

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: <u>AUBURN HOUSING AUTHORITY</u> PHA Code: <u>ME007</u> PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>04/2009</u>																										
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>177</u> Number of HCV units: <u>590</u>																										
3.0	Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only																										
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)																										
	<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2" style="width:35%;">Participating PHAs</th> <th rowspan="2" style="width:10%;">PHA Code</th> <th rowspan="2" style="width:20%;">Program(s) Included in the Consortia</th> <th rowspan="2" style="width:20%;">Programs Not in the Consortia</th> <th colspan="2" style="width:15%;">No. of Units in Each Program</th> </tr> <tr> <th style="width:5%;">PH</th> <th style="width:10%;">HCV</th> </tr> </thead> <tbody> <tr> <td>PHA 1:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>PHA 2:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>PHA 3:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program		PH	HCV	PHA 1:						PHA 2:						PHA 3:					
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5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.																										
5.1	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 for the next five years:																										
5.2	Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.																										
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. A. Section 8 Housing Choice voucher Program Administrative Plan 22.0 Project Based Vouchers B. Main Administrative Office of Auburn Housing Authority																										
7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i> <i>Auburn Housing does plan to use eight (8) Section 8 Vouchers in 2009 for a project based voucher program in Census Tract 105 in the City of Auburn. Auburn Housing has attached to this plan our language for Project Base Vouchers Chapter 22.0.</i> Project Basing would be consistent with our PHA plan as the mission of Auburn Housing Authority is to develop, provide and assist decent, safe and affordable housing for lower-income persons. Auburn Housing will be able to do this by creating additional housing opportunities with providing project based vouchers.																										
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.																										
8.1	Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing.																										
8.2	Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.																										
8.3	Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.																										

9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p>
9.1	<p>Strategy for Addressing Housing Needs. Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p>
10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <ul style="list-style-type: none"> (a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA’s progress in meeting the mission and goals described in the 5-Year Plan. (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”
11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <ul style="list-style-type: none"> (a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)

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, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide 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 is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 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 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. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

5.1 Mission. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

5.2 Goals and Objectives. Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

6.0 PHA Plan Update. In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.
3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.
4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.
5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.
6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: **1)** development name and number; **2)** designation type; **3)** application status; **4)** date the designation was approved, submitted, or planned for submission, and; **5)** the number of units affected.
7. **Community Service and Self-Sufficiency.** A description of: **(1)** Any programs relating to services and amenities provided or offered to assisted families; **(2)** Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; **(3)** How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. **(Note: applies to only public housing).**
8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.
10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.
11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.
12. **Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.
13. **Violence Against Women Act (VAWA).** A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers

- (a) **Hope VI or Mixed Finance Modernization or Development.** 1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm
Note: This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed.
- (c) **Conversion of Public Housing.** With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or

that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>

- (d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 Capital Improvements. This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report. PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

1. At the end of the program year; until the program is completed or all funds are expended;
2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 Capital Fund Financing Program (CFFP). Separate, written HUD approval is required if the PHA proposes to pledge any

portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

9.1 Strategy for Addressing Housing Needs. Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)**

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. **(Note: Standard and Troubled PHAs complete annually).**

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

AUBURN HOUSING AUTHORITY

Program/Activity Receiving Federal Grant Funding

ANNUAL PLAN/CAPITAL FUND

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. **Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

74 Lake Auburn Avenue 109 Valerie Circle 56 Sixth Street 456 Broad Street Auburn ME 04210
8-10 Spring Street Mechanic Falls ME 04256

Check here if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Richard S. Whiting

Title

Executive Director, Auburn Housing Authority

Signature

Date

12/08/2008

X

Certification of Payments to Influence Federal Transactions

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

Applicant Name

AUBURN HOUSING AUTHORITY

Program/Activity Receiving Federal Grant Funding

ANNUAL PLAN/CAPITAL FUND

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Richard S. Whiting

Title

Executive Director, Auburn Housing Authority

Signature

Date (mm/dd/yyyy)

12/08/2008

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

I, Glenn E. Aho the City Manager of Auburn certify
that the Five Year and Annual PHA Plan of the Auburn Housing Authority is
consistent with the Consolidated Plan of City of Auburn prepared
pursuant to 24 CFR Part 91.

 12/3/08
Signed / Dated by Appropriate State or Local Official

**PHA Certifications of Compliance with the PHA Plans and Related Regulations:
Board Resolution to Accompany the *Standard Annual, Standard 5-Year/Annual, and
Streamlined 5-Year/Annual PHA Plans***

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the standard Annual, standard 5-Year/Annual or x streamlined 5-Year/Annual PHA Plan for the PHA fiscal year beginning 04/01/08 hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
4. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
5. The PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
6. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
7. For PHA Plan that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's MTCS in an accurate, complete and timely manner (as specified in PIH Notice 99-2);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
8. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
9. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
10. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
11. The PHA has submitted with the Plan a certification with regard to a drug free workplace required by 24 CFR Part 24, Subpart F.
12. The PHA has submitted with the Plan a certification with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.

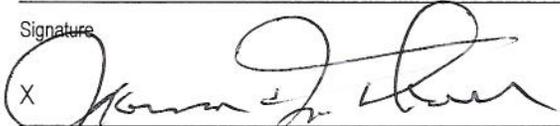
13. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
14. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
15. The PHA will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58.
16. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
17. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
18. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
19. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments.).
20. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
21. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.

Auburn Housing Authority
PHA Name

ME007
PHA Number/HA Code

- Standard PHA Plan for Fiscal Year: 20
 Standard Five-Year PHA Plan for Fiscal Years 20 - 20 , including Annual Plan for FY 20
 x Streamlined Five-Year PHA Plan for Fiscal Years 20 - 20 , including Annual Plan for FY 2009

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official NORMAN MCKEONE	Title CHAIRMAN
Signature 	Date 12/10/08

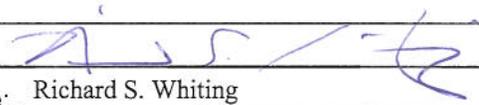
DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Auburn Housing Authority PO Box 3037 20 Great Falls Plaza Auburn ME 04210 Congressional District, if known: 4c 2nd	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency: U.S. Department of Housing & Urban Development	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): N/A	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): N/A	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: <u></u> Print Name: <u>Richard S. Whiting</u> Title: <u>Executive Director, Auburn Housing Authority</u> Telephone No.: <u>207-784-7351</u> Date: <u>12/08/08</u>	
Federal Use Only:	Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)	

**PHA Certifications of Compliance with the PHA Plans and Related Regulations:
Board Resolution to Accompany the PHA 5-Year and Annual PHA Plan**

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the ___ 5-Year and/or Annual PHA Plan for the PHA fiscal year beginning 04-01-2009, hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA certifies that there has been no change, significant or otherwise, to the Capital Fund Program (and Capital Fund Program/Replacement Housing Factor) Annual Statement(s), since submission of its last approved Annual Plan. The Capital Fund Program Annual Statement/Annual Statement/Performance and Evaluation Report must be submitted annually even if there is no change.
4. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
6. The PHA certifies that it will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. For PHA Plan that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's 50058 PIC/IMS Module in an accurate, complete and timely manner (as specified in PIH Notice 2006-24);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
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21. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.

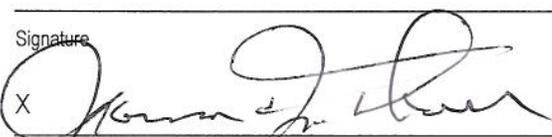
Auburn Housing Authority
 PHA Name

ME007
 PHA Number/HA Code

Standard PHA Plan for Fiscal Year: 20__
 Standard Five-Year PHA Plan for Fiscal Years 20__ - 20__, including Annual Plan for FY 20__

Streamlined Five-Year PHA Plan for Fiscal Years 20__ - 20__, including Annual Plan for FY 20__⁰⁹

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official NORMAN MCKEONE	Title CHAIRMAN
Signature 	Date 12/10/08

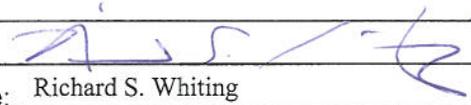
DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Auburn Housing Authority PO Box 3037 20 Great Falls Plaza Auburn ME 04210 Congressional District, if known: 4c 2nd	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency: U.S. Department of Housing & Urban Development	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): N/A	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): N/A	
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Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: Auburn Housing Authority Page 1 of 1

N/A

11.0 (f)

RESIDENT ADVISORY BOARD (RAB) COMMENTS

Auburn Housing Authority has not received any comments from the Resident Advisory Board for the annual PHA Plan for fiscal year beginning April 1, 2009.

11.0 (g)

CHALLENGED ELEMENTS

Auburn Housing Authority has no challenged elements of the PHA Plan for fiscal year beginning April 1, 2009.

Annual Statement /Performance and Evaluation Report

Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

PHA Name: <p style="text-align: center; color: blue;">Auburn Housing Authority</p>	Grant Type and Number Capital Fund Program Grant No. ME36P00750106 Replacement Housing Factor Grant No:	Federal FY of Grant: <p style="text-align: center; color: blue;">2006</p>
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- | | | |
|---|--|---|
| <input type="checkbox"/> Original Annual Statement | <input type="checkbox"/> Reserve for Disasters/Emergencies | <input type="checkbox"/> Revised Annual Statement (revision no: 4) |
| <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 09/30/2008 | | <input checked="" type="checkbox"/> Final Performance and Evaluation Report |

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non-CFP Funds				
2	1406 Operations	\$32,756.06	\$32,756.06	\$32,756.06	\$32,756.06
3	1408 Management Improvements	\$14,638.00	\$14,638.00	\$14,638.00	\$14,638.00
4	1410 Administration	\$24,602.00	\$24,602.00	\$24,602.00	\$24,602.00
5	1411 Audit	\$0.00	\$0.00	\$0.00	\$0.00
6	1415 Liquidated Damages	\$0.00	\$0.00	\$0.00	\$0.00
7	1430 Fees and Costs	\$15,523.17	\$15,523.17	\$15,523.17	\$15,523.17
8	1440 Site Acquisition	\$0.00	\$0.00	\$0.00	\$0.00
9	1450 Site Improvement	\$48,169.50	\$48,169.50	\$48,169.50	\$48,169.50
10	1460 Dwelling Structures	\$90,368.65	\$90,368.65	\$90,368.65	\$90,368.65
11	1465.1 Dwelling Equipment-Nonexpendable	\$0.00	\$0.00	\$0.00	\$0.00
12	1470 Nondwelling Structures	\$0.00	\$0.00	\$0.00	\$0.00
13	1475 Nondwelling Equipment	\$19,969.62	\$19,969.62	\$19,969.62	\$19,969.62
14	1485 Demolition	\$0.00			
15	1490 Replacement Reserve	\$0.00			
16	1492 Moving to Work Demonstration	\$0.00			
17	1495.1 Relocation Cost	\$0.00			
18	1499 Development Activities	\$0.00			
19	1501 Collateralization or Debt Service	\$0.00			
20	1502 Contingency	\$0.00			
21	Amount of Annual Grant: (sum of lines 2-20)	\$246,027.00	\$246,027.00	\$246,027.00	\$246,027.00
22	Amount of line 21 Related to LBP Activities	\$0.00			
23	Amount of line 21 Related to Section 504 Compliance	\$0.00			
24	Amount of line 21 Related to Security -- Soft Costs	\$0.00			
25	Amount of line 21 Related to Security -- Hard Costs	\$0.00			
26	Amount of line 21 Related to Energy Conservation Measures	\$0.00			

