

**PHA Plans**  
**Streamlined Annual**  
**Version**

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

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

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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937 that introduced 5-year and annual PHA Plans. The full PHA plan provides a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form allows eligible PHAs to make a streamlined annual Plan submission to HUD consistent with HUD's efforts to provide regulatory relief for certain types of 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.

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**Streamlined Annual PHA Plan**  
**for Fiscal Year: 2009**

**PHA Name: Housing Authority of  
Mt. Sterling, KY**

**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.**

## Streamlined Annual PHA Plan Agency Identification

**PHA Name: Mt. Sterling**

**PHA Number: KY020**

**PHA Fiscal Year Beginning: (mm/yyyy) 01/2009**

**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: 225  
 Number of S8 units:

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

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:				

**PHA Plan Contact Information:**

Name: **Ron Clark, Executive Director**      Phone: **859-498-5592**  
 TDD: **1-800-648-6056**                              Email (if available): **hamtster@bellsouth.net**

**Public Access to Information**

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

**PHA's main administrative office**   
  PHA's development management offices

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

The PHA Plan revised policies or program changes (including attachments) are available for public review and inspection.   
 Yes   
 No.

If yes, select all that apply:

- Main administrative office of the PHA**
- PHA development management offices
- Main administrative office of the local, county or 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 Annual PHA Plan**  
**Fiscal Year 2009**  
[24 CFR Part 903.12(c)]

**Table of Contents**  
[24 CFR 903.7(r)]

Provide a table of contents for the Plan, including applicable additional requirements, and a list of supporting documents available for public inspection.

**A. PHA PLAN COMPONENTS**

- 1. Site-Based Waiting List Policies  
**903.7(b)(2) Policies on Eligibility, Selection, and Admissions**
- 2. Capital Improvement Needs  
**903.7(g) Statement of Capital Improvements Needed**
- 3. Section 8(y) Homeownership  
**903.7(k)(1)(i) Statement of Homeownership Programs**
- 4. Project-Based Voucher Programs
- 5. PHA Statement of Consistency with Consolidated Plan. Complete only if PHA has changed any policies, programs, or plan components from its last Annual Plan.
- 6. Supporting Documents Available for Review
- 7. Capital Fund Program and Capital Fund Program Replacement Housing Factor, Annual Statement/Performance and Evaluation Report
- 8. Capital Fund Program 5-Year Action Plan

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

**Form HUD-50076, *PHA Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Streamlined Annual Plan*** identifying policies or programs the PHA has revised since submission of its last Annual Plan, and including Civil Rights certifications and assurances the changed policies were presented to the Resident Advisory Board for review and comment, approved by the PHA governing board, and made available for review and inspection at the PHA's principal office;

For PHAs Applying for Formula Capital Fund Program (CFP) Grants:

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

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

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

### **1. Site-Based Waiting Lists (Eligibility, Selection, Admissions Policies)**

[24 CFR Part 903.12(c), 903.7(b)(2)]

Exemptions: Section 8 only PHAs are not required to complete this component.

#### **A. 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 B. **NO**

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

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:

#### **B. 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 next component.

1. How many site-based waiting lists will the PHA operate in the coming year? **None (0)**
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)? **Not Applicable**  
If yes, how many lists? **N/A**

3.  Yes  No: May families be on more than one list simultaneously  
If yes, how many lists? **N/A**
4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)? **N/A**
- 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)

## **2. Capital Improvement Needs**

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

Exemptions: Section 8 only PHAs are not required to complete this component.

