

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 the County of Morris</u> PHA Code: <u>NJ092</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>01/2010</u>																										
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>304</u> Number of HCV units: <u>634</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%;"> <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 extremely low income, very low-income, and low income families in the PHA's jurisdiction for the next five years: The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.																										
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. 1. PHA Goal: Expand the supply of assisted housing by applying for additional rental vouchers if they are available, leverage private or other funds to create additional housing opportunities, acquire or build units or developments. 2. PHA Goal: Improve the quality of assisted housing by continuing to be a high performer under the PHAS score and SEMAP score, and to increase customer satisfaction. 3. PHA Goal: Increase assisted housing choices by continuing FSS program for both Housing Choice Voucher and Public Housing recipients through the homeownership program. 4. PHA Goal: To promote self-sufficiency and asset development of assisted households by continuing to give preferences to those who are employed, to continue to provide supportive services to improve assistance recipients' employability and to continue to provide supportive services to increase independence for the elderly and families with disabilities. 5. PHA Goal: To ensure equal opportunity and to affirmatively further fair housing. The Housing Authority will undertake affirmative measures to ensure access to assisted housing and suitable living environment for families living in assisted housing regardless of race, color, religion, national origin, sex, familial status, and disability, and to undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required.																										
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: #4 Operation and Management: Installation of Enterprise Income Verification (EIV) and Upfront Income Verification (UIV) Policies for the Public Housing and Housing Choice Voucher Programs. - Installation of the Records Retention Policy for the Public Housing and Housing Choice Voucher Programs. - Change to the Public Housing lease with a change to #4c – Attorney Fees and Costs - Change Admissions and Occupancy Policy Chapter 9-IV.C. Notification of New Tenant Rent & Flat Rent Option. - Change Admissions and Occupancy Policy Chapter 11-I.B. Community Service Requirements. (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. The public may obtain copies at the main office located at 99 Ketch Road, Morristown, NJ. #13 VAWA – Attachment A																										
7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. Include statements related to these programs as applicable. N/A																										

8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. See attached</p>
8.1	<p>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 attached</p>
8.2	<p>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. <i>See Attached</i></p>
8.3	<p>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.</p>
9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p> <p>According to the 2000 County of Morris Consolidated Plan, 60% of the very low-income renter pays in excess of 50% of income for housing. 58% of households in this category are elderly. A severe cost burden is prevalent among all types of households in this income range with 63% of all households paying over 50% of income for housing. Among low income households there is a need for approximately 7,000 units of all sizes. The shortfall of affordable housing is corroborated by comparing the percentage of affordable units in the community with the percentage of very low and low income households in the community. Affordability is a key concern among all the very low income households as about 70 to 80 percent of all housing is deemed not affordable for them. The Department of Human Services estimates the number of cases of severe illness at 200 persons and 50 persons with physical disabilities in need of permanent supportive housing. The demand for affordable housing for very low and low income households has been persistent. This was especially true of housing needs for the small related households that constitute 34 percent of the very low and low income renter population. The goals and objectives of this Housing Authority are to expand the supply of affordable housing, improve the quality of assisted housing, increase assisted housing choices, improve the quality of the environment, promote self-sufficiency and a financial base for assisted households and to ensure equal opportunity housing for all.</p>
9.1	<p>Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p> <p>Strategies are:</p> <ol style="list-style-type: none"> 1. Maximize the number of affordable units available to the PHA within its current resources by: reducing turnover time for vacated public housing units; reducing the time to renovate public housing units; maintain section 8 lease up rates by establishing payment standards that will enable families to rent throughout Morris County; and to participate in the Consolidated Plan development process to ensure coordination with broader community strategies. 2. Increase the number of affordable housing units by: applying for additional section 8 units should they become available and to pursue housing resources other than public housing or Section 8 tenant-based assistance. 3. Target available assistance to families at or below 30% of AMI by: adopting rent policies to support and encourage work. 4. Target available assistance to families at or below 50% of AMI by: continue employing admissions preferences aimed at families who are working; and to adopt rent policies to support and encourage work. 5. Target available assistance to the elderly by: apply for special purpose vouchers targeted to the elderly, should they become available. 6. Target available assistance to families with disabilities by: apply for special purpose vouchers targeted to families with disabilities, should they become available; and affirmatively market to local non-profit agencies that assist families with disabilities. 7. Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs by: affirmatively market to races/ethnicities shown to have disproportionate housing needs. 8. Conduct activities to affirmatively further fair housing by: counseling section 8 tenants as to location of units outside of area of poverty or minority concentration and assist them to locate those units.
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.</p> <p>The Housing Authority of the County of Morris has met our mission to serve the needs of the extremely low income, very low income and low income families in the Morris County area by promoting adequate and affordable housing in a suitable living environment free from discrimination.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification"</p> <p>See Attachment B.</p>

<p>11.0</p>	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <ul style="list-style-type: none"> (a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. See Attachment C. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)
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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.

**ATTACHMENT A – VIOLENCE AGAINST WOMEN
ACT STATEMENT (VAWA)**

The Housing Authority of the County of Morris has included in its 2010 Five Year/ Annual Plan the following information regarding the Violence Against Women Act (VAWA). The inclusion of this information is in accordance with Section 5A of the United States Housing Act (42 USC 1437c-1) which requires that the plan provide specific information regarding our goals and activities to assist victims of domestic violence, dating violence, sexual assault or stalking.

