

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>Housing Authority of Henderson</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>04/2010</u> PHA Code <u>KY012</u>																										
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>430</u> Number of HCV units: <u>649</u>																										
3.0	Submission Type <input checked="" type="checkbox"/> 5-Year and Annual Plan <input 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">Participating PHAs</th> <th rowspan="2">PHA Code</th> <th rowspan="2">Program(s) Included in the Consortia</th> <th rowspan="2">Programs Not in the Consortia</th> <th colspan="2">No. of Units in Each Program</th> </tr> <tr> <th>PH</th> <th>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: The mission of the Housing Authority of Henderson is to promote, without discrimination, affordable quality housing, economic opportunity, and a positive living environment for the residents we serve.																										
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. See Attachment																										
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: 1) ACOP, 2) Section 8 Administrative Plan, 3) Maintenance Policy, 4) Procurement Policy, 5) Personnel Policy, 6) Financial Resources, 7) FYE Audit, 8) Asset Management Statement (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. Housing Authority of Henderson and the City of Henderson																										
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> Homeownership – See Section 8 Administrative Plan, Section 37																										
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. See Attachment																										
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. See Attachments 108/109 ARRA/109																										
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. See Attachment																										
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	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. See Attachment
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9.1	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. See Attachment
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10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(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 – See Section 5.2 Goals and Objectives</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification” - See Attachment</p>
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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. – See Attachments</p> <p>(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)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(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.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>
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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, 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.

ATTACHMENTS/DISPLAY ONLY ITEMS LISTED –Attachment A

5.0 FIVE YEAR PLAN

5.2 GOALS AND OBJECTIVES	Document	Attachment B	Supporting Documentation on Display X
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6.0 PHA PLAN UPDATE

	PHA PLAN ELEMENT	POLICY	COMMENT	Supporting Documentation on Display
1)	Eligibility , Selection and Admissions Policies Deconcentration and Waiting List Procedures	1) ACOP 2) Section 8 Administrative Plan		X
2)	Financial Resources	Document	Attachment C	X
3)	Rent Determination	1) ACOP 2) Section 8 Administrative Plan		X
4)	Operations & Management	1) ACOP 2) Maintenance Plan		X
5)	Grievance Procedures	1) ACOP 2) Section 8 Administrative Plan		X
6)	Designated Housing for Elderly & Disabled Families	Statement Only- Document	The HA of Henderson currently has no designated housing for elderly & disabled families, however, the HA will continue to carry out the modifications needed in public housing based on section 504 needs assessment. – Attachment D	X
7)	Community Service & Self-Sufficiency	ACOP		X
8)	Safety & Crime Prevention	ACOP		X
9)	Pets	ACOP		X
10)	Civil Rights Certification	HUD FORM 50077	Attachment -See Certification X	X-Mailed
11)	Fiscal Year Audit	AUDIT		X
12)	Asset Management	Document	Attachment E	X
13)	Violence Against Women (VAWA)	ACOP	VAWA portion only - Attachment Y	X

7.0 HOMEOWNERSHIP

YRS 2010 + 2011-2014	Section 8 Administrative Plan		Supporting Documentation on Display X
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8.0 CAPITAL FUND IMPROVEMENTS

8.1 CAPITAL FUND PROGRAM ANNUAL STATEMENT/PERFORMANCE & EVALUATION REPORT

			Supporting Documentation on Display
KY36P01250108	50075.1	Attachment F	X
KY36S01250109	50075.1	Attachment G	X
KY36P01250109	50075.1	Attachment H	X
KY36P01250110	50075.1	Attachment I	X

8.2 CAPITAL FUND PROGRAM FIVE-YEAR ACTION PLAN

YRS 2009 + 2010-2013	50075.2	Attachment J	Supporting Documentation on Display X
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9.0 HOUSING NEEDS

			Supporting Documents on Display
9.0 Housing Needs	Document	Attachment K	X
9.1 Strategy for Addressing Housing Needs	Document	Attachment L	X

10.0 ADDITIONAL INFORMATION

			Supporting Documents on Display
10.b Significant Amendment and Substantial Deviation/Modification	Document	Attachment M	X

11.0 CERTIFICATIONS

			Supporting Documentation on Display
PHA Certification of Compliance with the PHA Plans and Related Regulations	HUD-50077	Attachment N	X-Mailed
Certification for a Drug-Free Workplace	HUD-50070	Attachment O	X-Mailed
Certification of Payments to Influence Federal Transactions	HUD-50071	Attachment P	X-Mailed
Disclosure of Lobbying Activities	SF-LLL	Attachment Q	X-Mailed
Resident Advisory Board Comments	Document	Attachment R	X
Board of Commissioner/RAB Information	Document	Attachment S	X
Certification by State or Local Official of PHA Plan Consistency with Consolidated Plan	HUD-50075	Attachment T	X-Mailed
Statutory Worksheet 24-CFR 58.5	App-V-A8-1 App-V-A8-2	Attachment U	X-Mailed
Request for Release of Funds and Certification	7015.15	Attachment W	X-Mailed
Civil Rights Certification	50077-CR	Attachment X	X-Mailed

ATTACHMENT B – GOALS and OBJECTIVES

PHA Goal: Increase the availability of decent, safe, and affordable housing.

- PHA Goal: Expand the supply of assisted housing
Objectives:
 - Reduce public housing vacancies: **Maintain to less than 5%**
 - Leverage private or other public funds to create additional housing opportunities: **Apply for Section 202 grant funds**
 - Acquire or build units or developments **Build affordable multi-family single units for rental and homeownership and acquire additional property for development. By 2013, acquire additional property for development.**
 - Other (list below) **Increase Section 8 landlord participation through outreach programs such as landlord briefings, roundtable discussions and PHA web site.**

Progress Report:

Over the past 5 years, we maintained a vacancy rate of 3% or less.

With the use of Capital Funds, constructed two – 2 bedroom houses, retrofitted a 4 unit 0 Bedroom building into a two unit – 2 bedroom handicap accessible units.

Purchased eight vacant properties that will be used for future development.

Applied for and awarded \$749,700 in Neighborhood Stabilization Funds (NSP) to construct 7 units of affordable rental housing.

11 new Section 8 landlords were added to the program.

- PHA Goal: Improve the quality of assisted housing
Objectives:
 - Renovate or modernize public housing units: **Renovate/modernize to increase marketability and when feasible, add amenities through capital funds.**
 - Demolish or dispose of obsolete public housing: **By 2013, apply for demolition of 840 North Adams Complex (99 units)**
 - Provide replacement public housing: **By 2015, begin replacement of units demolished**
 - Provide replacement vouchers: **By 2013, apply for replacement vouchers for displaced residents**

Progress Report:

With the use of Capital Program Funds, we continue to renovate/modernize current housing stock. As a result, this also enhances the attractiveness and marketability of our dwelling units. Received in 2008, a REAC physical inspection score of 30. (100%)

- PHA Goal: Increase assisted housing choices
Objectives:

- Conduct outreach efforts to potential voucher landlords **through public awareness, education presentations, brochures, PHA web site and yearly briefings for new landlords.**
- Implement voucher homeownership program: **Adopted HCV Homeownership program April 2005**
- Implement public housing or other homeownership programs:

Progress Report:

Held briefing sessions with the new tenants and landlords. Advertised in the local newspaper, public access television, brochures and PHA website to inform the public of the availability of Section 8 vouchers in public housing. Adopted a Section 8 Homeownership Policy in April 2005. One Homeownership closing to date.

Landlord Access Program added to Website

Direct deposit of Landlord HAP Payments.

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

- PHA Goal: Provide an improved living environment
Objectives:
- Implement measures to de-concentrate poverty by bringing higher income public housing households into lower income developments: **Follow De-concentration Policy**
 - Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments: **Follow De-concentration Policy**
 - Implement public housing security improvements: **Improve procedures as determined by Management, Residents, and Criminal Statistics for Developments.**

Progress Report:

Through marketing and outreach, we have increased the number of families by 4 with incomes greater than thirty (30) but less than fifty (50) percent of the median income.

The Housing Authority of Henderson has used a comprehensive security and preventive-based approach to attack the problem of drug related crime. A community policing concept comprised of police patrols coupled with the promotion of resident neighborhood watch efforts are being used to combat the problem of drug activity in and around our developments. At the Housing Authority of Henderson's Community and Technology Center, a comprehensive drug prevention program involving academic, drug education programs, after school summer programs, and employment skills education provides youth and adults alternatives to drug activity.

Through the use of Capital Funds, the Housing Authority installed Schlage deadbolt security locks in 279 units.

Program specific activities to be undertaken by the City of Henderson includes \$32,688 in CDBG Funds to provide enhanced police protection in areas of concentration of low and moderate income families particularly focusing on census tracts in which our developments are located. This includes foot, bicycle and vehicle patrols.

\$128,000 will be utilized for rehabilitation/reconstruction and temporary relocation. The City will undertake approximately 4 housing reconstructions for low-income, owner-occupied families living in dilapidated structures within the City, coupled with HOME Focus Community Funds, along with exterior repair of 25 homes for a fifth year of World Changers.

\$5,000 to provide operation funds to local Shelter for Women and Children in census tract 206.01.

\$35,317 will be used to undertake floor improvements at the City's John F. Kennedy Recreation Center to allow mobility for those with disabilities and to comply with ADA guidelines.

\$59,999 was utilized to add additional playground equipment and handicap accessible structures at Newman and Kimmel Park.

\$72,601 to undertake approximately 1,300 lineal feet infrastructure improvements (sidewalks, curb and gutters) in census tract 202 benefiting low to moderate income families (Warm Shelter – McKinley Street) to continue efforts to provide safe passage for women who are in rehabilitation in the newly opened WARM Shelter.

