PHA Plans

Streamlined 5-Year/Annual Version

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

OMB No. 2577-0226
(exp 08/31/2009)

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

Privacy Act Notice. The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Information in PHA plans is publicly available.

BERKELEY HOUSING AUTHORITY
Streamlined 5-Year Plan for Fiscal Years 2007 - 2011
Streamlined Annual Plan for Fiscal Year 2007

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

Streamlined Five-Year PHA Plan
Agency Identification

PHA Name: Berkeley Housing Authority **PHA Number:** 056

PHA Fiscal Year Beginning: (mm/yyyy) January 2007

PHA Programs Administered:

☒ **Public Housing and Section 8** ☐ **Section 8 Only** ☐ **Public Housing Only**

Number of public housing units: Number of S8 units: Number of public housing units:
Number of S8 units:

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

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

Public Access to Information

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

☒ Main administrative office of the PHA
☐ PHA development management offices
☐ PHA local offices

Display Locations For PHA Plans and Supporting Documents

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

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

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

☒ Main business office of the PHA
☐ PHA development management offices

☐ Other (list below)

Streamlined Five-Year PHA Plan

PHA FISCAL YEARS 2007 - 2011

[24 CFR Part 903.12]

A. Mission

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

☒ The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.

☐ The PHA's mission is: (state mission here)

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: TO 0%
- ☒ 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) TO 100%
- ☒ Improve voucher management: (SEMAP score) TO 100%
- ☒ Increase customer satisfaction: TO 100%
- ☒ Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections) REDUCE UNIT TURNAROUND TIME
- ☒ Renovate or modernize public housing units: 100% OF UNITS IN NEED
- ☐ 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: TO 100% OF PARTICIPANTS IN NEED OF SAME
- ☒ 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: 100% AS NEEDED
- ☐ 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: BY 100%
- ☒ Provide or attract supportive services to improve assistance recipients' employability: BY 100%
- ☒ Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- ☐ Other: (list below)

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

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

Objectives:

- ☒ Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability: MAINTAIN AT 100%
- ☒ 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: MAINTAIN AT 100%
- ☒ Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required: MAINTAIN AT 100%
- ☐ Other: (list below)

Other PHA Goals and Objectives: (list below)

Streamlined Annual PHA Plan
PHA Fiscal Year 2007
[24 CFR Part 903.12(b)]

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

A. ANNUAL STREAMLINED PHA PLAN COMPONENTS

1. Statement of Housing Needs....8
2. Statement of Financial Resources....12
3. PHA Policies Governing Eligibility, Selection, and Admissions....13
4. PHA Rent Determination Policies....22
5. Capital Improvement Needs....25
6. Demolition and Disposition....27
7. Section 8 Tenant Based Assistance--Section 8(y) Homeownership Program....27
8. Civil Rights Certifications....28
9. Additional Information....28
A. PHA Progress in Meeting the Mission and Goals Described in the 5-Year Plan....28
B. Criteria for Substantial Deviations and Significant Amendments....29
C. Other Information....29
10. Project-Based Voucher Program....32
11. List of Supporting Documents Available for Review for Streamlined Five-Year/ Annual PHA Plans....32
12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report....35
2006....39
13. Capital Fund Program Five-Year Action Plan....43
Attachment A: Executive Summary....46
Attachment B: Summary Of Policy And Program Changes....47
Attachment C: CFP Bond Leveraging Program – Debt Service Budget for FY 2007....48
MEMORANDUM....62

☒ 1. Housing Needs
☒ 2. Financial Resources
☒ 3. Policies on Eligibility, Selection and Admissions
☒ 4. Rent Determination Policies
☒ 5. Capital Improvements Needs
☒ 6. Demolition and Disposition
☒ 7. Homeownership
☒ 8. Civil Rights Certifications (included with PHA Certifications of Compliance)
☒ 9. Additional Information
   a. PHA Progress on Meeting 5-Year Mission and Goals
   b. Criteria for Substantial Deviations and Significant Amendments
   c. Other Information Requested by HUD
      i. Resident Advisory Board Membership and Consultation Process
      ii. Resident Membership on the PHA Governing Board
      iii. PHA Statement of Consistency with Consolidated Plan

iv. (Reserved)

☒ 10. Project-Based Voucher Program
☒ 11. Supporting Documents Available for Review
☒ 12. FY 20__ Capital Fund Program and Capital Fund Program Replacement Housing Factor, Annual Statement/Performance and Evaluation Report
☒ 13. Capital Fund Program 5-Year Action Plan
☐ 14. Other (List below, providing name for each item)

B. SEPARATE HARD COPY SUBMISSIONS TO LOCAL HUD FIELD OFFICE

Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*: *Board Resolution to Accompany the Standard Annual*, *Standard Five-Year*, *and Streamlined Five-Year/Annual Plans*;
Certification by State or Local Official of PHA Plan Consistency with Consolidated Plan.
For PHAs APPLYING FOR CAPITAL FUND PROGRAM (CFP) GRANTS:
Form HUD-50070, *Certification for a Drug-Free Workplace*;
Form HUD-50071, *Certification of Payments to Influence Federal Transactions*;
Form SF-LLL & SF-LLLa, *Disclosure of Lobbying Activities*.

Executive Summary (optional)

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

SEE ATTACHMENT A

1. Statement of Housing Needs

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

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

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

Housing Needs of Families on the PHA's Waiting Lists

Waiting list type: (select one)
☐ Section 8 tenant-based assistance
☒ Public Housing
☐ Combined Section 8 and Public Housing
☐ Public Housing Site-Based or sub-jurisdictional waiting list (optional)
If used, identify which development/subjurisdiction:

	# of families	% of total families	Annual Turnover
Waiting list total	39		6-7
Extremely low income <=30% AMI	35		
Very low income (>30% but <=50% AMI)	4		
Low income (>50% but <80% AMI)	0		
Families with children	23		
Elderly families	8		
Families with Disabilities	8		
Race/ethnicity	23		
Race/ethnicity	8		
Race/ethnicity	4		
Race/ethnicity	5		
Characteristics by Bedroom Size (Public Housing Only)			
1BR	16	41%	
2 BR	13	33%	
3 BR	10	26%	
4 BR	N/A		
5 BR	N/A		
5+ BR	N/A		

Is the waiting list closed (select one)? ☐ No ☒ Yes
If yes:
How long has it been closed (# of months)? 1 MONTH
Does the PHA expect to reopen the list in the PHA Plan year? ☐ No ☒ Yes
Does the PHA permit specific categories of families onto the waiting list, even if generally closed?
☒ No ☐ Yes

Housing Needs of Families on the PHA's Waiting Lists

Waiting list type: (select one)
☒ Section 8 tenant-based assistance
☐ Public Housing
☐ Combined Section 8 and Public Housing
☐ Public Housing Site-Based or sub-jurisdictional waiting list (optional)
If used, identify which development/subjurisdiction:

	# of families	% of total families	Annual Turnover
Waiting list total	353		2-4
Extremely low income <=30% AMI	35	100%	
Very low income (>30% but <=50% AMI)	0	0%	
Low income (>50% but <80% AMI)	0	0%	
Families with children	28	80%	
Elderly families	3	9&	
Families with Disabilities	4	11%	
Race/ethnicity	14	40%	
Race/ethnicity	16	46%	
Race/ethnicity	3	9%	
Race/ethnicity	2	5%	
Characteristics by Bedroom Size (Public Housing Only)			
1BR	N/A		
2 BR	N/A		
3 BR	N/A		
4 BR	N/A		
5 BR	N/A		
5+ BR	N/A		

Is the waiting list closed (select one)? ☐ No ☒ Yes
If yes:
How long has it been closed (# of months)? 2 MONTHS
Does the PHA expect to reopen the list in the PHA Plan year? ☒ No ☐ Yes
Does the PHA permit specific categories of families onto the waiting list, even if generally closed?
☒ No ☐ Yes

B. Strategy for Addressing Needs

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

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

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

Select all that apply

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

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

Select all that apply

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

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

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

Select all that apply

☐ Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
☐ Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
☐ Employ admissions preferences aimed at families with economic hardships
☒ Adopt rent policies to support and encourage work
☐ 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 903.12 (b), 903.7 (c)]
List on the following table the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	**Planned $**	**Planned Uses**
1. **Federal Grants (FY 20__ grants)**		
a) Public Housing Operating Fund	320,000	
b) Public Housing Capital Fund	95,000	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	1,210,000	
f) Resident Opportunity and Self-Sufficiency Grants		
g) Community Development Block Grant		
h) HOME		
Other Federal Grants (list below)		
		FSSP SERVICES
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income	210,000	PUBLIC HOUSING OPERATIONS
Excess Util. Cgs. and misc. income	14,000	PUBLIC HOUSING OPERATIONS
4. Other income (list below)		
INVESTMENT INTEREST	14,000	PUBLIC HOUSING OPERATIONS
SECTION 8 ADMIN. FEES	76,000	PUBLIC HOUSING OPERATIONS AND SECTION 8 SUPPORT SERVICES
4. Non-federal sources (list below)		
Total resources	1,925,600	

3. PHA Policies Governing Eligibility, Selection, and Admissions

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

A. Public Housing

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

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)
☒ When families are within a certain number of being offered a unit: (state number)
☐ When families are within a certain time of being offered a unit: (state time)
☐ Other: (describe)

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. Site-Based Waiting Lists-Previous Year

1. Has the PHA operated one or more site-based waiting lists in the previous year? If yes, complete the following table; if not skip to d. **THE PHA HAS NOT OPERATED A SITE-BASED WAITING LIST**

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

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

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

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

d. Site-Based Waiting Lists – Coming Year

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? 2

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

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

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

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

Other preferences: (select below)
☒ Working families and those unable to work because of age or disability
☐ Veterans and veterans' families
☐ Residents who live and/or work in the jurisdiction
☐ Those enrolled currently in educational, training, or upward mobility programs
☐ Households that contribute to meeting income goals (broad range of incomes)

☐ Households that contribute to meeting income requirements (targeting)
☐ Those previously enrolled in educational, training, or upward mobility programs
☐ Victims of reprisals or hate crimes
☐ Other preference(s) (list below)
NON-RESIDENTS WHO WORK IN JURISDICTION

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:
☒ 1 Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
☐ Victims of domestic violence
☐ Substandard housing
☒ 2 Homelessness AS VERIFIED BY THE OCEAN COUNTY BOARD OF SOCIAL SERVICES
☐ High rent burden

Other preferences (select all that apply)
☒ 3 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)
☒ 1 INVOLUNTARY DISPLACEMENT AS A RESULT OF A FEDERALLY DECLARED NATURAL DISASTER NON-BERKELEY RESIDENTS

4. Relationship of preferences to income targeting requirements:
☐ The PHA applies preferences within income tiers
☒ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

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

☒ The PHA's Admissions and (Continued) Occupancy policy
☒ PHA briefing seminars or written materials
☐ Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)
☐ At an annual reexamination and lease renewal
☒ Any time family composition changes
☐ At family request for revision
☐ Other (list)

(6) Deconcentration and Income Mixing

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

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

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

B. Section 8

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

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)
☒ Criminal or drug-related activity only to the extent required by law or regulation
☒ Criminal and drug-related activity, more extensively than required by law or regulation
☐ More general screening than criminal and drug-related activity (list factors):
☐ Other (list below)

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

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

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

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

☒ Criminal or drug-related activity
☐ Other (describe below)

(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:

Extensions: A family may request an extension of the Voucher time period. All requests for exceptions must be received prior to the expiration date of the Voucher. Extensions are permissible at the discretion of the Authority up to a maximum of 120 days (60 days initial + 60 days extensions), and are granted primarily for these reasons:

a. Extenuating circumstances such as hospitalization of a family member for an extended period of time which has affected the family's ability to find a unit within the initial sixty-day period
b. The Authority is satisfied that the family has made reasonable efforts to locate a unit, including seeking the assistance of the Authority, throughout the initial sixty-day period. A complete search record is required.
c. The family was prevented from finding a unit due to disability accessibility requirements. The Search Record is part of the required verification.

The Authority grants extensions in one or more increments. Unless approved by the

Executive Director, no more than two extensions of thirty days or less will be granted. The Authority will not request HUD approval to extend Voucher beyond the above stated 120 day maximum.

(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 LOCAL RESIDENTS
☐ 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:
☒ 1 Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition) WHO ARE RESIDENTS OF THE PHA'S JURISDICTION
☒ 3 Victims of domestic violence WHO ARE RESIDENTS OF THE PHA'S JURISDICTION
☐ 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
☒ 2 Residents who live and/or work in your jurisdiction (THE PHA'S JURISDICTION, INCLUDING PERSONS RECEIVING PERMANENT STATE DISABILITY COMPENSATION)
☐ 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)
☒ 1 INVOLUNTARY DISPLACEMENT AS A RESULT OF A FEDERALLY-DECLARED NATURAL DISASTER

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 903.12(b), 903.7(d)]

A. Public Housing

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

(1) Income Based Rent Policies

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

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

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

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

b. Minimum Rent

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

☐ $0
☐ $1-$25
☒ $26-$50

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

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

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

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

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

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

☐ For the earned income of a previously unemployed household member
☐ For increases in earned income
☐ Fixed amount (other than general rent-setting policy)
If yes, state amount/s and circumstances below:

☐ Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:

☐ For household heads
☐ For other family members
☐ For transportation expenses
☐ For the non-reimbursed medical expenses of non-disabled or non-elderly families
☐ Other (describe below)

e. Ceiling rents

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

☐ Yes for all developments
☐ Yes but only for some developments
☒ No

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

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

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

☐ Market comparability study

☐ Fair market rents (FMR)
☐ 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)_____
☒ Other (list below)

Income decreases are reportable at any time; income increases are reportable within 10 days of receipt for other than those tenants on flat rents who must report increases every three years at re-examination.

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

(2) Flat Rents

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

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

B. Section 8 Tenant-Based Assistance

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

(1) Payment Standards

Describe the voucher payment standards and policies.