Victims of domestic violence will be referred to the following organization:

Jersey Battered Women's Service
24-Hour Helpline – (973) 267-4763

This program provides services to the victims of abuse, batterer's intervention, and children's services to break the cycle of domestic abuse by teaching alternatives. The program provides legal advocates to accompany victims to court and provide support and information on their legal rights and options.

The Housing Authority follows all procedures enumerated in the March 16, 2007 Federal Register Notice regarding VAWA. It is the Authority's goal to ensure that all of its residents reside in a safe and secure environment free from violence. All information regarding domestic violence shall be kept strictly confidential by the Housing Authority.

ATTACHMENT B – DEFINITION OF SUBSTANTIAL DEVIATION AND SIGNIFICANT AMENDMENT

The Five Year/Annual Plan of the Housing Authority of the County of Morris (HACM) is modified and re-submitted to the U.S. Department of Housing and Urban Development should a substantial deviation from the program goals and objectives occur.

HACM defines substantial deviations as:

- Any change in the planned use of federal funds that would redirect the HACM's goals of providing decent, safe and affordable housing.
- Any annual change in the actual use of federal funds as identified in the five-year plan that exceeds 20% of the HACM annual program budget for public housing activities.
- A mandate from the Board of Commissioners of the HACM to modify, revise or delete the long-range goals and objectives of the program.

A substantial deviation does not include any changes in HUD rules and regulations.

A significant amendment or modification to the Five Year/Annual Plan is defined as:

- Revisions to the Administrative Plan and Admissions and Continued Occupancy due to a change in the Federal Register.

ATTACHMENT C – RESIDENT ADVISORY BOARD COMMENTS

The Resident Advisory Board met on June 8, 2009 to review and discuss the 2010 Five Year/Annual Plan. Regulatory changes to the plan were explained to the Board as well as Capital Fund improvements for the next five years were discussed in detail.

No comments were provided by the Resident Advisory Board.

The Resident Advisory Board consists of the following members:

Joan Harrison
Terrence West
Anna Terminello
John Wisniewski
Lorenzo Cirella
Pauline Fairchild
Evelyn DeBlieck
Joan Baron
Marie Farrell

RESOLUTION 2009-24

**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 x 5-Year and/or x 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 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
6. The PHA certifies that it will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. For PHA Plan that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's 50058 PIC/IMS Module in an accurate, complete and timely manner (as specified in PIH Notice 2006-24);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
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 Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.

12. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
13. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
14. The PHA will provide the responsible entity or HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58 or Part 50, respectively.
15. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
16. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
17. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR Part 35.
18. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments), 2 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
19. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
20. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.
21. The PHA provides assurance as part of this certification that:
 - (i) The Resident Advisory Board had an opportunity to review and comment on the changes to the policies and programs before implementation by the PHA;
 - (ii) The changes were duly approved by the PHA Board of Directors (or similar governing body); and
 - (iii) The revised policies and programs are available for review and inspection, at the principal office of the PHA during normal business hours.
22. The PHA certifies that it is in compliance with all applicable Federal statutory and regulatory requirements.

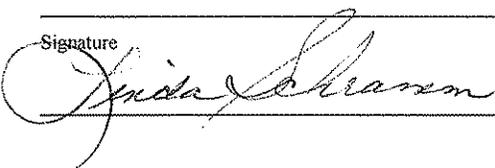
Housing Authority of the County of Morris
PHA Name

NJ092
PHA Number/HA Code

5-Year PHA Plan for Fiscal Years 20 10 - 20 14

Annual PHA Plan for Fiscal Years 20 - 20

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

Name of Authorized Official Linda Schramm	Title Chairman
Signature 	Date October 14, 2009

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**

1.0	PHA Information PHA Name: <u>Housing Authority of the County of Morris</u> PHA Code: <u>NJ092</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>01/2010</u>				
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>304</u> Number of HCV units: <u>634</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.)				
	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:				
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 extremely low income, very low-income, and low income families in the PHA's jurisdiction for the next five years: The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.				
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. 1. PHA Goal: Expand the supply of assisted housing by applying for additional rental vouchers if they are available, leverage private or other funds to create additional housing opportunities, acquire or build units or developments. 2. PHA Goal: Improve the quality of assisted housing by continuing to be a high performer under the PHAS score and SEMAP score, and to increase customer satisfaction. 3. PHA Goal: Increase assisted housing choices by continuing FSS program for both Housing Choice Voucher and Public Housing recipients through the homeownership program. 4. PHA Goal: To promote self-sufficiency and asset development of assisted households by continuing to give preferences to those who are employed, to continue to provide supportive services to improve assistance recipients' employability and to continue to provide supportive services to increase independence for the elderly and families with disabilities. 5. PHA Goal: To ensure equal opportunity and to affirmatively further fair housing. The Housing Authority will undertake affirmative measures to ensure access to assisted housing and suitable living environment for families living in assisted housing regardless of race, color, religion, national origin, sex, familial status, and disability, and to undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required.				
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: #4 Operation and Management: Installation of Enterprise Income Verification (EIV) and Upfront Income Verification (UIV) Policies for the Public Housing and Housing Choice Voucher Programs. - Installation of the Records Retention Policy for the Public Housing and Housing Choice Voucher Programs. - Change to the Public Housing lease with a change to #4c – Attorney Fees and Costs - Change Admissions and Occupancy Policy Chapter 9-IV.C. Notification of New Tenant Rent & Flat Rent Option. - Change Admissions and Occupancy Policy Chapter 11-I.B. Community Service Requirements. (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. The public may obtain copies at the main office located at 99 Ketch Road, Morristown, NJ.				
7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. Include statements related to these programs as applicable. N/A				
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. See attached				