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

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

Objectives:

- Increase the number and percentage of employed persons in assisted families: **Increase by 2 families per year (180 now)**
- Provide or attract supportive services to improve assistance recipients' employability: **Ongoing FSS and community service programs. Adult Learning and Technology Center on site.**
- Provide or attract supportive services to increase independence for the elderly or families with disabilities. **Service Coordinator assist with obtaining partnerships with other service agencies (Audubon Area, GRADD)**
- Other: (list below) **Annually maintain a minimum of 20 percent participation rate by elderly/disabled residents in programs of self-sufficiency/supportive services.**

Progress Report:

Current number of working families is 180. Recent industry downsizing and several major factory closings has resulted in the loss of jobs in the tri-county area. The current unemployment rate for Henderson county is 11.40 percent. As a result, the number of working families has decreased by 21.

The Housing Authority of Henderson provides or sponsors classes in job/life skills, résumé, introduction to computer, GED, SAT and ACT preparation, Homeownership and credit consumer counseling.

Through the use of ROSS Family Grant Funds , the Housing Authority of Henderson, in partnership with the Henderson Community College, sponsored a Certified Nursing Assistant (CNA) course.

We maintain a 75 percent participation rate by elderly/disabled residents in programs of self-sufficiency and supportive services.

The Cabell-Platt Medical Center that houses the Community Access to Child Healthcare (CATCH) program, has been in operation for five years. The Medical Center has become the CATCH program's most utilized site with over 80 percent of total participants. The Medical Center is open five days a week. The program sponsored by Methodist Hospital, provides license, physicians, and physician's insurance. Health care is provided to individuals with or without insurance.

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

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing Objectives:
 - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability: **Provide awareness training to staff. Post Grievance, VAWA, ACOP and ADMIN, and Fair Housing policies and procedures.**
 - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required: **Remodel designated units to be handicap accessible through the use of capital funds.**

Progress Report:

Housing Authority of Henderson staff attended workshops and conventions. We also provided in-house training on Diversity, Sexual Harassment, Drug Awareness, Safety, First Aid, HVAC, Preventive Maintenance, Gas Utility awareness, Electrical, Pest Control, and Asset Management/ Project Base Accounting.

ATTACHMENT C
6.2 STATEMENT OF FINANCIAL RESOURCES

Financial Resources: Planned Sources and Uses						
	Project 1 Planned \$	Project 2 Planned \$	HA Wide Planned \$	S8 Planned \$	Total Planned \$	Planned Uses
Sources						
1. Federal Grants (FY 2010 grants)						
a) Public Housing Operating Fund	532,987	362,978			895,965	Operations
b) Public Housing Capital Fund			729,872		729,872	Capital Project
c) HOPE VI Revitalization						
d) HOPE VI Demolition						
e) Annual Contributions for Section 8 Tenant-Based Assistance				2,782,524	2,782,524	Operations
f) Resident Opportunity and Self-Sufficiency Grants						
g) Community Development Block Grant – Neighborhood Stabilization Program			749,700		749,700	Development
h) HOME						
Other Federal Grants (list below)						
2. Prior Year Federal Grants (un-obligated funds only) (list below)						
a) CFP KY36P012501-08			96,760		96,760	Capital Project
b) CFP KY36P012501-09			729,872		729,872	Capital Project
c) CFP KY36S012501-09			791,330		791,330	Capital Project-ARRA
3. Public Housing Dwelling Rental Income	650,480	587,700			1,238,180	Operations
4. Other income (list below)						
a) Excess Utilities	62,500	18,480			80,980	Operations
b) Other	32,080	24,940			57,020	Operations
c) Interest	10,440	9,240			19,680	Operations
5. Non-federal sources (list below)						
a) United Way	10,000				10,000	Operations
Total resources	1,298,487	1,003,338	3,097,534	2,782,524	8,181,833	

ATTACHMENT D

6.6

Designated Housing for Elderly and Disabled Families

The Housing Authority of Henderson has not designated any Public Housing units specifically for Elderly and Disabled families. However, the Housing Authority will continue to carry out modifications needed in public housing to meet the Section 504 Needs Assessment.

ATTACHMENT E

6.12

Asset Management Statement

Portfolio Details

The Housing Authority of Henderson operates 430 Public Housing units grouped into two Projects. The Housing Authority administers 649 Housing Choice Vouchers.

Project Breakdown

Project 1	# of Units
Lawndale	134
Dixon	66
Madison	22
Scattered Sites (303/305 Fagan 423 S. Ingram)	3
Total	225
Project 2	# of Units
Fagan	47
Dixon /Ingram	10
8 th Street and North Adams	49
840 North Adams	99
Total	205

Organizational Structure and Approach to Asset Management

The Housing Authority's organizational structure reflects the multiple programs it administers.

POSITIONS

CENTRAL OFFICE COST CENTER	
Executive Director	Human Resource/Administrative Asst.
Finance Director	Receptionist

<u>AMP 1</u>	<u>AMP 2</u>
Property Manager	Property Manager
Maintenance Supervisor & MOD Coordinator	Maintenance Supervisor
Collection Clerk	Collection Clerk
	Clerk/Inventory
Maintenance Mechanic -2	Maintenance Mechanic
Maintenance Aide	Maintenance Aide
	Maintenance Aide (Custodian)
Painter	Painter
Family/Youth Coordinator	Service Coordinator
CAT Program Assistant – 3	
Computer Aide	

<u>SECTION 8</u>	<u>MOD</u>
Section 8 Director	Foreman-Crew Leader Working
Inspector	Maintenance Aide - 2
FSS/Program Assistant	Maintenance Aide-Laborer
Caseworker	Painter-PT
Bookkeeper	

The Executive Director oversees the day to day operation of the Public Housing and HCV programs.

The Housing Authority of Henderson's COCC consists of four staff: the Executive Director, Finance Director, Administrative Assistant/Human Resource Director and Receptionist. Each project has a Housing Manager, Collection Clerk, Maintenance Supervisor and supporting Maintenance staff. The Resident Service Department serves both family and elderly/disabled residents at each Project. The modernization department constructs and performs renovations as outlined in the Capital Fund Annual and Five-Year Plan. The Section 8 Department includes a Director, Case Worker, FSS Coordinator/Case Worker, Inspector/Homeownership counselor and Bookkeeper.

The Housing Authority's conversion to asset management was done in stages to manage the process; train and help staff adjust to the transition. These stages included upgrading computer system to allow for project base accounting and asset management, training staff for new positions, decentralizing of the administrative staff, maintenance department including staff and inventory; centralizing the applications, waitlist and eligibility functions for all programs and developing project base budgets and accounting functions.

COCC staff performs internal auditing and quality assurance control on tenant files, procurement, re-exams, inspections, maintenance work orders, account receivables, MASS and SEMAP for the Public Housing and HCV programs.

Project-Based Budgeting and Accounting

In this first year of Asset Management, the Housing Authority charges each project bookkeeping, property and an asset management fee in accordance with HUD regulations as outlined in PIH Notice 2007-9. During the first seven months of this FY, these fees have been sufficient to fund the operating activities of the central office. As of October 1, 2009 the Central Office and both projects are showing a positive cash flow.

The Housing Authority developed its project-based budgets using formats similar to previous FY. Since there was no historical project-level data available, the budgets for FY 2009 were developed by taking historical Low-Rent information, prior year actual data and current actual expenditures and breaking it down to individual projects. The budgets were developed by COCC staff with significant involvement in the process by Housing Managers and Maintenance Supervisors.

COCC finance department completes project-level financial statements on a monthly basis. Monthly meetings with Property Managers, Maintenance and other Departmental Supervisors are held to review these operating statements and each individual is made aware of how their actual performance varies from budgeted performance. Rent collections, occupancy, turnover and lease up rates and other performance information is reviewed at the monthly departmental meeting. By doing this, it allows the Housing Authority to maintain fiscal responsibility in all areas of management.

With the use of Capital Funds, the modernization department will continue to renovate/modernize the housing units and increase additional housing opportunities by building affordable single family units for homeownership.

The Housing Authority will continue its ongoing aggressive training of all employees.

