3 Training periods may be conducted either during or after normal working hours. Training sessions conducted during normal working hours shall be arranged so as to minimize interference with scheduled work.

57.2.3.1 Non-exempt employees who are required by the Housing Authority to attend in-service or out-service training programs which are scheduled outside the normal working hours will be compensated for the hours of attendance at the program at the appropriate hourly rate. Employees will not be compensated for attendance at elective out-service training programs which are scheduled outside normal working hours.

57.2.4 The following categories of training are recognized for the employees of the Housing Authority of the City of Calexico:

57.2.4.1 In-Service Training

Any formal employee training or development program that is sponsored by the Housing Authority. Such programs are designed and conducted to meet job related needs of Housing Authority employees.

57.2.4.2 Out-Service Training

Any formal employee training or development program that is sponsored and conducted by any agency or organization other than the Housing Authority. Conferences and seminars that are conducted primarily for training and educational development purposes are considered out-service training.

57.2.4.2.1 Job Related

Out-Service Training Job-related out-service training is directly related to improving the employee's performance of present duties and is required by the Housing Authority.

57.2.4.2.2 Elective Out-Service

Training Elective out-service training is taken at the discretion of the employee to improve the employee's eligibility for career advancement or for personal growth. It is not required by the Housing Authority but is intended for the direct future benefit of the Housing Authority.

57.2.5 Payment of Training Expenses

57.2.5.1 Approval of Department Head

No job-related out-service training may be taken, nor will any expenses be paid for out-service training, without the prior approval of the Department Head and the Executive Director.

57.2.5.2 Job-Related Out-Service Training

The employee shall receive his/her regular salary when attending job related out-service training during his/her regular work shift and may be reimbursed for tuition, travel, meals, and lodging at established rates set by the Board of Commissioners, when such training is required by the Housing Authority.

57.2.5.3 Elective Out-Service Training

When an employee desires to participate in elective, career-oriented, out-service training, the Department Head may, within budgetary limits and in accordance with Housing Authority policies and the appropriate Memorandum of Understanding, authorize the payment of regular salary and reimbursement for tuition, travel, meals, and lodging.

57.2.5.4 Uncompleted Assignment

An employee who does not satisfactorily complete an out-service training assignment according to standards determined by the Department Head is not eligible for reimbursement of tuition and other necessary expenses and shall return any advance payment received.

An employee who does not complete approved job-related training may also be subject to disciplinary action as provided in these policies.

58 Educational Reimbursement

- 58.1 The Housing Authority encourages its employees to continue job-related training and education. Regular full-time employees are eligible for reimbursement for tuition, books, and related fees for completion of approved post-high school education provided that:
 - 58.1.1 The course is given by an accredited college or vocational school
 - 58.1.2 The employee has received advance written approval for reimbursement from his/her Department Head and the Executive Director
 - 58.1.3 The employee passes the course with a grade of "C" or better.
- 58.2 In accordance with IRS Code Section 127, reimbursement for post-graduate college education will be considered taxable income to the employee.
- 58.3 Reimbursement for expenses may not exceed the amount allowed per employee as established by the Housing Authority in coordination with the appropriate bargaining representative.

59 Performance Reviews

- 59.1 The system of performance reviews will be established by the Executive Director.
 - 59.1.1 The system will establish standards of performance and will be used to measure an employee's work performance.
 - 59.1.2 Performance reviews shall be considered in personnel actions such as promotions, salary increases, gaining regular status, demotion, suspension, dismissal, and other disciplinary actions.
- 59.2 Formal performance reviews shall be held at regular intervals and shall be in a format designated by the Housing Authority. A copy of the review will be provided the employee and one copy shall be placed in the employee's personnel file.
- 59.3 Regular full-time and part-time employees shall be formally reviewed annually on the end of the fiscal year.
- 59.4 Nothing in this section shall preclude the Housing Authority from holding a performance review at more frequent intervals than that regularly established.
- 59.5 The performance review is not subject to the grievance procedure. An employee who disagrees with his/her review may file a written statement of his/her objections, and the reasons therefore, which will be attached to the review and placed in the employee's personnel file.

PERSONNEL RECORDS

64 Personnel Records

64.1 Official Records

The Executive Director is the custodian of all official personnel records necessary to complete personnel transactions and to serve as reference for Housing Authority Officials. The Executive Director shall maintain records showing administrative actions including records of employment history of each employee, performance evaluation records, and related files and correspondence.

64.2 In accordance with the provisions of the Fair Labor Standards Act, the Executive Director shall prepare, maintain, and preserve records on the wages, hours, and other conditions and practices of employment of all Housing Authority employees.

64.3 The Executive Director and each Department Head shall be jointly responsible for maintaining all other records related to Housing Authority payroll and Housing Authority employees required by the various Federal and State regulations.

64.4 All records maintained pursuant to this policy shall be preserved for a minimum of three years.

65 Privacy of Personnel Records

- 65.1 The Executive Director shall maintain a file that will contain all official records and documents pertinent to the employment status and history of each employee.
- 65.2 The confidential information contained in an employee's personnel files will not be revealed to outside sources except as required by law, or with the consent of the employee.
- 65.2.1 The information listed below is a matter of public record and available to anyone. The Executive Director has the authority to release such information regarding an employee or ex-employee in response to outside inquiries:
- 65.2.1.1 Employee's name
 - 65.2.1.2 Classification title and department
 - 65.2.1.3 Status (e.g., regular, temporary, full-time, part-time)
 - 65.2.1.4 Salary range and actual rate
 - 65.2.1.5 Hire date and/or termination date.
- 65.2.2 Letters of recommendation or reference generally will not be given to employees upon separation of service. The Housing Authority will respond to written requests for information concerning an individual's work performance with the written consent of the employee or former employee.
- 65.3 An employee, his/her immediate supervisor and/or Department Head, or his/her representative with written consent of the employee, may inspect his/her personnel file in the Personnel Office at any time during the normal working hours of the Executive Director's office. Upon request, the employee shall receive a copy of any materials in the personnel file provided that the cost for such copies is paid by the employee.
- 65.3.1 Employees may request a review of their personnel records no more than once annually unless they are in the process of appealing a personnel action taken by the Housing Authority.
- 65.3.2 Requests for review of personnel records must be made in writing by the employee at least one working day in advance of the requested review date.
- 65.4 An employee shall be furnished a copy of any statement written for inclusion in the employee's personnel file concerning the employee's conduct or performance. An employee shall have a right to have a response or rebuttal to any statement or evaluation inserted in his/her personnel file.

COMPENSATION AND BENEFITS

70 Compensation Plan

The purpose of the compensation plan is to provide equitable and adequate compensation for all employees.

- 70.1 The compensation plan includes, for each classification, a minimum and maximum salary rate and such intermediate rates as are considered necessary, as well as supplemental retirement, insurance, and related fringe benefit provisions. Flat rates may be used instead of salary ranges where appropriate. The rate or pay range assigned to each class shall reflect fairly the differences in the duties and responsibilities among classes, and will take into account rates paid by other public employers for comparable work, the Housing Authority's compensation policies and financial condition, unusual problems of recruitment and turnover, and other relevant factors. Each job class shall be assigned a salary range or flat rate by the Board of Commissioners upon recommendation of the Executive Director.
- 70.2 Each salary range (except those established as a flat rate) will be divided into five (5) salary level steps, which shall be interpreted and applied as follows:
- 70.2.1 First Step. The first step salary level will be the minimum rate and shall be the hiring rate. In special cases, when it is merited by experience, education, training or other qualification, the Housing Authority may approve the hiring of a candidate for employment at a higher level.
- 70.2.2 Second Step. The second step salary level may be granted to an employee after completion of thirteen (13) pay periods of service during the introductory period. This second step must be granted prior to, or at the time of, satisfactory completion of the original introductory period.
- 70.2.3 Third Step. The third step salary level may be granted to an employee who has completed an additional twenty-six (26) pay periods of service from the granting of the previous salary step increase, and who meets the job performance standards required for his/her classification.
- 70.2.4 Fourth Step. The fourth step salary level may be granted to an employee who has completed an additional twenty-six (26) pay periods of service from the granting of the previous salary step increase, and who meets the job performance standards required for his/her classification.
- 70.2.5 Fifth Step. The fifth step salary level may be granted to an employee who has completed twenty-six (26) additional pay periods of service from the granting of the previous salary step increase, and who meets the job performance standards required for his/her classification.