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 attached
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. <i>See Attached</i>
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. According to the 2000 County of Morris Consolidated Plan, 60% of the very low-income renter pays in excess of 50% of income for housing. 58% of households in this category are elderly. A severe cost burden is prevalent among all types of households in this income range with 63% of all households paying over 50% of income for housing. Among low income households there is a need for approximately 7,000 units of all sizes. The shortfall of affordable housing is corroborated by comparing the percentage of affordable units in the community with the percentage of very low and low income households in the community. Affordability is a key concern among all the very low income households as about 70 to 80 percent of all housing is deemed not affordable for them. The Department of Human Services estimates the number of cases of severe illness at 200 persons and 50 persons with physical disabilities in need of permanent supportive housing. The demand for affordable housing for very low and low income households has been persistent. This was especially true of housing needs for the small related households that constitute 34 percent of the very low and low income renter population. The goals and objectives of this Housing Authority are to expand the supply of affordable housing, improve the quality of assisted housing, increase assisted housing choices, improve the quality of the environment, promote self-sufficiency and a financial base for assisted households and to ensure equal opportunity housing for all.

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. Strategies are: 1. Maximize the number of affordable units available to the PHA within its current resources by: reducing turnover time for vacated public housing units; reducing the time to renovate public housing units; maintain section 8 lease up rates by establishing payment standards that will enable families to rent throughout Morris County; and to participate in the Consolidated Plan development process to ensure coordination with broader community strategies. 2. Increase the number of affordable housing units by: applying for additional section 8 units should they become available and to pursue housing resources other than public housing or Section 8 tenant-based assistance. 3. Target available assistance to families at or below 30% of AMI by: adopting rent policies to support and encourage work. 4. Target available assistance to families at or below 50% of AMI by: continue employing admissions preferences aimed at families who are working; and to adopt rent policies to support and encourage work. 5. Target available assistance to the elderly by: apply for special purpose vouchers targeted to the elderly, should they become available. 6. Target available assistance to families with disabilities by: apply for special purpose vouchers targeted to families with disabilities, should they become available; and affirmatively market to local non-profit agencies that assist families with disabilities. 7. Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs by: affirmatively market to races/ethnicities shown to have disproportionate housing needs. 8. Conduct activities to affirmatively further fair housing by: counseling section 8 tenants as to location of units outside of area of poverty or minority concentration and assist them to locate those units.
10.0	Additional Information. Describe the following, as well as any additional information HUD has requested. (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. The Housing Authority of the County of Morris has met our mission to serve the needs of the extremely low income, very low income and low income families in the Morris County area by promoting adequate and affordable housing in a suitable living environment free from discrimination. (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification" Not applicable.

- 11.0 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.
- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations* (which includes all certifications relating to Civil Rights)
 - (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. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.
 - (g) Challenged Elements
 - (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report* (PHAs receiving CFP grants only)
 - (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan* (PHAs receiving CFP grants only)

**HOUSING AUTHORITY
COUNTY OF MORRIS**

**ENTERPRISE INCOME VERIFICATION (EIV)
UPFRONT INCOME VERIFICATION (UIV)
POLICY**

Upfront Income Verification (UIP) Policy

For Public Housing, Housing Choice Voucher, Section 8/515 and Section 515 Programs

Introduction:

This document outlines the operating procedures of the Public Housing (PH), Housing Choice Voucher (HCV), Section 8/515 and Section 515 Programs of the Housing Authority of the County of Morris (HACM) with respect to the confidentiality and security of client information and in particular, the access and use of the US Department of Housing & Urban Development's (HUD) Enterprise Income Verification System (EIV) which heretofore was known as Upfront Income Verification (UIV). Hence throughout this document EIV and UIV are interchangeable.

HACM staff will be trained and are required to adhere to these procedures. HACM staff will be held responsible and accountable for maintaining the confidentiality and security of client information obtained from all systems.

These procedures represent the guidelines pertaining to the Housing Choice Voucher (Section 8 or HCV), Public Housing, Section 8/515 and Section 515 Programs will assure that the practices, controls and safeguards used by the HACM adequately protect the confidentiality of participant wage data and are in compliance with the Federal laws regarding the protection of this information. Further, the HACM will integrate EIV and UIV documents and/or actions into the HACM's occupancy protocols, which also involve Privacy Act related materials, i.e. third party income, medical and other documents.

Information on client wage information is obtained from a variety of sources and transferred to client files and applicable software. HACM staff is therefore required to safeguard client information with respect to access and use of client information. The procedures outlined in this document therefore apply to all systems supporting the HACM HCV and PH programs including the EIV/UIV, and any other system software utilized by staff to access client wage and or income data.