### **A. Capital Fund Program**

1.  Yes  No Does the PHA plan to participate in the Capital Fund Program in the upcoming year? If yes, complete items 7 and 8 of this template (Capital Fund Program tables). If no, skip to B.
2.  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: 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.  Yes  No: Has the PHA received a HOPE VI revitalization grant? (if no, skip to #3; if yes, provide responses to the items on the chart located on the next page, copying and completing as many times as necessary).
2. Status of HOPE VI revitalization grant(s): **N/A**

<b>HOPE VI Revitalization Grant Status</b>	
a. Development Name:	
b. Development Number:	
c. Status of Grant:	
<input type="checkbox"/>	Revitalization Plan under development
<input type="checkbox"/>	Revitalization Plan submitted, pending approval
<input type="checkbox"/>	Revitalization Plan approved
<input type="checkbox"/>	Activities pursuant to an approved Revitalization Plan underway

3.  Yes  No: Does the PHA expect to apply for a HOPE VI Revitalization grant in the Plan year?  
If yes, list development name(s) below:

4.  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:

5.  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:

**3. Section 8 Tenant Based Assistance--Section 8(y) Homeownership Program**  
(if applicable) [24 CFR Part 903.12(c), 903.7(k)(1)(i)] **Not Applicable**

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:

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):

- 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.
- 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.
- Partnering with a qualified agency or agencies to administer the program (list name(s) and years of experience below):
- Demonstrating that it has other relevant experience (list experience below):

#### **4. Use of the Project-Based Voucher Program – Not Applicable**

##### **Intent to Use Project-Based Assistance**

Yes  No: Does the PHA plan to “project-base” any tenant-based Section 8 vouchers in the coming year? If the answer is “no,” go to the next component. If yes, answer the following questions.

1.  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):
2. Indicate the number of units and general location of units (e.g. eligible census tracts or smaller areas within eligible census tracts):

#### **5. 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) only if the PHA has provided a certification listing program or policy changes from its last Annual Plan submission.

1. Consolidated Plan jurisdiction: **Commonwealth of Kentucky**

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

- The PHA has based its statement of needs of families on its waiting lists 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)

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

### Goals and Objectives

The overall goal of the housing portion of the strategic plan is to provide decent, safe and sanitary housing by maintaining and increasing affordable housing opportunities for lower-income Kentuckians. This goal can be accomplished through the following objectives:

To increase and preserve the supply of safe, decent, sanitary and affordable rental housing for low-income families through new construction and/or acquisition, rehabilitation and tenant-based rental assistance.

To provide assistance to low-income homeowners in need of major and minor housing rehabilitation and repair.

To expand homeownership opportunities and promote self-sufficiency for low-income families through financial assistance, homeownership counseling and other related educational opportunities.

To promote housing opportunities for persons with special housing needs by increasing awareness and providing technical assistance to housing and service providers.

To encourage and strengthen partnerships among local governments, public agencies, for-profit and nonprofit organizations through enhanced coordination for the effective and efficient use of affordable housing resources.

Affordable housing needs differ from community to community across the state. Geographical location, area median income, number of families living at or below the poverty rate, existing housing condition and overall economic condition all determine the types of affordable housing programs and services that are required to meet the housing

need in a community. Kentucky's regional differences and accompanying unique housing needs were confirmed both through public meetings and research conducted for development of this plan.

The Housing Need and Market Analysis section illustrates how the overall affordable housing needs of low-income families across the state are not being sufficiently met. The need for affordable housing far outweighs the supply. An adequate response to this need is impeded by the limited amount of funding available.

### **Priority Public Housing Needs**

While neither Kentucky Housing Corporation (KHC) nor the Kentucky Department for Local Government (DLG) has jurisdiction over public housing agencies (PHAs) in Kentucky, PHAs and other housing and community development agencies that use federal funds are required to obtain a certification that their program plans are consistent with the Consolidated Plan for their jurisdiction. The Consolidated Plan for the Commonwealth of Kentucky serves the majority of the state, while only a few urban localities develop Consolidated Plan documents for their jurisdictions. KHC serves as the Commonwealth's lead agency for reviewing plans for consistency with the Consolidated Plan. Generally, applicants for federal funds submit their requests for a Certification of Consistency with the Consolidated Plan to KHC prior to submitting their application to the appropriate federal agency. At KHC, the requests are typically forwarded to the research analyst for review.