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

☐ At or above 90% but below100% of FMR
☐ 100% of FMR
☒ Above 100% but at or below 110% of FMR
☐ Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)
☐ FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
☐ The PHA has chosen to serve additional families by lowering the payment standard
☐ Reflects market or submarket
☐ Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)
☒ FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
☒ Reflects market or submarket
☒ To increase housing options for families
☐ Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)
☒ Annually
☐ Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)
☒ Success rates of assisted families
☒ Rent burdens of assisted families
☐ Other (list below)

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)
☐ $0
☐ $1-$25
☒ $26-$50

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

5. Capital Improvement Needs

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

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

A. Capital Fund Activities

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

(1) Capital Fund Program

a. ☒ Yes ☐ No Does the PHA plan to participate in the Capital Fund Program in the upcoming year? If yes, complete items 12 and 13 of this template (Capital Fund Program tables). If no, skip to B.

b. ☒ Yes ☐ No: Does the PHA propose to use any portion of its CFP funds to repay debt incurred to finance capital improvements? If so, the PHA must identify in its annual and 5-year capital plans the development(s) where such improvements will be made and show both how the proceeds of the financing will be used and the amount of the annual payments required to service the debt. (Note that separate HUD approval is required for such financing activities.).

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

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

(1) Hope VI Revitalization

a. ☐ Yes ☒ No: Has the PHA received a HOPE VI revitalization grant? (if no, skip to next component; if yes, provide responses to questions on chart below for each grant, copying and completing as many times as necessary)

b. Status of HOPE VI revitalization grant (complete one set of questions for each grant)
Development name:
Development (project) number:
Status of grant: (select the statement that best describes the current status)
- ☐ Revitalization Plan under development
- ☐ Revitalization Plan submitted, pending approval
- ☐ Revitalization Plan approved
- ☐ Activities pursuant to an approved Revitalization Plan underway

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

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

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

6. Demolition and Disposition

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

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

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

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

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

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

(1) ☐ Yes ☒ No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If "No", skip to the next component; if "yes", complete each program description below (copy and complete questions for each

program identified.)

(2) Program Description

a. Size of Program
☐ Yes ☐ No: Will the PHA limit the number of families participating in the Section 8 homeownership option?

If the answer to the question above was yes, what is the maximum number of participants this fiscal year?___

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

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

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

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

8. Civil Rights Certifications

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

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

9. Additional Information

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

A. PHA Progress in Meeting the Mission and Goals Described in the 5-Year Plan

(*Provide a statement of the PHA's progress against the goals and objectives established in the previous 5-Year Plan for the period FY 20___ - 20___.*

The Housing Authority of Berkeley has made the following progress:
The Authority has engaged in efforts to attract more landlords to participate in the Section 8 Program by employing telephone marketing techniques and through the dissemination of informational flyers.

The Authority is on-target with regard to completion of its CFP activities.

B. Criteria for Substantial Deviations and Significant Amendments

(1) Amendment and Deviation Definitions

24 CFR Part 903.7(r)

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

a. Substantial Deviation from the 5-Year Plan

b. Significant Amendment or Modification to the Annual Plan

C. Other Information

[24 CFR Part 903.13, 903.15]

(1) Resident Advisory Board Recommendations

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

If yes, provide the comments below:

RESIDENTS WOULD LIKE TO SEE CONTINUED EFFORTS MADE TO ENCOURAGE MORE LANDLORDS TO PARTICIPATE IN THE SECTION 8 PROGRAM IN ORDER TO INCREASE HOUSING CHOICES; AND WERE ENCOURAGED BY EFFORTS MADE TO DATE BY THE SECTION 8 AGENCY TO INTEREST LANDLORDS IN THE SECTION 8 PROGRAM. THE RESIDENT ADVISORY BOARD VOICED ITS SUPPORT OF THE PHA'S PROPOSED USE OF BOTH CAPITAL GRANT FUNDS AND CFP BOND LEVERAGING FUNDS.

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

☐ Considered comments, but determined that no changes to the PHA Plan were necessary.

☐ The PHA changed portions of the PHA Plan in response to comments
List changes below:

☒ Other: (list below)

RESIDENT COMMENTS WERE ALREADY REFLECTED IN THE PHA'S AGENCY PLAN AND ITS CFP BOND LEVERAGING PROGRAM

(2) Resident Membership on PHA Governing Board

The governing board of each PHA is required to have at least one member who is directly assisted by the PHA, unless the PHA meets certain exemption criteria. Regulations governing the resident board member are found at 24 CFR Part 964, Subpart E.

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

☒ Yes ☐ No:

If yes, complete the following:

Name of Resident Member of the PHA Governing Board:

Method of Selection:

☒ Appointment BY LOCAL GOVERNING BODY

The term of appointment is (include the date term expires): 3/30/03 – 3/31/08

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

Description of Resident Election Process

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

☐ Candidates were nominated by resident and assisted family organizations
☐ Candidates could be nominated by any adult recipient of PHA assistance
☐ Self-nomination: Candidates registered with the PHA and requested a place on ballot
☒ Other: (describe) APPOINTMENTS MADE BY LOCAL GOVERNING BODY (MAYOR AND COUNCIL)

Eligible candidates: (select one)

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

Eligible voters: (select all that apply)

☐ All adult recipients of PHA assistance (public housing and section 8 tenant-based

assistance)
☐ Representatives of all PHA resident and assisted family organizations
☐ Other (list)

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

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

Date of next term expiration of a governing board member:

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

(3) PHA Statement of Consistency with the Consolidated Plan
[24 CFR Part 903.15]
For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

Consolidated Plan jurisdiction: (provide name here) OCEAN COUNTY, NJ

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

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

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

The PHA seeks to continue its outreach program to attract new landlords to participate in the Section 8 Program.

The PHA seeks to counsel Section 8 tenants as to the location of units outside of areas of poverty or high minority concentration and assist them in locating these units; and to market the Section 8 program to owners of properties in such areas.

The PHA seeks to renovate/modernize its public housing stock in order to provide more suitable housing.

(4) (Reserved)

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

10. Project-Based Voucher Program

a. ☐ Yes ☒ No: Does the PHA plan to "project-base" any tenant-based Section 8 vouchers in the coming year? If yes, answer the following questions.

b. ☐ Yes ☐ No: Are there circumstances indicating that the project basing of the units, rather than tenant-basing of the same amount of assistance is an appropriate option?