These procedures represent guidelines to assure that the practices, controls and safeguards used by the HACM adequately protect the confidentiality of resident/client income data and are in compliance with the Federal laws regarding the protection of this information. HACM staff will be held responsible and accountable for maintaining the confidentiality and security of resident/client income data and are in compliance with the Federal laws regarding the protection of this information. HACM staff will be held responsible and accountable for maintaining the confidentiality and security of resident/client information obtained from all systems including applicable software, and any other systems utilized by HACM staff to access such data. The procedures outlined in this document apply to all EIV/UIV data, regardless of the media on which they are recorded.

While the intent of these procedures is to be comprehensive in nature, to the extent there are areas not specifically addressed in this document, actions of HACM staff must encompass the spirit of the Federal Privacy Act of 1974, as amended 5 *U.S.C. 552 (a), to ensure the integrity and safety of resident/client information. HACM staff must be held accountable to the highest level of resident/client confidentiality regardless of any omission within these procedures.

HACM staff is further advised in connection with the implementation of the UIV, under the HACM ACOP and Section 8 Rental Assistance Program Administrative Plan with regard to Verification Procedures, Termination of Tenancy/Assistance, Grievance and appeals.

EIV Purpose & Background:

The primary purpose of EIV is to allow PHA's to verify tenant reported income. The PHA's access a common database of tenant information via a web browser.

EIV is a management information system that is intended to provide a single source of income-related data to public housing agencies (PHA's) for use in verifying the income reported by tenants in the various assisted housing programs administered by the PHA's across the nation. The EIV system serves as a repository for automated information used when comparing family income data reported by recipients of federal rental assistance to income data received from external sources, i.e. LOOPS, SSA, etc.

The EIV system assists the PHA's in the upfront verification of tenant income by comparing the tenant income data obtained from various sources.

EIV tenant data only should be used to verify a tenant's eligibility for participation in a HUD Rental Assistance Program and to determine the level of assistance the tenant is entitled to receive. Any other use, unless approved by the HUD Headquarters EIV Coordinator or EIV Security Officer, is specifically prohibited and may result in the imposition of civil or criminal penalties on the responsible person or persons. Further, no adverse action can be taken against a tenant until the PHA has independently verified the EIV information and the tenant has been granted an opportunity to contest any adverse findings through the established grievance, hearing, or other legal procedures.

The data provided via the EIV system must be protected to ensure that it is only used for official purposes and not disclosed in any way that would violate the privacy of the individuals represented in the system data. Privacy of data and data security for computer systems are covered by a variety of Federal laws and regulations, government bulletins, and other guiding documents.

HUD EIV Guidelines:

The information processed by the EIV system includes but may not be limited to state wage and income data about private individuals, as well as identifying information such

as Social Security Number, Address, and Employment information. As a condition of receiving the EIV data, HACM must establish and maintain certain safeguards designed to prevent unauthorized use of the information and to protect the confidentiality of that information.

Storing and Retrieving EIV Data:

HACM Staff is to avoid saving EIV data to a computer hard drive of any other automated information system. If EIV data is saved to a local machine, the EIV data should be stored in a separate directory from other data. Access to this directory should be restricted to authorized users of the EIV data.

Users should retrieve computer printouts as soon as they are generated so that EIV data is not left lying unattended in printers where unauthorized users may access them. If possible, a dedicated printer should be assigned for EIV use only in order to minimize the unauthorized interception of printed outputs from the EIV system.

Authorized users of EIV data should be directed to avoid leaving EIV data displayed on their computer screens where unauthorized users may view it. A computer should never be left unattended with EIV data displayed on the screen. If an authorized user is viewing EIV data and an unauthorized user approaches the work area, the authorized user must lessen the change of inadvertent disclosure of EIV data by minimizing or closing out the screen on which the EIV data is being displayed.

Disposal of EIV Information:

When the EIV data is no longer needed, all originals and any documents created in association with their use that contain confidential resident/client information must be shredded within a reasonable period of time. The shredded documents must then be disposed of by HACM staff. The HACM adheres to State, county and municipal retention with policy schedules and in accordance with HUD regulations. Active resident/client files are maintained in a secure environment. Terminated cases are removed from the active files and maintained in a secure environment. See HACM's EIV/UIV Policy attachments for Records Retention Schedules.

System & Security Awareness Training:

Training will be provided at least on a yearly basis. The Security Officer oversees training related to all systems supporting the Public Housing and HCV programs.

EIV/UIV State of New Jersey Workforce and SWICA training is administered to designed staff.

Because security awareness training is a crucial aspect of ensuring the security of the EIV system and data, users and potential users will be made aware of the importance of respecting the privacy of data, of following established procedures to maintain privacy

and security and of notifying management in the event of security or privacy violation. A variety of methods will be utilized in conjunction with third-party formal training and awareness lessons. These methods may include.

- Discussions at group and managerial meetings; and
- Security bulletins posted throughout the work areas.

Security & Client Confidentiality Violations:

Recognition, reporting, and disciplinary action in response to security violations are crucial to successfully maintaining the security and privacy of the EIV system. These security violations may include the disclosure of private data as well as attempts to access unauthorized data and the unauthorized sharing of User IDs and passwords.