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

PHA Name: Housing Authority of Henderson	Grant Type and Number Capital Fund Program Grant No: KY36P01250108 Replacement Housing Factor Grant No:	Federal FY of Grant: 2008
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Original Annual Statement
 Reserve for Disasters/ Emergencies
 Revised Annual Statement (revision no: 3)
 Performance and Evaluation Report for Period Ending: 9-30-09
 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	146,445	146,445	146,445.00	146,445.00
3	1408 Management Improvements	50,000	50,000	50,000.00	31,001.10
4	1410 Administration	73,222	73,222	73,222.00	20,884.61
5	1411 Audit	2,000	2,000	2,000.00	2,000.00
6	1415 Liquidated Damages				
7	1430 Fees and Costs	11,200	8,170.00	8,170.00	8,169.52
8	1440 Site Acquisition				
9	1450 Site Improvement	9,925	9,899	9,899.00	9,899.02
10	1460 Dwelling Structures	281,613	292,355	292,355.00	262,910.87
11	1465.1 Dwelling Equipment—Nonexpendable	81,150	85,648	85,648.00	80,236.78
12	1470 Non-dwelling Structures	36,071	29,140	29,140.00	29,140.24
13	1475 Non-dwelling Equipment	39,600	35,255	35,255.00	35,085.18
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs	1,000	92	92.00	46.00
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	732,226	732,226	732,226.00	625,818.32
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures	141,185	141,267		

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

PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250108 Replacement Housing Factor Grant No:			Federal FY of Grant: 2008			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Project 1 KY012000001								
Lawndale	1) Tile Floors in Living Room, Kitchen, Utility Room-Replace	1460	15 units	45,300	50,928	50,928.00	48,080.21	94% comp
	2) Phone Cable -Run	1460	15 units	7,000	3,175	3,175.00	3,175.17	100% comp
	3) Water Heaters-Convert to Electric-Replace	1460	61 units	35,402	36,367	36,367.00	36,367.03	100% comp
	4) Roof Repair/Replace	1460		3,344	3,439	3,439.00	3,438.96	100% comp
	5) Kitchen Faucets-Replace	1460	134 units	0	0	.00	.00	
	6) Refrigerators-replace	1465	3 units	0	1,800	1,800.00	.00	
	SUBTOTAL			91,046	95,709	95,709.00	91,061.37	95% comp
Dixon	1) Tile Floors in Living Room, Kitchen, Utility Room-Replace	1460	15 units	45,300	23,317	23,317.00	16,697.43	72% comp
	2) Phone Cable-run	1460	5 units	3,000	506	506.00	505.63	100% comp
	3) Refrigerators, replace	1465	48 units	0	0	.00	.00	
	4) Barret Heating/AC Unit	1470	2 units	7,000	0	.00	.00	
	5) Dixon Hall-Vinyl Siding-Gutters-Downspouts-Install	1470	1 units	11,931	12,000	12,000.00	12,000.24	100% comp
	6) Barret Roof-Re-roof	1470	1 unit	17,140	17,140	17,140.00	17,140.00	100% comp
	7) Roof Repair/Replace	1460		468	425	425.00	424.81	100% comp
	8) Kitchen Faucets-Replace	1460	66 units	91	0	.00	.00	
	SUBTOTAL			84,930	53,388	53,388.00	46,768.11	88% comp

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

PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250108 Replacement Housing Factor Grant No:			Federal FY of Grant: 2008			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Madison	1) Ranges, Replace	1465	22 units	14,900	10,299	10,299.00	10,522.61	100% comp
	2) Refrigerators-Replace	1465	22 units	0	0	.00	.00	
	3) Madison Storage Building-Repair	1460	13 units	4,107	2,949	2,949.00	2,948.78	100% comp
	SUBTOTAL			19,007	13,248	13,248.00	13,247.35	100% comp
	PROJECT 1 SUBTOTAL			194,983	162,345	162,345.00	151,076.83	93% comp
PROJECT 2 KY012000002								
Eighth Street	1) Ranges-Replace	1465	46 units	0	0	.00	.00	
	2) 8 th St. Bath-Repair	1460	1 unit	54	54	54.00	53.69	100% comp
North Adams	2) Tile Floors in Living Room, Kitchen, Utility Room-Replace	1460	4 units	17,650	12,512	12,512.00	12,512.23	100% comp
	3) Remodel 0 & 1 Bedroom/Bath Upgrade to make 504 accessible	1460	2 units	18,429	18,429	18,429.00	18,428.39	100% comp
	4) Air Conditioner Units-Replace	1465	58 units	36,950	35,599	35,599.00	35,599.46	100% comp
	5) 8 th St.Storage Bld-Repair	1460	14 units	4,440	4,994	4,994.00	4,994.07	100% comp
	SUBTOTAL			77,523	71,588	71,588.00	71,587.84	100%comp

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

PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250108 Replacement Housing Factor Grant No:			Federal FY of Grant: 2008			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
840 North Adams	1) Bathrooms – Remodel	1460	1 units	1,173	1,173	1,173.00	1,173.48	100% comp
	2) Baseboards, Replace	1460	15 units	6,190	6,190	6,190.00	6,189.61	100% comp
	3) Electric Primary Lines & Service Drops-Replace	1450	3	0	0	.00	.00	
	4) Water Heaters-Replace	1460	50 units	17,452	17,452	17,452.00	17,451.74	100% comp
	5) Screen Door Prototypes	1460	2 units	0	0	.00	.00	
	6) Header Improvement Back Building Prototype	1460	20 units	0	0	.00	.00	
	7) Ranges-Replace	1465	100 units	29,300	37,950	37,950.00	34,114.71	90% comp
	8) Tile Floors- Replace	1460	2 units	3,100	1,966	1,966.00	1,965.87	100% comp
	SUBTOTAL			57,215	64,731	64,731.00	60,895.41	94% comp
	PROJECT 2 SUBTOTAL			134,738	136,319	136,319.00	132,483.25	97% comp

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

PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250108 Replacement Housing Factor Grant No:			Federal FY of Grant: 2008			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA Wide	1) Operations	1406		146,445	146,445	146,445.00	146,445.00	100% comp
	2) Management Improvements	1408		50,000	50,000	50,000.00	31,001.10	66% comp
	3) Administration	1410		73,222	73,222	73,222.00	20,884.61	29% comp
	4) Audit	1411		2,000	2,000	2,000.00	2,000.00	100% comp
	5) A & E	1430		10,000	8,170	8,170.00	8,169.52	100% comp
	6) Fees and Costs	1430		1,200	0	.00	.00	
	7) Landscaping	1450		1,625	1,664	1,664.00	1,664.30	100% comp
	8) Sidewalks-Replace	1450		8,300	8,235	8,235.00	8,234.72	100% comp
	9) Painting & Restoration	1460		42,000	81,489	81,489.00	65,628.96	81% comp
	10) Carpet	1460		26,400	26,400	26,400.00	22,284.81	84% comp
	11) Termite Repair/Control	1460		713	590	590.00	590.00	100% comp
	13) Equipment	1475		39,600	35,255	35,255.00	35,085.18	99% comp
	14) Relocation	1495.1		1,000	92	92.00	46.00	50% comp
	SUBTOTAL			402,505	433,562	433,562.00	342,034.20	79% comp
	TOTAL CFP ESTIMATE COST					732,226.00	625,594.28	85% comp

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 4/30/2011

Part I: Summary		
PHA Name: Housing Authority of Henderson	Grant Type and Number Capital Fund Program Grant No: KY36S01250109 Replacement Housing Factor Grant No: Date of CFFP: 3/18/09	FFY of Grant: 2009 FFY of Grant Approval: 2009

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

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)	92,685		1,026.00	1,026.00
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	9,058		10,262.50	10,262.50
8	1440 Site Acquisition				
9	1450 Site Improvement	80,000		80,000.00	34,515.29
10	1460 Dwelling Structures	727,161		727,161.00	73,034.22
11	1465.1 Dwelling Equipment—Nonexpendable	14,850		14,850.00	14,400.00
12	1470 Non-dwelling Structures	3,099		0	0
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.

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

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name: Housing Authority of Henderson	Grant Type and Number Capital Fund Program Grant No: KY36S01250109 Replacement Housing Factor Grant No: Date of CFFP: 3/18/09	FFY of Grant:2009 FFY of Grant Approval: 2009			
Type of Grant					
<input checked="" type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no:)	
<input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Final Performance and Evaluation Report			
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	926,853		832,095.00	133,238.01
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures	340,706		340,706	49,311.07
Signature of Executive Director		Date		Signature of Public Housing Director	
				Date	

¹ To be completed for the Performance and Evaluation Report.

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

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36S01250109 CFFP (Yes/ No): No - ARRA Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009			
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
PROJECT 1 KY012000001								
Lawndale Apts.	1) Roofs - Replace	1460	11	148,500		148,500.00	92.36	
	2) Air Conditioners - Replace	1460	95	199,500		199,500.00	4,077.24	
	3) Sewer Line -Replace/Rework 8/9/10 buildings	1450	3	20,000		20,000.00	646.87	
	4) Faucets- Replace	1460	134	10,252		10,252.00	9,112.45	
	SUBTOTAL			378,252		378,252.00	13,928.92	
	1) Roofs - Replace	1460	8	108,000		108,000.00	28,066.11	
Dixon Apts.	2) Air Conditioners - Replace	1460	45	94,500		94,500.00	2,008.20	
	3) Faucets - Replace	1460	66	5,050		5,050.00	4,454.03	
	SUBTOTAL			207,550		207,550.00	34,528.34	
Madison Court	1) Faucets - Replace	1460	22	1,683		1,683.00	1,484.68	
	SUBTOTAL			1,683		1,683.00	1,484.68	
Scattered Sites -3 Houses	1) Faucets - Replace	1460	3	230		230.00	202.45	
	SUBTOTAL			230		230.00	202.45	
	TOTAL PROJECT 1			587,715		587,715.00	50,144.39	

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

² To be completed for the Performance and Evaluation Report.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: KY36S01250109 CFPP (Yes/ No): No -ARRA Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
PROJECT 2 KY 012000002								
840 North Adams St.	1) Roof -replace and fascia/gutter/downspout-repair	1460	10 bldgs	144,805		144,805.00	9,964.68	
	2) 840 Hall Generator	1470	1	3,099		.00	.00	
	3) Faucets - Replace	1460	100	6,531		6,531.00	6,418.62	
	SUBTOTAL			154,435		151,336.00	16,383.30	
Dixon & Ingram	1) Sewer Line - Replace	1450	2 bldgs	15,000		15,000.00	9,984.97	
	2) Faucets - Replace	1460	10	765		765.00	674.85	
	SUBTOTAL			15,765		15,765.00	10,659.82	
North Adams St.	1) Faucets - Replace	1460	10	765		765.00	674.84	
	SUBTOTAL			765		765.00	674.84	
Eighth St. Court	1)Faucets - Replace	1460	39	2,984		2,984.00	2,631.92	
	2) Ranges - Replace	1465	33	14,850		14,850.00	14,400.00	
	SUBTOTAL			17,834		17,834.00	17,031.92	
Fagan Square	1) Faucets - Replace	1460	47	3,596		3,596.00	3,171.79	
	2) Sewer Lines - Replace	1450	1	45,000		45,000.00	23,883.45	
	SUBTOTAL			48,596		48,596.00	27,055.24	
	TOTAL PROJECT 2			237,395		234,296.00	71,805.12	