If yes, check which circumstances apply:
☐ Low utilization rate for vouchers due to lack of suitable rental units
☐ Access to neighborhoods outside of high poverty areas
☐ Other (describe below:)

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

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

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

List of Supporting Documents Available for Review		
Applicable & On Display	**Supporting Document**	**Related Plan Component**
X	*PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans.*	Standard 5 Year and Annual Plans; streamlined 5 Year Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan.	5 Year Plans
X	Fair Housing Documentation Supporting Fair Housing Certifications: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's	5 Year and Annual Plans

List of Supporting Documents Available for Review		
Applicable & On Display	**Supporting Document**	**Related Plan Component**
	involvement.	
X	Housing Needs Statement of the Consolidated Plan for the jurisdiction(s) in which the PHA is located and any additional backup data to support statement of housing needs for families on the PHA's public housing and Section 8 tenant-based waiting lists.	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O/ACOP), which includes the Tenant Selection and Assignment Plan [TSAP] and the Site-Based Waiting List Procedure.	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Any policy governing occupancy of Police Officers and Over-Income Tenants in Public Housing. ☒ Check here if included in the public housing A&O Policy.	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the method for setting public housing flat rents. ☒ 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. ☐ Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies (if included in plan, not necessary as a supporting document) and written analysis of Section 8 payment standard policies. ☒ Check here if included in Section 8 Administrative Plan.	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation).	Annual Plan: Operations and Maintenance
X	Results of latest Public Housing Assessment System (PHAS) Assessment (or other applicable assessment).	Annual Plan: Management and Operations
	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary)	Annual Plan: Operations and Maintenance and Community Service & Self-Sufficiency
X	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
	Any policies governing any Section 8 special housing types ☐ check here if included in Section 8 Administrative Plan	Annual Plan: Operations and Maintenance
	Consortium agreement(s).	Annual Plan: Agency Identification and Operations/ Management
X	Public housing grievance procedures ☒ Check here if included in the public housing A & O Policy.	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures. ☒ Check here if included in Section 8 Administrative Plan.	Annual Plan: Grievance Procedures
X	The Capital Fund/Comprehensive Grant Program Annual Statement /Performance and Evaluation Report for any active grant year.	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants.	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
X	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing Section 504 of the Rehabilitation Act and the Americans with Disabilities Act. See PIH Notice 99-52 (HA).	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public	Annual Plan: Demolition

List of Supporting Documents Available for Review		
Applicable & On Display	**Supporting Document**	**Related Plan Component**
	housing.	and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans).	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act, Section 22 of the US Housing Act of 1937, or Section 33 of the US Housing Act of 1937.	Annual Plan: Conversion of Public Housing
X	Documentation for required Initial Assessment and any additional information required by HUD for Voluntary Conversion.	Annual Plan: Voluntary Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans.	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program (Section _____of the Section 8 Administrative Plan)	Annual Plan: Homeownership
X	Public Housing Community Service Policy/Programs ☒ Check here if included in Public Housing A & O Policy	Annual Plan: Community Service & Self-Sufficiency
X	Cooperative agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies.	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan(s) for public housing and/or Section 8.	Annual Plan: Community Service & Self-Sufficiency
X	Section 3 documentation required by 24 CFR Part 135, Subpart E for public housing.	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports for public housing.	Annual Plan: Community Service & Self-Sufficiency
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). ☐ Check here if included in the public housing A & O Policy.	Pet Policy
X	The results of the most recent fiscal year audit of the PHA conducted under the Single Audit Act as implemented by OMB Circular A-133, the results of that audit and the PHA's response to any findings.	Annual Plan: Annual Audit
	Consortium agreement(s), if a consortium administers PHA programs.	Joint PHA Plan for Consortia
	Consortia Joint PHA Plans ONLY: Certification that consortium agreement is in compliance with 24 CFR Part 943 pursuant to an opinion of counsel on file and available for inspection	Joint PHA Plan for Consortia
	Other supporting documents (optional). List individually.	(Specify as needed)

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

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

PHA Name: HOUSING AUTHORITY BERKELEY	Grant Type and Number Capital Fund Program Grant No: NJ39PO5650107 Replacement Housing Factor Grant No:	Federal FY of Grant: 2007

☒ Original Annual Statement ☐ Reserve for Disasters/ Emergencies ☐ Revised Annual Statement (revision no:)
☐ Performance and Evaluation Report for Period Ending: ☐ Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	9,294			
3	1408 Management Improvements	2,000			
4	1410 Administration	9,000			
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	6,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	14,000			
10	1460 Dwelling Structures	14,101			
11	1465.1 Dwelling Equipment—Nonexpendable	4,000			
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment	2,000			
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collaterization or Debt Service	32,899			
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	93,294			
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				

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

PHA Name: HOUSING AUTHORITY BERKELEY	Grant Type and Number Capital Fund Program Grant No: NJ39PO5650107 Replacement Housing Factor Grant No:	Federal FY of Grant: 2007

☒ **Original Annual Statement** ☐ **Reserve for Disasters/ Emergencies** ☐ **Revised Annual Statement (revision no:)**
☐ **Performance and Evaluation Report for Period Ending:** ☐ **Final Performance and Evaluation Report**

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				

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

PHA Name: HOUSING AUTHORITY OF BERKELEY		**Grant Type and Number** Capital Fund Program Grant No: NJ39P05650107 Replacement Housing Factor Grant No:				**Federal FY of Grant:** 2007		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
PHA-WIDE	OPERATIONS	1406		9,294				
PHA-WIDE	MANAGEMENT IMPROVEMENTS	1408		2,000				
PHA-WIDE	ADMINISTRATION	1410		9,000				
PHA-WIDE	A/E FEES	1430		6,000				
PHA-WIDE	SITE IMPROVEMENTS	1450		14,000				
PHA-WIDE	UPGRADE STRUCTURAL AND MECHANICAL SYSTEMS	1460		14,101				
PHA-WIDE	DWELLING EQUIPMENT	1465.1		4,000				
PHA-WIDE	NONDWELLING EQUIPMENT	1475		2,000				
PHA-WIDE	DEBT SERVICE	1501		32,899				
	GRAND TOTAL			93,294				

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

PHA Name: **HOUSING AUTHORITY OF BERKELEY**	**Grant Type and Number** Capital Fund Program No: NJ39P05650107 Replacement Housing Factor No:	**Federal FY of Grant:** 2007

Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
PHA-WIDE	8/17/09			8/17/11			

2006

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

PHA Name: HOUSING AUTHORITY OF BERKELEY	Grant Type and Number Capital Fund Program Grant No: NJ39P05650106 Replacement Housing Factor Grant No:	Federal FY of Grant: 2006

☐ Original Annual Statement ☐ Reserve for Disasters/ Emergencies ☐ Revised Annual Statement (revision no:)
☒ Performance and Evaluation Report for Period Ending: 9/30/06 ☐ Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	5,838		0	0
3	1408 Management Improvements	2,000		70.70	70.70
4	1410 Administration	10,500		10,500	777.41
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	16,057		1,500	1,500
8	1440 Site Acquisition				
9	1450 Site Improvement	10,000		6,220.61	6,220.61
10	1460 Dwelling Structures	10,000		0	0
11	1465.1 Dwelling Equipment—Nonexpendable	4,000		0	0
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment	2,000		0	0
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collaterization or Debt Service	32,899		0	0
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	93,294		18,291.31	8,568
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				

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

PHA Name: HOUSING AUTHORITY OF BERKELEY	Grant Type and Number Capital Fund Program Grant No: NJ39P05650106 Replacement Housing Factor Grant No:	Federal FY of Grant: 2006

☐ Original Annual Statement ☐ Reserve for Disasters/ Emergencies ☐ Revised Annual Statement (revision no:)
☒ Performance and Evaluation Report for Period Ending: 9/30/06 ☐ Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
26	Amount of line 21 Related to Energy Conservation Measures				