70.3 Salary Plan Administration

70.3.1 Employees shall be compensated on a biweekly basis providing for twenty-six (26) pay periods in a calendar year.

70.3.2 An employee will not receive compensation of any type while on leave of absence without pay or while absent from duty without official leave.

70.3.3 The Housing Authority may accelerate salary step advancement for individual employees at its discretion.

70.3.4 If the salary range for a particular job classification is either increased or decreased, all employees within that classification shall be placed on the nearest step in the new salary range that is of equal dollar value or, if no step in the new range is of equal dollar value, the next higher step than the step to which he/she is assigned to in the old salary range.

70.4 Salary Review Date

70.4.1 The Salary Review Date shall be the date on which an employee is to receive a performance evaluation in accordance with the salary step plan and/or the introductory period. Any change in an employee's job classification, except by virtue of a reclassification, shall be considered as an appointment which establishes a new Salary Review Date.

70.4.2 A leave of absence for any purpose other than military leave will change the date an employee is eligible for consideration for an initial or any subsequent step increase. A disciplinary suspension will likewise change the step increase review date. For either case, the date will be equivalently extended, on a day-for-day basis, to reflect the leave or suspension.

70.5 Working Out of Class (Acting Appointments)

The Housing Authority may, at its discretion, appoint an employee to an acting capacity in a job classification different from that currently held by the employee.

70.5.1 An employee who is temporarily assigned to a position in a higher classification for a period of more than five (5) consecutive working days shall be paid at the lowest rate within the range for the higher level class that provides at least a 5% increase but that does not exceed the top of the range for the higher class.

70.5.2 Salary differentials for acting appointments for all other Housing Authority employees may be granted at the Housing Authority's discretion.

70.5.3 The maximum length of an acting appointment is dependent on the provisions of the Memorandum of Understanding negotiated by recognized employee representatives.

- 70.6 Entrance Salary
An employee is appointed at the minimum rate for the class, except when the Executive Director determines it is necessary to make an appointment above the minimum rate (see Section 70.2.1 above).
- 70.7 Promotional Increases
The salary of a promoted employee shall be set at the higher of the rate established as the entrance salary of the position or an amount that will constitute a salary increase equivalent to one (1) salary step in the employee's pre-promotional classification, except where the increase would place the employee above the top of the appropriate salary range. In that case, the employee will be placed at the top of the range for the new class.
- 70.8 Salary upon Reclassification
An employee who is reclassified due to a material change in job duties and responsibilities, in accordance with Section 33.4, shall be placed on the step in the new salary range which is equal to or next higher than the employee's current salary. If the increase would place the employee above the top of the appropriate salary range, the employee will be placed at the top of the new salary range.
- 70.9 Salary on Reduction in Class
- 70.9.1 Demotion for Disciplinary Purposes
- 70.9.1.1 An employee demoted for disciplinary reasons shall be placed at any step in the lower class that is equivalent to a decrease of at least one (1) salary step in the pre-demotional classification.
- 70.9.1.2 An employee demoted for disciplinary reasons shall not receive a salary that exceeds the maximum salary step for the new classification.
- 70.9.1.3 A new step increase eligibility date will be established, which shall be on the first day of the pay period following the completion of 26 pay periods, subject to the extensions specified in 70.4.2 above.
- 70.9.2 Demotion Due to Reasons Other than Disciplinary
- 70.9.2.1 An employee in good standing may be demoted to a position in a lower class for reasons including, but not limited to, medical disability, lack of work, or lack of funds.
- 70.9.2.2 If such a demotion occurs, a regular non-introductory employee will be placed at the highest place in the new range that does not exceed his/her rate of pay immediately prior to the demotion and shall retain his/her step increase eligibility date.

70.9.2.3 An introductory employee in good standing who is demoted to a class not previously occupied by him/her will receive the entrance salary of the lower class and his/her step increase eligibility date will be established by the Executive Director.

70.9.2.4 A promotional introductory employee who is demoted to a class he/she formerly occupied in good standing shall be reinstated to the place on the salary range, the step increase eligibility date, and introductory or regular status he/she would have achieved if he/she had remained in the lower class.

70.10 Y-Rating

The Housing Authority may, at its discretion, Y-rate any employee in the Housing Authority service. Such action shall not take effect until any employee has had sixty (60) calendar days advance notice. Upon request, the Housing Authority shall meet with the employee and/or the employee's representative concerning the impact of the Housing Authority's decision to apply a Y-rate.

70.10.1 Y-rating shall mean the salary range for the affected employee shall remain the same until the employee's salary range equals or exceeds the Y-rating level.

70.11 On-Call (Standby) Pay

70.11.1 On-Call or Standby duty may be assigned by the Department Head or his/her designee with the approval of the Executive Director.

70.11.2 On-Call duty requires the employee so assigned to:

70.11.2.1 Be ready to respond immediately to calls for his/her service;

70.11.2.2 Be reachable by telephone;

70.11.2.3 Remain within a specified distance from his/her work station; and

70.11.2.4 Refrain from activities that might impair his/her ability to perform his/her assigned duties.

70.11.3 The employee will be compensated as provided in the appropriate Memorandum of Understanding.

70.12 Payroll Deductions

70.12.1 The Housing Authority will deduct from an employee's pay the applicable state and federal income taxes and other deductions required by law. The Housing Authority may provide opportunities for voluntary payroll deductions which may be made from an employee's paycheck with the employee's written permission.

70.12.2 Each employee is required to complete a withholding exemption certificate at the time of hire. Any material change in the information reported on this certificate, such as change in marital status, must be reported to the Housing Authority immediately.

71 Health and Welfare Plans

71.1 The Housing Authority will maintain group health and welfare plans for all eligible employees.

71.1.1 Eligible employees include all regular full time employees and all employees serving in positions designated as "unclassified positions."

71.2 Employees may be asked to share in the cost of such plans.

71.3 The Housing Authority reserves the right to change carriers, modify covered benefits, or make any other changes to group insurance plans as necessary to serve the best interests of the Housing Authority, subject to the Meet and Confer provisions of Government Code 3500.

71.4 COBRA Rights

71.4.1 Employees will be notified of their rights to retain coverage in the Housing Authority's plans at their own cost when eligibility for participation in Housing Authority plans ceases.

72 Holidays

- 72.1 Housing Authority Offices will be closed in recognition of certain holidays each year, as may be required by law, specified by the Housing Authority, or pursuant to a binding MOU with employee organizations.

- 72.2 The Housing Authority will recognize as a holiday any day appointed by the President or the Governor as a public holiday.

- 72.3 When holiday falls on Sunday, the following Monday shall be observed, and when a holiday falls on Saturday, the preceding Friday shall be observed.

73 Vacation

- 73.1 All full time employees shall earn annual vacation leave at a rate agreed upon with the appropriate recognized employee association and specified in the Memorandum of Understanding for their classification.
- 73.2 Vacation benefits are not earned during any period of an unpaid leave of absence, or for any time worked beyond the employee's regular shift assignment in a pay period.
- 73.3 Eligible employees will accrue vacation from date of hire but may not take accrued vacation until the completion of six consecutive months of employment.
 - 73.3.1 Vacation benefits can be used at any time after the completion of six consecutive months of employment with advance written approval of employee's supervisor. The approval of vacation schedules will be arranged considering both the desire of the employee and the department workload. The Housing Authority will try to accommodate each employee's choice, but the Housing Authority must reserve the right to schedule vacations in such a way as to meet its operational needs.
- 73.4 Employees are encouraged to use all earned vacation each year. Unused vacation benefits may be carried forward from one year to the next to a maximum amount specified in the appropriate Memorandum of Understanding.
- 73.5 Employees who terminate employment with the Housing Authority, either voluntarily or involuntarily, will be paid for all accrued but unused vacation, prorated on an hourly basis, on their final day of employment.
- 73.6 Housing Authority employees shall not be permitted to work for compensation for the Housing Authority in any capacity during any paid vacation except during emergencies as determined by the Executive Director.