In March 2004, KHC further simplified the certification process by creating a Web page for submitting requests online. Applicants are requested to submit pertinent project information along with a summary of their proposal. Signed forms are generally returned within fourteen days and can be sent via facsimile and/or mailed. The majority of requests come from local public housing agencies (PHAs) in conjunction with their five-year and annual agency plans to the U.S. Department of Housing and Urban Development (HUD). Other requests are generated by applicants seeking HUD and Federal Home Loan Bank funds for housing projects.

In February 2004, KHC surveyed public housing agencies in the state to assess their priority needs. Fifty-eight PHAs, just under half of the approximately 130 agencies in Kentucky, returned survey forms. KHC will use the survey information as a guide for reviewing PHA program plans for consistency with the Consolidated Plan.

Analysis of the PHA survey responses revealed three high-priority areas. It is not surprising that these areas were capital improvements, modernization and management and operations. A large number of public housing complexes were constructed several decades ago in the heyday of public housing development. Now those units are exhibiting signs of deterioration and major maintenance needs. The age of the housing units, coupled with inadequate resources for proper upkeep over the years, has precipitated the high priority needs under the revitalization and restoration category. Under the management and operations category respondents substantiated the high priority status by citing needs for additional funding for general operations, computer equipment and training, additional staff, emergency housing and fees and costs. Additionally, respondents asserted the rising need for resident services.

## **Public Housing Priority Needs**

Capital Improvements - High

Modernization - High

Rehabilitation - Medium

Revitalization and Restoration Other - Medium

Management And Operations - High

Neighborhood Revitalization - Low

Capital Improvements - Medium

Safety/Crime Prevention - Medium

Improved Living Environment Other - Medium

Resident Services/Family Self-Sufficiency Medium Economic Opportunity Other - Low

## **Housing Goals and Objectives**

Housing needs across the state vary from community to community. The overall housing goals and objectives developed for the Consolidated Plan allow these different housing needs to be met. The Strategic Plan goals and objectives cover five years – Federal Fiscal Years 2004 through 2008. The overall goal of the housing portion of the strategic plan is to provide decent, safe and sanitary housing by maintaining and increasing affordable housing opportunities for lower-income Kentuckians. This goal can be accomplished through the following objectives:

- To increase and preserve the supply of safe, decent, sanitary and affordable rental housing for low-income families through new construction and/or acquisition, rehabilitation and tenant-based rental assistance.
- To provide assistance to low-income homeowners in need of major and minor housing rehabilitation and repair.
- To expand homeownership opportunities and promote self-sufficiency for low income families through financial assistance, homeownership counseling and other related educational opportunities.
- To promote housing opportunities for persons with special housing needs by increasing awareness and providing technical assistance to housing and service providers.
- To encourage and strengthen partnerships among local governments, public agencies, for-profit and nonprofit organizations through enhanced coordination for the effective and efficient use of affordable housing resources.
- To assist the state in meeting these goals, the following performance benchmarks were developed in regard to overall housing production and housing needs assistance. Funds that will be used to meet these benchmarks are the Community Development Block Grant (CDBG), HOME Investment Partnerships Program (HOME), Emergency Shelter Grant (ESG) and Housing Opportunity for Persons with AIDS (HOPWA) programs.

## **MISSION STATEMENTS**

### **HOUSING AUTHORITY OF MT. STERLING, KY**

1. The mission of the Housing Authority of Mt. Sterling is to promote adequate, affordable housing, economic opportunity, and a suitable living environment for the families we serve, without discrimination.
2. The Housing Authority of Mt. Sterling is committed to providing quality, affordable housing in a safe environment. Through partnerships with our residents and other groups we will provide opportunities for those we serve to become self-sufficient.
3. The mission of the Housing Authority of Mt. Sterling is to be the community's affordable housing of choice. We provide and maintain safe, quality housing in a cost-effective manner.
4. The Housing Authority of Mt. Sterling is committed to providing quality, affordable housing and services in an efficient manner.
5. The mission of the Housing Authority of Mt. Sterling is to serve the citizens of Mt. Sterling by:
  - Providing affordable housing opportunities in a safe environment.
  - Revitalizing and maintaining neighborhoods.
  - Forming effective partnerships to maximize social and economic opportunities.