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 4/30/2011

Part I: Summary		
PHA Name: Housing Authority of Henderson	Grant Type and Number Capital Fund Program Grant No: KY36P01250109 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant: 2009 FFY of Grant Approval:

Type of Grant
 Original Annual Statement Reserve for Disasters/Emergencies Revised Annual Statement (revision no:1)
 Performance and Evaluation Report for Period Ending: 9-30-09 Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	146,455	103,346		
3	1408 Management Improvements	70,000	70,000		
4	1410 Administration (may not exceed 10% of line 21)	73,222	72,987		
5	1411 Audit	2,000	2,000		
6	1415 Liquidated Damages				
7	1430 Fees and Costs	7,000	7,000		
8	1440 Site Acquisition				
9	1450 Site Improvement	9,849	41,850		
10	1460 Dwelling Structures	355,000	374,068		
11	1465.1 Dwelling Equipment—Nonexpendable	37,700	22,621		
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment	30,000	35,000		
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs	1,000	1,000		
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.

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

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part I: Summary						
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250109 Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant:2009 FFY of Grant Approval:	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no: 1) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report						
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
18a	1501 Collateralization or Debt Service paid by the PHA					
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment					
19	1502 Contingency (may not exceed 8% of line 20)					
20	Amount of Annual Grant:: (sum of lines 2 - 19)	732,226	729,872			
21	Amount of line 20 Related to LBP Activities					
22	Amount of line 20 Related to Section 504 Activities					
23	Amount of line 20 Related to Security - Soft Costs					
24	Amount of line 20 Related to Security - Hard Costs					
25	Amount of line 20 Related to Energy Conservation Measures	199,500	113,736			
Signature of Executive Director			Signature of Public Housing Director			
Date			Date			

¹ To be completed for the Performance and Evaluation Report.

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

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: : KY36P01250109 CFFP (Yes/ No): No Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
Project KY012000001								
Lawndale	1) Water Heaters - replace	1460	44 units	0	21,832			
	2) Tile Floors - replace	1460	15 units	0	35,550			
	3) Bathroom- remodel	1460	4 units	0	34,600			
	4) Cable-install	1460	10 units	0	4,700			
	5) Transformer/Pole-Replace	1450	1	0	5,100			
	6) Roofs-Replace	1460	11 units	155,500	0			
	7) Air Conditioners-Replace	1460	95 units	199,500	0			
	8) Sewer- replace	1450		0	20,000			
	Sub-Total			355,000	121,782			
Dixon	1) Tile Floors - replace	1460	15 units	0	35,550			
	2) Bathrooms-remodel	1460	2 units	0	17,300			
	3) Cable – install	1460	5 units	0	3,000			
	4) Roofs -replace	1460		0	20,000			
	Sub-Total			0	75,850			
Madison Court	1) Storage Building- install finish board	1460	11 units	0	4,048			
	2) Washer Drains -install	1460	2 units	0	15,990			
	3) Water Heaters - replace	1460	22 units	0	12,873			
	4) Prototype – Convert ½ bath to full bath	1460	1 unit	0	17,600			
	Sub-Total			0	50,511			
	TOTAL Project KY012000001			355,000	248,143			

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

² To be completed for the Performance and Evaluation Report.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: : KY36P01250109 CFFP (Yes/ No): No Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009			
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
Project KY012000002								
Fagan Square	1) Water Heaters - replace	1460	48 units	0	23,140			
	2) Tile Floors - replace	1460	4 units	0	3,023			
	3) Door Jambs - install	1460	44 units	0	21,212			
	4) Tree Removal	1450	2	0	2,400			
	5) Transformer/Pole –replace	1450	1	0	3,550			
	Sub-Total			0	53,325			
Eighth Street Court	1) Water Heaters - replace	1460	39 units	0	22,820			
	2) Refrigerators - replace	1465	33 units	23,000	22,621			
	3) Tile Floors - replace	1460	4 units	0	5,494			
	4) Washer Drain - install	1460	2 units	0	15,990			
	5) Storage Building – install finish board	1460	17 units	0	6,256			
	Sub-Total			23,000	73,181			

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

² To be completed for the Performance and Evaluation Report.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: KY36P01250109 CFFP (Yes/ No): No Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
HA WIDE				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	1) Operations	1406		146,455	103,346			
	2) Management Improvements	1408		70,000	70,000			
	3) Administration	1410		73,222	72,987			
	4) Audit	1411		2,000	2,000			
	5) A & E	1430		5,000	5,000			
	6) Fees and Costs	1430		2,000	2,000			
	7) Landscaping	1450		4,849	4,800			
	8) Sidewalks-Replace	1450		5,000	5,000			
	9) Painting and Restoration	1460		0	30,000			
	10) Equipment	1475		30,000	35,000			
	11) Relocation	1495.1		1,000	1,000			
	Total – HA Wide			339,526	331,133			

Part III: Implementation Schedule for Capital Fund Financing Program					
PHA Name: Housing Authority of Henderson				Federal FFY of Grant: 2009	
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates ¹
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
PROJECT KY012000001	09/14/11		09/14/13		
PROJECT KY012000002	09/14/11		09/14/13		
HA WIDE	09/14/11		09/14/13		

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Part I: Summary		
PHA Name: Housing Authority of Henderson	Grant Type and Number Capital Fund Program Grant No: KY36P01250110 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant: 2010 FFY of Grant Approval:

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

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	145,974			
3	1408 Management Improvements	49,000			
4	1410 Administration (may not exceed 10% of line 21)	72,987			
5	1411 Audit	2,000			
6	1415 Liquidated Damages				
7	1430 Fees and Costs	5,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	25,000			
10	1460 Dwelling Structures	378,111			
11	1465.1 Dwelling Equipment—Nonexpendable	20,800			
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment	30,100			
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs	1,000			
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.

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

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part I: Summary						
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250110 Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant:2010 FFY of Grant Approval:	
Type of Grant						
<input checked="" type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no:)		
<input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Final Performance and Evaluation Report				
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
18a	1501 Collateralization or Debt Service paid by the PHA					
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment					
19	1502 Contingency (may not exceed 8% of line 20)					
20	Amount of Annual Grant:: (sum of lines 2 - 19)	729,872				
21	Amount of line 20 Related to LBP Activities					
22	Amount of line 20 Related to Section 504 Activities					
23	Amount of line 20 Related to Security - Soft Costs					
24	Amount of line 20 Related to Security - Hard Costs					
25	Amount of line 20 Related to Energy Conservation Measures					
Signature of Executive Director			Date		Signature of Public Housing Director	
					Date	

¹ To be completed for the Performance and Evaluation Report.

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

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: KY36P01250110 CFFP (Yes/ No): Replacement Housing Factor Grant No:			Federal FFY of Grant: 2010		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
Project KY012000001								
Lawndale	1) Roofs-replace	1460	16 bldgs	256,000				
	2) Refrigerators-replace	1465.1	32 units	20,800				
	3) Tile Floors - replace	1460	3 units	10,500				
	Subtotal			287,300				
Dixon	1) Tile Floors - replace	1460	3 units	10,500				
	2) Sewer Lines - replace	1450	2 bldgs	15,000				
	Subtotal			25,500				
Madison	1) Washer Drains - install	1460	2 units	15,990				
	Subtotal			15,990				
	Total Project KY012000001			328,790				
Project KY012000002	1) Tile Floors - replace	1460	1 unit	3,100				
Fagan Square	2) 504 Unit - remodel	1460	4 units	15,990				
	Subtotal			19,090				

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

² To be completed for the Performance and Evaluation Report.

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 Expires 4/30/2011

Part I: Summary						
PHA Name/Number		Locality (City/County & State)			<input type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:	
A.	Development Number and Name	Work Statement for Year 1 FFY 2010	Work Statement for Year 2 FFY 2011	Work Statement for Year 3 FFY 2012	Work Statement for Year 4 FFY 2013	Work Statement for Year 5 FFY 2014
B.	Physical Improvements Subtotal	Annual Statement	423,400	410,911	410,911	410,911
C.	Management Improvements		57,511	70,000	70,000	70,000
D.	PHA-Wide Non-dwelling Structures and Equipment		30,000	30,000	30,000	30,000
E.	Administration		72,987	72,987	72,987	72,987
F.	Other					
G.	Operations		145,974	145,974	145,974	145,974
H.	Demolition					
I.	Development					
J.	Capital Fund Financing – Debt Service					
K.	Total CFP Funds		729,872	729,872	729,872	729,872
L.	Total Non-CFP Funds					
M.	Grand Total					