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

PHA Name: Auburn Housing Authority		Grant Type and Number Capital Fund Program Grant No ME36P00750106 Replacement Housing Factor Grant No:			Federal FY of Grant: 2006			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide Operating	Operating Costs	1406		\$32,756.06	\$32,756.06	\$32,756.06	\$32,756.06	
HA-Wide Mgmt Improvements	Management Improvements Repl Computer Software(Stage 2)	1408		\$14,638.00	\$14,638.00	\$14,638.00	\$14,638.00	
HA-Wide Admin	Funding for PHA Staff @ 10% of the annual grant amount in accordance with approved salary allocation plan	1410		\$24,602.00	\$24,602.00	\$24,602.00	\$24,602.00	
HA-Wide Fees and Costs	A & E services based on estimate of design work required for work items.	1430		\$15,523.17	\$15,523.17	\$15,523.17	\$15,523.17	
HA-Wide	Non-Dwell Equipment Repl Computer Hardware (Stage 2)	1475		\$19,969.62	\$19,969.62	\$19,969.62	\$19,969.62	
HA-Wide	Contingency	1502		\$0.00				
Total	HA-Wide		Project Total:	\$107,488.85	\$107,488.85	\$107,488.85	\$107,488.85	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:					
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750106 Replacement Housing Factor Grant No:		2006					
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work	
				Original	Revised	Obligated	Expended		
Lake Auburn Towne House ME 7-1	Site: None	1450	Total Site:	\$0.00					
	Mechanical and Electrical: None	1460	Total M&E:	\$0.00					
	Building Exterior: None	1460	Total B.E.:	\$0.00					
	Dwelling Units: Combine 20 ea 0-BR Units into 10 ea 1-BR Units as Vacancies Occur	1460	Total DUs:	\$0.00	\$0.00	\$0.00	\$0.00		
	Dwelling Equipment: None	1465.1	Total D.E.:	\$0.00					
	Interior Common Areas: None	1460	Total ICAs:	\$0.00					
	Site-Wide Facilities: None	1470	Total SWFs:	\$0.00					
	Nondwelling Equipment: None	1475	Total NDE:	\$0.00					
	Total	Towne House		Project Total:	\$0.00	\$0.00	\$0.00	\$0.00	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750106 Replacement Housing Factor Grant No:		2006				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Family Development ME 7-2	Site: Replace Dumpster Pads	1450		\$0.00				
			Total Site:	\$0.00	\$0.00	\$0.00	\$0.00	
	Mechanical and Electrical: None	1460						
			Total M&E:	\$0.00				
	Building Exterior:	1460						
			Total B.E.:	\$0.00				
	Dwelling Units: Repl Kitchen Counters & Reface/ Replace Cabinet Doors - Stage 1	1460		\$0.00				
			Total DUs:	\$0.00				
	Dwelling Equipment: None	1465.1						
			Total D.E.:	\$0.00				
Interior Common Areas: None	1460							
		Total ICAs:	\$0.00					
Site-Wide Facilities: None	1470							
		Total SWFs:	\$0.00					
Nondwelling Equipment: None	1475							
		Total NDE:	\$0.00					
Total	ME 7-2		Project Total:	\$0.00	\$0.00	\$0.00	\$0.00	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750106 Replacement Housing Factor Grant No:		2006				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Merrill Estates ME 7-7	Site: Repl Exterior Handrails - Entrances	1450		\$2,850.00	\$2,850.00	\$2,850.00	\$2,850.00	
			Total Site:	\$2,850.00	\$2,850.00	\$2,850.00	\$2,850.00	
	Mechanical and Electrical: None	1460		\$0.00				
			Total M&E:	\$0.00				
	Building Exterior: Replace Windows Fire Rated Ceilings-Basements/Doors - Boiler/Storage Rooms	1460		\$50,498.00 \$0.00	\$50,498.00	\$50,498.00	\$50,498.00	
			Total B.E.:	\$50,498.00	\$50,498.00	\$50,498.00	\$50,498.00	
	Dwelling Units: None	1460						
			Total DUs:	\$0.00				
	Dwelling Equipment: None	1465.1						
			Total D.E.:	\$0.00				
	Interior Common Areas: Renovate Community Room	1460		\$39,870.65	\$39,870.65	\$39,870.65	\$39,870.65	
		Total ICAs:	\$39,870.65	\$39,870.65	\$39,870.65	\$39,870.65		
Site-Wide Facilities: Renovate Community Room (RECLAS AS 1460)	1470		\$0.00					
		Total SWFs:	\$0.00	\$0.00	\$0.00	\$0.00		
Nondwelling Equipment: Refrigerator and Stove - Comm Room	1475		\$0.00					
		Total NDE:	\$0.00	\$0.00	\$0.00	\$0.00		
Total	ME 7-7		Project Total:	\$93,218.65	\$93,218.65	\$93,218.65	\$93,218.65	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750106 Replacement Housing Factor Grant No:		2006				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Lincoln School ME 7-8	Site: Repairs to Existing Retaining Wall	1450		\$45,319.50	\$45,319.50	\$45,319.50	\$45,319.50	
			Total Site:	\$45,319.50	\$45,319.50	\$45,319.50	\$45,319.50	
	Mechanical and Electrical: None	1460						
			Total M&E:	\$0.00				
	Building Exterior: None	1460						
			Total B.E.:	\$0.00				
	Dwelling Units: Replace Entrance Doors to Units Replace Closet Doors - Units	1460			\$0.00 \$0.00			
			Total DUs:	\$0.00				
	Dwelling Equipment: None	1465.1						
			Total D.E.:	\$0.00				
Interior Common Areas: Replace Common Area Doors	1460			\$0.00				
		Total ICAs:	\$0.00					
Site-Wide Facilities: None	1470							
		Total SWFs:	\$0.00					
Nondwelling Equipment: None	1475							
		Total NDE:	\$0.00					
Total	ME 7-8		Project Total:	\$45,319.50	\$45,319.50	\$45,319.50	\$45,319.50	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:					
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750106 Replacement Housing Factor Grant No:		2006					
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work	
				Original	Revised	Obligated	Expended		
Broadview Acres ME 7-10	Site: None	1450	Total Site:	\$0.00					
	Mechanical and Electrical: None	1460	Total M&E:	\$0.00					
	Building Exterior: None	1460	Total B.E.:	\$0.00					
	Dwelling Units: None	1460	Total DUs:	\$0.00					
	Dwelling Equipment: None	1465.1	Total D.E.:	\$0.00					
	Interior Common Areas: None	1460	Total ICAs:	\$0.00					
	Site-Wide Facilities: None	1470	Total SWFs:	\$0.00					
	Nondwelling Equipment: None	1475	Total NDE:	\$0.00					
	Total	ME 7-10		Project Total:	\$0.00	\$0.00	\$0.00	\$0.00	

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

PHA Name: Auburn Housing Authority		Grant Type and Number Capital Fund Program Grant No.: ME36P00750106 Replacement Housing Factor Grant No:				Federal FY of Grant: 2006	
Development Number Name/HA-Wide Activities		All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates
		Original	Revised	Actual	Original	Revised	
HA-Wide		07/18/08		07/17/08	07/18/10		09/30/08
ME 7-1	Lake Auburn Towne House	07/18/08		07/17/08	07/18/10		09/30/08
ME 7-2	Family Development	07/18/08		07/17/08	07/18/10		09/30/08
ME 7-7	Merrill Estates	07/18/08		07/17/08	07/18/10		09/30/08
ME 7-8	Lincoln School	07/18/08		07/17/08	07/18/10		09/30/08
ME 7-10	Broadview Acres	07/18/08		07/17/08	07/18/10		09/30/08

Annual Statement /Performance and Evaluation Report

Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

PHA Name: <p style="text-align: center; color: blue;">Auburn Housing Authority</p>	Grant Type and Number Capital Fund Program Grant No. ME36P00750107 Replacement Housing Factor Grant No:	Federal FY of Grant: <p style="text-align: center; color: blue;">2007</p>
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- | | | |
|---|--|--|
| <input type="checkbox"/> Original Annual Statement | <input type="checkbox"/> Reserve for Disasters/Emergencies | <input checked="" type="checkbox"/> Revised Annual Statement (Revision No: 1) |
| <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 09/30/08 | | <input type="checkbox"/> Final Performance and Evaluation Report |

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non-CFP Funds				
2	1406 Operations	\$29,171.00	\$35,671.00	\$29,171.00	\$14,585.00
3	1408 Management Improvements	\$1,000.00	\$1,000.00	\$0.00	\$0.00
4	1410 Administration	\$24,763.00	\$24,763.00	\$24,763.00	\$12,381.00
5	1411 Audit	\$0.00	\$0.00	\$0.00	\$0.00
6	1415 Liquidated Damages	\$0.00	\$0.00	\$0.00	\$0.00
7	1430 Fees and Costs	\$12,000.00	\$12,000.00	\$8,871.50	\$5,517.00
8	1440 Site Acquisition	\$0.00	\$0.00	\$0.00	\$0.00
9	1450 Site Improvement	\$25,000.00	\$1,000.00	\$0.00	\$0.00
10	1460 Dwelling Structures	\$153,703.00	\$152,170.00	\$102,170.00	\$71,170.00
11	1465.1 Dwelling Equipment-Nonexpendable	\$0.00	\$0.00	\$0.00	\$0.00
12	1470 Nondwelling Structures	\$0.00	\$0.00	\$0.00	\$0.00
13	1475 Nondwelling Equipment	\$2,000.00	\$21,033.00	\$0.00	\$0.00
14	1485 Demolition	\$0.00	\$0.00	\$0.00	\$0.00
15	1490 Replacement Reserve	\$0.00	\$0.00	\$0.00	\$0.00
16	1492 Moving to Work Demonstration	\$0.00	\$0.00	\$0.00	\$0.00
17	1495.1 Relocation Cost	\$0.00	\$0.00	\$0.00	\$0.00
18	1499 Development Activities	\$0.00	\$0.00	\$0.00	\$0.00
19	1501 Collateralization or Debt Service	\$0.00	\$0.00	\$0.00	\$0.00
20	1502 Contingency	\$0.00	\$0.00	\$0.00	\$0.00
21	Amount of Annual Grant: (sum of lines 2-20)	\$247,637.00	\$247,637.00	\$164,975.50	\$103,653.00
22	Amount of line 21 Related to LBP Activities	\$0.00	\$0.00	\$0.00	\$0.00
23	Amount of line 21 Related to Section 504 Compliance	\$0.00	\$0.00	\$0.00	\$0.00
24	Amount of line 21 Related to Security -- Soft Costs	\$0.00	\$0.00	\$0.00	\$0.00
25	Amount of line 21 Related to Security -- Hard Costs	\$0.00	\$0.00	\$0.00	\$0.00
26	Amount of line 21 Related to Energy Conservation Measures	\$0.00	\$0.00	\$0.00	\$0.00

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

PHA Name:		Grant Type and Number			Federal FY of Grant:			
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750107 Replacement Housing Factor Grant No:			2007			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide Operating	Operating Costs	1406		\$29,171.00	\$35,671.00	\$29,171.00	\$14,585.00	
HA-Wide Mgmt Improvements	Management Improvements	1408		\$1,000.00	\$1,000.00	\$0.00	\$0.00	
HA-Wide Admin	Funding for PHA Staff @ 10% of the annual grant amount in accordance with approved salary allocation plan	1410		\$24,763.00	\$24,763.00	\$24,763.00	\$12,381.00	
HA-Wide Fees and Costs	A & E services based on estimate of design work required for work items.	1430		\$12,000.00	\$12,000.00	\$8,871.50	\$5,517.00	
HA-Wide	Non-Dwell Equipment Replace Telephone System	1475		\$2,000.00	\$21,033.00	\$0.00	\$0.00	
HA-Wide	Contingency	1502		\$0.00	\$0.00	\$0.00	\$0.00	
Total	HA-Wide		Project Total:	\$68,934.00	\$94,467.00	\$62,805.50	\$32,483.00	