The mission shall be accomplished by a fiscally responsible organization committed to excellence in public service.

6. Our mission is to provide quality housing to eligible people in a professional, fiscally prudent manner and be a positive force in our community by working with others to assist these families with appropriate supportive services.
7. The mission of the Housing Authority of Mt. Sterling is to assist low-income families with safe, decent, and affordable housing opportunities as they strive to achieve self-sufficiency and improve the quality of their lives. The Housing Authority of Mt. Sterling is committed to operating in an efficient, ethical, and professional manner. The Housing Authority of Mt. Sterling will create and maintain partnerships with its clients and appropriate community agencies in order to accomplish this mission.

8. The mission of the Housing Authority of Mt. Sterling is to be the leader in making excellent affordable housing available for low and moderate-income persons through effective management and the wise stewardship of public funds. We will also partner with our residents and others to enhance the quality of life in our communities.
9. The Housing Authority of Mt. Sterling is committed to excellence in offering quality affordable housing options and opportunities for the residents of Mt. Sterling.
10. The Housing Authority of Mt. Sterling is committed to building better neighborhoods by providing comprehensive housing opportunities for qualified individuals and families through creative and professional service in partnership with the greater community.

### **MISSION STATEMENTS**

#### **HOUSING AUTHORITY OF MT. STERLING, KY**

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## **GOALS AND OBJECTIVES**

### ***MANAGEMENT ISSUES***

#### **Goals**

1. Manage the Housing Authority of Mt. Sterling's existing public housing program in an efficient and effective manner thereby qualifying as at least a standard performer.
2. Manage the Housing Authority of Mt. Sterling in a manner that results in full compliance with applicable statutes and regulations as defined by program audit findings.

#### **Objectives**

1. HUD shall recognize the Housing Authority of Mt. Sterling as a high performer by December 31, 2009.
2. The Housing Authority of Mt. Sterling shall make our public housing units more marketable to the community as evidenced by an increase in our waiting list to one that requires a three-month wait for housing by December 31, 2009.
3. By December 31, 2009, the Housing Authority of Mt. Sterling shall have a waiting list of sufficient size so we can fill our public housing units within 21 days of them becoming vacant.
4. The Housing Authority of Mt. Sterling shall increase the percentage of rents collected from 96% to 99% by December 31, 2009.
5. The Housing Authority of Mt. Sterling shall achieve and sustain an occupancy rate of 98% by December 31, 2009.
6. The Housing Authority of Mt. Sterling shall promote a motivating work environment with a capable and efficient team of employees to operate as a customer-friendly and fiscally prudent leader in the affordable housing industry.

### ***EXPANSION OF THE STOCK ISSUES***

#### **Goals**

1. Adapt the Housing Authority of Mt. Sterling's housing stock and program resources to more closely meet the housing needs and markets identified in our needs assessment.
2. Assist our community increase the availability of affordable, suitable housing for families in the very-low income range, cited as a need in our Consolidated Plan.

#### **Objectives**

1. The Housing Authority of Mt. Sterling shall assist four (4) families move from renting to homeownership by December 31, 2009.

### ***MARKETABILITY ISSUES***

#### **Goals**

1. Enhance the marketability of the Housing Authority of Mt. Sterling's public housing units.
2. Make public housing the affordable housing of choice for the very low-income residents of our community.

### **Objectives**

1. The Housing Authority of Mt. Sterling shall achieve a level of customer satisfaction that gives the agency the highest score possible in this element of the Public Housing Assessment System.
2. The Housing Authority of Mt. Sterling shall remove all graffiti within 24 hours of discovering it.
3. The Housing Authority of Mt. Sterling shall achieve proper curb appeal for its public housing developments by improving its landscaping, keeping its grass cut, making the properties litter-free and other actions by December 31, 2009.
4. The Housing Authority of Mt. Sterling shall become a more customer-oriented organization.