Upon the discovery of a possible improper disclosure of EIV information or another security violation by a PHA employee or any other person, the individual making the observation or receiving the information should contact their Security Officer. The Security Officer must promptly notify either the Executive Director of the Public Housing or HCV Program, as appropriate. The Executive Director will notify the HUD Field Office.

All improper disclosures of EIV information and/or breaches of security must be forwarded in writing to the designated Security Officer. The document must provide details including who was involved, what was disclosed, how the disclosure occurred, and where and when it occurred. Such matters are handled in a manner appropriate for the situation, including any necessary action by the Executive Director.

The Following contacts should be made:

- Security Officer should contact and provide the Executive Director, or designee, with the written documentation.
- The Executive Director or designee should provide the HUD Field Office Public Housing Director with the written documentation.
- The HUD Field Office Public Housing Director, upon receipt of the written documentation, will make a determination regarding the referral and the provision of the written documentation to the Headquarters EIV Coordinator and/or EIV Security Officer for further review and follow-up action.

Record Keeper:

- Security Officer will maintain records and monitor security issues. In addition, the Security Officer will maintain a key control log to track the inventory of keys for locked cabinets for the Public Housing, Housing Choice Voucher, Section 8/515 and Section 515 Programs.

- The Security Officer and PHA designee for each program will maintain a set of keys for the locked cabinets.

Reports are generated monthly, in accordance with resident re-certification dates, by the designated PHA Occupancy Users (i.e. Discrepancy reports, General Income reports and Error Reports) and then by PH site. Reports are then dispatched to the prospective PH sights.

Housing Authority County of Morris's security officer will have the responsibility of ensuring compliance with the PHA security policies and procedures outlined in this document. These responsibilities include:

- Maintaining and enforcing the security procedures;
- Keeping records and monitoring security issues;
- Communicating security information and requirements to appropriate personnel, including coordinating and conducting security awareness training session.
- Conducting a quarterly review of all user IDs issued to determine if the users still have a valid need to access the EIV data and taking the necessary steps to ensure that access rights are revoked or modified as appropriate;
- Reporting any evidence of unauthorized access or known security breaches to the Security Officer. The Security Officer will take immediate action to address the impact of the breach including but not limited to prompt notification to appropriate authorities including the HUD Field Office's Public Housing Director;
- Assure that a copy of Form HUD-9886 – Authorization for the release of information/Privacy Act Notice, or an equivalent consent form that meets the requirements under 24 CFR 5.230, has been signed by each member of the household age 18 years old or older and is in the household file. By signing this form, the tenant authorizes HUD and the Security Officer to obtain and verify income and unemployment compensation information from various sources including current and former employers, state agencies, SSA and HHS. HUD is relying on program administrators to have this authorization form on file as required by CFR Part 5.230.

Authorized Use of EIV Data:

EIV data should only be used to verify resident/client eligibility for and the level of assistance to be offered in various HUD assisted housing programs. Any other use, unless approved by the HUD Headquarters EIV Coordinator or HACM Executive Director, is specifically prohibited and may result in the imposition of civil or criminal penalties and disciplinary action on the responsible person or persons. Further, no adverse action can be taken against a resident/client until the HACM has verified the EIV information and the resident/client has been granted an opportunity to contest any adverse findings through the established grievance, hearing, or other procedures.

The data provided via the EIV system must be protected to ensure that it is only used for official purposes and not disclosed in any way that would violate the privacy of the

individuals represented in the system data. Privacy of data and data security for computer systems are covered by a variety of Federal laws and regulations, government bulletins, and other guiding documents. The privacy act of 1974, as amended, 5 U.S.C. * 552 (a) is one such regulation and EIV data require careful handling in order to assure PHA compliance with the Privacy Act.

Access to EIV Data:

Authority-wide access to resident/client income information generated by the EIV/UIV is limited to the following HACM Staff:

- Section-8 Supervisor/Staff designee
- Executive Director
- Housing Managers
- PHA Staff designee

Access to and termination from the SWICA system is granted by the New Jersey Department of Labor and/or the Social Security Administration. Access to the EMPHASYS, and the Work Number, as well as EIV information used for recertification purposes, is accessible to all Public Housing occupancy staff and HCV staff. EIV data may not be provided to any organization, agency or individual other than the resident/client. Further, the HACM will revoke the access rights of those users who no longer require such access or modify the access rights if a change in the user's duties or responsibilities indicates a change in the current level of privilege.

EIV data should be handled in such a manner that it does not become misplaced or available to unauthorized personnel. File containing EIV information may be color-coded or labeled clearly with the following statement "Confidential" or "For Official Use Only." To avoid inadvertent disclosures, HACM staff may keep the EIV information separate from other information and files. The HACM staff may use a combination of methods to provide physical security for EIV data. These include, but are not limited to locked containers of various types, locked rooms that have reinforced perimeters and a locked building with guards. The EIV data may also be maintained in locked metal file cabinets within a locked room.

Security violations may include the disclosure of private data as well as attempts to access unauthorized data and the unauthorized sharing of User IDs and passwords. Security violations will be documented in writing providing details such as, who were involved, what was disclosed; how the disclosure occurred, and where and when it occurred.