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

PHA Name:		Grant Type and Number			Federal FY of Grant:			
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750107 Replacement Housing Factor Grant No:			2007			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Lake Auburn Towne House ME 7-1	Site: None	1450	Total Site:	\$0.00	\$0.00			
	Mechanical and Electrical: Replace Fire Panel Overhaul A/C Units	1460		\$65,000.00 \$10,000.00	\$0.00 \$15,000.00	\$0.00 \$0.00	\$0.00 \$0.00	
			Total M&E:	\$75,000.00	\$15,000.00	\$0.00	\$0.00	
	Building Exterior: Lighting Replace Roof - Community Room Scrape/Paint Trim/Canopy	1460		\$4,500.00 \$30,000.00 \$5,000.00	\$4,500.00 \$37,350.00 \$0.00	\$0.00 \$37,350.00 \$0.00	\$0.00 \$37,350.00 \$0.00	
			Total B.E.:	\$39,500.00	\$41,850.00	\$37,350.00	\$37,350.00	
	Dwelling Units: None	1460	Total DUs:	\$0.00	\$0.00	\$0.00	\$0.00	
	Dwelling Equipment: None	1465.1	Total D.E.:	\$0.00	\$0.00	\$0.00	\$0.00	
	Interior Common Areas: Tritium Exit Signs	1460	Total ICAs:	\$6,500.00	\$6,500.00	\$0.00	\$0.00	
	Site-Wide Facilities: None	1470	Total SWFs:	\$0.00	\$0.00			
	Nondwelling Equipment: None	1475	Total NDE:	\$0.00	\$0.00			
	Total	Towne House	Project Total:	\$121,000.00	\$63,350.00	\$37,350.00	\$37,350.00	

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

PHA Name:		Grant Type and Number			Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750107 Replacement Housing Factor Grant No:			2007				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work	
				Original	Revised	Obligated	Expended		
Family Development ME 7-2	Site: Replace Dumpster Pads	1450		\$25,000.00	\$0.00	\$0.00	\$0.00		
			Total Site:	\$25,000.00	\$0.00	\$0.00	\$0.00		
	Mechanical and Electrical: Replace Mixing Valves - Boiler Reloc Boiler Make-Up Water	1460		\$5,000.00 \$1,500.00	\$0.00 \$0.00	\$0.00 \$0.00	\$0.00 \$0.00		
			Total M&E:	\$6,500.00	\$0.00	\$0.00	\$0.00		
	Building Exterior: None	1460							
			Total B.E.:	\$0.00	\$0.00	\$0.00	\$0.00		
	Dwelling Units: Repair/Repl Sill/Joists - Bldg 500 Repair/Insulate-Basement-Bldg 900 Dehumidistats - All Bldg Basements	1460			\$12,500.00 \$0.00 \$13,703.00	\$33,265.00 \$35,555.00 \$20,000.00	\$33,265.00 \$31,555.00 \$0.00	\$33,265.00 \$555.00 \$0.00	
			Total DUs:	\$26,203.00	\$88,820.00	\$64,820.00	\$33,820.00		
	Dwelling Equipment: None	1465.1							
			Total D.E.:	\$0.00	\$0.00				
	Interior Common Areas: None	1460							
			Total ICAs:	\$0.00	\$0.00				
	Site-Wide Facilities: None	1470							
			Total SWFs:	\$0.00	\$0.00				
Nondwelling Equipment: None	1475								
		Total NDE:	\$0.00	\$0.00					
Total	ME 7-2		Project Total:	\$57,703.00	\$88,820.00	\$64,820.00	\$33,820.00		

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

PHA Name:		Grant Type and Number			Federal FY of Grant:			
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750107 Replacement Housing Factor Grant No:			2007			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Merrill Estates ME 7-7	Site: None	1450						
			Total Site:	\$0.00	\$0.00			
	Mechanical and Electrical: None	1460						
			Total M&E:	\$0.00	\$0.00			
	Building Exterior: None	1460						
			Total B.E.:	\$0.00	\$0.00			
	Dwelling Units: None	1460						
			Total DUs:	\$0.00	\$0.00			
	Dwelling Equipment: None	1465.1						
			Total D.E.:	\$0.00	\$0.00			
Interior Common Areas: None	1460							
		Total ICAs:	\$0.00	\$0.00				
Site-Wide Facilities:	1470							
		Total SWFs:	\$0.00	\$0.00				
Nondwelling Equipment: None	1475							
		Total NDE:	\$0.00	\$0.00				
Total	ME 7-7		Project Total:	\$0.00	\$0.00			

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

PHA Name:		Grant Type and Number		Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750107 Replacement Housing Factor Grant No:		2007				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Lincoln School ME 7-8	Site: None	1450						
			Total Site:	\$0.00	\$0.00			
	Mechanical and Electrical: None	1460						
			Total M&E:	\$0.00	\$0.00			
	Building Exterior: None	1460						
			Total B.E.:	\$0.00	\$0.00			
	Dwelling Units: None	1460						
			Total DUs:	\$0.00	\$0.00			
	Dwelling Equipment: None	1465.1						
			Total D.E.:	\$0.00	\$0.00			
Interior Common Areas: None	1460							
		Total ICAs:	\$0.00	\$0.00	\$0.00	\$0.00		
Site-Wide Facilities: None	1470							
		Total SWFs:	\$0.00	\$0.00				
Nondwelling Equipment: None	1475							
		Total NDE:	\$0.00	\$0.00				
Total	ME 7-8		Project Total:	\$0.00	\$0.00	\$0.00	\$0.00	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750107 Replacement Housing Factor Grant No:		2007				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Broadview Acres ME 7-10	Site: Drainage Improvements	1450		\$0.00	\$1,000.00			
			Total Site:	\$0.00	\$1,000.00			
	Mechanical and Electrical: None	1460						
			Total M&E:	\$0.00	\$0.00			
	Building Exterior: None	1460						
			Total B.E.:	\$0.00	\$0.00			
	Dwelling Units: None	1460						
			Total DUs:	\$0.00	\$0.00			
	Dwelling Equipment: None	1465.1						
			Total D.E.:	\$0.00	\$0.00			
Interior Common Areas: None	1460							
		Total ICAs:	\$0.00	\$0.00				
Site-Wide Facilities: None	1470							
		Total SWFs:	\$0.00	\$0.00				
Nondwelling Equipment: None	1475							
		Total NDE:	\$0.00	\$0.00				
Total	ME 7-10		Project Total:	\$0.00	\$1,000.00			

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

PHA Name: Auburn Housing Authority		Grant Type and Number Capital Fund Program Grant No.: ME36P00750107 Replacement Housing Factor Grant No:				Federal FY of Grant: 2007	
Development Number Name/HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
HA-Wide	09/12/2009			09/12/2011			
ME 7-1 Lake Auburn Towne House	09/12/2009			09/12/2011			
ME 7-2 Family Development	09/12/2009			09/12/2011			
ME 7-7 Merrill Estates	09/12/2009			09/12/2011			
ME 7-8 Lincoln School	09/12/2009			09/12/2011			
ME 7-10 Broadview Acres	09/12/2009			09/12/2011			
Obligation Start Date:	09/12/07						

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name: Auburn Housing Authority						<input type="checkbox"/> Original 5-Year Plan <input checked="" type="checkbox"/> Revision No: <u>4</u>
Development Number/Name/HA-Wide	Year 1 2009	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 2011	Work Statement for Year 3 FFY Grant: 2011 PHA FY: 2012	Work Statement for Year 4 FFY Grant: 2012 PHA FY: 2013	Work Statement for Year 5 FFY Grant: 2013 PHA FY: 2014	
Lake Auburn Towne House (7-1)	Annual Statement	\$0	\$61,685	\$20,000	\$90,000	
Family Development (7-2)		\$161,935	\$4,000	\$55,685	\$83,685	
Merrill Estates (7-7)		\$0	\$45,000	\$27,000	\$6,000	
Lincoln School (7-8)		\$0	\$64,000	\$0	\$0	
Broadview Acres (7-10)		\$0	\$0	\$0	\$0	
HA-Wide Physical Activities		\$1,000	\$1,000	\$73,000	\$1,000	
HA-Wide Non-Physical Activities		\$72,238	\$59,488	\$59,488	\$54,488	
HA-Wide Contingency		\$7,273	\$7,273	\$7,273	\$7,273	
CFP Funds Listed for 5-year planning		\$242,446	\$242,446	\$242,446	\$242,446	
Replacement Housing Factor Funds		\$0	\$0	\$0	\$0	

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

Activities for Year 1 2009	Activities for Year 2 FFY Grant: 2010 PHA FY: 2011			Activities for Year 3 FFY Grant: 2011 PHA FY: 2012		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	HA-Wide Physical Improvements	HA-WIDE Site:		HA-Wide Physical Improvements	HA-WIDE Site:	
		Total Site:	\$0		Total Site:	\$0
		HA WIDE Non-Dwell Structures			HA WIDE Non-Dwell Structures	
		Total Non-D.S.	\$0		Total Non-D.S.	\$0
		HA WIDE Non-Dwell Equipment Repl Equip as Needed	\$1,000		HA WIDE Non-Dwell Equipment Repl Equip as Needed	\$1,000
		Total Non-D.E.	\$1,000		Total Non-D.E.	\$1,000
		Total HA WIDE - Physical Impr	\$1,000		Total HA WIDE - Physical Impr	\$1,000
		HA-Wide Non-Physical Activity			HA-Wide Non-Physical Activity	
		Operations	\$24,244		Operations	\$24,244
		Mgmt Improvements	\$18,750		Mgmt Improvements	\$1,000
		Capital Needs/Mgmt Assessment	\$24,244		Administration	\$24,244
		Administration	\$24,244		A&E Costs	\$10,000
		A&E Costs	\$5,000			
	Total HA-Wide Non-Physical Act	\$72,238		Total HA-Wide Non-Physical Act	\$59,488	
	HA-WIDE Contingency (3%)	\$7,273		HA-WIDE Contingency (3%)	\$7,273	
	Subtotal of Estimated Cost		\$80,511	Subtotal of Estimated Cost		\$67,761

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

Activities for Year 1 2009	Activities for Year 4 FFY Grant: 2012 PHA FY: 2013			Activities for Year 5 FFY Grant: 2013 PHA FY: 2014		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	HA-Wide Physical Improvements	HA-WIDE Site: None		HA-Wide Physical Improvements	HA-WIDE Site: None	
		Total Site:	\$0		Total Site:	\$0
		HA WIDE Non-Dwell Structures None			HA WIDE Non-Dwell Structures None	
		Total Non-D.S.	\$0		Total Non-D.S.	\$0
		HA WIDE Non-Dwell Equipment Replace Computer Hardware Replace Lawn Tractors Replace Maint Tractor	\$30,000 \$13,000 \$30,000		HA WIDE Non-Dwell Equipment Replace Equip as Needed	\$1,000
		Total Non-D.E.	\$73,000		Total Non-D.E.	\$1,000
		Total HA WIDE - Physical Impr	\$73,000		Total HA WIDE - Physical Impr	\$1,000
	HA-Wide Non-Physical Activity	Operations	\$24,244	HA-Wide Non-Physical Activity	Operations	\$24,244
		Mgmt Improvements	\$1,000		Mgmt Improvements	\$1,000
		Administration	\$24,244		Administration	\$24,244
		A&E Costs	\$10,000		A&E Costs	\$5,000
		Total HA-Wide Non-Physical Act	\$59,488		Total HA-Wide Non-Physical Act	\$54,488
		HA-WIDE Contingency (3%)	\$7,273		HA-WIDE Contingency (3%)	\$7,273
	Subtotal of Estimated Cost	\$139,761		Subtotal of Estimated Cost	\$62,761	