### **SECURITY ISSUES**

#### **Goals**

1. Provide a safe and secure environment in the Housing Authority of Mt. Sterling's public housing developments.
2. Improve resident and community perception of safety and security in the Housing Authority of Mt. Sterling's public housing developments.

#### **Objectives**

1. The Housing Authority shall reduce crime in its developments by and additional 10% by December 31, 2009.
2. The Housing Authority shall reduce/maintain crime in its developments so that the crime rate is less than their surrounding neighborhood by December 31, 2009.
3. The Housing Authority shall refine the memorandum of understanding between the jurisdiction's police force and this agency. The purpose of this is to better define the "edge problem" of crime that occurs near our developments and develop strategies for identifying and reducing this problem.

4. The Housing Authority shall reduce its evictions due to violations of criminal laws by 20% by December 31, 2009, through aggressive screening procedures.
5. The Housing Authority shall retain 5 police officers who currently live in its developments for the calendar year ending December 31, 2009. This is the HUD approved number of police units.

## ***MAINTENANCE ISSUES***

### **Goals**

1. Maintain the Housing Authority of Mt. Sterling's real estate in a decent, safe and sanitary condition.
2. Deliver timely and high quality maintenance service to the residents of the Housing Authority of Mt. Sterling.

### **Objectives**

1. The Housing Authority of Mt. Sterling shall maintain all of its units in full compliance with the Housing Code for the calendar year ending December 31, 2009.
2. The Housing Authority of Mt. Sterling shall review and revise and update its Preventative Maintenance plan as required by December 31, 2008.
3. The Housing Authority of Mt. Sterling shall continue to create an appealing, up-to-date environment in its developments.
4. The Housing Authority of Mt. Sterling shall maintain an average response time of one (1) hour in responding to emergency work orders.
5. The Housing Authority of Mt. Sterling shall maintain an average response time of two (2) days in responding to routine work orders.

## ***EQUAL OPPORTUNITY ISSUES***

### **Goals**

1. Use the resident-based assistance program to expand housing opportunities beyond areas of traditional low-income and minority concentration.

2. Operate the Housing Authority of Mt. Sterling in full compliance with all Equal Opportunity laws and regulations.
3. The Housing Authority of Mt. Sterling shall ensure equal treatment of all applicants, residents, employees, and vendors.

### **Objectives**

1. The Housing Authority of Mt. Sterling shall mix its public housing development populations as much as possible ethnically, racially, and income wise as much as possible.
2. The Housing Authority of Mt. Sterling shall work to achieve its Section 3 goals that it establishes annually.

### ***FISCAL RESPONSIBILITY ISSUES***

#### **Goals**

1. Ensure full compliance with all applicable standards and regulations including government generally accepted accounting practices.
2. Reduce dependency on federal funding.

#### **Objectives**

1. The Housing Authority of Mt. Sterling shall operate so that income including HUD operating subsidy exceeds expenses every year.
2. The Housing Authority of Mt. Sterling shall continuing implementing an effective anti-fraud program.
3. The Housing Authority of Mt. Sterling shall maintain its operating reserves of at least \$750,000.00 between now and December 31, 2009.
4. The Housing Authority of Mt. Sterling shall maintain its current level of operating costs for the next twelve (12) months despite inflation.
5. The Housing Authority of Mt. Sterling will reduce its dependence on HUD by raising \$20,000.00 from non-HUD sources by December 31, 2009.

### ***PUBLIC IMAGE ISSUES***

## **Goals**

1. Enhance the image of public housing in our community.

## **Objectives**

1. The Housing Authority shall ensure that there are at least two (2) positive stories a year in the local media about the Housing Authority of Mt. Sterling or one of its residents.
2. The Housing Authority of Mt. Sterling shall implement an outreach program to inform the community of what good managers of the public's dollars the Housing Authority is by December 31, 2009.