**HOUSING AUTHORITY
COUNTY OF MORRIS**

RECORDS RETENTION POLICY

February 2009

HOUSING AUTHORITY COUNTY OF MORRIS

RECORDS RETENTION POLICY

A. Purpose

Housing Authority of the County of Morris (herein referred to as PHA) acknowledge the disposal of records is necessary from time to time to limit the use of storage space for current and past operating records. The PHA establishes a Records Retention Policy for the purpose of providing the necessary guidance in the efforts protect and preserve vital information and to comply with applicable law. This policy directs the agency's general records', management and the proper disposition of such records. This policy applies to all types of records, including, but not limited to administrative, human resources/personnel, management, financial and maintenance/capital funds records. The policy applies to all records, regardless of the manner in which they are stored.

Reference to "Records" in this policy includes all general forms of media including papers, letters, documents, books, computer, printouts, photographs, film, tape, microfiche, microfilm, photocopies, sound recording, maps, drawings, voice data or video representation held in computer memory.

Reference to "Tenants" in this Policy relates to low income public housing residents, and other Housing Authority residents of assisted housing.

Reference to, "Participants" in this Policy relates to the Section 8 Housing Choice Voucher Program (HCV).

All records are to be maintained and disposed in accordance with the time periods recommended and set forth below, or if a federal or state statute or regulation specifies a longer retention period for any records, the statute or regulation overrides this schedule.

Caution

In the event of current or pending PHA litigation it is recommended that legal counsel be obtained for specific guidance regarding applicable documents.

A record shall not be destroyed if any litigation, claim, negotiation, audit, open records request administrative review, or other action involving the record is initiated before the expiration of a retention Period until the completion of the action and the resolution of all issues that arise from it or until the expiration of the retention period whichever is later.

In accordance with the implementation of the Privacy Act of 1974 (as revised April 3, 2003) the PHA shall maintain only such information on individuals as is relevant and necessary to the performance of its lawful functions, to maintain that information with

such accuracy, relevancy, timeliness and completeness as is reasonable necessary to assure fairness in determination made by the PHA to obtain information from the individual, to the extent practicable, and to take every reasonable step to protect the individual from unwarranted disclosure. The PHA will maintain no records describing how the individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent and within the scope of an authorized law enforcement activity.

B. Process and Method for Destruction of Records

The PHA shall review its records annually to determine what records are to be destroyed. Records shall be destroyed by shredding and appropriate disposal. A contract with a reputable recycling company may be obtained through proper procurement procedures to accomplish this task. All records shall be destroyed in the manner previously mentioned unless specific requests are made to maintain particular records. Specific written requests made by a member of the PHA or a third party to preserve certain records may be honored at the discretion of the PHA's designated records management officer, All other records shall be designated for destruction during the first periodic review after their retention period has expired.

Hard copies of originals shall be maintained and destroyed only in accordance with the schedule in this policy and shall also be maintained even though reproductions may be kept in other forms such as microfilm, computer, etc.

Questions regarding records retention should be directed to the PHA's staff person who serves as the agency's records' management officer.

**LOW INCOME PUBLIC HOUSING AND
SECTIONS HOUSING CHOICE VOUCHER PROGRAM
And Other Housing Authority's Programs**

Record Description	Filing Method	Retention Period
ADMINISTRATIVE		
General Administrative Correspondence which involves policy and procedural matters	Chronologically, separate folder each subject	Disposal not recommended
Correspondence that does <u>not</u> involve policy and procedural matters	Chronologically, separate folder each subject	Disposal 2 years following audit
Legal documents, correspondence Claims against the PHA	Chronologically, separate folder	Disposal not recommended unless at the approval of legal counsel
Annual Contributions Contracts (ACCs), Consolidated ACCs (CACCS) and Amendments, related correspondence	Chronologically, separate folder each Contract, separate by program type (Low Income/Section 8/capital fund, etc.)	Disposal not recommended
Property Deeds, Surveys, related correspondence	Chronologically, separate folder	Disposal not recommended
Administrative Contracts, including amendments, HUD approval, extensions, waivers and related correspondence. Include procurement documentation for each contract	Chronologically, separate folder	Disposal not recommended
Tax Exemption Certificates	Separate folder	Disposal not recommended
Payment in Lieu of Taxes (PILOT) or Waiver, computations of Payments	Separate folder each year	Disposal not recommended
Cooperation Agreement, amendments	Separate folder	Disposal not recommended
Documents establishing the PHA	Separate folder	Disposal not recommended
General Depository Agreements Forms HUD-51999 and/or HUD-52000	Separate folder	Disposal not recommended
By-Laws and amendments	Chronologically	Disposal not recommended
Minutes Of Commissioners' Board Meetings & Board Resolutions with index by Board Res. No., Notices of Meetings, Certificates of the Secretary Board members' appointments and other related documents	In a binder, Chronologically/ Numerically by Resolution No.	Disposal not recommended