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2010	Work Statement for Year 2011 FFY _____			Work Statement for Year: 2012 FFY _____		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	ProjectKY012000001			ProjectKY012000001		
Annual Statement	Lawndale			Lawndale		
	1) Roofs-replace	18 buildings	288,000	1) Maintenance Building Roof- replace	1 building	54,361
	2) Refrigerators-replace	30 units	18,750	2) Sewer Cleanout-install	15 units	15,000
	3) Cable –install	10 units	5,000	3) Bathroom –remodel	10 units	30,000
	4) Bathroom-remodel	1 unit	6,000	4) Refrigerator-replace	30 units	18,750
	5) Tile Floors –replace	2 units	7,000	5) Tile Floors-install	10 units	32,000
	Subtotal		324,750	Subtotal		150,111
	Dixon			Dixon		
	1) Tile Floors – replace	2 units	7,000	1) Tile Floor- replace	10 units	32,000
	2) Cable – install	5 units	2,350	2) Sewer Cleanout-install	7 units	7,500
	3) Heating/Air Conditioning – replace	1 unit	7,000	3) Bathroom-remodel	5 units	15,000
	4) Bathroom-remodel	1 unit	6,000	4) Refrigerators-replace	20 units	12,500
	Subtotal		22,350	Subtotal		67,000
				Madison		
				1) Washer Drain	1 unit	7,950
				Subtotal		7,950
	Subtotal of Estimated Cost Project KY012000001		\$347,100	Subtotal of Estimated Cost Project KY012000001		\$225,061

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2010	Work Statement for Year 2011 FFY _____			Work Statement for Year: 2012 FFY _____		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	Project KY012000002			Project KY012000002		
Annual	Fagan			Fagan		
Statement	1) Shut-Off Valves 0 BR-replace	8 units	1,000	1) Tile Floors-Replace	3 units	3,600
	Subtotal		1,000	2) Sewer Lines-replace	4 buildings	58,000
				3) 0 Bedroom-Remodel	2 units	15,000
	Dixon & Ingram			Subtotal		76,600
	1) Shut-Off Valves 0 BR-replace	10 units	1,250			
	Subtotal		1,250	Dixon & Ingram		
				1) 0 Bedroom-Remodel	2 units	15,000
	740/750 N Adams			Subtotal		15,000
	1) Shut-Off Valves 0 BR-replace	10 units	1,250			
	Subtotal		1,250	740/750 N Adams		
				1) 0 Bedroom-Remodel	2 units	15,000
	840 N Adams			Subtotal		15,000
	1) Baseboard-replace		900			
	Subtotal		900	840 N Adams		
				1) Baseboard-replace	3 units	900
				Subtotal		900
				8th Street		
				1) Washer Drain-install	1 units	7,950
				Subtotal		7,950
	Subtotal of Estimated Cost Project KY012000002		\$4,400	Subtotal of Estimated Cost Project KY012000002		\$115,450

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2010	Work Statement for Year 2013 FFY _____			Work Statement for Year: 2014 FFY _____		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	ProjectKY012000001			ProjectKY012000001		
Annual Statement	Lawndale			Lawndale		
	1) Tile Floors-replace	10 units	32,000	1) Bathroom – remodel	20 units	60,000
	2) Bathrooms-remodel	10 units	54,400	2) Tile Floors- replace	10 units	32,000
	3) Sewer Cleanouts-install	15 units	15,000	Subtotal		92,000
	4) Bathroom faucets-replace	134 units	13,400	Dixon		
	5) Refrigerators-replace	14 units	8,750	1) Bathroom-remodel	10 units	32,000
	Subtotal		123,550	2) Sewer Cleanouts-install	7 units	7,500
				3) Barret HVAC units-replace	2 units	15,000
	Dixon			Subtotal		54,500
	1) Tile Floors	5 units	16,000			
	2) Bathrooms- remodel	5 units	27,200			
	3) Sewer Cleanouts-install	7 units	7,500	Madison		
	4) Bathroom Faucets-replace	66 units	6,600	1) Back and Front Storm Doors -replace	22 units	124,011
	5) Refrigerators - replace	66 units	41,250	Subtotal		124,011
	6) Barret HVAC-replace	3 units	20,911			
	Subtotal		119,461			
	Subtotal of Estimated Cost Project KY012000001		\$243,011	Subtotal of Estimated Cost Project KY012000001		\$270,511

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2010	Work Statement for Year 2013 FFY _____			Work Statement for Year: 2014 FFY _____		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	Project KY012000002			Project KY012000002		
Annual Statement	Fagan			Fagan		
	1) 0 Bedroom – remodel	6 units	45,000	1) Tile Floors-replace	8 units	10,000
	2) Bathroom faucets-replace	48 units	4,800	2) Transformers – replace	2	10,000
	Subtotal		49,800	Subtotal		20,000
	Dixon & Ingram			Dixon & Ingram		
	1) 0 Bedroom –remodel	2 units	15,000	1) Tile Floors-replace	4 units	5,000
	2) Bathroom faucets-replace	10 units	1,000	2) Transformers – replace	2	10,000
	Subtotal		16,000	Subtotal		15,000
	740/750 N Adams			740/750 N Adams		
	1) 0 Bedroom –remodel	2 units	15,000	1) Transformer-replace	1	5,000
	2) Bathroom faucets-replace	8 units	800	Subtotal		5,000
	Subtotal		15,800			
	Eighth Street			8th Street		
	1) Washer Drain-replace	2 units	15,000	1) Convert ½ bath to full bath in 4 bedroom unit	1 unit	30,000
	Subtotal		15,000	Subtotal		30,000
	Subtotal of Estimated Cost Project KY012000002		\$96,600	Subtotal of Estimated Cost Project KY012000002		\$70,000

ATTACHMENT K

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

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

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

Housing Needs of Families on the PHA's Waiting Lists			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input checked="" type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	122		51
Extremely low income <=30% AMI	96	79	
Very low income (>30% but <=50% AMI)	21	18	
Low income (>50% but <80% AMI)	5	4	
Families with children	64	53	
Elderly families	3	3	
Families with Disabilities	15	13	
Race/ethnicity-W	101	82.79	
Race/ethnicity-B	20	16.39	
Race/ethnicity-H	2	1.64	
Race/ethnicity	1	.82	
Characteristics by Bedroom Size (Public Housing Only)			
1BR	45	37	
2 BR	40	33	
3 BR	31	25	
4 BR	6	5	
5 BR	0	0	
5+ BR	0	0	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed?			
<input type="checkbox"/> No <input type="checkbox"/> Yes			

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

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

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

Housing Needs of Families on the PHA's Waiting Lists			
Waiting list type: (select one)			
<input checked="" type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	533		58
Extremely low income <=30% AMI	431	80	
Very low income (>30% but <=50% AMI)	89	16	
Low income (>50% but <80% AMI)	13	2	
Families with children	273	51	
Elderly families	21	3	
Families with Disabilities	28	5	
Race/ethnicity-W	390	73	
Race/ethnicity-B	137	25	
Race/ethnicity-H	5	1	
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed?			
<input type="checkbox"/> No <input type="checkbox"/> Yes			

ATTACHMENT L

9.1 Strategy for Addressing Housing Needs

CHAS data shows the City of Henderson has 4,186 renter families that earn incomes that qualify them for Public Housing Assistance. Of these, 2,503 have housing problems and 275 (at any one time) are looking for a house to rent. The Authority's waiting list for Public Housing and the Section Eight programs show that 97% of the eligible families are earning less than 50% of the AMI.

Through the use of Capital Grant Program Funds, the Housing Authority will continue to renovate/modernize current housing stock, which will enhance the attractiveness and marketability of our dwelling units. The Housing Authority continues to increase Section 8 landlord participation through various outreach programs.

The Housing Authority will construct 7 units of low-income affordable rental housing with the use of Neighborhood Stabilization Funds (NSP).

Monitoring is and will continue to be conducted to confirm that the Housing Authority follows all rules and regulations outlined in the agency Admission and Continued Occupancy Policy (ACOP) and Section 8 Administrative Plan.

ATTACHMENT M

Definition of Substantial Deviation and Significant Amendment or Modification

The following actions are defined as substantial deviation or significant amendment or modification:

GOALS

- Additions or deletions of Strategic Goals

PROGRAMS

- Any change with regard to demolition or disposition, designation of housing, homeownership programs or conversion activities

CAPITAL BUDGET

- Additions of non-emergency work items (items not included in the current Annual Statement or Five Year Action Plan) or change in use of replacement reserve funds

POLICIES

- Changes to rent or admissions policies or organization of the waiting list

An exception to the above definition will be made for any of the above that are adopted to reflect changes in HUD regulatory requirements since such changes are not considered significant amendments by HUD.

**PHA Certifications of Compliance
with PHA Plans and Related
Regulations**

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

**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 2010, 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 903.121). 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 50358 PHC/HMS Module in an accurate, complete and timely manner (as specified in PHH 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 each 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).
9. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
10. 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.
11. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Lower-Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.

Certification for a Drug-Free Workplace

U.S. Department of Housing
and Urban Development

Applicant Name

Housing Authority of Henderson
Program/Activity Receiving Federal Grant Funding

Capital Fund Program

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. Employees of convicted employees must provide notice, including position title, to every grant officer or other designee or 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's name and address and the program/activity receiving grant funding.)