## ***SUPPORTIVE SERVICE ISSUES***

### **Goals**

1. Improve access of public housing residents to services that support economic opportunity and quality of life.
2. Improve economic opportunity (self-sufficiency) for the families and individuals who reside in our housing.

### **Objectives**

1. The Housing Authority of Mt. Sterling will work to implement one (1) new partnership in order to enhance services to our residents by December 31, 2009.
2. All Housing Authority of Mt. Sterling residents will get off TANF in their allotted time period without a penalty.
3. The Housing Authority of Mt. Sterling shall attempt to ensure that at least one (1) supportive service opportunity is present for every public housing resident by December 31, 2009.
4. The Housing Authority of Mt. Sterling shall have an effective, fully functioning resident organization.
5. The Housing Authority of Mt. Sterling shall work to assist four (4) additional families voluntarily move from assisted to unassisted housing by December 31, 2009.

6. The Housing Authority of Mt. Sterling, working with its partners, shall work to ensure that 50% of its TANF residents are working, performing required community service or engaged in job training by December 31, 2009.

### **6. Supporting Documents Available for Review for Streamlined 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.

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
X	<i>PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans;</i>	5 Year and Annual Plans
X	<i>PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Streamlined Annual Plan</i>	Streamlined Annual Plans
X	<i>Certification by State or Local Official of PHA Plan Consistency with Consolidated Plan.</i>	5 Year and standard Annual Plans
X	Fair Housing Documentation Supporting Fair Housing Certifications: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
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	Deconcentration Income Analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Any policy governing occupancy of Police Officers and Over-Income Tenants in Public Housing. <input checked="" type="checkbox"/> Check here if included in the public housing A&O Policy.	Annual Plan: Eligibility, Selection, and Admissions Policies
N/A	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the method for setting public housing flat rents. <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development. <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
N/A	Section 8 rent determination (payment standard) policies (if included in plan, not necessary as a supporting document) and written analysis of Section 8 payment standard policies. <input type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation).	Annual Plan: Operations and Maintenance
X	Results of latest Public Housing Assessment System (PHAS) Assessment (or other applicable assessment).	Annual Plan: Management and Operations
N/A	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary)	Annual Plan: Operations and Maintenance and Community Service & Self-Sufficiency
N/A	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
N/A	Any policies governing any Section 8 special housing types <input type="checkbox"/> Check here if included in Section 8 Administrative Plan	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures <input type="checkbox"/> Check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
N/A	Section 8 informal review and hearing procedures. <input type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Grievance Procedures
X	The Capital Fund/Comprehensive Grant Program Annual Statement /Performance and Evaluation Report for any active grant year.	Annual Plan: Capital Needs
X	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants.	Annual Plan: Capital Needs
N/A	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans, or any other approved proposal for development of public housing.	Annual Plan: Capital Needs
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
N/A	Approved or submitted applications for demolition and/or disposition of public housing.	Annual Plan: Demolition and Disposition
N/A	Approved or submitted applications for designation of public housing (Designated Housing Plans).	Annual Plan: Designation of Public Housing
N/A	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act, 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
N/A	Documentation for required Initial Assessment and any additional information required by HUD for Voluntary Conversion.	Annual Plan: Voluntary Conversion of Public Housing
N/A	Approved or submitted public housing homeownership programs/plans.	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program (Section _____ of the Section 8 Administrative Plan)	Annual Plan: Homeownership
X	Public Housing Community Service Policy/Programs <input checked="" type="checkbox"/> Check here if included in Public Housing A & O Policy	Annual Plan: Community Service & Self-Sufficiency
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
N/A	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
N/A	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

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). <input type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: 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
X	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)
N/A	Consortium agreement(s) and for Consortium Joint PHA Plans <u>Only</u> : 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 Annual PHA Plan for Consortia: Agency Identification and Annual Management and Operations