Record Description	Filing Method	Retention Period
ADMINISTRATIVE - Continued		
Insurance Policies/Fidelity Bonds and related correspondence	Separate folder, chronologically	Disposal 10 years after expiration date
Insurance Register	In a Binder	Disposal 6 years after audit
Titles to Motor Vehicles, Trailers, etc.	Separate folder for each vehicle by Vehicle I D No.	Disposal When PHA transfers title or otherwise disposes of vehicle/trailer, etc.
Administrative Policies (Examples: Admissions and Occupancy, Section 8 Administrative Plan, Procurement, Disposition, Capitalization, Internal Controls, etc.) & Personnel (see separate section in this document for Human Resources/personnel)	Separate folder by name of policy, maintain chronologically	Maintain in storage 3 years after policy is replaced or updated, disposal 4 years after audit
HUD Management Reviews, REAC Surveys, Results of PHAS, SEMAP, RASS, MASS, etc. and support documentation	Separate folder for each type	Maintain in storage 3 years, disposal 4 years after audit
PHA Plan documents Annual and Five-Year and Annual updates with supporting documentation as required by HUD. Correspondence with HUD regarding approval, disapproval, deficiencies, etc.	Separate binder for each, chronologically	Maintain in storage 3 years, disposal 4 years after audit

Record Description	Filing Method	Retention Period
HUMAN RESOURCES/PERSONNEL RECORDS		
Employee Records	Alphabetically by name, Chronologically	Disposal 10 years after employee separation
Employee Job Position Description and updates	Alphabetically, by position title, separate folder for each title	Disposal 3 years after Position is abolished or Position description is suspended
Employee Handbooks Policies and Personnel Policies	Chronologically in a binder	Disposal not recommended
Payroll and Individual earnings records, W-794 1, etc. FIT/FICA receipts from PHA	In a binder, by pay period Chronologically	Disposal 4 years after audit
Leave Records of Employees	In a binder, Chronologically	Disposal 4 Years after audit
Daily Time Records	Chronologically, separate folder	Disposal 4 years after audit
Workers' Compensation/Unemployment Records/Claims	Chronologically, in a separate folder	Disposal after 10 Years
Unsuccessful Applications for Employment	Alphabetically by name	Disposal 6 months after application
Direct Deposit Sign Up Form (payroll) Form SF-1199A	Alphabetically by name, chronologically	Maintain 3 Years after termination of employment

Records Retention Policy

Record Description	Filing Method	Retention Period
PUBLIC HOUSING MANAGEMENT AND SECTION 8 AND OTHER PROGRAMS		
Admissions For Tenancy		
Waiting List	Chronologically, in a binder	Disposal not recommended while so classified
Applications (Pending and Eligible)	Alphabetically by name in a file subdivided to show eligibility status, unit size required with separate folder for each application	Disposal not recommended while so classified
Selected Applications	Alphabetically by name, with separate folder for each	Disposal not recommended while so classified
Applications (withdrawn and Ineligible)	Alphabetically by name, with separate folder for each	PHAS required records retained for 3 years after audit
Results of Criminal Background Checks and Drug Treatment Center Checks	Alphabetically by name in secure cabinet under lock and key and separate from other applicant/tenant files	Destroy immediately following determination regarding housing unless appeal filed, then destroy after appeal decision
Requests for Reasonable Accommodations if they contain medically sensitive information. Any other medical sensitive information	Alphabetically by name in secure cabinet under lock and key and separate from other applicant/tenant files	Destroy immediately following determination regarding housing unless, appeal filed, then destroy after appeal decision
Analytical Tenant/Participant Ledgers	Chronologically in a binder	Disposal 4 years after audit
Admitted public housing residents and Section 8 participants – applications, leases, inspections, etc. Proof of income, other HUD requirements such as Lead-Based Paint Disclosure	Separated by program, include all copies of correspondence with tenant/participant in a separate folder	PHAS requires records retained for 3 Years after audit (unless there is an unsettled claim) "
Schedule of Tenant Accounts Receivable (TAR.)	In a binder	4 Years after audit
Collection Losses and Charged. Off Tenant Account records Collection Agency Records	In a binder	Transfer to Storage after audit Disposal after 10 years
Non-Active Tenant Accounts Receivable and Security Deposit Ledgers	In a binder	4 Years after audit
Schedule of Maximum Income Limits and related material	Chronologically in a separate folder	Disposal 1 year after schedule is suspended

Records Retention Policy

Record Description	Filing Method	Retention Period
PUBLIC HOUSING MANAGEMENT AND SECTION 8 AND OTHER PROGRAMS - Continued		
Admissions for Tenancy Continued		
Schedules Of Rents Demonstration of Financial Feasibility and Related Material	Chronologically in a separate folder	Disposal 1 year after schedule is suspended
Rent Roll Control & Analysis of Dwelling Rent Charges	Chronologically in a separate binder	Disposal 4 years after audit
Tenant and Housing Assistance (HAP) Rental Registers	Chronologically in a separate binder	Disposal 4 years after audit
Tenant Security Deposit Records	Chronologically in a separate binder	Disposal 4 years after audit
Request for Tenant Refund of Security Deposit and Unearned Rent	Attach to voucher check copy and a copy in tenant file	Disposal 4 years after audit
Adjustment Slips	Numerically in a binder or tenant's file	Disposal 2 years following audit
Adjustments Journal	Chronologically in a separate binder	Disposal after 10 years
Eviction Records	Separate tenant file & a copy in a binder	Transfer to storage 3 years after audit Disposal 10 years after close of applicable fiscal year
Utility Allowance Review/Updates (Public Housing and Section 8) (review is required annually)	Chronologically	Disposal 4 years after audit
Physical Unit Inspections (Public Housing and Section 8) (UPCS & Section-8 HQS)	BY PHA unit and copy in Section 8 participant file is recommended	Disposal 3 years after audit as required by PHAS
Management Reports		
Occupancy Reports	Chronologically, separate folder each project	Transfer to storage following audit. Disposal 4 years
Project Reports on Families Moving into Low-Income Public Housing	Chronologically, separate folder each project	Transfer to storage following audit. Disposal 4 years
Report on Regular Re-examination Of Families in Low-Income Public Housing	Chronologically, separate folder each project	Transfer to storage following audit. Disposal 4 years
Reports on Unit Availability	Chronologically, in a binder	Disposal 4 years