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

I hereby certify that all the information stated herein, as well as any information provided in the accompanying narrative, 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

Robbie W. Jarrett

Signature

x Robbie W. Jarrett

The

Executive Director

Date

10-14-2009

Certification of Payments to Influence Federal Transactions

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

Applicant Name

Housing Authority of Henderson

Program/Activity Receiving Federal Grant Funding

Capital Fund Program

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-L.L., 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 accompanying 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

Robbie W. Jarrett

Title

Executive Director

Signature

Robbie W. Jarrett

Date (mm/dd/yyyy)

10/14/2009

DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB

2540 (04-0)

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input checked="" 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 checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known. Housing Authority of Henderson 111 South Adams Street Henderson, KY 42420 Congressional District, if known: 46		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 and Urban Development	7. Federal Program Name/Description: CFDA Number, if applicable: <u>14.872</u>	
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)	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI)	
11. Information requested through this form is authorized by the 31 U.S.C. section 1352. This disclosure of lobbying activities is a material concentration of fact and is not to be used for any other purpose. This disclosure is required pursuant to 31 U.S.C. 1352. The information will be available to public inspection. Any person who knowingly provides false or misleading information shall be liable for a civil penalty not less than \$10,000 and not more than \$50,000 for each such failure.	Signature: <u>Bobbie W. Jarrett</u> Print Name: <u>Bobbie W. Jarrett</u> Title: <u>Executive Director</u> Telephone No.: <u>270-827-1294</u> Date: <u>10/19/2009</u>	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLS (Rev. 7-87)

ATTACHMENT R

**COMMENTS OF RESIDENT ADVISORY BOARD
PUBLIC HOUSING AGENCY PLANS**

Date: **October 14, 2009 10:00 A.M.**
 Location: Boswell Conference Room—111 South Adams Street
 Present: Board: President-Betty Wilson; Vice-President-Barbara Pruitt; Nannie Keene-Member at Large;
 Members- Lillie Hinton, Wanda Hawkins, Mary Barrett and Advisor-Pat Jackson. Flora
 Householder - Section 8 Member (see attached sign-in sheet)
 Staff: Bobbie Jarrett, Executive Director; Tina Belcher, Administrative Assistant, Leah Folz,
 Service Coordinator

Ms. Jarrett reviewed with the Board the revised sections of the Public Housing Agency Plans, namely PHA Plans Template; FFY **2010** Capital Fund Program Annual Statement; FFY **2008** and FFY **2009**, FFY **2009 American Recovery Act**, Performance and Evaluation Report; and Capital Fund Program Five-Year Action Plan and Project Based Accounting (AMPs)

During the review, the Board members provided the following input:

<i>Page # and Item</i>	<i>Comment from Board Member</i>	<i>HA Response</i>
	PROJECT KY012000001 - No questions	
	PROJECT KY 012000002 - Need security deadbolts for Fagan, Dixon & Ingram, 740/750 North Adams and Eighth Street Court	Executive Director responded that she will incorporate these items into a future capital plan.
	PROJECT KY012000002 – Eighth Street Court is dark-not enough lighting	Executive Director responded that she will drive through the development at night to assess and address the problem.
	PROJECT KY012000002 – Need taller commodes	Executive Director responded that there are handicap accessories available from the HA. Contact Service Coordinator.
	PROJECT KY012000002 - When new ranges are ordered, is it possible to get one that has a light in the oven.	Executive Director stated that she would make sure that this request is addressed.
	PROJECT KY012000002 - Resident asked when refrigerators and ranges are due to be replaced in Fagan and D & I	Executive Director said that she would get with maintenance and check the dates

<i>Page # and Item</i>	<i>Comment from Board Member</i>	<i>HA Response</i>
	PROJECT KY012000002- Will 8 th Street 1 Bedroom units be getting storage buildings?	Executive Director stated that she would look into the matter again but when originally looked at this option, there was not enough room and that the place where it would be located usually floods some.
	PROJECT KY012000002- Dixon and Ingram parking area needs curbs to keep cars from parking in the grass	Executive Director stated that she will look into purchasing curbs and lining the parking areas.
	PROJECT KY012000002 – Resident expressed that they liked the new security lights and signage Dixon and Ingram and new signage at Fagan.	Executive Director responded that she was glad they enjoyed them.
	PROJECT KY012000002 – Residents thanked the Executive Director the work done on the sewers at Dixon and Ingram and Fagan.	Executive Director responded that hopefully the problem is now resolved with the sewers at these locations.
	HA-wide: Resident commented that the lawn maintenance is great.	Executive Director thanked the resident.
	Resident Advisory Board -	
Template, 5 Year Plan		
Template, Annual 2010 Streamline Plan		
Capital Fund Program Table		
Misc.	AMP KY012000001- Members asked where the lots were located for the new developments	Executive Director informed them of the locations.

**COMMENTS OF PUBLIC HEARING FOR
PUBLIC HOUSING AGENCY PLAN 2009**

Date: **December 10, 2009 @ 11:00 a.m.**
 Location: Boswell Conference Room—111 South Adams Street
 Present: Board: Betty Wilson-Chairperson; Barbara Pruitt-Vice-Chairperson; Becky Harris- Treasurer;;
 Nannie Keene, Pat Jackson, Advisor, Member at Large; Members: Wanda Hawkins,
 Mary Barret, and Flora Householder –Section 8 member
 Board of Commissioners: Hallie Folz, Chairperson; Luther Duncan, Vice-Chairperson:
 Thomas Platt, Holly Vincent, Keith Utley, and Willie Ballard
 Staff: Bobbie Jarrett, Executive Director; Tina Belcher, Administrative Assistant

Ms. Jarrett reviewed with the Board the revised sections of the Public Housing Agency Plans, namely the FFY 2008 and FFY 2009 and FFY 2010 Performance and Evaluation Report; and Capital Fund Program Five-Year Action Plan and Project Based Accounting Project Line Items. The actual Agency Plan has been previously reviewed by all present during Board of Commissioners Meeting and RAB Board Meeting and nothing has been updated in regard to it.

During the review, the Commissioners and RAB Board members provided the following input:

<i>Page # and Item</i>	<i>Comment from Board Member</i>	<i>HA Response</i>
	PROJECT KY01200002 New Dixon and Ingram Lights are great.	E.D. responded that new lights will also be installed at Fagan Square's entrance/ exit.
	PROJECT KY01200002 Resident thankful that Dixon and Ingram sewer was replaced and is working good.	E.D. thanked her for appreciation of project.
	HA-wide:	
	All residents would like to see new storm doors that fit better.	E.D. responded that the HA would look into this matter for capital improvement.
	Resident asked about a glass in the front door to let in light.	E.D. responded that the HA looking into the matter for safety sake.
Template, 5 Year Plan		
Template, Annual 2010 Streamline Plan		
Capital Fund Program Tables		
Misc.		Overall residents very happy with the Housing Authority.

BOARD OF COMMISSIONERS

	<u>Original Appointment</u>	<u>Term Expires</u>
Ms. Hallie M. Folz (R) 842 Cherokee Rd. Henderson, KY 42420	5/8/90	9/30/2012
Mr. Luther Duncan, Jr. (D) 2348 Cobblestone Henderson, KY 42420	2/12/80	9/30/2011
Mr. Thomas Platt (D) 400 S. Ingram Street Henderson, KY 42420	11/24/92	9/30/2010
Mrs. Holly Vincent 1132 Deer Lane Henderson, KY 42420	08/28/07	9/30/2013
The Honorable Thomas Davis Mayor of Henderson 31 North Green Street Henderson, Ky 42420	01/01/2006	01/01/2010
Mayor Tom Davis City of Henderson PO Box 716 Henderson, KY 42420		
Ms. Willie Ballard Chairperson, Resident Advisory Bd.	8/31/2005	9/30/2010
The Hon. Keith Utley, Housing Authority Attorney 304 First Street Henderson, KY 42420		

RESIDENT ADVISORY BOARD

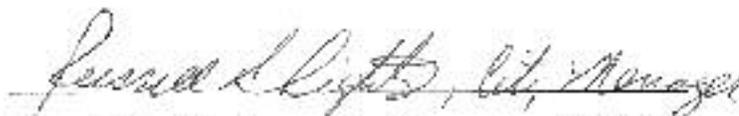
<u>Advisor</u>	Pat Jackson	424-C Fagan Sq. Henderson, KY 42420
<u>Chairperson</u>	Betty Wilson	303 Fagan St., Henderson, KY 42420
<u>Vice-Chairperson</u>	Barbara Pruitt	450-F Dr. M.L. King, Jr. Ave. Henderson, KY 42420
<u>Treasurer</u>	Becky Harris	20-B Lawndale Apts., Henderson, KY 42420
<u>Secretary</u>	Lillie Hinton	450-C Dr. M.L. King Jr. Ave. Henderson, KY 42420
<u>Member at Large</u>	Nannie Keene	840 N. Adams St., Apt 201, Henderson, KY 42420
<u>Members</u>	Sue Scott	840 N. Adams St. Apt 236, Henderson, KY 42420
	John Harris	20-B Lawndale Apts. Henderson, KY 42420
	Wanda Hawkins	423-C Fagan Square, Henderson, KY 42420
	Mary Barrett	604 Eighth Street Ct. Henderson, KY 42420
<u>Member S8</u>	Flora Householder	1303 Washington St., Apt 3-A Henderson, KY 42420

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

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

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

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



Signed / Dated by Appropriate State or Local Official

STATUTORY WORKSHEET

[HUD Region IX Recommended Format - Revised December 2003 - previous versions are obsolete]

Use this worksheet only for projects that are Categorical Excluded per 24 CFR Section 58.35(a).

(Note: Compliance with the laws and statutes listed at 24 CFR §58.6 must also be documented).

24 CFR §58.5 STATUTES, EXECUTIVE ORDERS & REGULATIONS

PROJECT NAME and DESCRIPTION - Include all contemplated actions that logically are either geographically or functionally part of the project.

This proposal is determined to be categorically excluded according to: [Cite section(s)] 24 CFR 58.35(a).

DIRECTIONS - Write "A" in the Status Column when the proposal, by its scope and nature, does not affect the resources under consideration. OR write "B" if the project triggers formal compliance consultation procedures with the oversight agency, or requires mitigation (see Statutory Worksheet Instructions). Compliance documentation must retain verifiable source documents and relevant base data.