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

PHA Name: <b>Housing Authority of Mt. Sterling</b>	Grant Type and Number Capital Fund Program Grant No: <b>KY36P020501-09</b> Replacement Housing Factor Grant No:	Federal FY of Grant: <b>FY 2009</b>
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Original Annual Statement  
  Reserve for Disasters/ Emergencies  
  Revised Annual Statement (revision no:    )  
  Performance and Evaluation Report for Period Ending:  
  Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds	\$100,000		\$0.00	\$0.00
2	1406 Operations				
3	1408 Management Improvements				
4	1410 Administration	\$2,000		\$0.00	\$0.00
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$32,242		\$0.00	\$0.00
8	1440 Site Acquisition				
9	1450 Site Improvement	\$20,000		\$0.00	\$0.00
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures	\$268,179		\$0.00	\$0.00
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	\$322,421		\$0.00	\$0.00
22	Amount of line 21 Related to LBP Activities	\$0			
23	Amount of line 21 Related to Section 504 compliance	\$0			
24	Amount of line 21 Related to Security – Soft Costs	\$0			
25	Amount of Line 21 Related to Security – Hard Costs	\$0			
26	Amount of line 21 Related to Energy Conservation Measures	\$0			

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

PHA Name: <b>Housing Authority of Mt. Sterling</b>		Grant Type and Number Capital Fund Program Grant No: <b>KY36P020501-09</b> Replacement Housing Factor Grant No:			Federal FY of Grant: <b>FY 2009</b>			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide	Non-CFP Funds		1 lump sum	\$100,000				
HA-Wide	Administration	1410	1 lump sum	\$2,000				
HA-Wide	Fees and Costs	1430	1 lump sum	\$32,242				
HA-Wide	Site preparation	1450	1 lump sum	\$20,000				
HA-Wide	New central office bldg./conversion of existing office bldg. to community center	1470	1 lump sum	\$268,179				
	<b>Total</b>			<b>\$422,421</b>				

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

PHA Name: <b>Housing Authority of Mt. Sterling</b>		Grant Type and Number Capital Fund Program No: <b>KY36P020501-09</b> Replacement Housing Factor No:					Federal FY of Grant: <b>FY 2009</b>
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
HA-Wide	06/30/2009			12/31/09			
HA-Wide	06/30/2009			12/31/09			
HA-Wide	06/30/2009			12/31/09			
HA-Wide	09/30/2009			06/30/10			

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

PHA Name: <b>Housing Authority of Mt. Sterling</b>	Grant Type and Number Capital Fund Program Grant No: <b>KY36P020501-08</b> Replacement Housing Factor Grant No:	Federal FY of Grant: <b>FY 2008</b>
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Original Annual Statement  Reserve for Disasters/ Emergencies  Revised Annual Statement (revision no: #1)  
 Performance and Evaluation Report for Period Ending: **09/30/2008**  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	31,985	32,242	0	0
3	1408 Management Improvements	0	0	0	0
4	1410 Administration	2,000	2,000	0	0
5	1411 Audit	0	0	0	0
6	1415 Liquidated Damages	0	0	0	0
7	1430 Fees and Costs	31,985	32,242	0	0
8	1440 Site Acquisition	0	0	0	0
9	1450 Site Improvement	0	0	0	0
10	1460 Dwelling Structures	256,451	255,937	0	0
11	1465.1 Dwelling Equipment—Nonexpendable	0	0	0	0
12	1470 Nondwelling Structures	0	0	0	0
13	1475 Nondwelling Equipment	0	0	0	0
14	1485 Demolition	0	0	0	0
15	1490 Replacement Reserve	0	0	0	0
16	1492 Moving to Work Demonstration	0	0	0	0
17	1495.1 Relocation Costs	0	0	0	0
18	1499 Development Activities	0	0	0	0
19	1501 Collateralization or Debt Service	0	0	0	0
20	1502 Contingency	0	0	0	0
21	Amount of Annual Grant: (sum of lines 2 – 20)	322,421	322,421	0	0
22	Amount of line 21 Related to LBP Activities	0	0	0	0
23	Amount of line 21 Related to Section 504 compliance	0	0	0	0
24	Amount of line 21 Related to Security – Soft Costs	0	0	0	0
25	Amount of Line 21 Related to Security – Hard Cost	0	0	0	0
26	Amount of line 21 Related to Energy Conservation Measures	256,451	255,937	0	0