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

PHA Name: HOUSING AUTHORITY OF BERKELEY		**Grant Type and Number** Capital Fund Program Grant No: NJ39P05650106 Replacement Housing Factor Grant No:				**Federal FY of Grant:** 2006		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
PHA-WIDE	OPERATIONS	1406		5,838		0	0	
PHA-WIDE	MANAGEMENT IMPROVEMENTS	1408		2,000		70.70	70.70	
PHA-WIDE	ADMINISTRATION	1410		10,500		10,500	777.41	
PHA-WIDE	A/E FEES	1430		16,057		1,500	1,500	
PHA-WIDE	SITE IMPROVEMENTS	1450		10,000		6,220.61	6,220.61	
PHA-WIDE	UPGRADE STRUCTURAL AND MECHANICAL SYSTEMS	1460		10,000		0	0	
PHA-WIDE	DWELLING EQUIPMENT	1465.1		4,000		0	0	
PHA-WIDE	NONDWELLING EQUIPMENT	1475		2,000		0	0	
PHA-WIDE	DEBT SERVICE	1501		32,899		0	0	
	GRAND TOTAL			93,294		18,291.31	8,568.72	

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

PHA Name: **HOUSING AUTHORITY OF BERKELEY**	**Grant Type and Number** Capital Fund Program No: NJ39P05650106 Replacement Housing Factor No:	**Federal FY of Grant:** 2006

Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
PHA-WIDE	8/17/08			8/17/10			

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan **Part I: Summary**					
PHA Name BERKELEY HOUSING AUTHORITY				☐**Original 5-Year Plan** ☒**Revision No: 1**	
Development Number/Name/HA-Wide	Year 1 2007	Work Statement for Year 2 FFY Grant: 2008 PHA FY: 2008	Work Statement for Year 3 FFY Grant: 2009 PHA FY: 2009	Work Statement for Year 4 FFY Grant: 2010 PHA FY: 2010	Work Statement for Year 5 FFY Grant: 2011 PHA FY: 2011
	Annual Statement				
HA-WIDE		DEBT SERVICE	DEBT SERVICE	DEBT SERVICE	DEBT SERVICE
HA-WIDE		ADMINISTRATION	ADMINISTRATION	ADMINISTRATION	ADMINISTRATION
HA-WIDE		A/E SERVICES / CFP COORDINATOR	A/E SERVICES / CFP COORDINATOR	A/E SERVICES / CFP COORDINATOR	A/E SERVICES / CFP COORDINATOR
HA-WIDE		COMPUTER UPGRADES	COMPUTER UPGRADES	COMPUTER UPGRADES	COMPUTER UPGRADES
HA-WIDE		COMMS. / STAFF TRAINING	COMMS. / STAFF TRAINING	COMMS. / STAFF TRAINING	COMMS. / STAFF TRAINING
HA-WIDE		RANGES / REFRIGERATORS	RANGES / REFRIGERATORS	RANGES / REFRIGERATORS	RANGES / REFRIGERATORS
HA-WIDE		SITE IMPROVEMENTS	SITE IMPROVEMENTS	SITE IMPROVEMENTS	SITE IMPROVEMENTS
HA-WIDE		NON-DWELLING EQUIPMENT	NON-DWELLING EQUIPMENT	NON-DWELLING EQUIPMENT	NON-DWELLING EQUIPMENT
HA-WIDE		DWELLING EQUIPMENT	DWELLING EQUIPMENT	DWELLING EQUIPMENT	DWELLING EQUIPMENT
HA-WIDE		OPERATIONS	OPERATIONS	OPERATIONS	OPERATIONS
CFP Funds Listed for 5-year planning		93,294	93,294	93,294	93,294
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1 2007	Activities for Year :2 FFY Grant: 2008 PHA FY: 1/2008			Activities for Year: 3 FFY Grant: 2009 PHA FY: 1/2009		
	Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See	HA WIDE	ADMINISTRATION	15,000	HA WIDE	ADMINISTRATION	15,000
Annual	HA WIDE	A/E SERVICES / CFP COORDINATOR	9,812	HA WIDE	A/E SERVICES / CFP COORDINATOR	9,812
Statement	HA WIDE	COMPUTER UPGRADES	5,000	HA WIDE	COMPUTER UPGRADES	5,000
	HA WIDE	COMMS/ STAFF TRAINING	3,500	HA WIDE	COMMS/ STAFF TRAINING	3,500
	HA WIDE	RANGES / REFRIGERATORS	3,000	HA WIDE	RANGES / REFRIGERATORS	3,000
	HA WIDE	SITE IMPROVEMENTS	6,000	HA WIDE	SITE IMPROVEMENTS	6,000
	HA WIDE	NON-DWELLING EQUIPMENT	6,000	HA WIDE	NON-DWELLING EQUIPMENT	6,000
	HA WIDE	DWELLING EQUIP	5,000	HA WIDE	DWELLING EQUIP	5,000
	HA WIDE	OPERATIONS	7,083	HA WIDE	OPERATIONS	7,083
	HA WIDE	DEBT SERVICE	32,899	HA WIDE	DEBT SERVICE	32,899
Total CFP Estimated Cost			$93,294			$93,294

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1 2007	Activities for Year :4 FFY Grant: 2010 PHA FY: 2010			Activities for Year: 5 FFY Grant: 2011 PHA FY: 2011		
	Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See	HA WIDE	ADMINISTRATION	15,000	HA WIDE	ADMINISTRATION	15,000
Annual	HA WIDE	A/E SERVICES / CFP COORDINATOR	9,812	HA WIDE	A/E SERVICES / CFP COORDINATOR	9,812
Statement	HA WIDE	COMPUTER UPGRADES	5,000	HA WIDE	COMPUTER UPGRADES	5,000
	HA WIDE	COMMS/ STAFF TRAINING	3,500	HA WIDE	COMMS/ STAFF TRAINING	3,500
	HA WIDE	RANGES / REFRIGERATORS	3,000	HA WIDE	RANGES / REFRIGERATORS	3,000
	HA WIDE	SITE IMPROVEMENTS	6,000	HA WIDE	SITE IMPROVEMENTS	6,000
	HA WIDE	NON-DWELLING EQUIPMENT	6,000	HA WIDE	NON-DWELLING EQUIPMENT	6,000
	HA WIDE	DWELLING EQUIP	5,000	HA WIDE	DWELLING EQUIP	5,000
	HA WIDE	OPERATIONS	7,083	HA WIDE	OPERATIONS	7,083
	HA WIDE	DEBT SERVICE	32,899	HA WIDE	DEBT SERVICE	32,899
Total CFP Estimated Cost			$93,294			$93,294

Attachment A: Executive Summary

AGENCY PLAN
EXECUTIVE SUMMARY

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

As indicated, the Authority has adopted the following mission of HUD: To promote adequate and affordable housing, economic opportunity, and a suitable living environment free from discrimination.

The plans, statements, and policies set forth and/or referenced in this Agency Plan all lead toward the accomplishment of the Authority's goals and objectives as outlined in the 5-year Plan. The highlights of the major initiatives of the Authority's Agency Plan are as follows:

1) The Authority seeks to continue its outreach program to attract new landlords to participate in the Section 8 program.
2) The Authority seeks to maintain public housing vacancies at zero.
3) The Authority seeks to renovate/modernize public housing sites as needed.