Compliance Factors:

Statutes, Executive Orders, and
Regulations listed at 24 CFR §58.5

Status
A / B

Compliance Determination & Documentation

Historic Preservation [36 CFR Part 800]	A	Kentucky Heritage Council
Floodplain Management [24 CFR 55, Executive Order 11988]	A	Floodplain Management Section KY DERCP
Wetland Protection [Executive Order 11990]	A	City of Henderson, Field Observation
Coastal Zone Management Act [Sections 307(c), (c)]	A	City of Henderson, Field Observation
Safe Source Aquifers [40 CFR 149]	A	City of Henderson, Field Observation
Endangered Species Act [50 CFR 402]	A	City of Henderson, Field Observation
Wild and Scenic Rivers Act [Sections 7(b), and (c)]	A	City of Henderson, Field Observation
Clean Air Act - [Sections 176(c), (c), and 40 CFR 6, 51, 93]	A	Ambient Air Quality Report

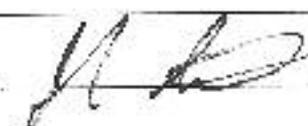
Farmland Protection Policy Act [7 CFR 656]	A	City of Henderson, Field Observation
Environmental Justice [Executive Order 12893]	A	City of Henderson, Field Observation
HUD ENVIRONMENTAL STANDARDS Noise Abatement and Control [24 CFR 51B]	A	City of Henderson, Field Observation
Explosive and Flammable Operations [24 CFR 51C]	A	City of Henderson, Field Observation
Hazardous, Toxic or Radioactive Materials & Substances [24 CFR 58.5(i)(2)]	A	City of Henderson, Field Observation
Airport Clear Zones and Accident Potential Zones [24 CFR 51D]	A	City of Henderson, Field Observation

DETERMINATION:

- () This project converts to EXEMPT, per Section 58.24(a)(12), because it does not require any mitigation for compliance with any listed statutes or authorities, nor requires any formal permit or license (Status "A" has been determined in the status column for all authorities). **Funds may be committed and drawn down** for this (now) EXEMPT project; OR
- () This project cannot convert to Exempt status because one or more statutes or authorities require formal consultation or mitigation. Complete consultation/mitigation protocol requirements, **publish NOI/ROF and obtain Authority to Use Grant Funds** (HUD 7015.16) per Section 58.70 and 58.71 before committing or drawing down funds; OR
- () The unusual circumstances of this project may result in a significant environmental impact. This project requires preparation of an Environmental Assessment (EA). Prepare the EA according to 24 CFR Part 58 Subpart E.

PREPARER SIGNATURE _____ DATE: _____

PREPARER NAME, COMPANY: _____

RESPONSIBLE ENTITY AGENCY OFFICIAL / SIGNATURE:  _____

NAME, TITLE: John Stroud, Code Administrator DATE: 11-17-09

Request for Release of Funds and Certification

U.S. Department of Housing
and Urban Development
Office of Community Planning
and Development

OMB No. 2505-0087
Iss. 3/31/2011

This form is to be used by Responsible Entities and Recipients (as defined in 24 CFR 60.2) when requesting the release of funds, and requesting the authority to use such funds, for HUD programs identified by statutes that provide for the assumption of the environmental review responsibility by units of general local government and States. Public reporting burden for this collection of information is estimated to average 30 minutes 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. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

Part 1. Program Description and Request for Release of Funds (to be completed by Responsible Entity)		
1. Program Title(s) Capital Funds Program	2. HUD/State Identification Number KY012	3. Recipient Identification Number (optional)
4. OMB Catalog Number(s)	5. Name and address of responsible entity City of Henderson Community Development 1000 Barral Court, Suite B Henderson, KY 42420	
6. For information about this request, contact (name & phone number) Eochie W. Jarratt 270-827-1294	7. Name and address of recipient (if different than responsible entity) Housing Authority of Henderson 111 South Adams Street Henderson, KY 42420	
8. HUD or State Agency and office unit to receive request Louisville Kentucky Field Office	9. HUD or State Agency and office unit to receive request Louisville Kentucky Field Office	
<p>The recipient(s) of assistance under the program(s) listed above requests the release of funds and removal of environmental grant conditions governing the use of the assistance for the following</p>		
9. Program Activity(ies)/Project Name(s) Administration Modernization of PHA Properties	10. Location (Street address, city, county, State) 111 South Adams Street Henderson, KY 42420	
11. Program Activity/Project Description SEE ATTACHED 2010 CFP ANNUAL STATEMENT		

Part 2. Environmental Certification (to be completed by responsible entity)

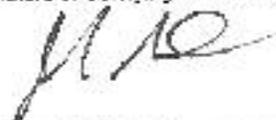
With reference to the above Program Activity(ies)/Project(s), I, the undersigned officer of the responsible entity, certify that:

1. The responsible entity has fully carried out its responsibilities for environmental review, decision making and action pertaining to the project(s) named above.
2. The responsible entity has assumed responsibility for and complied with and will continue to comply with, the National Environmental Policy Act of 1969, as amended, and the environmental procedures, permit requirements and statutory obligations of the laws cited in 24 CFR 58.5; and also agrees to comply with the authorities in 24 CFR 58.6 and applicable State and local laws.
3. After considering the type and degree of environmental effects identified by the environmental review completed for the proposed project described in Part 1 of this request, I have found that the proposal did / did not require the preparation and dissemination of an environmental impact statement.
4. The responsible entity has disseminated and/or published in the manner prescribed by 24 CFR 58.43 and 58.55 a notice to the public in accordance with 24 CFR 58.70 and as evidenced by the attached copy (copies) of evidence of posting and mailing procedure.
5. The dates for all statutory and regulatory time periods for review, comment or other action are in compliance with procedures and requirements of 24 CFR Part 58.
6. In accordance with 24 CFR 58.71(c), the responsible entity will advise the recipient (if different from the responsible entity) of any special environmental conditions that must be adhered to in carrying out the project.

As the duly designated certifying official of the responsible entity, I also certify that:

7. I am authorized to and do consent to assume the status of Federal official under the National Environmental Policy Act of 1969 and each provision of law designated in the 24 CFR 58.5 list of NEPA-related authorities insofar as the provisions of those laws apply to the HUD responsibilities for environmental review, decision-making and action that have been assumed by the responsible entity.
8. I am authorized to and do accept, on behalf of the recipient, personally, the jurisdiction of the Federal courts for the enforcement of all those responsibilities, in my capacity as certifying officer of the responsible entity.

Signature of Certifying Officer of the Responsible Entity



Title of Certifying Officer
Case Administrator

Date signed

11-17-09

Address of Certifying Officer
1060 Barrett Court, Suite B
Henderson, KY 42420

Part 3. To be completed when the Recipient is not the Responsible Entity

The recipient requests the release of funds for the programs and activities identified in Part 1 and agrees to abide by the special conditions, procedures and requirements of the environmental review and to advise the responsible entity of any proposed change in the scope of the project or any change in environmental conditions in accordance with 24 CFR 58.71(b)

Signature of Authorized Officer of the Recipient

Title of Authorized Officer
Executive Director

Date signed

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

Civil Rights Certification

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

Civil Rights Certification

Annual Certification and Board Resolution

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 Plan for the PHA of which this document is a part and make the following certification and agreement with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

The PHA certifies that it will carry out the public housing program of the agency 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, and will affirmatively further fair housing.

Housing Authority of Henderson
PHA Name

KY012
PHA Number/HA Code

I hereby certify that all the information stated herein, as well as any information provided in the accompanying records, 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. 901, 1506, 1015, 31 U.S.C. 3729, 3802)

Name of Authorized Official

Bobbie W. Jarrett

Title

Executive Director

Signature

Bobbie W. Jarrett

Date: 12/14/2009

6.41 VIOLENCE AGAINST WOMEN ACT (VAWA) POLICY

I. PURPOSE AND APPLICABILITY

The purpose of this policy (herein called “Policy”) is to implement the applicable provisions of the Violence Against Women and Department of Justice Reauthorization Act of 2005 (Pub. L. 109-162) and more generally to set forth PHA’s policies and procedures regarding domestic violence, dating violence, and stalking, as hereinafter defined.

This Policy shall be applicable to the administration by the Housing Authority of Henderson of all federally subsidized public housing and Section 8 rental assistance under the United States Housing Act of 1937 (42 U.S.C. §1437 *et seq.*). Notwithstanding its title, this policy is gender-neutral, and its protections are available to males who are victims of domestic violence, dating violence, or stalking as well as female victims of such violence.

II. GOALS AND OBJECTIVES

This Policy has the following principal goals and objectives:

- A. Maintaining compliance with all applicable legal requirements imposed by VAWA;
- B. Ensuring the physical safety of victims of actual or threatened domestic violence, dating violence, or stalking who are assisted by PHA;
- C. Providing and maintaining housing opportunities for victims of domestic violence dating violence, or stalking;
- D. Creating and maintaining collaborative arrangements between PHA, law enforcement authorities, victim service providers, and others to promote the safety and well-being of victims of actual and threatened domestic violence, dating violence and stalking, who are assisted by HA; and
- E. Taking appropriate action in response to an incident or incidents of domestic violence, dating violence, or stalking, affecting individuals assisted by PHA.

III. Other PHA Policies and Procedures

This Policy shall be referenced in and attached to PHA’s Five-Year Public Housing Agency Plan and shall be incorporated in and made a part of PHA’s Admissions and Continued Occupancy Policy and Section Administrative Policy.

To the extent any provision of this policy shall vary or contradict any previously adopted policy or procedure of PHA, the provisions of this Policy shall prevail.