74 Sick Leave

- 74.1 Regular full-time employees, both introductory and regular, are eligible to earn paid sick leave from date of appointment into a regular position; however sick leave cannot be used until the completion of six full calendar months of employment. All employees shall be entitled to accumulate sick leave at the accumulation rate of one (1) working day per calendar month of employment.
- 74.2 Sick leave is defined as leave from duty which may be granted by the Housing Authority to an employee because of illness, injury, exposure to contagious disease, illness or injury requiring the employee's attendance on a member of the employee's immediate family, and medical, dental and optical appointments to the extent that such appointments are scheduled to create the least disruption in the work day.
- 74.2.1 For purposes of this section, an employee's immediate family shall consist of the employee's spouse or children; the employee's or spouse's mother, father, brother, sister, grandchildren or grandparents or other members of the employee's family residing the employee's home; or other members of the employee's family primarily dependent upon the employee.
- 74.3 Sick leave benefits will not be earned or granted during any Housing Authority-authorized unpaid leave of absence; during an absence from duty not authorized by the Housing Authority; or after separation from Housing Authority service.
- 74.4 Sick leave may not be used to extend an employee's vacation.
- 74.5 Any employee who is absent from work must report his/her absence to his/her immediate supervisor before or within one hour after the scheduled work time each day of absence. In the case of prolonged periods of absence due to serious illness, employees may arrange, at the discretion of their immediate supervisor, to report less frequently.
- 74.6 The Housing Authority reserves the right to require a satisfactory statement of a licensed physician whenever an employee misses work due to an illness, injury or disability. The employee may be asked to provide a physician's statement that verifies the nature of an illness, injury or disability, its beginning and ending dates, and/or the employee's ability to return to work without endangering his/her safety or the safety of others.
- 74.6.1 Normally, a statement will not be requested for absences of three days or less, but the Housing Authority may request such a statement in situations where it deems it is warranted.
- 74.6.2 Such verifications and releases, when requested, may be a condition of receiving sick leave benefits or returning to work.

75 Bereavement Leave

- 75.1 Employees may be granted leave with pay when a death occurs in the employee's immediate family or household.
- 75.2 This leave is ordinarily to a maximum amount of three (3) consecutive days. However, where circumstances warrant, the Department Head may authorize a longer period of leave with pay, not to exceed five (5) working days subject to the approval of the Executive Director.
- 75.3 Leave with pay for a funeral for other than an immediate family and/or household member may be approved at the discretion of the Executive Director. The type of leave (sick leave or administrative leave) and the amount of leave authorized will be decided by the Executive Director.
- 75.4 Employees who take time off for a funeral in a situation not covered above shall be considered on a leave of absence without pay unless the employee elects to take vacation time.

LEAVES OF ABSENCE

82 General Policy

- 82.1 It is the Housing Authority's policy to grant leaves of absence to all eligible employees on a non-discriminatory basis. Leaves of absence will be considered in cases of medical disabilities, for cases of personal emergency, for educational purposes, or for military duty, jury duty, or witness duty. Unless specifically provided otherwise, all leaves of absence are available only on an unpaid basis.
- 82.2 All regular full-time and part-time employees may request for a leave of absence once they have completed their introductory period. In addition, such employees are eligible for a leave of absence before completing their introductory period where required by state or federal law. For example, unpaid leaves of absence may be granted to introductory employees for work-related disabilities, pregnancy-related disability, or military duty. If an employee is out for an extended period during his/her introductory period, the introductory period will be extended by the exact number of days that he/she is out.
- 82.3 Subject to any applicable legal restrictions, requests for leaves of absence will be considered on the basis of the employee's length of service, performance, responsibility level, the reason for the request, and the Housing Authority's ability to obtain a satisfactory replacement during the time the employee would be away from work. If an employee accepts other employment or fails to return to work on the next regularly scheduled work day following the expiration of his/her leave, it will be considered that the employee has voluntarily terminated his/her employment.
- 82.4 Returning from Leave of Absence
- 82.4.1 When an employee is placed on a leave of absence, an effort will be made to hold his/her position open for the period of the approved leave. However, due to business needs, there will be times when positions cannot be held open and it is not possible to guarantee reinstatement.
- 82.4.2 If an employee's former position is unavailable when he/she is ready to return from an approved leave, every effort will be made to place the employee in a comparable position for which he/she is qualified. If such a position is not available, the employee will be offered the next suitable position for which he/she is qualified that becomes available. In addition, the Housing Authority will attempt to reasonably accommodate employees who are released for partial or modified duty.
- 82.4.3 An employee who does not accept the position offered will be considered to have voluntarily terminated his/her employment, effective the day of such refusal is made.

82.5 Group Insurance Benefits During Unpaid Leaves

- 82.5.1 Employees on unpaid leaves scheduled to extend beyond the calendar month in which the leave begins will be eligible to continue coverage in the Housing Authority's group insurance plans at their own cost through their rights to continued coverage under COBRA. The procedures for continuing coverage will be fully explained at the time the leave is granted.
- 82.5.2 Unless otherwise stated in these policies, group insurance coverage will not be interrupted for a leave of absence scheduled for 30 days or less and which begins and ends in the same calendar month.

83 Medical Leaves of Absence (Including Maternity)

83.1 Requests for Medical Leaves of Absence (not including Maternity)

A request for a medical leave of absence may be submitted by any employee who is temporarily disabled and unable to work due to a personal injury or illness. Medical leaves of absence may be granted in writing for the period of the illness or disability, provided such period shall not exceed 12 (twelve) months.

83.2 Requests for Maternity Leave

A request for a maternity leave of absence may be submitted by any employee who is temporarily disabled and unable to work due to a pregnancy-related disability. Maternity leaves of absence will be granted in writing for the period of the disability, provided such period shall not exceed four months. Maternity leaves may be extended beyond four months with the written approval of the Department Head, and the Executive Director.

83.3 Return to Work

Before returning to work following any medical leave of absence, an employee must submit a physician's verification stating the employee's ability to return to work and the date that he/she is able to return.

83.4 Accrual of Seniority and Benefits

Employees will not accrue benefits, e.g., vacation, sick time, holidays, etc., during an approved leave of absence. Once an initial introductory period is completed, employees returning from an approved leave of absence are not required to complete a second introductory period. Employees returning from a leave of absence will be reinstated without loss of seniority earned prior to the commencement of their leave.

83.5 Coordination of Benefits

All leaves of absence will be coordinated with sick leave, short-term and long-term disability, and other benefits in an effort to minimize the impact of a leave of absence for both the employee and the Housing Authority. Accrued vacation and sick leave benefits shall be paid during a leave of absence, but such pay shall be coordinated with any wage replacement benefits for which the employee may be eligible.

83.6 Notification Requirements

It is the employee's responsibility to provide his/her immediate supervisor and the Executive Director all the following information in writing as soon as he/she becomes aware of the need for a leave of absence:

83.6.1 The reason the leave of absence is being requested.

83.6.2 The anticipated dates the leave of absence will begin and end.

83.6.3 A physician's certificate or other medical proof acceptable to the company indicating the nature of the disability. In addition, during the leave of absence, the employee must provide:

- 83.6.4 Periodic updates to the employee's supervisor and/or department head at least every 30 days concerning the employee's status, expected date of return, and continued intent to return to work upon expiration of the leave.
- 83.6.5 Immediate notification of the employee's supervisor or department head of a need to change the duration of the leave of absence.
- 83.7 If an employee desires a leave of absence for elective medical procedures, he/she must submit the request for a leave at least two weeks prior to the date he/she wishes such leave to commence.

84 Medical Leaves of Absence for Work-Related Disabilities (Worker's Compensation)

84.1 Injury and Illness Reporting

84.1.1 Any duty-related injury or illness which requires medical treatment shall be reported to the appropriate immediate supervisor by any injured or ill employee as soon as physically possible.

84.1.2 Any duty-related injury or illness which does not require medical treatment shall be reported to the appropriate immediate supervisor by any injured or ill employee by the end of the work-day schedule in which the injury or illness occurred.

84.2 Accident Reporting

84.2.1 Any duty-related accident which results in any injury or property damage shall be reported to the appropriate immediate supervisor by any accident-involved employee as soon as physically possible.

84.2.2 Any duty-related accident which does not result in an injury or property damage shall be reported to the appropriate immediate supervisor by any accident-involved employee by the end of the work-day schedule in which the accident occurred.