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

Activities for Year 1 2009	Activities for Year 2 FFY Grant: 2010 PHA FY: 2011			Activities for Year 3 FFY Grant: 2011 PHA FY: 2012		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	Lake Auburn Towne House (7-1)	Site:		Lake Auburn Towne House (7-1)	Site:	
		Total Site:	\$0	Total Site:	\$0	
		Mechanical and Electrical:		Mechanical and Electrical:		
		Replace Generator	\$40,000	Replace Generator	\$40,000	
		Re-Furbish Elevator Interiors (2ea.)	\$21,685	Re-Furbish Elevator Interiors (2ea.)	\$21,685	
		Total M&E:	\$0	Total M&E:	\$61,685	
		Building Exterior:		Building Exterior:		
		Total B.E.:	\$0	Total B.E.:	\$0	
		Dwelling Units:		Dwelling Units:		
		Total DUs:	\$0	Total DUs:	\$0	
		Dwelling Equipment:		Dwelling Equipment:		
		Total D.E.:	\$0	Total D.E.:	\$0	
		Interior Common Areas:		Interior Common Areas:		
Total ICAs:	\$0	Total ICAs:	\$0			
Site-Wide Facilities:		Site-Wide Facilities:				
Total SWFs:	\$0	Total SWFs:	\$0			
Nondwelling Equipment:		Nondwelling Equipment:				
Total NDE:	\$0	Total NDE:	\$0			
	Subtotal of Estimated Cost		\$0	Subtotal of Estimated Cost		\$61,685

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

Activities for Year 1 2009	Activities for Year 4 FFY Grant: 2012 PHA FY: 2013			Activities for Year 5 FFY Grant: 2013 PHA FY: 2014		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	Lake Auburn Towne House (7-1)	Site:		Lake Auburn Towne House (7-1)	Site:	
					Re-Seal/Fill Cracks/Patch Paving	\$15,000
		Total Site:	\$0	Total Site:	\$15,000	
		Mechanical and Electrical:		Mechanical and Electrical:		
		Replace Natural Gas Water Heater	\$20,000	Upgrade Fire Alarm System	\$45,000	
		Total M&E:	\$20,000	Total M&E:	\$45,000	
		Building Exterior:		Building Exterior:		
				Re-Caulk Doors/Windows & Control Joints	\$30,000	
		Total B.E.:	\$0	Total B.E.:	\$30,000	
		Dwelling Units:		Dwelling Units:		
		Total DUs:	\$0	Total DUs:	\$0	
		Dwelling Equipment:		Dwelling Equipment:		
Total D.E.:	\$0	Total D.E.:	\$0			
Interior Common Areas:		Interior Common Areas:				
Total ICAs:	\$0	Total ICAs:	\$0			
Site-Wide Facilities:		Site-Wide Facilities:				
Total SWFs:	\$0	Total SWFs:	\$0			
Nondwelling Equipment:		Nondwelling Equipment:				
Total NDE:	\$0	Total NDE:	\$0			
	Subtotal of Estimated Cost		\$20,000	Subtotal of Estimated Cost		\$90,000

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

Activities for Year 1 2009	Activities for Year 2 FFY Grant: 2010 PHA FY: 2011			Activities for Year 3 FFY Grant: 2011 PHA FY: 2012		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	Family Development (7-2)	Site:		Family Development (7-2)	Site:	
		Total Site:	\$0	Total Site:	\$0	
		Mechanical and Electrical: Boiler Replacements	\$157,935	Mechanical and Electrical:		
		Total M&E:	\$157,935	Total M&E:	\$0	
		Building Exterior:		Building Exterior:		
		Total B.E.:	\$0	Total B.E.:	\$0	
		Dwelling Units: Convert 5-BR Units to 4-BR Units as Vacancies Occur	\$4,000	Dwelling Units: Convert 5-BR Units to 4-BR Units as Vacancies Occur	\$4,000	
		Total DUs:	\$4,000	Total DUs:	\$4,000	
		Dwelling Equipment:		Dwelling Equipment:		
		Total D.E.:	\$0	Total D.E.:	\$0	
		Interior Common Areas:		Interior Common Areas:		
		Total ICAs:	\$0	Total ICAs:	\$0	
		Site-Wide Facilities:		Site-Wide Facilities:		
Total SWFs:	\$0	Total SWFs:	\$0			
Nondwelling Equipment:		Nondwelling Equipment:				
Total NDE:	\$0	Total NDE:	\$0			
Subtotal of Estimated Cost		\$161,935	Subtotal of Estimated Cost		\$4,000	

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

Activities for Year 1 2009	Activities for Year 4 FFY Grant: 2012 PHA FY: 2013			Activities for Year 5 FFY Grant: 2013 PHA FY: 2014		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	Family Development (7-2)	Site: Re-Pave Aspen Court	\$21,685	Family Development (7-2)	Site: Re-Pave Valerie Circle/Broadview Ave	\$79,685
		Total Site:	\$21,685		Total Site:	\$79,685
		Mechanical and Electrical: Upgrade Exterior Lighting	\$30,000		Mechanical and Electrical:	
		Total M&E:	\$30,000		Total M&E:	\$0
		Building Exterior:			Building Exterior:	
		Total B.E.:	\$0		Total B.E.:	\$0
		Dwelling Units: Convert 5-BR Units to 4-BR Units as Vacancies Occur	\$4,000		Dwelling Units: Convert 5-BR Units to 4-BR Units as Vacancies Occur	\$4,000
		Total DUs:	\$4,000		Total DUs:	\$4,000
		Dwelling Equipment:			Dwelling Equipment:	
		Total D.E.:	\$0		Total D.E.:	\$0
		Interior Common Areas:			Interior Common Areas:	
		Total ICAs:	\$0		Total ICAs:	\$0
		Site-Wide Facilities:			Site-Wide Facilities:	
Total SWFs:	\$0	Total SWFs:	\$0			
Nondwelling Equipment:		Nondwelling Equipment:				
Total NDE:	\$0	Total NDE:	\$0			
	Subtotal of Estimated Cost		\$55,685	Subtotal of Estimated Cost		\$83,685

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

Activities for Year 1 2009	Activities for Year 2 FFY Grant: 2010 PHA FY: 2011			Activities for Year 3 FFY Grant: 2011 PHA FY: 2012		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	Merrill Estates (7-7)	Site:		Merrill Estates (7-7)	Site:	
		Total Site:	\$0	Total Site:	\$0	
		Mechanical and Electrical:		Mechanical and Electrical:		
		Total M&E:	\$0	Total M&E:	\$0	
		Building Exterior:		Building Exterior:		
		Total B.E.:	\$0	Total B.E.:	\$0	
		Dwelling Units:		Dwelling Units:		
		Total DUs:	\$0	Total DUs:	\$45,000	
		Dwelling Equipment:		Dwelling Equipment:		
		Total D.E.:	\$0	Total D.E.:	\$0	
		Interior Common Areas:		Interior Common Areas:		
		Total ICAs:	\$0	Total ICAs:	\$0	
		Site-Wide Facilities:		Site-Wide Facilities:		
Total SWFs:	\$0	Total SWFs:	\$0			
Nondwelling Equipment:		Nondwelling Equipment:				
Total NDE:	\$0	Total NDE:	\$0			
	Subtotal of Estimated Cost		\$0	Subtotal of Estimated Cost		\$45,000

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

Activities for Year 1 2009	Activities for Year 4 FFY Grant: 2012 PHA FY: 2013			Activities for Year 5 FFY Grant: 2013 PHA FY: 2014		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	Merrill Estates (7-7)	Site:		Merrill Estates (7-7)	Site:	
		Total Site:	\$0	Total Site:	\$0	
		Mechanical and Electrical: Upgrade Heating	\$15,000	Mechanical and Electrical:		
		Total M&E:	\$15,000	Total M&E:	\$0	
		Building Exterior:		Building Exterior:		
		Total B.E.:	\$0	Total B.E.:	\$0	
		Dwelling Units: Replace Toilets/Pump Station	\$6,500	Dwelling Units:		
		Total DUs:	\$6,500	Total DUs:	\$0	
		Dwelling Equipment: Replace Stoves (11ea.)	\$5,500	Dwelling Equipment: Replace Refrigerators (11ea.)	\$6,000	
		Total D.E.:	\$5,500	Total D.E.:	\$6,000	
		Interior Common Areas:		Interior Common Areas:		
		Total ICAs:	\$0	Total ICAs:	\$0	
		Site-Wide Facilities:		Site-Wide Facilities:		
Total SWFs:	\$0	Total SWFs:	\$0			
Nondwelling Equipment:		Nondwelling Equipment:				
Total NDE:	\$0	Total NDE:	\$0			
Subtotal of Estimated Cost		\$27,000	Subtotal of Estimated Cost		\$6,000	

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

Activities for Year 1 2009	Activities for Year 2 FFY Grant: 2010 PHA FY: 2011			Activities for Year 3 FFY Grant: 2011 PHA FY: 2012		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	Lincoln School (7-8)	Site:		Lincoln School (7-8)	Site:	
		Total Site:	\$0	Total Site:	\$0	
		Mechanical and Electrical:		Mechanical and Electrical:		
		Total M&E:	\$0	Total M&E:	\$0	
		Building Exterior:		Building Exterior:		
		Total B.E.:	\$0	Re-Paint Trim/Cover Soffitts	\$29,000	
		Total B.E.:	\$0	Total B.E.:	\$29,000	
		Dwelling Units:		Dwelling Units:		
		Total DUs:	\$0	Replace Unit Entrance Doors	\$6,000	
				Replace Toilets	\$4,000	
				Replace Closet Doors	\$6,000	
		Total DUs:	\$0	Total DUs:	\$16,000	
		Dwelling Equipment:		Dwelling Equipment:		
Total D.E.:	\$0	Replace Refrigerators (10ea.)	\$6,000			
Total D.E.:	\$0	Total D.E.:	\$6,000			
Interior Common Areas:		Interior Common Areas:				
Total ICAs:	\$0	Re-Paint Common Areas	\$6,000			
		Replace Common Area Doors	\$6,000			
		Replace Comm Room Toilet	\$1,000			
Total ICAs:	\$0	Total ICAs:	\$13,000			
Site-Wide Facilities:		Site-Wide Facilities:				
Total SWFs:	\$0	Total SWFs:	\$0			
Nondwelling Equipment:		Nondwelling Equipment:				
Total NDE:	\$0	Total NDE:	\$0			
	Subtotal of Estimated Cost		\$0	Subtotal of Estimated Cost		\$64,000

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

Activities for Year 1 2009	Activities for Year 4 FFY Grant: 2012 PHA FY: 2013			Activities for Year 5 FFY Grant: 2013 PHA FY: 2014		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	Lincoln School (7-8)	Site:		Lincoln School (7-8)	Site:	
		Total Site:	\$0	Total Site:	\$0	
		Mechanical and Electrical:		Mechanical and Electrical:		
		Total M&E:	\$0	Total M&E:	\$0	
		Building Exterior:		Building Exterior:		
		Total B.E.:	\$0	Total B.E.:	\$0	
		Dwelling Units:		Dwelling Units:		
		Total DUs:	\$0	Total DUs:	\$0	
		Dwelling Equipment:		Dwelling Equipment:		
		Total D.E.:	\$0	Total D.E.:	\$0	
		Interior Common Areas:		Interior Common Areas:		
		Total ICAs:	\$0	Total ICAs:	\$0	
		Site-Wide Facilities:		Site-Wide Facilities:		
Total SWFs:	\$0	Total SWFs:	\$0			
Nondwelling Equipment:		Nondwelling Equipment:				
Total NDE:	\$0	Total NDE:	\$0			
	Subtotal of Estimated Cost		\$0	Subtotal of Estimated Cost		\$0