Attachment B: Summary Of Policy And Program Changes

The Berkeley Housing Authority has made the following changes to its policies and programs since submission of its FY 2006 PHA Agency Plan:

1. The Authority has amended its Section 8 Administrative Plan and its public housing Admissions and Continued Occupancy Policy (ACOP) to reflect the implementation by the Authority of HUD's Enterprise Income Verification (EIV) System.
2. The Authority has amended its Section 8 Administrative Plan and its ACOP to reflect HUD-mandated changes in the policy and procedures pertaining to resident-paid utilities.
3. The Authority has amended its Personnel Policy to reflect an updated Military Leave Policy.
4. The Authority has adopted an updated Public Records Retention and Disposition Policy.

Attachment C: CFP Bond Leveraging Program – Debt Service Budget for FY 2007

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

PHA Name: Berkeley Housing Authority	**Grant Type and Number** Capital Fund Program Grant No: CFP BOND LEVERAGING FUNDS Replacement Housing Factor Grant No:	**Federal FY of Grant: 2007**

☒**Original Annual Statement** ☐**Reserve for Disasters/ Emergencies** ☐**Revised Annual Statement (revision no:)**
☐**Performance and Evaluation Report for Period Ending:** ☐**Final Performance and Evaluation Report**

Line No.	**Summary by Development Account**	**Total Estimated Cost**		**Total Actual Cost**	
		Original	**Revised**	**Obligated**	**Expended**
1	Total non-CFP Funds				
2	1406 Operations				
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	13,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	20,000			
10	1460 Dwelling Structures	82,000			
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collaterization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Bond Funds: (sum of lines 2 – 20)	115,000			
22	Amount of line 21 Related to LBP Activities				

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

PHA Name: Berkeley Housing Authority	**Grant Type and Number** Capital Fund Program Grant No: CFP BOND LEVERAGING FUNDS Replacement Housing Factor Grant No:	**Federal FY of Grant: 2007**

☒**Original Annual Statement** ☐**Reserve for Disasters/ Emergencies** ☐**Revised Annual Statement (revision no:)**
☐**Performance and Evaluation Report for Period Ending:** ☐**Final Performance and Evaluation Report**

Line No.	**Summary by Development Account**	**Total Estimated Cost**		**Total Actual Cost**	
		Original	**Revised**	**Obligated**	**Expended**
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				

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

PHA Name: Berkeley Housing Authority	**Grant Type and Number** Capital Fund Program Grant No: CFP BOND LEVERAGING FUNDS Replacement Housing Factor Grant No:	**Federal FY of Grant:** 2007

Development Number Name/HA-Wide Activities	General Description of Major Work Categories		Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
					Original	Revised	Funds Obligated	Funds Expended	
HA-WIDE	A/E SERVICES		1430		13,000				
HA-WIDE	SITE IMPROVEMENTS, INCLUDING FENCING, POLE LIGHTING, PAVING, MASONRY/CONCRETE WORK, LANDSCAPING, ETC.		1450	17% OF SITES	20,000				
HA-WIDE	REPLACE ROOFS		1460	5 BLDGS	32,000				
HA-WIDE	UPGRADE/RENOVATE MAINT. SHOP / LAUNDR RM STRUCTURE		1460	34% OF STRUCTURE	50,000				

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

PHA Name: Berkeley Housing Authority Debt Service Budget	**Grant Type and Number** Capital Fund Program No: CFP BOND LEVERAGING FUNDS Replacement Housing Factor No:	**Federal FY of Grant:** 2007

Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
PHA-Wide	6/30/07			12/31/08			

Capital Fund Program Five-Year Action Plan for Bond Leveraging Funds
Part I: Summary

PHA Name Berkeley Housing Authority				☒**Original 5-Year Plan** ☐**Revision No:**	
Development Number/Name/ HA-Wide	Year 1 2006	Work Statement for Year 2 FFY Grant: 2008 PHA FY: 1/08	Work Statement for Year 3 FFY Grant: 2009 PHA FY: 1/09	Work Statement for Year 4 FFY Grant: 2010 PHA FY: 1/10	Work Statement for Year 5 FFY Grant: 2011 PHA FY: 1/11
	Annual Statement				
PHA-WIDE		A/E SERVICES	A/E SERVICES		
PHA-WIDE		SITE IMPROVEMENTS, INCLUDING FENCING, POLE LIGHTING, MASONRY/CONCRETE WORK, LANDSCAPING, ETC. (9% OF SITES)	SITE IMPROVEMENTS, INCLUDING FENCING, POLE LIGHTING, MASONRY/CONCRETE WORK, LANDSCAPING, ETC. (74% OF SITES)		
PHA-WIDE		REPLACE ROOFS (10 BLDGS)	REPLACE ROOF (1 BLDG)		
PHA-WIDE		UPGRADE/RENOVATE MAINT. SHOP/ LAUNDRY RM STRUCTURE (67% OF STRUCTURE)			
PHA-WIDE		INSTALL HVAC EQUIP			
PHA-WIDE		INSTALL SURVEILLANCE CAMERA			
PHA-WIDE					
CFP Funds Listed for 5-year planning		185,000	100,000	0	0
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1	Activities for Year :__2__ FFY Grant: 2008 PHA FY: 1/08			Activities for Year: _3__ FFY Grant: 2009 PHA FY: 1/09		
	Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See	PHA-WIDE	A/E SERVICES	7,000	PHA-WIDE	A/E SERVICES	6,200
Annual	PHA-WIDE	SITE IMPROVEMENTS, INCLUDING FENCING, POLE LIGHTING, MASONRY/CONCRETE WORK, LANDSCAPING, ETC. (9% OF SITES)	10,500	PHA-WIDE	SITE IMPROVEMENTS, INCLUDING FENCING, POLE LIGHTING, MASONRY/CONCRETE WORK, LANDSCAPING, ETC. (74% OF SITES)	87,100
Statement	PHA-WIDE	REPLACE ROOFS (10 BLDGS)	59,300	PHA-WIDE	REPLACE ROOF (1 BLDG)	6,700
		UPGRADE/RENOVATE MAINT. SHOP/ LAUNDRY RM STRUCTURE (67% OF STRUCTURE)	100,000			
	PHA-WIDE	INSTALL HVAC EQUIP	2,700			
	PHA-WIDE	INSTALL SURVEILLANCE CAMERA	5,500			
Total CFP Estimated Cost			$185,000			$100,000

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year :__4__ FFY Grant: 2010 PHA FY: 1/10			Activities for Year: _5__ FFY Grant: 2011 PHA FY: 1/11		
Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
Total CFP Estimated Cost		0			0

NARRATIVE REPORT ON THE CFP BOND LEVERAGING PROGRAM FOR THE BERKELEY HOUSING AUTHORITY

INTRODUCTION

The purpose of this plan is to set forth the scope of the modernization work to be undertaken and completed by the Berkeley Housing Authority (hereinafter referred to as the "Housing Authority," the "HA," or the "Authority") under a proposed $485,000 bond issue; and the plan for financing same. Also set forth in this report are the following justifications:

A. A statement of need explaining how the proposed modernization activity was selected and a statement affirming that a need assessment was conducted to determine that the proposed activity is the most critical activity in regard to the HA's portfolio; explaining how the annual CFP grant funds remaining after payment of debt service will be sufficient to fund ongoing capital needs during the life of the bond; and setting forth the rationale for financing the proposed activities versus funding same with annual grant funds.
B. A brief description of the modernization activities that will be funded with the bond proceeds, including project numbers and the number of units.
C. A brief description of the HA's construction management and financial control mechanisms.
D. A brief description of the relevant financing and construction experience of the HA.