84.3 Any employee suffering any duty-related injury or illness which requires immediate or continued medical treatment shall immediately seek such treatment from a Housing Authority-approved physician or medical facility, except as provided by State law.

84.4 Leave of Absence for Industrial Disability Qualification

84.4.1 Any employee suffering from a duty-related injury or illness which disables that employee from the performance of regular job duties, may request a leave of absence for industrial disability. Such request shall be submitted in the form of a Workers' Compensation claim. Upon the acceptance of any such claim by the Housing Authority or the State Workers Compensation Appeals Board, the employee shall be granted a leave of absence for industrial disability. Any dispute regarding any such claim shall be resolved through the State Workers Compensation Appeals Board process.

84.4.2 Compensation During Leave of Absence

Any employee granted a leave of absence for industrial disability shall receive full salary and fringe benefit compensation from the Housing Authority for the duration of any such leave, as delineated in 84.4.3 below, provided that the Housing Authority shall receive any temporary disability payments which are also received by the employee.

84.4.3 Duration of Leave of Absence

Any such leave of absence for industrial disability shall only extend for a period of up to sixty (60) working days, except as provided below:

84.4.3.1 Such leave of absence for industrial disability shall not be authorized for any period beyond (1) the actual period of

duty-related disability; (2) the date that employee is released for partial duty; (3) the point in time that a physician declares the duty-related injury or illness to be permanent and stationary; or (4) the date the employee resigns or actually or constructively informs the Housing Authority that he/she does not intend to return to the Housing Authority's employ.

84.4.3.2 Such leave of absence for industrial disability shall not be authorized after an employee's separation from Housing Authority service.

84.4.3.3 Such leave of absence for industrial disability shall not begin for three (3) calendar days following the occurrence of any duty-related injury or illness, unless the period of actual disability extends beyond seven (7) calendar days, or unless the job-related injury or illness requires inpatient hospitalization. During any such three (3) calendar day waiting period, sick leave or vacation may be granted.

84.4.3.4 An employee may request an extension of any such leave of absence for industrial disability through the use of accumulated sick leave or vacation.

84.4.3.5 An employee may request a leave of absence without pay for up to one hundred eighty (180) calendar days following the termination of any leave of absence for industrial disability.

84.5 Returning to Work

Before returning to work following a leave of absence for a work-related disability, an employee must submit a physician's verification stating the employee's ability to return to work and the date that he/she is able to return.

84.6 Accrual of Seniority and Benefits

Employees returning from a leave of absence for industrial disability will be reinstated without loss of seniority earned prior to the commencement of their leave. Employees returning from a leave of absence will be given credit for the introductory period or any portion thereof completed prior to the commencement of the leave of absence.

84.7 Notification Requirements

It is the employee's responsibility to provide the Executive Director all the following information in writing during the leave of absence:

84.7.1 Periodic updates to the employee's supervisor and/or department head at least every 30 days concerning the employee's status, expected date of return, and continued intent to return to work upon expiration of the leave.

84.7.2 Immediate notification of the employee's supervisor or department head of a need to change the duration of the leave of absence.

85 Family Care Leave

- 85.1 Employees may request an unpaid family care leave. All employees shall be entitled to this leave after completing at least one (1) year of continuous service. The request for leaves will be considered in an eligible employee seeks the leave to care for (1) a newborn child, (2) an adopted child, (3) a seriously ill child, (4) a parent or spouse who has a serious health condition.
- 85.2 Family care leaves of absences are considered unpaid leaves.
- 85.3 Family care leave may not exceed four months in a 24-month period. If the leave is requested or used in conjunction with a medical leave of absence of any kind, the family care leave may be limited to one month. This limitation will apply if the medical leave lasted for the maximum period permitted by the employer's medical leave policy.
- 85.4 Employees who satisfy all the conditions of the employer's policies and who return to work immediately following the expiration of an approved family care leave will be reemployed in their former position or a comparable position following the leave of absence.
- 85.5 Except in emergency situations, such leave must be requested and approved in advance of the birth in order to allow time for any necessary schedule changes or substitute coverage.
- 85.6 The Housing Authority administers its Family Care Leave policy in accordance with the California Family Rights Act of 1991. Employees are encouraged to direct any questions regarding the limitations and conditions that apply under this policy to the Executive Director.

86 Military Leaves of Absence

86.1 Military leaves of absence are granted without pay. However, in order to be eligible, employees must submit written verification from the appropriate military authority. The Housing Authority will reinstate those employees returning from military leave to their same position or one of comparable seniority, status, and pay if they:

86.1.1 Have a certificate of satisfactory completion of service;

86.1.2 Apply within 90 days after release from active duty or within such extended period, if any, as their rights are protected by law; and

86.1.3 Are qualified to fill their former position.

86.2 Compliance with Legal Requirements

Exceptions to this policy will occur wherever necessary to comply with applicable laws.

87 Jury and Witness Duty

87.1 Jury Duty

87.1.1 It is the policy of the Housing Authority of the City of Calexico to enable employees to fulfill their civic obligations. If an employee is called to jury duty, he/she must notify his/her supervisor immediately so appropriate arrangements can be made for the time off required.

87.2 Witness Duty

87.2.1 An employee who is required by law to appear in court to testify as a witness in a job related court case shall receive regular pay for the hours absent for such purpose.

87.2.2 Regular full-time employees who are subpoenaed to appear in court for non-job-related purpose may use accrued vacation leave or leave without pay for such absence.

87.3 Regular full-time employees will be paid their regular wages while on jury duty (less amounts received from other sources) up to a maximum of 20 working days each calendar year.

87.3.1 Employees other than those designated above will be provided time off for jury or witness duty in an unpaid status.

CONDUCT AND DISCIPLINE

92 Conduct and Discipline

92.1 Standards of Conduct

It is expected that all Housing Authority employees shall render the best possible service and reflect credit on the Housing Authority, and therefore high standards of conduct are essential.

92.2 Improper Employee Conduct

Improper conduct may be cause for disciplinary action. The term "improper conduct" means not only any improper action by an employee in the employee's official capacity, but also conduct by an employee not connected with the employee's official duties that affects the employee's ability to perform official duties, and any improper use of the position as an employee for personal advantage. In addition, improper conduct includes, but is not limited to, the following:

92.2.1 Violation of any Federal, State, or local law directly impacting the employee's fitness for employment.

92.2.2 Using, possessing, dealing, distributing, or being under the influence of intoxicating beverages, unprescribed narcotics or unlawful drugs while on duty or at work locations, or reporting to work or operating Housing Authority vehicles or equipment under the influence of alcohol or any unlawful or unprescribed drug.

92.2.3 Failure or refusal to comply with a lawful order or to accept a reasonable and proper assignment from an authorized supervisor or Housing Authority management official.

92.2.4 Inefficiency, incompetence, carelessness, or negligence in performance of duties.

92.2.5 Sexual harassment or other unlawful harassment of another employee.

92.2.6 Chronic or excessive absenteeism, whether excused or unexcused, or inconsistent attendance.

92.2.7 Rude or discourteous treatment of other employees or the public.

92.2.8 Inattention to duty, tardiness, carelessness or negligence in the care and handling of Housing Authority property.

92.2.9 Loss or misuse of Housing Authority funds.

92.2.10 Improper or unauthorized use of Housing Authority vehicles or equipment or misappropriation of supplies.

92.2.11 Misuse of sick leave, including using sick leave under false pretenses.

92.2.12 Furnishing false information to secure appointment, or falsification of time cards
or other records and reports.

92.2.13 Absence from duty without authorized leave, failure to report after leave of absence has expired or after such leave of absence has been disapproved, revoked, or canceled.

92.2.13 Violation of the provisions of these rules and regulations, Departmental rules and policies, or any written policies that may be prescribed by the Housing Authority.

92.2.15 Acceptance by an employee of any bribe, gratuity, kickback, or other item of value when such is given in the hope or expectation of receiving preferential treatment.

92.2.16 Outside work that creates a conflict of interest with Housing Authority work, or detracts from the efficiency of the employee in the effective performance of Housing Authority functions.

92.2.17 Failure to obtain or maintain necessary qualification, certificate, or license, which is required as a condition of employment.