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

Activities for Year 1 2009	Activities for Year 2 FFY Grant: 2010 PHA FY: 2011			Activities for Year 3 FFY Grant: 2011 PHA FY: 2012		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	Broadview Acres (7-10)	Site:		Broadview Acres (7-10)	Site:	
		Total Site:	\$0	Total Site:	\$0	
		Mechanical and Electrical:		Mechanical and Electrical:		
		Total M&E:	\$0	Total M&E:	\$0	
		Building Exterior:		Building Exterior:		
		Total B.E.:	\$0	Total B.E.:	\$0	
		Dwelling Units:		Dwelling Units:		
		Total DUs:	\$0	Total DUs:	\$0	
		Dwelling Equipment:		Dwelling Equipment:		
		Total D.E.:	\$0	Total D.E.:	\$0	
		Interior Common Areas:		Interior Common Areas:		
		Total ICAs:	\$0	Total ICAs:	\$0	
		Site-Wide Facilities:		Site-Wide Facilities:		
Total SWFs:	\$0	Total SWFs:	\$0			
Nondwelling Equipment:		Nondwelling Equipment:				
Total NDE:	\$0	Total NDE:	\$0			
	Subtotal of Estimated Cost		\$0	Subtotal of Estimated Cost		\$0

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

Activities for Year 1 2009	Activities for Year 4 FFY Grant: 2012 PHA FY: 2013			Activities for Year 5 FFY Grant: 2013 PHA FY: 2014		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See Annual Statement	Broadview Acres (7-10)	Site:		Broadview Acres (7-10)	Site:	
		Total Site:	\$0	Total Site:	\$0	
		Mechanical and Electrical:		Mechanical and Electrical:		
		Total M&E:	\$0	Total M&E:	\$0	
		Building Exterior:		Building Exterior:		
		Total B.E.:	\$0	Total B.E.:	\$0	
		Dwelling Units:		Dwelling Units:		
		Total DUs:	\$0	Total DUs:	\$0	
		Dwelling Equipment:		Dwelling Equipment:		
		Total D.E.:	\$0	Total D.E.:	\$0	
		Interior Common Areas:		Interior Common Areas:		
		Total ICAs:	\$0	Total ICAs:	\$0	
		Site-Wide Facilities:		Site-Wide Facilities:		
Total SWFs:	\$0	Total SWFs:	\$0			
Nondwelling Equipment:		Nondwelling Equipment:				
Total NDE:	\$0	Total NDE:	\$0			
	Subtotal of Estimated Cost		\$0	Subtotal of Estimated Cost		\$0

Annual Statement /Performance and Evaluation Report

Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

PHA Name: <p style="text-align: center; color: blue;">Auburn Housing Authority</p>	Grant Type and Number Capital Fund Program Grant No. ME36P00750109 Replacement Housing Factor Grant No:	Federal FY of Grant: <p style="text-align: center; color: blue;">2009</p>
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|---|--|---|
| <input checked="" type="checkbox"/> Original Annual Statement | <input type="checkbox"/> Reserve for Disasters/Emergencies | <input type="checkbox"/> Revised Annual Statement (revision no:) |
| <input type="checkbox"/> Performance and Evaluation Report for Period Ending: | <input type="checkbox"/> Final Performance and Evaluation Report | |

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non-CFP Funds				
2	1406 Operations	\$24,244.00			
3	1408 Management Improvements	\$1,000.00			
4	1410 Administration	\$24,244.00			
5	1411 Audit	\$0.00			
6	1415 Liquidated Damages	\$0.00			
7	1430 Fees and Costs	\$16,727.00			
8	1440 Site Acquisition	\$0.00			
9	1450 Site Improvement	\$0.00			
10	1460 Dwelling Structures	\$167,958.00			
11	1465.1 Dwelling Equipment-Nonexpendable	\$0.00			
12	1470 Nondwelling Structures	\$0.00			
13	1475 Nondwelling Equipment	\$1,000.00			
14	1485 Demolition	\$0.00			
15	1490 Replacement Reserve	\$0.00			
16	1492 Moving to Work Demonstration	\$0.00			
17	1495.1 Relocation Cost	\$0.00			
18	1499 Development Activities	\$0.00			
19	1501 Collateralization or Debt Service	\$0.00			
20	1502 Contingency	\$7,273.00			
21	Amount of Annual Grant: (sum of lines 2-20)	\$242,446.00			
22	Amount of line 21 Related to LBP Activities	\$0.00			
23	Amount of line 21 Related to Section 504 Compliance	\$0.00			
24	Amount of line 21 Related to Security -- Soft Costs	\$0.00			
25	Amount of line 21 Related to Security -- Hard Costs	\$0.00			
26	Amount of line 21 Related to Energy Conservation Measures	\$0.00			

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

PHA Name: Auburn Housing Authority		Grant Type and Number Capital Fund Program Grant No.: ME36P00750109 Replacement Housing Factor Grant No:				Federal FY of Grant: 2009	
Development Number Name/HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
HA-Wide	06/11			06/13			
ME 7-1 Lake Auburn Towne House	06/11			06/13			
ME 7-2 Family Development	06/11			06/13			
ME 7-7 Merrill Estates	06/11			06/13			
ME 7-8 Lincoln School	06/11			06/13			
ME 7-10 Broadview Acres	06/11			06/13			

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

PHA Name:		Grant Type and Number			Federal FY of Grant:			
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750109 Replacement Housing Factor Grant No:			2009			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide Operating	Operating Costs	1406		\$24,244.00				
HA-Wide Mgmt Improvements	Management Improvements	1408		\$1,000.00				
HA-Wide Admin	Funding for PHA Staff @ 10% of the annual grant amount in accordance with approved salary allocation plan	1410		\$24,244.00				
HA-Wide Fees and Costs	A & E services based on estimate of design work required for work items.	1430		\$16,727.00				
HA-Wide	Replace Equip as Needed	1475		\$1,000.00				
			Total Non-DwEq	\$1,000.00				
HA-Wide	Contingency (3%)	1502		\$7,273.00				
Total	HA-Wide		Project Total:	\$74,488.00	\$0.00	\$0.00	\$0.00	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750109 Replacement Housing Factor Grant No:		2009				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Lake Auburn Towne House ME 7-1	Site:	1450						
			Total Site:	\$0.00				
	Mechanical and Electrical:	1460						
			Total M&E:	\$0.00				
	Building Exterior:							
			Total B.E.:	\$0.00				
	Dwelling Units:	1460						
			Total DUs:	\$0.00				
	Dwelling Equipment:	1465.1						
			Total D.E.:	\$0.00				
Interior Common Areas:	1460							
		Total ICAs:	\$0.00					
Site-Wide Facilities:	1470							
		Total SWFs:	\$0.00					
Nondwelling Equipment:	1475							
		Total NDE:	\$0.00					
Total	Towne House		Project Total:	\$0.00				

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

PHA Name:		Grant Type and Number			Federal FY of Grant:			
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750109 Replacement Housing Factor Grant No:			2009			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Family Development ME 7-2	Site:	1450	Total Site:	\$0.00				
	Mechanical and Electrical:	1460	Total M&E:	\$0.00				
	Building Exterior:	1460	Total B.E.:	\$0.00				
	Dwelling Units: Replace Tubs/Toilets/Vanities Sewer Lines (Stage 2) Convert 5-BR Units to 4-BR Units as Vacancies Occur	1460	Total DUs:	\$163,958.00 \$4,000.00				
	Dwelling Equipment:	1465.1	Total D.E.:	\$0.00				
	Interior Common Areas:	1460	Total ICAs:	\$0.00				
	Site-Wide Facilities:	1470	Total SWFs:	\$0.00				
	Nondwelling Equipment:	1475	Total NDE:	\$0.00				
	Total	ME 7-2	Project Total:	\$167,958.00				

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

PHA Name:		Grant Type and Number		Federal FY of Grant:					
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750109 Replacement Housing Factor Grant No:		2009					
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work	
				Original	Revised	Obligated	Expended		
Merrill Estates ME 7-7	Site:	1450	Total Site:	\$0.00					
	Mechanical and Electrical:	1460	Total M&E:	\$0.00					
	Building Exterior:	1460	Total B.E.:	\$0.00					
	Dwelling Units:	1460	Total DUs:	\$0.00					
	Dwelling Equipment:	1465.1	Total D.E.:	\$0.00					
	Interior Common Areas:	1460	Total ICAs:	\$0.00					
	Site-Wide Facilities:	1470	Total SWFs:	\$0.00					
	Nondwelling Equipment:	1475	Total NDE:	\$0.00					
	Total	ME 7-7		Project Total:	\$0.00				

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

PHA Name:		Grant Type and Number		Federal FY of Grant:					
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750109 Replacement Housing Factor Grant No:		2009					
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work	
				Original	Revised	Obligated	Expended		
Lincoln School ME 7-8	Site:	1450	Total Site:	\$0.00					
	Mechanical and Electrical:	1460	Total M&E:	\$0.00					
	Building Exterior:	1460	Total B.E.:	\$0.00					
	Dwelling Units:	1460	Total DUs:	\$0.00					
	Dwelling Equipment:	1465.1	Total D.E.:	\$0.00					
	Interior Common Areas:	1460	Total ICAs:	\$0.00					
	Site-Wide Facilities:	1470	Total SWFs:	\$0.00					
	Nondwelling Equipment:	1475	Total NDE:	\$0.00					
	Total	ME 7-8		Project Total:	\$0.00				

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

PHA Name:		Grant Type and Number		Federal FY of Grant:					
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750109 Replacement Housing Factor Grant No:		2009					
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work	
				Original	Revised	Obligated	Expended		
Broadview Acres ME 7-10	Site:	1450	Total Site:	\$0.00					
	Mechanical and Electrical:	1460	Total M&E:	\$0.00					
	Building Exterior:	1460	Total B.E.:	\$0.00					
	Dwelling Units:	1460	Total DUs:	\$0.00					
	Dwelling Equipment:	1465.1	Total D.E.:	\$0.00					
	Interior Common Areas:	1460	Total ICAs:	\$0.00					
	Site-Wide Facilities:	1470	Total SWFs:	\$0.00					
	Nondwelling Equipment:	1475	Total NDE:	\$0.00					
	Total	ME 7-10		Project Total:	\$0.00				

Annual Statement /Performance and Evaluation Report

Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

PHA Name: <p style="text-align: center; color: blue;">Auburn Housing Authority</p>	Grant Type and Number Capital Fund Program Grant No. ME36P00750108 Replacement Housing Factor Grant No:	Federal FY of Grant: <p style="text-align: center; color: blue;">2008</p>
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|---|--|--|
| <input type="checkbox"/> Original Annual Statement | <input type="checkbox"/> Reserve for Disasters/Emergencies | <input checked="" type="checkbox"/> Revised Annual Statement (revision no: 1) |
| <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 09/30/2008 | | <input type="checkbox"/> Final Performance and Evaluation Report |