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

PHA Name: <b>Housing Authority of Mt. Sterling</b>	Grant Type and Number Capital Fund Program Grant No: <b>KY36P020501-07</b> Replacement Housing Factor Grant No:	Federal FY of Grant: <b>FY 2007</b>
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Original Annual Statement  Reserve for Disasters/ Emergencies  Revised Annual Statement (revision no: )  
 Performance and Evaluation Report for Period Ending: 09/30/2008  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	\$ 32,306		\$ 32,306	16,891.03
3	1408 Management Improvements	0		0	
4	1410 Administration	\$2,000		\$2,000	2,281.28
5	1411 Audit	0		0	
6	1415 Liquidated Damages	0		0	
7	1430 Fees and Costs	\$32,306		\$32,306	1,980.00
8	1440 Site Acquisition	0		0	
9	1450 Site Improvement	0		0	
10	1460 Dwelling Structures	\$256,451		\$256,451	93,149.57
11	1465.1 Dwelling Equipment—Nonexpendable	0		0	
12	1470 Nondwelling Structures	0		0	
13	1475 Nondwelling Equipment	0		0	
14	1485 Demolition	0		0	
15	1490 Replacement Reserve	0		0	
16	1492 Moving to Work Demonstration	0		0	
17	1495.1 Relocation Costs	0		0	
18	1499 Development Activities	0		0	
19	1501 Collateralization or Debt Service	0		0	
20	1502 Contingency	0		0	
21	Amount of Annual Grant: (sum of lines 2 – 20)	\$ 323,063		\$ 323,063	114,301.88
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 Cost				
26	Amount of line 21 Related to Energy Conservation Measures	\$256,451		\$256,451	93,149.57

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

PHA Name: <b>Housing Authority of Mt. Sterling</b>		Grant Type and Number Capital Fund Program Grant No: <b>KY35P020501-07</b> Replacement Housing Factor Grant No:			Federal FY of Grant: <b>FY 2007</b>			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide	Operations	1406	1 LS	\$32,306.00		32,306.00	16,891.03	Ongoing
HA-Wide	Administration	1410	1 LS	\$2,000.00		2,000.00	2,281.28	Ongoing
HA-Wide	Fees & Costs	1430	1 LS	\$32,306.00		32,306.00	1,980.00	Ongoing
KY20-1	HVAC Upgrade	1460	60 units	\$256,451.00		256,451.00	93,149.57	Ongoing



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

Activities for Year : <u>4</u> FFY Grant: <b>501-12</b> PHA FY: <b>FY 2012</b>			Activities for Year: <u>5</u> FFY Grant: <b>501-13</b> PHA FY: <b>FY 2013</b>		
<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>	<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>
HA-Wide	Operations	\$31,985	HA-Wide	Operations	\$31,985
HA-Wide	Administration	\$2,000	HA-Wide	Administration	\$2,000
HA-Wide	Fees & Costs	\$31,985	HA-Wide	Fees & Costs	\$31,985
KY20-1	Ext. façade renovation/repair	\$150,000	KY20-1	Major concrete repair and replacement/ addition of resident storage bldgs./landscaping upgrade	\$256,451
KY20-2	Ext. façade renovation/repair	\$50,000	KY20-2		
KY20-3			KY20-3		
KY20-4			KY20-4		
KY20-5			KY20-5		
KY20-8			KY20-8		
HA-Wide	New maintenance vehicles	\$56,451			
<b>Total CFP Estimated Cost</b>		<b>\$322,421.00</b>	<b>Total CFP Estimated Cost</b>		<b>\$322,421.00</b>