92.2.18 Possession of an unsafe driving record for those employees required to operate Housing Authority vehicles.

92.3 Disciplinary Action

The purpose of disciplinary action is to correct deficiencies in employee performance, to seek improvement to meet appropriate standards, and/or to correct for violation of Housing Authority policies. The disciplinary process outlined below has been established to provide general guidelines for a fair method for disciplining employees.

92.3.1 Discipline may be initiated for various reasons, including, but not limited to, violations of Housing Authority work rules, insubordination or poor job performance. The severity of the action depends on the nature of the offense and an employee's record, and may range from verbal counseling to immediate dismissal.

92.3.2 The normal progressive discipline procedure consists of:

92.3.2.1 Verbal Counseling: An opportunity to communicate in a non-disciplinary fashion that a problem is perceived and that the supervisor is available to help solve it.

92.3.2.2 Verbal warning: To communicate to the employee that a repeat action may result in more serious discipline.

92.3.2.3 Written warning: A written communication to the employee that the same or related offense has been committed. A copy of this warning is given to the employee and one copy is filed in the

employee's personnel file.

92.3.2.4 Second written warning and/or suspension without pay: For the same or a related offense. Prepared in writing reflecting prior disciplinary actions; a copy is given to employee and a copy is kept in the employee's personnel file.

92.3.2.5 Dismissal: The final step in the disciplinary process. The Executive Director may choose to enforce an alternative measure of discipline, such as demotion, in an effort to solve the problem short of dismissing an employee.

92.3.3 Although one or more of these steps may be taken in connection with a particular employee, no formal order or system is necessary. The Housing Authority reserves the right to deviate from this policy when it feels that circumstances warrant such a deviation. The Executive Director is vested with the authority to determine the appropriate course of action.

92.3.4 The Department Head and the Executive Director must be informed of the disciplinary problem prior to the issuance of the first written warning. Further steps in the disciplinary process will not be taken without the approval of the Department Head and the Executive Director.

92.4 Regular non-management employees who have completed an initial introductory period shall be discharged only after appropriate disciplinary proceedings, which includes the opportunity for a hearing on the matter in accordance with Section 99.

92.5 An employee serving an initial introductory period may be discharged without application of the disciplinary process and with no rights of appeal.

93 Suspension, Demotion, Dismissal

93.1 Subject to the Hearings and Appeals Procedures specified in Section 99, the Executive Director may:

93.1.1 Impose a suspension without pay upon an employee when, in his/her judgment, such action will best serve the interests of the Housing Authority. Such suspension shall, however, not exceed a period of thirty (30) working days except that if the suspension is imposed because of an employee's trial by a court of law, the suspension may extend to such time as that court has rendered its decision.

93.1.2 Demote a regular employee to a position in a lower class with an appropriate reduction in pay for reasons including but not limited to unsatisfactory performance or physical disability, lack of work, or lack of funds.

93.1.3 Dismiss for cause any regular employee.

HEARINGS, APPEALS AND GRIEVANCES

99 Hearings Procedures

- 99.1 Prior to undertaking any of the personnel actions set forth in Section 93, the Department Head, in coordination with the Executive Director, shall first provide the employee with a written specification of reasons for the proposed action. The statement shall either be delivered personally to the employee or sent by Certified Mail, Return Receipt Requested, and shall notify the employee of his/her right to request a hearing within seven (7) days. The employee may, accordingly, request a hearing to determine if there is cause for the proposed personnel action. A request for a hearing must be in writing and must be delivered to the Executive Director on or before seven (7) days after the employee's receipt of notice of intended action.
- 99.2 Upon receipt of the Request for Hearing, the Executive Director, in coordination with the Department Head, shall notify the employee of the time and place for a hearing to be held not later than ten (10) days after receipt of the request therefore. The employee shall be entitled to be present at such hearing together with an attorney and/or designated representative. Hearings are to be conducted by the Department Head and the Executive Director informally, and shall provide the employee with the opportunity to refute, explain, or otherwise address the proposed statement of charges. All decisions of the Department Head shall be rendered within ten (10) days after conclusion of the hearing, and shall be final unless timely appealed by the employee as provided in the section entitled, "Appeals Procedures."

100 Appeals Procedures

100.1 Any regular employee subjected to any personnel action set forth herein may appeal any decision of the Department Head by filing a Notice of Appeal with the Executive Director within fifteen (15) calendar days after his/her receipt of the decision. On receipt of such Notice of Appeal, the Executive Director shall schedule a meeting with the employee within thirty (30) days thereafter, and notify the employee of said date and place. In the appeal process, the employee may be represented by:

100.1.1 Any other regular employee of the Housing Authority; or

100.1.2 His/her attorney.

100.2 At the hearing, both the appealing employee and the Housing Authority shall have the right to be heard and to present evidence.

100.2.1 Oral evidence shall be taken only on oath or affirmation.

100.2.2 Each party shall have the right to call and examine witnesses, to introduce exhibits, to cross-examine opposing witnesses on any matter relevant to the issue even though the matter was not covered in the direct examination, to impeach any witness regardless of which party first called him/her to testify, and to rebut the evidence against him/her. If the respondent does not testify in his/her own behalf, he/she may be called and examined as if under cross-examination.

100.2.3 The hearing need not be conducted according to technical rules relating to evidence and witnesses. Any relevant evidence shall be admitted if it is the sort of evidence on which responsible persons are accustomed to rely in the conduct of serious affairs, regardless of the existence of any common law or statutory rules that might make improper the admission of such evidence over objection in civil actions. Hearsay evidence may be used for the purpose of supplementing or explaining any direct evidence but shall not be sufficient in itself to support a finding unless it would be admissible over objection in civil actions. The rules of privilege shall be effective to the same extent that they are now or hereafter may be recognized in civil actions, and irrelevant and unduly repetitious evidence shall be excluded.

100.3 If the Executive Director makes a finding that the personnel action was taken upon reasonable cause, the Department Head's order shall be sustained. If, on the other hand, the Executive Director finds that the Department Head's order should be rescinded, the employee shall be reinstated in his/her former position and shall receive pay and fringe benefits for all of the applicable period of time.

101 Grievance Procedures

101.1 Scope

101.1.1 The Housing Authority wishes to provide each employee fair and impartial treatment. Accordingly, in coordination with the recognized bargaining representatives, it has established a grievance procedure to allow employees the opportunity to resolve a difference in interpretation or application of the terms of the Memorandum of Understanding. The grievance procedure is provided in detail in each Memorandum of Understanding.

101.1.2 Specifically excluded from the grievance procedure are:

- 101.1.2.1 Subjects involving the amendment or change of Board if Commissioner resolutions, ordinances, or minute orders.
- 101.1.2.2 Performance appraisals, dismissals, suspensions, and other matters that have other means of appeal.
- 101.1.2.3 Matters outside the terms of the Memorandum of Understanding.

102 Open Door Policy

- 102.1 In an effort to maintain communications between management and employees, and to provide an opportunity to clarify matters outside the scope of the grievance or appeals process, the Housing Authority maintains an open door policy.
- 102.2 Employees who have any questions or problems are encouraged to bring them to the attention of their immediate supervisor. If an employee is unable to resolve these questions or problems after this discussion, he/she may contact the Executive Director to discuss the questions or problems further. The Executive Director will attempt to investigate the employee's concerns and provide the employee with a response as soon as is reasonably possible.
- 102.3 An effort will be made to provide employees an opportunity to raise their questions or problems in confidence and without fear of reprisal or discrimination. The Housing Authority will make every effort to investigate and settle an employee's problems on a fair and equitable basis.

DEFINITION OF TERMS

Terms used in these policies are defined as follows:

ALLOCATION

The assignment of an individual position to an appropriate class on the basis of the type, difficulty, and responsibility of the work performed in the position. As used in these personnel rules, employees are appointed to positions; positions are allocated to classes.

ANNIVERSARY DATE

The date recurring yearly upon an employee's regular appointment or date of hire. This date is used principally in matters regarding vacation, sick leave and other related personnel actions.

APPOINTMENT

The employment of a person in a position. Types of appointment include Regular, Introductory, Temporary, and Promotional Appointments.

HOUSING AUTHORITY

The Housing Authority of the City of Calexico.

BOARD OF COMMISSIONERS

The Housing Authority of the City of Calexico Board of Commissioners.