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non-CFP Funds				
2	1406 Operations	\$12,122.00	\$12,122.00	\$12,122.00	\$0.00
3	1408 Management Improvements	\$1,000.00	\$1,000.00	\$0.00	\$0.00
4	1410 Administration	\$24,244.00	\$24,244.00	\$24,244.00	\$0.00
5	1411 Audit	\$0.00	\$0.00	\$0.00	\$0.00
6	1415 Liquidated Damages	\$0.00	\$0.00	\$0.00	\$0.00
7	1430 Fees and Costs	\$11,000.00	\$11,000.00	\$0.00	\$0.00
8	1440 Site Acquisition	\$0.00	\$0.00	\$0.00	\$0.00
9	1450 Site Improvement	\$44,245.00	\$69,245.00	\$0.00	\$0.00
10	1460 Dwelling Structures	\$58,835.00	\$46,835.00	\$0.00	\$0.00
11	1465.1 Dwelling Equipment-Nonexpendable	\$0.00	\$0.00	\$0.00	\$0.00
12	1470 Nondwelling Structures	\$76,000.00	\$76,000.00	\$72,000.00	\$0.00
13	1475 Nondwelling Equipment	\$15,000.00	\$2,000.00	\$0.00	\$0.00
14	1485 Demolition	\$0.00	\$0.00	\$0.00	\$0.00
15	1490 Replacement Reserve	\$0.00	\$0.00	\$0.00	\$0.00
16	1492 Moving to Work Demonstration	\$0.00	\$0.00	\$0.00	\$0.00
17	1495.1 Relocation Cost	\$0.00	\$0.00	\$0.00	\$0.00
18	1499 Development Activities	\$0.00	\$0.00	\$0.00	\$0.00
19	1501 Collateralization or Debt Service	\$0.00	\$0.00	\$0.00	\$0.00
20	1502 Contingency	\$0.00	\$0.00	\$0.00	\$0.00
21	Amount of Annual Grant: (sum of lines 2-20)	\$242,446.00	\$242,446.00	\$108,366.00	\$0.00
22	Amount of line 21 Related to LBP Activities	\$0.00	\$0.00	\$0.00	\$0.00
23	Amount of line 21 Related to Section 504 Compliance	\$0.00	\$0.00	\$0.00	\$0.00
24	Amount of line 21 Related to Security -- Soft Costs	\$0.00	\$0.00	\$0.00	\$0.00
25	Amount of line 21 Related to Security -- Hard Costs	\$0.00	\$0.00	\$0.00	\$0.00
26	Amount of line 21 Related to Energy Conservation Measures	\$0.00	\$0.00	\$0.00	\$0.00

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

PHA Name:		Grant Type and Number			Federal FY of Grant:			
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750108 Replacement Housing Factor Grant No:			2008			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA-Wide Operating	Operating Costs	1406		\$12,122.00	\$12,122.00	\$12,122.00	\$0.00	
HA-Wide Mgmt Improvements	Management Improvements	1408		\$1,000.00	\$1,000.00	\$0.00	\$0.00	
HA-Wide Admin	Funding for PHA Staff @ 10% of the annual grant amount in accordance with approved salary allocation plan	1410		\$24,244.00	\$24,244.00	\$24,244.00	\$0.00	
HA-Wide Fees and Costs	A & E services based on estimate of design work required for work items.	1430		\$11,000.00	\$11,000.00	\$0.00	\$0.00	
HA-Wide	Replace Phone System Replace Equip as Needed	1475		\$15,000.00 \$0.00	\$0.00 \$2,000.00	\$0.00 \$0.00	\$0.00 \$0.00	
			Total Non-DwEq	\$15,000.00	\$2,000.00	\$0.00	\$0.00	
HA-Wide	Contingency (4%)	1502		\$0.00	\$0.00	\$0.00	\$0.00	
Total	HA-Wide		Project Total:	\$63,366.00	\$50,366.00	\$36,366.00	\$0.00	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750108 Replacement Housing Factor Grant No:		2008				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Lake Auburn Towne House ME 7-1	Site: Re-Seal/Stripe Pavement	1450		\$7,000.00	\$7,000.00	\$0.00	\$0.00	
			Total Site:	\$7,000.00	\$7,000.00	\$0.00	\$0.00	
	Mechanical and Electrical:	1460						
			Total M&E:	\$0.00				
	Building Exterior:							
			Total B.E.:	\$0.00				
	Dwelling Units:	1460						
			Total DUs:	\$0.00				
	Dwelling Equipment:	1465.1						
			Total D.E.:	\$0.00				
Interior Common Areas:	1460							
		Total ICAs:	\$0.00					
Site-Wide Facilities:	1470							
		Total SWFs:	\$0.00					
Nondwelling Equipment:	1475							
		Total NDE:	\$0.00					
Total	Towne House		Project Total:	\$7,000.00	\$7,000.00	\$0.00	\$0.00	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:					
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750108 Replacement Housing Factor Grant No:		2008					
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work	
				Original	Revised	Obligated	Expended		
Family Development ME 7-2	Site: Re-Seal/Stripe Pavement Replace Dumpster Pads Paving Lodge Court	1450		\$0.00	\$0.00	\$0.00	\$0.00		
				\$22,745.00	\$0.00	\$0.00	\$0.00		
				\$0.00	\$47,745.00	\$0.00	\$0.00		
		Total Site:			\$22,745.00	\$47,745.00	\$0.00		\$0.00
		Mechanical and Electrical:							
			1460						
		Total M&E:			\$0.00				
		Building Exterior: Repair/Re-Paint Oil Tank Rooms							
			1460		\$0.00				
		Total B.E.:			\$0.00				
		Dwelling Units: Replace Tubs/Toilets/Vanities Sewer Lines (Stage 1)							
			1460		\$46,835.00	\$46,835.00	\$0.00		\$0.00
		Total DUs:			\$46,835.00	\$46,835.00	\$0.00		\$0.00
		Dwelling Equipment:							
		1465.1							
	Total D.E.:			\$0.00					
	Interior Common Areas:								
		1460		\$0.00					
	Total ICAs:			\$0.00					
	Site-Wide Facilities: Replace Roof - Comm Building and Repair/Replace Facia								
		1470		\$76,000.00	\$76,000.00	\$72,000.00	\$0.00		
	Total SWFs:			\$76,000.00	\$76,000.00	\$72,000.00	\$0.00		
	Nondwelling Equipment:								
		1475							
	Total NDE:			\$0.00					
Total	ME 7-2		Project Total:	\$145,580.00	\$170,580.00	\$72,000.00	\$0.00		

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

PHA Name:		Grant Type and Number		Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750108 Replacement Housing Factor Grant No:		2008				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Merrill Estates ME 7-7	Site: Re-Seal/Stripe Pavement	1450		\$0.00				
			Total Site:	\$0.00				
	Mechanical and Electrical:	1460						
			Total M&E:	\$0.00				
	Building Exterior:	1460						
			Total B.E.:	\$0.00				
	Dwelling Units:	1460						
			Total DUs:	\$0.00				
	Dwelling Equipment:	1465.1						
			Total D.E.:	\$0.00				
Interior Common Areas:	1460							
		Total ICAs:	\$0.00					
Site-Wide Facilities:	1470							
		Total SWFs:	\$0.00					
Nondwelling Equipment:	1475							
		Total NDE:	\$0.00					
Total	ME 7-7		Project Total:	\$0.00	\$0.00	\$0.00	\$0.00	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750108 Replacement Housing Factor Grant No:		2008				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Lincoln School ME 7-8	Site: Re-Seal/Stripe Pavement	1450		\$0.00				
			Total Site:	\$0.00				
	Mechanical and Electrical: None	1460						
			Total M&E:	\$0.00				
	Building Exterior: None	1460						
			Total B.E.:	\$0.00				
	Dwelling Units:	1460						
			Total DUs:	\$0.00				
	Dwelling Equipment: None	1465.1						
			Total D.E.:	\$0.00				
Interior Common Areas:	1460							
		Total ICAs:	\$0.00					
Site-Wide Facilities: None	1470							
		Total SWFs:	\$0.00					
Nondwelling Equipment: None	1475							
		Total NDE:	\$0.00					
Total	ME 7-8		Project Total:	\$0.00	\$0.00	\$0.00	\$0.00	

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

PHA Name:		Grant Type and Number		Federal FY of Grant:				
Auburn Housing Authority		Capital Fund Program Grant No ME36P00750108 Replacement Housing Factor Grant No:		2008				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Obligated	Expended	
Broadview Acres ME 7-10	Site: Re-Seal/Stripe Pavement	1450		\$14,500.00	\$14,500.00	\$0.00	\$0.00	
			Total Site:	\$14,500.00	\$14,500.00	\$0.00	\$0.00	
	Mechanical and Electrical:	1460						
			Total M&E:	\$0.00				
	Building Exterior: Re-Paint Trim	1460		\$12,000.00	\$0.00	\$0.00	\$0.00	
			Total B.E.:	\$12,000.00	\$0.00	\$0.00	\$0.00	
	Dwelling Units:	1460						
			Total DUs:	\$0.00				
	Dwelling Equipment:	1465.1						
			Total D.E.:	\$0.00				
Interior Common Areas:	1460							
		Total ICAs:	\$0.00					
Site-Wide Facilities:	1470							
		Total SWFs:	\$0.00					
Nondwelling Equipment:	1475							
		Total NDE:	\$0.00					
Total	ME 7-10		Project Total:	\$26,500.00	\$14,500.00	\$0.00	\$0.00	

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

PHA Name: Auburn Housing Authority		Grant Type and Number Capital Fund Program Grant No.: ME36P00750108 Replacement Housing Factor Grant No:			Federal FY of Grant: 2008			
Development Number Name/HA-Wide Activities		All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
		Original	Revised	Actual	Original	Revised	Actual	
HA-Wide		06/13/2010			06/13/2012			
ME 7-1	Lake Auburn Towne House	06/13/2010			06/13/2012			
0	Family Development	06/13/2010			06/13/2012			
ME 7-7	Merrill Estates	06/13/2010			06/13/2012			
ME 7-8	Lincoln School	06/13/2010			06/13/2012			
ME 7-10	Broadview Acres	06/13/2010			06/13/2012			
Obligation Start Date:		6/13/2008						

CHAPTER 22
PROJECT-BASED VOUCHERS

SECTION A. INTRODUCTION

1. The purpose of the PBV program is to induce property owners to make standard housing available to low income families at rents within the Section 8 existing housing fair market rents.
2. Auburn Housing Authority may “attach to structures” up to 15% of the Section 8 assistance available under the voucher program. (a 30% limit is applicable to certain State-assisted units).
3. The Section 8 tenant-based program rules apply to the following components of the PBV program:
 - A. Determination of the payment standard
 - B. Determination of family income and composition
 - C. Regular and interim examinations
 - D. Utility allowance schedule
4. The following provisions of 24 CFR part 982 do not apply to the PBV program:
 - A. Issuance or use of a voucher
 - B. Portability
 - C. Provisions on voucher tenancy or over-FMR tenancy
 - D. Retention of lease, HAP contract and family application
 - E. Where family will live, family size and waiting lists

SECTION B. BASIC PROGRAM REQUIREMENTS

1. Before implementing a PBV program, Auburn Housing Authority will submit the following information to HUD for review:
 - A. Total number of units requested for approval
 - B. Number of budgeted housing choice voucher units

- C. The number of voucher units available to be project-based (i.e., the number of budgeted units not under a tenant-based or project-based HAP contract or otherwise committed)
2. Auburn Housing Authority will not attach or pay PBV assistance to units in the following types of housing:
- A. Housing for which construction started before agreement execution
 - B. Housing for which rehabilitation started before the agreement execution
 - C. Shared housing, nursing homes, and facilities providing continual assistance of a medical nature including board and intermediate care
 - D. Units within the grounds of a penal institution, reformatory, medical, mental, and similar public or private institutions
 - E. Housing located in the Coastal Barrier Resources System
 - F. Housing identified by FEMA as being located in a flood hazard area
 - G. College or other school dormitory
 - H. A manufactured home
 - I. Units already receiving subsidies
3. An AHA-related unit may only be provided project-based assistance if the unit is ineligible as referenced above in Section B.2.
4. An AHA-related unit means a unit that:
- A. Is owned by an Auburn Housing Authority related entity (other than public housing)
 - B. Receives the assistance under 24 CFR 983
 - C. Is owned by an entity substantially controlled by or is a related entity of the AHA

AHA-related units are subject to the same requirements as units that are not AHA- owned.