THE PLAN FOR FINANCING THE PROPOSED MODERNIZATION ACTIVITY

The Housing Authority proposes to use a portion (approximately 30%) of its annually appropriated Capital Grant Funds to play debt service on a 20-year fixed rate tax exempt bond obligation totaling $485,000, which would be issued by the HA through a public offering using the capital markets. The bond proceeds, after the deduction of financing fees (estimated at $10,000) would be used by the HA to fund modernization activities described further in this report. The bonds would be secured by a pledge of the HA's annual Capital Grant Fund appropriations over the 20-year life of the bonds. The HA would establish the required debt service fund.

The bond under writer will assist the HA in structuring the bond transaction and its creditworthiness and offering the bonds for sale to the public. Bond Counsel will be responsible for preparing the bond resolution, the trust indenture and other documents required to authorize the issuance of the bonds; and for delivering the needed opinion regarding the exemption of interest income on the bonds from federal and state taxes, etc.

THE STATEMENT OF NEED

The HA has determined, based on a management and physical needs assessment conducted by L.S. Engineering, that the selected modernization activities are the most

critical activities in regard to the HA's portfolio.

The HA further determined, as a result of the findings under the aforesaid assessment, that the annual grant remaining after payment of debt service on the bonds will be sufficient to fund ongoing capital needs over the life term of the bonds.

The HA's rationale for financing the proposed modernization activities via the proceeds from the bond issue versus funding the activities with annual Capital Grants is based on the fact that the costs of such activities are far too great to cover with annual Capital Grant funds, and the need for undertaking and completing the proposed activities within a time period of four years or less, as opposed to a longer time period, is of a critical nature.

A BRIEF DESCRIPTION OF THE PROPOSED MODERNIZATION ACTIVITIES:

The activities proposed to be funded with bond proceeds are:

PROJECT NO.	NO. OF UNITS	PROPOSED MOD ITEM	ESTIMATED COST
HA-WIDE	70	Site improvements, including fencing, pole lighting, masonry/concrete work, landscaping, etc.	117,600
HA-WIDE	70	replace roofs on 16 buildings	98,000
HA-WIDE	70	upgrade/renovate maintenance shop/laundry room structure	150,000
HA-WIDE	70	install surveillance camera	5,500
HA-WIDE	70	install HVAC equipment	2,700
HA-WIDE	70	A/E services on above items	26,200
TOTAL			400,000

DESCRIPTION OF THE CONSTRUCTION MANAGEMENT AND FINANCIAL CONTROL MECHANISMS

The payments from the Trustee held funds must be made in accord with the process described in the bond indenture. See attachment hereto with regard to same (below).

Please note that the participations in the New Jersey CFP Bond Leveraging Program have agreed that the program is to include modernization activity only.

DESCRIPTION OF THE RELEVANT FINANCING AND CONSTRUCTION EXPERIENCE OF THE HA

The Housing Authority's relevant experience in the subject areas has been acquired via the HA's participation over the past decade in a comprehensive and ongoing program

designed to modernize its public housing units; and via the day-to-day management and financial operations of its public housing and Section 8 Housing Choice Voucher Programs.

ATTACHMENT

The payments from the Trustee held funds must follow the process described in the Indenture as described below.

Per Section 4.02 of the Indenture

Payments from the Project Fund for the Project. Payments from the Project Fund shall be made only upon compliance with the following:
The Trustee shall pay costs of issuance of the Bonds or of any additional Bonds out of the Costs of Issuance Account as are authorized by a closing statement delivered at settlement for the Bonds or such additional Bonds, respectively. Any such closing statement shall be signed by an Authorized Officer of the Agency and shall specify the person to whom payment is to be made, the obligation on account of which the payment is to be made, and the amount payable with respect thereto

Each Housing Authority shall prepare and file with the Trustee a project budget (the "Project Budget") for each of its Projects showing a detailed estimate of the Costs of the Project and a projected disbursement schedule at the time the Bonds are issued. The Project Budget shall be updated each fiscal year by the Housing Authority or more frequently, if required, to reflect any material changes in the Project Budget or the projected disbursement schedule and each updated Project Budget and project disbursement schedule shall be filed promptly with the Agency and the Trustee.

Except as provided in subsections (a) and (b) above, all payments from each account with in the Project Fund funded with the proceeds of the Bonds and any additional Bonds shall be made only upon receipt by the Trustee of a requisition signed by an Authorized Officer of each of the Housing Authority and the Agency. The Housing Authority shall present each requisition to the Agency for execution. The Agency shall, within three (3) business days from the date such requisition is received by it, (i) excecute such requisition and forward it to the Trustee, or (ii) advise the Housing Authority submitting the requisition and the Trustee of its refusal to execute such requisition and state the reasons therefore. Each such requisition shall state: (i) the name and address of the person to whom the payment is to be made (which may be the Housing Authority); (ii) the amount to be paid; (iii) the obligation on account of which the payment is to be made, showing the total obligation, any amount previously paid, and the unpaid balance; (iv) that the obligation was properly incurred and is a proper charge against the Project Fund; and (v) that the amount requisitioned is due and unpaid. Each such requisition shall further include (1) a certificate of the Housing Authority stating that the work, material or other purchased item to which the payment relates has been accomplished, delivered or installed in such a

manner satisfactory to the Housing Authority; and (2) satisfactory evidence or an opinion of counsel or a certificate of an architect to the effect that the Housing Authority has made all submissions to governmental authorities and has obtained all licenses, permits and approvals required by state law for the financing or refinancing, installation or construction and operation of the Project, to the extent the same are needed at the time of the first requisition relating to that portion of the Project, given the current status of the Project, and in the case of such opinion, that based upon inquiry to appropriate officers of the Housing Authority, such counsel has no reason to believe that any approvals and permits thereafter required for such purpose will not be granted. If the Housing Authority has previously provided the item listed in (2) of the previous sentence to the Trustee with respect to the Project to which the requisition relates, then the requisition shall include a certificate of the Housing Authority stating that such items were previously provided to the Trustee.

In addition, the Program Agreement among the Housing Authorities, the NJHMFA and the Trustee, which the document wherein the Housing Authorities pledge their capital grant allocations for payment of debt service, also requires the herein described process for the payment of the funds:

Per the Terms of the Program Agreement:

Section 4.04. Proceeds of the HMFA Bonds. (a) A portion of the proceeds of the HMFA Bonds shall be applied to accrued interest, if any, costs of issuance thereof, including if applicable the costs of bond issuance, capitalized interest, if any, HMFA's first year's administrative fee, the Trustee's first year's fees, fees for services of special counsel and financial advisor to the Representative, fees of local counsel or other consultants to the Housing Authorities paid in connection with the issuance of the HMFA Bonds, and other traditional bond issuance costs, including but not limited to Bond Counsel Fees, Rating Agency fees, in amounts agreed to by the HMFA and the Representative, a Debt Service Reserve Fund or the cost of a surety or other Debt Service Reserve Fund Credit Instrument, if necessary by the Rating Agency or any Bond Insurer, and for Capital projects of the respective Housing Authorities in accorandance withtheir respective ACC's, and all other Program Expenses, including Scheduled Program Expenses, as shall be more fully set forth in the Indenture.