CLASS OR CLASSIFICATION

A group of positions sufficiently similar in duties, responsibilities, authority, and qualifications for employment to permit combining them under a single title and equitable application of common standards of selection and compensation.

CLASS SPECIFICATION

A written description of a class setting forth factors and conditions that are essential characteristics of positions in that class.

CLASSIFICATION PLAN

The designation of a title for each class together with the specification for each class as prepared and maintained by the Executive Director.

CONTINUOUS SERVICE

The period of employment since original appointment served without a break in service caused by a layoff of more than one year, resignation, or discharge.

DATE OF HIRE

The date of an employee's original appointment to the Housing Authority service.

DAYS

Calendar days unless otherwise stated.

DEMOTION

The voluntary or involuntary reduction of a regular employee from a position in one class to a position in another class having a lower maximum salary rate.

DEPARTMENT HEAD

The administrative head of a Housing Authority operating department.

DISCHARGE OR DISMISSAL

The involuntary separation of an employee from the service of the Housing Authority.

EXAMINATION

Any device or procedure used in the selection of employees for a position including, but not limited to, oral interviews, written tests, performance tests, evaluation of performance during introductory, and an evaluation of education and experience.

FULL-TIME EMPLOYEE

An employee who is employed to work on a full-time basis (generally 40 hours per week, 52 weeks per year).

INTRODUCTORY APPOINTMENT

The employment of a person in a regular position for a working test period during which job performance is evaluated as the basis for consideration for regular appointment.

INTRODUCTORY PERIOD

A working test period during which an employee is required to demonstrate his/her fitness for the actual performance of the assigned duties of the position. "Initial" introductory period is the first introductory period completed by an employee following the original date of hire.

INTRODUCTORY EMPLOYEE

An employee who is serving an introductory period for the position and or class in which he/she is currently employed.

LAY-OFF

The separation of an employee from his/her position due to reorganization, the lack of work to be accomplished, or the lack of funds.

LEAVE

Authorized or unauthorized absence from an employee's place of work.

STEP INCREASE ELIGIBILITY DATE

The future date on which an employee becomes eligible for consideration for a salary advance within the salary range established for the class of position he/she occupies.

ORIGINAL APPOINTMENT

The person's first appointment as a Housing Authority employee. An employee receives a new original date of hire when rehired following resignation or discharge (other than lay-off).

PART-TIME EMPLOYEE

An employee who is employed to work less than eight hours per day, 40 hours per week in a regular position.

REGULAR EMPLOYEE

An employee who has successfully completed the introductory period assigned for his/her classification.

PERSONNEL ACTION

Any action taken with reference to appointment, compensation, promotion, transfer, lay-off, dismissal, discipline, commendations, or any other action affecting the status of employment.

POSITION

A combination of current duties and responsibilities requiring the full-time or part-time services of an employee.

PROMOTION

The advancement of an employee from a position in one class to a position in another class having a higher maximum rate of pay.

PROMOTIONAL APPOINTMENT

The introductory employment of an employee in a regular position following a promotion.

RECLASSIFICATION

A change in the class level of an individual position by raising it to a higher class, reducing it to a lower class, or by moving it to another class at the same level on a basis of significant changes in kind, difficulty, or responsibility of the work performed in the position.

REDUCTION IN PAY

A salary decrease within the limits of the pay range established for a class, generally as a disciplinary action.

REGULAR APPOINTMENT

The employment of a person in a regular budgeted position following the successful completion of a introductory period.

REGULAR EMPLOYEE

An employee who has successfully completed an initial introductory period in regular position.

REHIRE

The reemployment, without examination, within one year of separation, of a former employee into the same classification from which the employee separated.

REINSTATEMENT

The reemployment, without examination, of a laid-off employee into the same or lower class from which the employee was laid off.

RESIGNATION

Voluntary termination of employment.

REPRIMAND

Oral or written notice of unsatisfactory performance or improper action given as a disciplinary action.

RETIREMENT

Service

The voluntary termination of a regular employee from a regular position after becoming eligible for and applying to the Public Employees Retirement System for retirement benefits or after having reached the maximum age limit.

Disability

The termination of an employee due to physical or mental inability to perform the duties of the position after an employee has become eligible for benefits under the Public Employees Retirement System.

SALARY RANGE

The range of salary rates for a class defined in the current salary table approved by the Board of Commissioners.

SALARY RATE

The dollar amount of each step in a salary range; or, the flat dollar amount of salary for a class not having salary range.

SALARY STEP

Each of the five steps defined in the current salary table approved by the Board of Commissioners.

SEPARATION

The termination of an employee's employment with the Housing Authority because of retirement, resignation, death, lay-off, or dismissal.

SHIFT EMPLOYEE

A full-time employee whose regular work day duties require work on weekends and holidays.

SUPERVISOR

An employee assigned responsibility for evaluation of permanently assigned employees and for organizing, assigning, and reviewing their work.

SUSPENSION

The temporary and involuntary separation for a specified period of time of an employee from the position for disciplinary purposes.

TEMPORARY EMPLOYEE

An employee appointed for a period not to exceed 90 working days in any fiscal year.

TRANSFER

A change of an employee from one position to another position in the same class or a comparable class at the same salary range.

VACANCY

An authorized position for which funds are available which is not occupied.

Development Number/Name HA-wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Fund Expended (2)	
PHA WIDE	OPERATIONS	1406						
	Operations			52,972.60	52,972.60	52,972.60	52,972.60	completed
	Total Account # 1406			52,972.60	52,972.60	52,972.60	52,972.60	
PHA WIDE	FEES AND COSTS	1430						
	Design Consultant			30,000.00	30,000.00	30,000.00	21,461.25	obligated
	Total Account # 1430			30,000.00	30,000.00	30,000.00	21,461.25	
PHA WIDE	NONDWELLING EQUIPMENT	1475						
	Security and surveillance cameras			181,890.40	181,890.40	9,954.60	9,954.60	partially obli/spent
	Total Account #1475			181,890.40	181,890.40	9,954.60	9,954.60	
	Total CFP 2003B			264,863.00	264,863.00	92,927.20	84,388.45	

Signature of Executive Director & Date:

X

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

X

1 To be Completed for the Performance and Evaluation Report or a Revised Annual Statement
 2 To be Completed for the Performance Evaluation Report.

HA Name: White Plains Housing Authority		Capital Fund Program: NY36P042501-04 2004			
Original Annual Statement X Performance and Evaluation Report for Program Year Ending: 9/30/05		Reserve for Disasters/Emergencies. Revised Annual Statement/Revision Number Final Performance and Evaluation Report			
		TOTAL ESTIMATED COST		TOTAL ACTUAL COST (2)	
Line No.	Summary by Development Account	Original		Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not to exceed 20% of line 20)	\$307,000.00	\$307,000.00	\$307,000.00	\$307,000.00
3	1408 Management Improvements	\$150,000.00	\$72,850.00	\$0.00	\$0.00
4	1410 Administration	\$123,825.00	\$130,975.00	\$130,975.00	\$0.00
5	1411 Audit				
6	1415 Liquidated damages				
7	1430 Fees and Costs	\$108,000.00	\$108,000.00	\$0.00	\$0.00
8	1440 Site Acquisition				
9	1450 Site Improvements				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment - Nonexpandable				
12	1470 Nondwelling Structures	\$820,291.00	\$820,291.00	\$820,291.00	\$0.00
13	1475 Nondwelling Equipment	\$30,000.00	\$100,000.00	\$92,850.00	\$0.00
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1498 Mod Used for Development				
19	1502 Contingency (May not to exceed 8% of line 20)				
20	Amount of Annual Grant (Sum of lines 2 - 19)	\$1,539,116.00	\$1,539,116.00	\$1,351,116.00	\$307,000.00
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Compliance				
23	Amount of line 20 Related to Security				
24	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director & Date:		Signature of public Housing Director/Office of Native American Programs Administrator & Date:			