5. The HUD Field Office selects the AHA-related unit pursuant to a competitive ranking and rating process and conducts all AHA reviews required under this part before the execution of the Agreement.
6. Any adjustment of the contract rent for a AHA-owned unit must be approved in advance by the HUD Field Office.
7. HUD headquarters establishes the amount of the administrative fee for an AHA-owned unit.
 - A. The AHA will earn a lower ongoing administrative fee for a AHA-owned unit than for a unit not owned by the AHA, and no fee for the cost to help a family experiencing difficulty in renting appropriate housing.
8. During the term of each assisted lease and each HAP contract term, and for at least three thereafter, Auburn Housing Authority will keep:
 - A. A copy of the executed lease
 - B. The application from the family
 - C. The HAP contract
 - D. Records to document the basis for determination of the initial rent to owner, and the determination that the rent is a reasonable rent initially and during the term of the HAP contract

SECTION C. HOUSING ASSISTANCE PAYMENTS CONTRACT

1. The initial HAP contract term with the owner will not be less than one year nor more than five years, and will not extend beyond the ACC expiration date for the funding source from which the HAP contract is to be funded.
2. The contract authority for the funding source must exceed the estimated annual housing assistance payments for all tenant-based and project-based HAP contracts funded from the funding source.
3. Within these limits Auburn Housing Authority has the sole discretion to determine the HAP contract term.
4. Auburn Housing Authority has the option to renew expiring HAP contracts with HUD field office approval.
5. The effective date of the HAP contract will not be earlier than the date of the AHA inspection and acceptance of the unit.

SECTION D. RESPONSIBILITIES OF AHA AND THE OWNER

1. It is the responsibility of Auburn Housing Authority to:
 - A. Inspect the project before, during and upon completion of new construction or rehabilitation; and
 - B. Ensure that the amount of assistance attached to units is within the amounts available under the ACC.
2. THE OWNER IS RESPONSIBLE FOR:
 - A. Performing all of the owner responsibilities under the Agreement and the HAP contract.
 - B. Providing AHA with a copy of any termination of tenancy notification.
 - C. Offering vacant, accessible units to a family with one or more members with a disability requiring the accessibility features already living in an assisted unit that does not have such features.
 - D. The QHWRA, effective 10/21/98, requires owners to provide not less than one-year written notice to tenants and HUD of expiration or termination of the contract (owners who gave notice prior to 10/21/98 are covered under the previous 180-day notice requirement).

SECTION E. FAMILY PARTICIPATION

1. A family becomes a participant when they execute a lease with the owner for a unit with project-based assistance.
2. Except for special admissions, participants will be selected from AHA's waiting list in accordance with Chapter 3 of this policy.
3. Before AHA assigns assistance to a specific unit AHA will determine whether the unit is occupied by an eligible family (including a single person).
4. AHA will either elect not to attach assistance to that particular unit or must offer the eligible person in the occupied unit the opportunity to lease the unit without being placed on the waiting list.

SECTION F. INCOME LIMITS AND TARGETING

1. An eligible applicant must be a family whose annual income does not exceed the applicable income limit as set by HUD:

- A. Extremely low-income limit: 30% of the area median income
 - B. Very low-income limit: 50% of the area median income
 - C. Low-income limit: 80% of the area median income
2. In a fiscal year, not less than 40% of the project's units will be leased by families whose income does not exceed the extremely low-income limits.
 3. Not more than 25% of the dwelling units under ACC and Section 8 HAP contracts leased before 10/1/81 and that are leased on or after that date will be leased to other than very low-income families.
 4. Not more than 15% of the dwelling units that initially became available for occupancy under ACC and Section 8 HAP contracts on or after 10/1/81 will be leased to other than very low-income families.
 5. The remainder of the units under a PBV contract will not be leased to families whose income exceeds the low-income limits, except as otherwise approved by HUD.
 6. Auburn Housing Authority or the owner will not select a family for admission out of order on the waiting list for purposes of selecting a relatively higher income family for admission.

SECTION G. FILLING VACANT UNITS

1. When the owner notifies Auburn Housing Authority of vacancies in the units to which assistance is attached, AHA will refer to the owner one or more families of the appropriate size on its waiting list. (A family that refuses the offer of a unit assisted under part 983 keeps its place on the waiting list.)
2. The owner must rent all vacant units to eligible families referred by AHA its waiting list.
3. If Auburn Housing Authority does not refer a sufficient number of interested applicants on the waiting list to the owner within 30 days of the owner's notification of the vacancy to AHA, the owner may advertise for or solicit applications from eligible very low-income families. The owner must refer these families to AHA to determine eligibility.

4. The owner is responsible for screening and selection of tenants. Written tenant selection procedures that are consistent with the purpose of improving housing opportunities for very low-income families must be adopted by the owner.
5. The owner must promptly notify in writing any rejected applicant of the grounds for such rejection.
6. A family may file a discrimination complaint with the HUD Field Office against the owner, if it believes it has been discriminated against.

SECTION H. POLICE AND SECURITY PERSONNEL IN PROJECT-BASED HOUSING

1. As a means of providing increased security for tenants, owners can apply to the local HUD office for authorization to house over-income police officers and other security personnel in assisted units. The application must include:
 - A. A statement demonstrating the need for increased security at the project
 - B. A description of the proposed gross rent for the unit
 - C. Any special conditions for occupancy

SECTION I. BRIEFING OF FAMILIES

1. Auburn Housing Authority will provide families selected to occupy a project-based unit with information concerning the tenant rent and any applicable utility allowance and a copy of the HUD-prescribed lead-based paint brochure.
2. Families will also be provided with a full explanation of the following:
 - A. Family and owner responsibilities under the lease and HAP contract
 - B. Information on Federal, State, and local equal opportunity laws
 - C. The fact that the subsidy is tied to the unit and if the family moves from the unit they are not entitled to continued assistance
 - D. The likelihood of the family receiving a voucher after the HAP contract expires
 - E. The family's options if the family is required to move because of a change in family size or composition
 - F. Information on AHA's procedures for conducting informal hearings for participants and the procedures for requesting a hearing.

SECTION J. CONTINUED ASSISTANCE FOR A FAMILY WHEN THE HAP CONTRACT TERMINATES

1. If the HAP contract for the unit expires or if the HAP contract is terminated by AHA, the assisted family in occupancy will be issued a voucher providing AHA has sufficient funding for continued assistance for the family.
2. If the family is being denied or terminated because of the family's actions or failure to act, Auburn Housing Authority does not have to issue the voucher.
3. If the unit is not occupied by an assisted family, then the available funds under the ACC that were previously committed for support of the project-based assistance for the unit will be used for AHA's voucher program.

SECTION K. AMOUNT OF RENT PAYABLE BY FAMILY TO OWNER

1. The amount of rent payable by the family to the owner will be the Tenant Rent.
2. Auburn Housing Authority has established a minimum rent of \$25 for families living in Section 8 project-based assistance units.
 - A. The minimum rent calculation for any family who receives a "sticky" or "enhanced" preservation voucher in FY97, FY98, or FY99 is subject to the new minimum rent calculation for projects approved for prepayment of the mortgage insurance or voluntarily terminates the mortgage insurance contract as outlined in Notice PIH 99-16.
3. The tenant rent is calculated by subtracting the amount of the housing assistance payment from the gross rent.
4. Auburn Housing Authority will not use housing assistance payments or other program funds, including any administrative fee reserves, to pay any part of the tenant rent.

SECTION L. LEASE REQUIREMENTS AND LEASE TERMS

1. The lease between the family and the owner will be in accordance with HUD regulations and requirements and include all provisions required by HUD and not include any provisions prohibited by HUD.

2. When offering an accessible unit to an applicant not having disabilities, the owner shall:
 - A. Require the applicant to agree to move to a non-accessible unit when one becomes available; and
 - B. Have the applicant agree to this in writing.
3. The term of the lease, including a new lease or a lease amendment, executed by the owner and the family must be for at least one year (exception: the term may be less than one year if the remaining term of the HAP contract is less than one year).
4. The family must notify Auburn Housing Authority and the owner before moving out of the unit.
5. The lease may contain a provision permitting the family to terminate the lease on not more than 60 days advance written notice to the owner.
 - A. In case of a lease term being more than one year, there must be a provision in the lease permitting the family to terminate the lease on such notice after the first year of the term.
6. The owner may offer the family a new lease for a term beginning at any time after the first year of the term of the lease:
 - A. The owner must give the family a written notice of the offer at least 60 days before the proposed commencement date of the new lease term.
 - B. A reasonable time for acceptance should be specified in the offer. Failure by the family to accept the offer of a new lease in accordance with this section will be “other good cause” for termination of tenancy.

SECTION M. MAINTENANCE, OPERATION AND INSPECTIONS

1. The owner must provide all the services, maintenance and utilities as agreed under the HAP contract (HAP payments are subject to abatement or other applicable remedies if the owner fails to meet these obligations).
2. To assure the owner is meeting obligations to maintain the unit in decent, safe and sanitary condition and to provide the agreed upon utilities and other services, Auburn Housing Authority will inspect each dwelling unit under HAP contract at least annually.

3. After notifying the owner that the unit(s) under HAP contract are not being maintained in decent, safe and sanitary condition, and the owner fails to take corrective action within the time prescribed in the notice, the AHA will:
 - A. Exercise any of its rights or remedies under the HAP contract, including abatement
 - B. Terminate the HAP contract on the affected unit(s), and
 - C. Terminate assistance to the family in accordance with CFR 982.552 because of family's action or failure to act.
4. Neither the family nor any other party other than HUD or AHA has any right to require any enforcement of current inspection procedures and standards required by HUD or any right to assert a claim against HUD or AHA for damages, injunction or other relief, for alleged failure to enforce such inspections.

SECTION N. OVERCROWDED AND UNDER-OCCUPIED UNITS

1. A family will be required to move if AHA determines that a contract unit is not decent, safe, and sanitary because of an increase in family size that causes the unit to be overcrowded based on AHA's subsidy standards.
2. If Auburn Housing Authority does not have a suitable unit available within the family's ability to pay, AHA will offer Section 8 assistance to the family if it has sufficient funding.
3. Auburn Housing Authority will otherwise assist the family in locating other standard housing in AHA's jurisdiction within the family's ability to pay and require the family to move to such unit as soon as possible.
4. The family will not be forced to move, and AHA will not terminate the HAP contract for reasons stated in this paragraph, unless the family rejects, without good reason, the offer of a unit that AHA judges to be acceptable.

SECTION O. INFORMAL REVIEW OR HEARING

1. For the PBV program the applicable sections of informal reviews for applicants and informal hearings for participants are the same as for the Section 8 tenant-based programs.

SECTION P. INITIAL RENT, ANNUAL AND SPECIAL ADJUSTMENTS OR RENT TO OWNER

1. The initial rent to the owner for a unit may not exceed the reasonable rent as determined by Auburn Housing Authority.
 - A. In addition to the rent reasonableness limit, and other rent limits under this rule, the amount of rent to the owner also may be subject to rent control limits under State or local law.
 - B. Auburn Housing Authority may reduce the initial rent to the owner because of other governmental subsidies, including tax credit or tax exemption, grants or other subsidized financing.
2. Auburn Housing Authority determines the payment standard in accordance with Chapter 11, Section D of this policy.
3. Initial rents for AHA-owned PBV units and PBV units financed with a HUD insured multifamily mortgage must be approved by HUD.
4. At each anniversary date of the HAP contract, Auburn Housing Authority will adjust the rent to the owner in accordance with the following:
 - A. The owner must request a rent increase (including a comparability study to determine the amount of such increase) by written notice to AHA at least 120 days before the anniversary date of the HAP contract.
 - B. AHA will not increase the rent unless the owner requested the increase by the 120 day deadline and the owner must have complied with all requirements of the HAP contract, including current inspection procedures and standards as required by HUD for all contract units, during the year before the contract anniversary.
5. The adjusted rent to the owner will equal the lesser of:
 - A. The pre-adjustment rent to the owner multiplied by the applicable Section 8 annual adjustment factor published by HUD
 - B. The reasonable rent as determined by Auburn Housing Authority
 - C. The rent requested by the owner
6. For a HAP contract under an agreement executed on or after 6/1/98, the applicable factor is the published annual adjustment factor in effect 60 days before the anniversary date of the HAP contract.