(b) Proceeds of the HMFA Bonds held by the Trustee for the Capital Projects of Housing Authorities in accordance with their respective ACC's shall be invested by the Trustee, pending disbursement for such Capital Project costs, in United States Treasury Obligations or such other securities as permitted under the indenture with the consent of the Representative. All earnings thereon shall be retained for the benefit of the respective Housing Authorities, pending disbursement for Capital projects.

(c) Each Housing Authority may requisition any such finds held by the Trustee for Capital Projects in accordance with their respective ACC's by submitting to the Trustee a written and duly authorized and executed requisition of such funds in accordance with the terms of the Indenture, which shall provide, at a minimum, that an authorized officer of the respective Housing Authority shall state in any such requisition that (i) the Capital

Projects for which disbursement of funds are being requested are eligible costs under the Capital Fund Program and under the ACC, and are otherwise in compliance with Tax Letter of Representations and the other Housing Authority Documents, (ii) the Capital Projects for which disbursement of funds are being requested have not been the basis of any previous withdrawal, (iii) that attached thereto, are invoices or other evidence that such Capital Project costs have been incurred, (iv) that attached thereto is a copy of a resolution of the governing body of the Housing Authority approving payment to vendors or reimbursement for prior advances relating to the items of eligible costs under the Capital Fund Program detailed in any such requisition and (v) that attached thereto is a certificate of the architect or engineer appointed by the Housing Authority recommending payment of any such requisition.

Sevtion 4.05. Capital Projects

(a) The Housing Authorities may substitute Capital Projects in accordance with terms of their respective ACC's, including Section 4(H) of the ACC Financing Amendments, provided that any such substitution thereof complies with subsection (c) hereof and does not materially adversely affect any representations, warranties or covenants of the respective Housing Authorities set forth in their respective Tax Letter of Representations, unless accompanied by an opinion of nationally recognized bond counsel, and acceptable to HMFA, to the effect that any such substitution does not adversely affect the exclusion of interest from the gross income of the holders of Bonds for Federal income tax purposes.

(b) The Housing Authorities hereby grant the Representative and HMFA that right to compel any such Housing Authority to submit to HUD an annual Capital Fund Program plan and/or an annual Capital Fund Program amendment in accordance with Section 4(E) of the ACC Financing Amendment applicable to any such Housing Authority to the extent any such plan or amendment has not been approved at the time that is forty-five (45) or fewer days prior to any payment date of the principal of (including sinking fund installments) and interest on the Bonds in order to assure that HUD will be able, subject to Congressional appropriation, to make Pledged Capital Fund Allocation payments to the Trustee in a timely manner to make the applicable Pledged Capital Fund Allocation Payments when due and in full.

(c) Capital Projects shall be further limited to roofs, windows and doors, masonry and brickwork, elevator replacements and upgrades, security improvements and upgrades, major site improvements, mechanical systems, nondwelling structures, apartment improvements and any other improvements/repairs that are within the definition of HUD account nos. 1450, 1460 and 1470, together with the architectural services, engineering services and other administrative costs related thereto that are within the definition of HUD account nos. 1408, 1410 and 1430, unless HMFA, HUD and the Representative shall agree to expand Capital Projects to additional items not within the purview of this subsection (c), provided further that HMFA receives an opinion of nationally recognized bond counsel that such additional category of items shall not cause the interest on the HMFA Bonds or other series of Tax-exempt Bonds to lose their exclusion from gross income for Federal income tax purposes.

(d) No later than the date of execution of the Letter of Representations (i.e., the sale of the HMFA Bonds), each Housing Authority shall provide a Capital Project budget to the Representative detailing the Capital Projects to be funded from a portion of the HMFA Bonds by (i) HUD account number, (ii) estimated cost, (iii) estimated draw schedule (which shall, if applicable, be binding against the Housing Authorities to the extent the Housing Authorities desire to draw money sooner than anticipated because it is anticipated HMFA will direct its Trustee to invest the Bond proceeds in the aggregate to maximize investment earnings) and (iv) estimated start and completion dates per Capital Project.

In addition, pursuant to the Program Agreement (see language of Section 4.06 below), each Housing Authority has convenanted: 1. to submit additional quarterly reports to the Newark Area office (see Exhibit F herein) and to enhance its annual audit by its external auditor to include verification of compliance with the requirements of the leveraging program. These requirements also were made pursuant to the Rating Agency's request for on-going monitoring of the use of the Capital Funds throughout the life of the Bond.

Section 4.06. Reports

(a) Each Housing Authority shall submit to HUD, the Trustee, the Rating Agency and any Bond Insurer a quarterly progress report of all monies expended and reimbursed for Capital Projects under the Capital Fund Program, which report shall be set forth in a form to be provided by the Representative attached to the Agency Agreement. Each such report shall be so submitted by the last day of the month following the end of each calendar quarter, and shall be executed by an authorized officer of each such Housing Authority designated by such Housing Authority (pursuant to section 6.03 hereof) to be the contact person for HUD engineers with any questions or comments regarding such report. This report shall be accompanied by a narrative when there are any substantial changes from the original budget submitted pursuant to Section 4.04(d) above, deviations in acquisition, construction or implementation schedules and when Capital Projects have been completed.

(b) In preparing its annual audits to HUD pursuant to their respective ACC's, the Housing Authorities shall separate out the Capital Fund Program expenditures and revenues, and to the extent practical, further delineate such expenditures by Capital Project.

(c) During the construction period for Capital Projects funded from a portion of the proceeds of the HMFA Bonds, the required annual audit of each Housing Authority will specifically require a supplemental schedule of such Housing Authority's leveraging activity. Included will be the construction funds requisitioned from the Trustee, funds expended during the audit period and cumulatively for the period since the date of issuance of the HMFA Bonds.

(d) As part of the annual audit process, the auditor shall verify that all filings have been provided to HUD, both financial and otherwise, and shall include a separate report on compliance with HUD rules and regulations that may jeopardize or delay funding of Capital Fund Allocations. This would include timely

submissions of the Housing Authority's annual and 5 year plans, compliance with timely obligation and expenditure of existing capital fund programs and outstanding response to any HUD reviews resulting in corrective action plans. Such annual reports shall be complete no later than on hundred twenty (120) days after the end of each Housing Authority's Fiscal Year end, and shall also be provided to the Rating Agency and any Bond Insurer.

MEMORANDUM

The Berkeley Housing Authority has prepared its FY 2007 Agency Plan in compliance with section 511 of the Quality Housing and Work Responsibility Act of 1998 and ensuing HUD requirements. In accordance with said requirements, the Authority conducted a public hearing in order to invite public discussion on the Agency Plan. Proper notice of the hearing was given via publication in a newspaper of general circulation in the area of the PHA's jurisdiction at least 45 days prior to the hearing date.