Development Number/Name HA-wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Fund Expended (2)	
PHA WIDE	Operations	1406						
	Operations			\$307,000.00	\$307,000.00	\$307,000.00	\$307,000.00	completed
	Total Account # 1406			\$307,000.00	\$307,000.00	\$307,000.00	\$307,000.00	
	MANAGEMENT IMPROVEMENTS	1408						
	Security / Training, Uniforms / Travel / Inc.			\$100,000.00	\$22,850.00	0.00	0.00	
	Clerk Assistance			\$40,000.00	\$40,000.00	0.00	0.00	
	Computer, Training, Software			\$10,000.00	\$10,000.00	0.00	0.00	
	Total Account # 1408			\$150,000.00	\$72,850.00	\$0.00	\$0.00	
	ADMINISTRATION	1410						
	Staff Time			\$32,850.00	\$40,000.00	40,000.00	0.00	obligated
Per Diem Account/CPA 15 days per Ann.			\$3,150.00	\$3,150.00	3,150.00	0.00	obligated	
legal / Audit Fees			\$9,975.00	\$9,975.00	9,975.00	0.00	obligated	
Mod. Coordinator			\$77,850.00	\$77,850.00	77,850.00	0.00	obligated	
Total Account # 1410			\$123,825.00	\$130,975.00	\$130,975.00	\$0.00		
PHA WIDE	FEES AND COSTS	1430						
Sundry			\$4,000.00	\$4,000.00	0.00	0.00		
A & E Fees			\$100,000.00	\$100,000.00	0.00	0.00		
Update policies and procedures & procurement			\$4,000.00	\$4,000.00	0.00	0.00		
Total Account # 1430			\$108,000.00	\$108,000.00	\$0.00	\$0.00		
NY42-6	NON DWELLING STRUCTURES	1470						
New Admin. And Maintenance Office			\$820,291.00	\$820,291.00	820,291.00	0.00	obligated	
Total Account # 1470			\$820,291.00	\$820,291.00	\$820,291.00	\$0.00		
	NON DWELLING EQUIPMENT	1475						
Furniture/Auto/Equipment& maintenance/Computers			\$30,000.00	\$100,000.00	92,850.00	0.00	90% Obligated	
Total Account # 1475			\$30,000.00	\$100,000.00	\$92,850.00	\$0.00		
	GRAND TOTAL CFP 2004			\$1,539,116.00	\$1,539,116.00	\$1,351,116.00	\$307,000.00	

Signature of Executive Director & Date:

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

X

X

1 To be Completed for the Performance and Evaluation Report or a Revised Annual Statement

2 To be Completed for the Performance Evaluation Report.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program (CFP) PART III: Implementation Schedule
WHITE PLAINS HOUSING AUTHORITY
(CFP2004)

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

OMB Approval No. 2577-0157 (exp. 7/31/98)

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reason for revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
Operations	9/13/2006		1/30/2005	9/13/2008		2/28/2005	
Mgmt Improvements	9/13/2006			9/13/2008			
Administration	9/13/2006		2/28/2005	9/13/2008			
Fees and Costs	9/13/2006			9/13/2008			
Nondwelling Structures	9/13/2006		2/28/2005	9/13/2008			
Nondwelling Equipment	9/13/2006			9/13/2008			
Signature of Executive Director & Date:				Signature of Public Housing Director/Office of Native American Programs Administrator & Date:			
X				X			

1 To be Completed for the Performance and Evaluation Report or a Revised Annual Statement

2 To be Completed for the Performance and Evaluation Report.

HA Name: White Plains Housing Authority		Capital Fund Program: NY36P042501-05 2005			
Original Annual Statement Reserve for Disasters/Emergencies. X Performance and Evaluation Report for Program Year Ending: 9/30/2005		Revised Annual Statement/Revision Number ____ Final Performance and Evaluation Report			
		TOTAL ESTIMATED COST		TOTAL ACTUAL COST (2)	
Line No.	Summary by Development Account	Original	Revised (1)	Obligated	Expended
1	Total Non-CGP Funds				
2	1406 Operations (May not to exceed 20% of line 20)	\$278,569.00			
3	1408 Management Improvements	\$100,000.00			
4	1410 Administration	\$134,239.00			
5	1411 Audit				
6	1415 Liquidated damages				
7	1430 Fees and Costs	\$84,981.00			
8	1440 Site Acquisition				
9	1450 Site Improvements				
10	1460 Dwelling Structures	\$446,000.00			
11	1465.1 Dwelling Equipment - Nonexpandable	\$50,000.00			
12	1470 Nondwelling Structures	\$130,056.80			
13	1475 Nondwelling Equipment	\$169,000.00			
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1498 Mod Used for Development				
19	1502 Contingency (May not to exceed 8% of line 20)				
20	Amount of Annual Grant (Sum of lines 2 - 19)	\$1,392,845.80	\$0.00	\$0.00	\$0.00
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Compliance				
23	Amount of line 20 Related to Security				
24	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director & Date:		Signature of public Housing Director/Office of Native American Programs Administrator & Date:			

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Development Number/Name HA-wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Fund Expended (2)	
PHA Wide	Operation	1406						
	Operations			278,569.00	278,569.00	0.00	0.00	0% Complete
	Total Account # 1406			278,569.00	278,569.00	0.00	0.00	
PHA Wide	Management Improvements							
	Security/Clerk/Training/Equipment/Travel			100,000.00	100,000.00	0.00	0.00	0% Complete
	Total Account # 1408			100,000.00	100,000.00	0.00	0.00	
PHA Wide	Administration	1410						
	Modernization Coordinator (100%)			87,577.00	87,577.00	0.00	0.00	0% Complete
	Administrative Salaries			43,512.00	43,512.00	0.00	0.00	0% Complete
	Per Diem Accountant (15 days per annum)			3,150.00	3,150.00	0.00	0.00	0% Complete
	Total Account # 1410			134,239.00	134,239.00	0.00	0.00	
PHA Wide	Fees and Costs	1430						
	Sundry/Permits/Inspection Fees/Surveys			4,000.00	4,000.00	0.00	0.00	0% Complete
	Annual Plan			4,000.00	4,000.00	0.00	0.00	0% Complete
	A/E Fees			76,981.00	76,981.00	0.00	0.00	0% Complete
	Total Account # 1430			84,981.00	84,981.00	0.00	0.00	
	Dwelling Structures	1460						
NY42-6	Bathroom Renovations			300,000.00	300,000.00	0.00	0.00	0% Complete
NY42-1/3/6	Apartment Painting			94,000.00	94,000.00	0.00	0.00	0% Complete
NY42-6	BLR Windows			10,000.00	10,000.00	0.00	0.00	0% Complete
NY42-1/3/6	Common Area Painting			42,000.00	42,000.00	0.00	0.00	0% Complete
	Total Account # 1460			446,000.00	446,000.00	0.00	0.00	
	Dwelling Equipment	1465						
	Elevator and Mechanical Rehab			50,000.00	50,000.00	0.00	0.00	0% Complete
	Total Account # 1430			50,000.00	50,000.00	0.00	0.00	
	Non-Dwelling Structures	1470						
NY42-6	Building and Resident Resource Center			130,056.00	130,056.00	0.00	0.00	0% Complete
	Total Account # 1470			130,056.00	130,056.00	0.00	0.00	
	Non-Dwelling Equipment	1475						
NY42-6	Security Surveillance System			169,000.00	169,000.00	0.00	0.00	0% Complete
	Total Account # 1475			169,000.00	169,000.00	0.00	0.00	0% Complete
	GRAND TOTAL YEAR 2005			1,392,845.00	1,392,845.00	0.00	0.00	

Signature of Executive Director & Date:

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

X

X

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Annual Statement/Performance and Evaluation Report
 Capital Fund Program (CFP) PART III: Implementation Schedule
WHITE PLAINS HOUSING AUTHORITY
(CFP2005)

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

OMB Approval No. 2577-0157 (exp. 7/31/98)

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reason for revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
Operations	1/30/2007			1/30/2008			
Administration PHA - Wide	1/30/2007			1/30/2008			
Fees & Costs PHA - Wide	1/30/2007			1/30/2008			
Dwelling Structures NY42-1/3/6	1/30/2007			1/30/2008			

Signature of Executive Director & Date:

X

Signature of Public Housing Director/Office of Native American Programs Administrator & Date:

X

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**PET OWNERSHIP
(FAMILY)
FOR
WHITE PLAINS HOUSING AUTHORITY**

PET OWNERSHIP

Section 526 of the Quality Housing and Work Responsibility Act of 1998 added a new Section 31 (“Pet Ownership in Public Housing”) to the United States Housing Act of 1937. Section 31 establishes pet ownership requirements for residents of public housing other than Federally assisted rental housing for the elderly or persons with disabilities. In brief, this section states that: A resident of a dwelling unit in public housing may own one (1) or more common household pets or have such pets present in the dwelling unit. Allowance of pets is subject to reasonable requirements of the PHA.