IV. DEFINITIONS

As used in this Policy:

- A. **Domestic Violence** – The term ‘domestic violence’ includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabiting with or has cohabited with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the jurisdiction.”
- B. **Dating Violence** – means violence committed by a person—
- (1) who is or has been in a social relationship of a romantic or intimate nature with the victim; and
 - (2) where the existence of such a relationship shall be determined based on a consideration of the following factors:
 - (a) The length of the relationship.
 - (b) The type of relationship.
 - (c) The frequency of interaction between the persons involved in the relationship.
- C. **Stalking** – means –
- (1) to follow, pursue, or repeatedly commit acts with the intent to kill, injure, harass, or intimidate another person; and (ii) to place under surveillance with the intent to kill, injure, harass or intimidate another person; and
 - (2) 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 –
 - (a) that person;
 - (b) a member of the immediate family of that person; or
 - (c) the spouse or intimate partner of that person;
- D. **Immediate Family Member** - means, with respect to a person –
- (1) a spouse, parent, brother, sister, or child of that person, or an individual to whom that person stands in loco parentis; or
 - (2) any other person living in the household of that person and related to that person by blood or marriage.
- E. **Perpetrator** – means person who commits an act of domestic violence, dating violence or stalking against a victim.

V. ADMISSIONS AND SCREENING

Non-Denial of Assistance. PHA will not deny admission to Public Housing or to the Section 8 rental assistance program to any person because that person is or has been a victim of domestic violence, dating violence, or stalking, provided that such person is otherwise qualified for such admission.

VI. TERMINATION OF TENANCY OR ASSISTANCE

- A. **VAWA Protections.** Under VAWA, Public Housing residents and persons assisted under the Section 8 rental assistance program have the following specific protections, which will be observed by PHA:
1. An incident or incidents of actual or threatened domestic violence, dating violence, or stalking will not be considered to be a “serious or repeated” violation of the lease by the victim or threatened victim of that violence and will not be good cause for terminating the tenancy or occupancy rights of or assistance to the victim of that violence.
 2. In addition to the foregoing, tenancy or assistance will not be terminated by PHA as a result of criminal activity, if that criminal activity is directly related to domestic violence, dating violence or stalking engaged in by a member of the assisted household, a guest or another person under the tenant’s control, and the tenant or an immediate family member is the victim or threatened victim of this criminal activity. However, the protection against termination of tenancy or assistance described in this paragraph is subject to the following limitations:
 - (a) Nothing contained in this paragraph shall limit any otherwise available authority of PHA or a Section 8 owner or manager to terminate tenancy, evict, or to terminate assistance, as the case may be, for any violation of a lease or program requirement not premised on the act or acts of domestic violence, dating violence, or stalking in question against the tenant or a member of the tenant’s household. However, in taking any such action, neither PHA nor a Section 8 manager or owner may apply a more demanding standard to the victim of domestic violence dating violence or stalking than that applied to other tenants.
 - (b) Nothing contained in this paragraph shall be construed to limit the authority of PHA or a Section 8 owner or manager to evict or terminate from assistance any tenant or lawful applicant if the owner, manager or PHA, as the case may be, can demonstrate an actual and imminent threat to other tenants or to those employed at or providing service to the property, if the tenant is not evicted or terminated from assistance.

(c) The PHA may evict if the perpetrator, after being barred from said property, returns and cohabitates with the victim regardless of whether or not there are future acts of acts of domestic violence.

C. **Removal of Perpetrator.** Further, notwithstanding anything in paragraph VI.A.2. or Federal, State or local law to the contrary, PHA or a Section 8 owner or manager, as the case may be, may bifurcate a lease, or remove a household member from a lease, without regard to whether a household member is a signatory to a lease, in order to evict, remove, terminate occupancy rights, or terminate assistance to any individual who is a tenant or lawful occupant and who engages in acts of physical violence against family members or others. Such action against the perpetrator of such physical violence may be taken without evicting, removing, terminating assistance to, or otherwise penalizing the victim of such violence who is also the tenant or a lawful occupant. Such eviction, removal, termination of occupancy rights, or termination of assistance shall be effected in accordance with the procedures prescribed by law applicable to terminations of tenancy and evictions by PHA. Leases used for all public housing operated by PHA and, at the option of Section 8 owners or managers, leases for dwelling units occupied by families assisted with Section 8 rental assistance administered by PHA, shall contain provisions setting forth the substance of this paragraph.

VII. VERIFICATION OF DOMESTIC VIOLENCE, DATING VIOLENCE OR STALKING

A. **Requirement for Verification.** The law allows, but does not require, PHA or a Section 8 owner or manager to verify that an incident or incidents of actual or threatened domestic violence, dating violence, or stalking claimed by a tenant or other lawful occupant is bona fide and meets the requirements of the applicable definitions set forth in this policy. Subject only to waiver as provided in paragraph VII. C., PHA shall require verification in all cases where an individual claims protection against an action involving such individual proposed to be taken by PHA. Section 8 owners or managers receiving rental assistance administered by PHA may elect to require verification, or not to require it as permitted under applicable law.

Verification of a claimed incident or incidents of actual or threatened domestic violence, dating violence or stalking may be accomplished in one of the following three ways:

(1) **HUD-approved form** - by providing to PHA or to the requesting Section 8 owner or manager a written certification, on a form approved by the U.S. Department of Housing and Urban Development (HUD), that the individual is a victim of domestic violence, dating violence or stalking that the incident or incidents in question are bona fide incidents of actual or threatened abuse meeting the requirements of the applicable definition(s) set forth in this policy. The incident or incidents in question must be described in reasonable

detail as required in the HUD-approved form, and the completed certification must include the name of the perpetrator. (**Exhibit C – Admin or Appendix II - ACOP**)

- (2) **Other documentation** - by providing to PHA or to the requesting Section 8 owner or manager 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 the domestic violence, dating violence or stalking, or the effects of the abuse, described in such documentation. The professional providing the documentation must sign and attest under penalty of perjury (28 U.S.C. 1746) to the professional's belief that the incident or incidents in question are bona fide incidents of abuse meeting the requirements of the applicable definition(s) set forth in this policy. The victim of the incident or incidents of domestic violence, dating violence or stalking described in the documentation must also sign and attest to the documentation under penalty of perjury.
- (3) **Police or court record** – by providing to PHA or to the requesting Section 8 owner or manager a Federal, State, tribal, territorial, or local police or court record describing the incident or incidents in question.
- B. **Time allowed to provide verification/ failure to provide.** An individual who claims protection against adverse action based on an incident or incidents of actual or threatened domestic violence, dating violence or stalking, and who is requested by PHA, or a Section 8 owner or manager to provide verification, must provide such verification within 14 business days (*i.e.*, 14 calendar days, excluding Saturdays, Sundays, and federally-recognized holidays) after receipt of the request for verification. Failure to provide verification, in proper form within such time will result in loss of protection under VAWA and this policy against a proposed adverse action.
- C. **Waiver of verification requirement.** The Executive Director of PHA, or a Section 8 owner or manager, may, with respect to any specific case, waive the above-stated requirements for verification and provide the benefits of this policy based on the victim's statement or other corroborating evidence. Such waiver may be granted in the sole discretion of the Executive Director, owner or manager. Any such waiver must be in writing. Waiver in a particular instance or instances shall not operate as precedent for, or create any right to, waiver in any other case or cases, regardless of similarity in circumstances.

VIII. CONFIDENTIALITY

- A. **Right of confidentiality.** All information (including the fact that an individual is a victim of domestic violence, dating violence or stalking) provided to PHA or to a Section 8 owner or manager in connection with a verification required under section VII of this policy or provided in lieu of such verification where a waiver of verification is granted, shall be retained by the receiving party in confidence and shall neither be entered in any shared database nor provided to any related entity, except where disclosure is:

- (1) requested or consented to by the individual in writing, or
- (2) required for use in a Public Housing eviction proceeding or in connection with termination of Section 8 assistance, as permitted in VAWA, or
- (3) otherwise required by applicable law.

B. Notification of rights. All tenants of public housing and tenants participating in the Section 8 rental assistance program administered by PHA shall be notified in writing concerning their right to confidentiality and the limits on such rights to confidentiality.

IX. TRANSFER TO NEW RESIDENCE

No right to transfer. PHA will make every effort to accommodate requests for transfer when suitable alternative vacant units are available and the circumstances warrant such action. However, except with respect to portability of Section 8 assistance as provided in paragraph XI below the decision to grant or refuse to grant a transfer shall lie within the sole discretion of PHA, and this policy does not create any right on the part of any applicant to be granted a transfer.

XI. RELATIONSHIPS WITH SERVICE PROVIDERS

It is the policy of PHA to cooperate with organizations and entities, both private and governmental that provides shelter and/or services to victims of domestic violence. If PHA staff become aware that an individual assisted by PHA is a victim of domestic violence, dating violence or stalking, PHA will refer the victim to such providers of shelter or services as appropriate. Notwithstanding the foregoing, this Policy does not create any legal obligation requiring PHA either to maintain a relationship with any particular provider of shelter or services to victims or domestic violence or to make a referral in any particular case.

XII. NOTIFICATION

PHA shall provide written notification to applicants, tenants, and Section 8 owners and managers, concerning the rights and obligations created under VAWA relating to confidentiality, denial of assistance and, termination of tenancy or assistance.

XIII. RELATIONSHIP WITH OTHER APPLICABLE LAWS

Neither VAWA nor this Policy implementing it shall preempt or supersede any provision of Federal, State or local law that provides greater protection than that provided under VAWA for victims of domestic violence, dating violence or stalking.

XIV. AMENDMENT

PHA may amend this policy from time to time as approved by the PHA Board of Commissioners