7. For a HAP contract under an Agreement executed before 6/1/98, the applicable factor is the published annual adjustment factor in effect on the contract anniversary date.
8. The rent to the owner can be adjusted up or down not to include any previously approved special adjustments.
9. For AHA-owned PBV units, Auburn Housing Authority will not increase the rent at the annual anniversary until and unless HUD has reviewed AHA comparability study and has approved the adjustment.
10. Except as necessary to correct errors in establishing the initial rent in accordance with HUD requirements, the adjusted rent to the owner will not be less than the initial rent.
11. A special adjustment to an owner must be approved by HUD and can only be approved to reflect increases in the actual and necessary costs of owning and maintaining the contract units because of substantial and general increases in:
 - A. Real property taxes
 - B. Special governmental assessments
 - C. Utility rates
 - D. Costs of utilities not covered by regulated rates
12. Special adjustments will only be approved if the owner demonstrates that cost increases are not adequately compensated by application of the published AAF and the rent to the owner is not sufficient for proper operation of the housing.
13. The adjusted rent may not exceed the reasonable rent as determined by a comparability study.
14. The owner must submit financial information, as requested by Auburn Housing Authority, that supports the request for a special adjustment (for HAP contracts of more than 20 units, such financial information must be audited).
15. Auburn Housing Authority can withdraw or limit the term of any special adjustment.
16. When a special adjustment is approved to cover temporary or one-time costs, the special adjustment is only a temporary or one-time increase to the owner.

17. At any time during the life of the HAP contract, Auburn Housing Authority can revise the rent to the owner to correct any errors in establishing or adjusting the rent to the owner in accordance with HUD requirements and recover any excess payment from the owner.

SECTION Q. REASONABLE RENT

1. An agreement to enter into a housing assistance payments contract cannot be made until AHA determines that the initial rent to the owner is a reasonable rent in comparison to the rent for other comparable unassisted units.
2. At least annually during the HAP contract term, Auburn Housing Authority will need to redetermine that the current rent to the owner does not exceed a reasonable rent.
3. To make this determination, Auburn Housing Authority will consider:
 - A. The location, quality, size, unit type, and age of the contract unit
 - B. Any amenities, housing services, maintenance and utilities to be provided by the owner in accordance with the lease
4. Auburn Housing Authority's comparability study (an analysis of rents charged for comparable units) will determine the reasonable rent for the contract units as compared with rents for comparable unassisted units:
 - A. The comparability study will be prepared by AHA staff.
 - B. The study will show how the reasonable rent was determined and any major differences between the contract units and the comparable unassisted units.
 - C. If the owner requests a rent increase by the 120 day deadline, AHA will submit to the owner a comparability study at least 60 days before the HAP contract anniversary.
 - D. If AHA does not submit the comparability study to the owner by this deadline, an increase of rent by application of the annual adjustment factor is not subject to the reasonable rent limit.
5. By accepting each monthly housing assistance payment from AHA, the owner certifies that the rent to the owner is not more than the rent charged by the owner for comparable unassisted units in the premises.

SECTION R. HOUSING ASSISTANCE PAYMENT

1. The monthly HAP equals the gross rent, minus the higher of the total tenant payment or the minimum rent as required by law.
2. The monthly housing assistance payment is distributed as follows:
 - A. AHA pays the owner the lesser of the housing assistance payment or the rent to the owner
 - B. If the housing assistance payment exceeds the rent to the owner, AHA will pay the balance of the HAP either to the family or directly to the utility supplier to pay the utility bill.

SECTION S. OTHER FEES AND CHARGES

1. The cost or value of meals or supportive services will not be included:
 - A. In the rent to the owner.
 - B. In the calculation of reasonable rent.
 - C. In the lease to require the tenant or family to pay such charges and non-payment of such charges cannot be grounds for termination of tenancy.
2. The owner cannot charge the tenant extra amounts for items customarily included in rent in the locality or provided at no additional cost to the unsubsidized tenants in the premises.

SECTION T. PRESERVATION VOUCHERS

1. All rules and regulations as outlined in CFR 982.504, Notice PIH 96-61 and Notice PIH 97-29 will be followed if AHA utilizes preservation vouchers.

Adopted on November 26, 2008

**ADMISSION AND CONTINUED OCCUPANCY POLICY
ADOPTED OCTOBER 31, 2007 BOARD RESOLUTION NUMBER # 2691**

**17.0 VIOLENCE AGAINST WOMEN ACT (VAWA) PROVISION RE: DENIAL
OR TERMINATION OF ASSISTANCE**

An applicant or family that is or has been a victim of domestic violence, dating violence, or stalking, as defined below, will not be denied participation or terminated, if the victim of such violence otherwise qualifies for assistance.

“Domestic Violence” has the same meaning given the term in section 40002 of the Violence Against Women Act of 1994;

“Dating Violence” has the same meaning given the term in section 4002 of the Violence Against Women Act of 1994;

“Stalking” means: to follow, pursue, or repeatedly commit acts with the intent to kill, injure, harass, or intimidate; or to place under surveillance with the intent to kill, injure, harass, or intimidate another person; and, in the course of, or as a result of, such following, pursuit, surveillance, or repeatedly committed acts, to place a person in reasonable fear of the death of, or serious bodily injury to, or to cause substantial emotional harm to; that person; or a member of the immediate family of that person; or the spouse or intimate partner of that person.

“Immediate Family Member” means, with respect to a person a spouse, parent, brother or sister, or child of that person, or an individual to whom that person stands in loco parentis; or any other person living in the household of that person and related to that person by blood and/or marriage.

Nothing in this Section shall be construed to supersede any provision of any Federal, State, or local law that provides greater protection than this section for victims of domestic violence, dating violence, or stalking.

All information provided to an owner, manager, or Auburn Housing Authority pursuant to this Section, including the fact that an individual is a victim of domestic violence, dating violence, or stalking; shall be retained in confidence by Auburn Housing Authority; and shall neither be, entered into any shared database; nor provided to any related entity; except to the extent that disclosure is requested or consented to by the individual in writing, required for use in an eviction proceeding, or otherwise required by applicable law.

**17.1 INCIDENTS OF DOMESTIC VIOLENCE, DATING VIOLENCE, OR
STALKING**

In responding to an incident or incidents of actual or threatened domestic violence, dating violence, or stalking, Auburn Housing Authority may request that an individual certify

via a HUD approved certification form that the individual is a victim of domestic violence, dating violence, or stalking; and that the incident or incidents in question are bona fide incidents of such actual or threatened abuse; and meet the requirements set forth above. Such certification shall include the name of the perpetrator.

The individual shall provide such certification within 14 business days of the date that the participant receives the written request for certification from the owner, manager, or public housing agency.

If the individual does not provide the certification within the 14 business days set forth above, nothing in this Section may be construed to limit the authority of a landlord to evict, or Auburn Housing Authority to terminate the tenancy or occupancy rights for, any tenant or lawful occupant that commits violations of the lease. Auburn Housing Authority may extend the 14-day deadline at its sole discretion.

An individual may satisfy the certification requirement above by:

providing Auburn Housing Authority with documentation signed by an employee, agent, or volunteer of a victim service provider, an attorney, or a medical professional, from whom the victim has sought assistance in addressing domestic violence, dating violence, sexual assault, or stalking, or the effects of the abuse, in which the professional attests under the penalty of perjury (28 U.S.C. 1746) to the professional's belief that the incident or incident in questions are:

bona fide incidents of abuse; and

the victim of domestic violence, dating violence, or stalking has signed or attested to the documentation; or

producing a Federal, State, tribal, territorial, or local police court record.

Nothing in this subsection shall be construed to require Auburn Housing Authority to demand that an individual produce official documentation or physical proof of the individual's status as a victim of domestic violence, dating violence, sexual assault, or stalking in order to receive any of the benefits provided in this section. At its discretion, Auburn Housing Authority may provide benefits to an individual based solely on the individual's statement or other corroborating evidence.

17.2 RESOURCES

Auburn Housing Authority works in partnership with The Abused Women's Advocacy Project in Auburn providing support and resources to victims of domestic violence. AHA have brochures available to all applicants and tenants of AHA explaining the services provided by the Abused Women's Advocacy Project. New applicants are provided information on The Violence Against Women Act of 2005 during move-in orientations.

Auburn Housing Authority has procedural guidelines for any new tenant who is in a domestic violence situation and moving into an Auburn Housing Authority property.

Auburn Housing Authority works cooperatively with Auburn Police Department concerning any knowledge of domestic violence on our properties.

**SECTION 8 HOUSING CHOICE VOUCHER PROGRAM
ADMINISTRATIVE PLAN**

ADOPTED OCTOBER 31, 2007

BOARD RESOLUTION # 2691

**21.0 VIOLENCE AGAINST WOMEN ACT (VAWA) PROVISION RE: DENIAL
OR TERMINATION OF ASSISTANCE**

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“Domestic Violence” has the same meaning given the term in section 40002 of the Violence Against Women Act of 1994;

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“Immediate Family Member” means, with respect to a person a spouse, parent, brother or sister, or child of that person, or an individual to whom that person stands in loco parentis; or any other person living in the household of that person and related to that person by blood and/or marriage.

Nothing in this Section shall be construed to supersede any provision of any Federal, State, or local law that provides greater protection than this section for victims of domestic violence, dating violence, or stalking.

All information provided to an owner, manager, or Auburn Housing Authority pursuant to this Section, including the fact that an individual is a victim of domestic violence, dating violence, or stalking; shall be retained in confidence by Auburn Housing Authority; and shall neither be, entered into any shared database; nor provided to any related entity; except to the extent that disclosure is requested or consented to by the individual in writing, required for use in an eviction proceeding, or otherwise required by applicable law.

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STALKING**

In responding to an incident or incidents of actual or threatened domestic violence, dating violence, or stalking, Auburn Housing Authority may request that an individual certify via a HUD approved certification form that the individual is a victim of domestic violence, dating violence, or stalking; and that the incident or incidents in question are bona fide incidents of such actual or threatened abuse; and meet the requirements set forth above. Such certification shall include the name of the perpetrator.

The individual shall provide such certification within 14 business days of the date that the participant receives the written request for certification from the owner, manager, or public housing agency.

If the individual does not provide the certification within the 14 business days set forth above, nothing in this Section may be construed to limit the authority of a landlord to evict, or Auburn Housing Authority to terminate the Section 8 voucher for, any tenant or lawful occupant that commits violations of the Section 8 program. Auburn Housing Authority may extend the 14-day deadline at its sole discretion.

An individual may satisfy the certification requirement above by:

providing Auburn Housing Authority with documentation signed by an employee, agent, or volunteer of a victim service provider, an attorney, or a medical professional, from whom the victim has sought assistance in addressing domestic violence, dating violence, sexual assault, or stalking, or the effects of the abuse, in which the professional attests under the penalty of perjury (28 U.S.C. 1746) to the professional's belief that the incident or incident in questions are:

bona fide incidents of abuse; and

the victim of domestic violence, dating violence, or stalking has signed or attested to the documentation; or

producing a Federal, State, tribal, territorial, or local police court record.

Nothing in this subsection shall be construed to require Auburn Housing Authority to demand that an individual produce official documentation or physical proof of the individual's status as a victim of domestic violence, dating violence, sexual assault, or stalking in order to receive any of the benefits provided in this section. At its discretion, Auburn Housing Authority may provide benefits to an individual based solely on the individual's statement or other corroborating evidence.

17.2 RESOURCES

Auburn Housing Authority works in partnership with The Abused Women's Advocacy Project in Auburn providing support and resources to victims of domestic violence. AHA have brochures available to all applicants, programs participants and landlords explaining the services provided by the Abused Women's Advocacy Project. New applicants and

landlords are provided information on The Violence Against Women Act of 2005 during move-in orientations.

Auburn Housing Authority works cooperatively with Auburn Police Department concerning any knowledge of domestic violence.