The White Plains Housing Authority (PHA) notifies eligible new residents of that right and provides them copies of the PHA's Pet Ownership Rules. To obtain permission, pet owners must agree to abide by those Rules.

In consulting with residents currently living in the PHA's developments, the PHA will notify all such residents that:

- A. all residents are permitted to own and keep common domesticated household pets, such as a cat, dog, bird, and fish, in their dwelling units, in accordance with PHA pet ownership rules;
- B. a **non-refundable** nominal pet fee is intended to cover the reasonable operating costs to the development. A **refundable** pet deposit is intended to cover additional costs not otherwise covered (i.e., fumigation of a unit);
- C. animals that are used to assist the disabled are excluded from the size and weight and type requirements pertaining to ownership of service animals; however, they will be required to assure that proper licensing, inoculations, leash restraints, etc. are observed;
- D. residents may request a copy of the PHA's pet ownership rules or proposed amendments to the rules at any time; and,
- E. if the dwelling lease of a resident prohibits pet ownership, the resident may request that the lease be amended to permit pet ownership, in accordance with the PHA's pet ownership rules shown below;
- F. Section 31 does not alter, in any way, the regulations applicable to Federally assisted housing for the elderly and persons with disabilities found at Section 227 of the Housing and Urban-Rural Recovery Act of 1983 and located in 24 CFR part 5,

subpart C.

- G. New Section 960.705 of 24 CFR clarifies that the regulations added in Section 31 do not apply to service animals that assist persons with disabilities. This exclusion applies to both service animals that reside in public housing and service animals that visit PHA developments. Nothing in this rule limits or impairs the rights of persons with disabilities, authorizes PHAs to limit or impair the rights of persons with disabilities, or affects any authority PHAs may have to regulate service animals that assist persons with disabilities.

WHITE PLAINS HOUSING AUTHORITY

Pet Ownership Rules for Families

1. Common household pet means a domesticated cat, dog, bird, gerbil, hamster, Guinea pig and fish in aquariums. Reptiles of any kind, with the exception of small turtles or in a terrarium, as well as mice and rats are prohibited. These definitions do not include any wild animal, bird or fish.
2. Each household shall have only one pet (except fish or birds). The limit for birds is two (2).
3. The pet owner shall have only a small cat or a dog. The animal's weight shall not exceed *20 pounds*. The animal's height shall not exceed *fifteen inches*. Such limitations do not apply to a *service animal* used to assist a disabled resident.
4. Pet owners shall license their pets yearly with the City of White Plains or as required. The pet owner must show the PHA proof of rabies and distemper booster inoculations and licensing annually. Residents applying for approval to house a dog or cat must provide, at the time of application, proof of insurance in the amount of \$10,000 for property damage and \$50,000 for personal liability. Such insurance shall be in force at all times, with proof of same provided at each recertification or at such other times as the PHA may request.
5. No pet owner shall keep a pet in violation of State or local health or humane laws or ordinances. Any failure of these pet ownership rules to contain other applicable State or local laws or ordinances does not relieve the pet owner of the responsibility for complying with such requirements.
6. The pet owner shall have his or her cat or dog spayed or neutered and shall pay the cost thereof. A veterinarian shall verify that the spaying or neutering has been accomplished. If the animal is less than six (6) months old, resident must agree to have the appropriate procedures performed when the animal reaches the age of six (6) months. Exceptions to this requirement shall be granted only upon certification from a veterinarian that permanent harm may result from this procedure due to the pet's age or illness.
7. The pet owner shall house the pet inside the pet owner's dwelling unit. The pet owner shall keep a cat or a dog on a leash and shall control the animal when it is taken out of the dwelling unit for any purpose. The owner of a bird(s) shall confine them to a cage at all times. No pet owner shall allow his or her pet to be unleashed or loose outside the pet owner's dwelling unit.

8. No resident shall keep, raise, train, breed or maintain any pet of any kind at any location, either inside or outside the dwelling unit, for any commercial purpose.
9. No pet owner shall keep a vicious or intimidating pet on the premises (i.e. pit bulls or any other vicious or intimidating breeds). If the pet owner declines, delays or refuses to remove such a pet from the premises, the Authority shall do so, in order to safeguard the health and welfare of other residents.
10. No pet owner shall permit his or her pet to disturb, interfere or diminish the peaceful enjoyment of the pet owner's neighbors or other residents. The terms "disturb, interfere or diminish" shall include but not be limited to barking, howling, biting, scratching, chirping and other activities of a disturbing nature. If the pet owner declines, delays or refuses to remove the pet from the premises, the PHA shall do so.
11. The owner of a cat shall feed the animal at least once per day; provide a litter box inside the dwelling unit; clean the litter box at least every two (2) days; and take the animal to a veterinarian at least once per year. The pet owner shall not permit refuse from the litter box to accumulate or to become unsanitary or unsightly, and shall dispose of such droppings by placing them in a plastic tie sack in a designated trash container outside the building where the pet owner lives.
12. The owner of a dog shall feed the animal at least once per day; take the animal for a walk at least twice per day; remove the animals droppings at least twice per day; and take the animal to a veterinarian at least once per year. The pet owner shall not permit dog droppings to accumulate or to become unsanitary or unsightly, and shall dispose of such droppings by placing them in a plastic tie sack in a designated trash container outside the building where the pet owner lives.
13. The pet owner shall take the precautions and measures necessary to eliminate pet odors within and around the dwelling unit, and shall maintain the dwelling unit in a sanitary condition at all times, as determined by the PHA.
14. No pet owner shall alter the dwelling unit or the surrounding premises to create a space, hole, container or enclosure for any pet.
15. PHA staff shall enter a dwelling unit where a pet has been left untended for twenty-four (24) hours, remove the pet and transfer it to the proper local authorities, subject to any provisions of State or local law or ordinances in this regard. The PHA shall accept no responsibility for the pet under such circumstances.
16. Each pet owner shall pay a non-refundable pet fee of \$ 100.00 and a refundable pet

deposit of \$100.00. A refundable deposit of \$100.00_ will be charged for aquariums. There is no pet deposit for birds, gerbils, hamsters, guinea pigs or turtles. The pet fee/deposit is not part of the rent payable by the pet owner, and is in addition to any other financial obligation generally imposed on residents of the development where the pet owner lives. The PHA shall use the non-refundable pet fee only to pay reasonable expenses directly attributable to the presence of the pet in the development, including, but not limited to the cost of repairs and replacements to, and the fumigation of, the pet owner's dwelling unit. The refundable deposit will be used, if appropriate, to correct damages caused by the presence of the pet.

The refundable pet deposit will be placed in an escrow account and the PHA will refund the unused portion, plus any accrued interest, to the resident within thirty (30) days after the pet owner moves from the dwelling unit or no longer owns or keeps a pet in the dwelling unit.

- 17. All residents are prohibited from feeding, housing or caring for stray animals or birds. Such action shall constitute having a pet without permission of the Authority.
- 18. Each pet owner shall identify an alternate custodian for his or her pet. If the pet owner is ill or absent from the dwelling unit and unable to care for his or her pet, the alternate custodian shall assume responsibility for the care and keeping of the pet, including, if necessary, the removal of the pet from PHA premises.
- 19. Should any pet housed in the PHA's facilities give birth to a litter, the residents shall remove from the premises all of said pets except one as soon as the baby's are able to survive on their own (a maximum of 6 weeks).
- 20. If a resident, including a pet owner, breaches any of the rules set forth above, the PHA may revoke the pet permit and evict the resident or pet owner.

I have read and understand the above pet ownership rules and agree to abide by them.

Resident's Signature

PHA Staff member's Signature

Date

Date

Type of Animal and Breed

Name of Pet

Description of Pet (color, size, weight, sex, etc.)

The alternate custodian for my pet is:

Custodian's first, middle and last name; post office box; street address; zip code; area telephone code and telephone number:

Resident's Signature

Date

Refundable Damage Deposit

Amount Paid

Date

Non-refundable Fee

Amount Paid

Date