Records Retention Policy

Record Description	Filing Method	Retention Period
PUBLIC HOUSING MANAGEMENT AND SECTION 8, OTHER PROGRAMS CONTINUED		
Correspondence Files pertaining to routine management and maintenance matters	Chronologically with a separate folder for each subject	Disposal 2 years following audit
Tenant Move-in/Move-Out Reports and Section 8 Data related to New Move-Ins, Re-Exams, and Participation, Cancellations	Chronologically with a separate folder for each development	Transfer to storage following audit. Disposal 4 years after audit.

Records Retention Policy

Record Description	Filing Method	Retention Period
FINANCIAL		
Public Housing Development Cost Records	Chronologically with a separate folder	Disposal not recommended
Preliminary, Advance, Temporary, Disposal not recommended Notes and Bonds, Fiscal Agent Agreements and related Records	Chronologically, separate folder each type	Transfer to storage after notes paid. Disposal not recommended
Inventory of Non-Expendable Equipment	Numerically by equipment account number and alphabetically, by name of equipment, ongoing	Disposal 3 years after item is disposed
Annual Inventory of Expendable and Non-Expendable Equipment, Material and Supplies (physical inventory is required annually)	Chronologically with a separate folder each fiscal year	Retain for next 2 audits, disposal not recommended
Audit Reports with Schedules of Auditor's Adjustments Responses to Audit Findings	Chronologically with a separate folder each fiscal year	Retain for next 2 audits, disposal not recommended
Check Vouchers with support documents (purchase order, requisition, receiving ticket, invoice, etc.) Bank Statements & Canceled Checks	Maintain Vouchers numerically in sequence, in a binder, month/fiscal year. Statements -- Chronologically in Monthly folders, Checks in numerical sequence - keep both by fiscal year & separate by checking account numbers	Transfer to Storage after audit. Disposal after 6 years <hr/> Transfer to Storage a after audit. Disposal after 6 years
General Ledger, Cash Receipts Register and Cash Disbursements register	Chronologically in a binder by fiscal year	Disposal after 10 years
Petty Cash Vouchers	Attach to check voucher copy	Transfer to storage following audit. Disposal 4 years after audit
Property Ledger	In a binder	Disposal not recommended
Real Property Disposition Records Includes Adjustments Made to Inventory Records and Property Ledger by Accountant	Separate folder for each item, disposed with support for each transaction	Disposal not recommended
Journal Vouchers	Chronologically, in a binder by fiscal year	Disposal 4 years
Certificate of cremation bonds & interest coupons	Chronologically, in a separate folder	Disposal 4 years

Record Description	Filing Method	Retention Period
FINANCIAL - Continued		
Financial Data Schedule (FDS) (Hard Copy) <i>(Note - unaudited data must be entered into REAC website within 2 months of fiscal year end and audited no later than 9 months after the fiscal year end)</i> and all Year-End Financial Reports Balance sheets (HUD 52599 and HUD 52681 still required by HUD)	Chronologically with a separate folder each fiscal year	Disposal 5 years after audit
Direct Deposit forms Form I 199-A (authorizing federal fund deposits)	Separate folder, may be kept by grant or funding type	Disposal not recommended
e-LOCCS Authorization forms	Separate folder, may be kept by grant or funding type	Disposal not recommended
e-LOCCS Requisitions and support documentation (complete with written authorization, invoices, Purchases orders, contractual agreement, purpose of request, etc.) (Copies may be kept by the Capital Fund Dept. if so authorized by the PHA's contracting officer)	Separate folder, may be kept by grant or funding type	Disposal not recommended until Final close-out authorization is received from HUD and 4 years after close-out audit.
Cash Receipts/Cash Disbursements Check Registers and Records Including Bank Transfers	In a binder by fiscal year	Transfer to storage after audit. Disposal 10 years after fiscal year end
Cash Receipts (Rent, security deposits, other income, etc.)	Numerically in a binder by fiscal year	Disposal 3 years after audit,
Budgets; operating and supporting schedules, revisions, related records, and other related records including the Performance Funding System documentation	By fiscal year, with a separate folder for each ACC	Transfer to storage 3 years following budget fiscal year end. Disposal after 6 years.
Monthly Income and Expense Reports General Ledger and Trial Balance	By the month in a separate folder, by fiscal year	Disposal 4 years after audit.
Statement and Voucher for Basic Annual Contributions-Leased Housing HUD-52991	Chronologically, in a separate folder for each fiscal year	Transfer to storage 3 years following period covered. Disposal not recommended

Record Description	Filing Method	Retention Period
MAINTENANCE AND CAPITAL FUND CONSTRUCTION, DEMOLITION AND EQUIPMENT, CONTRACT RECORDS		
Bid forms, contract awards, notice to proceed, progress reports, photographs, and other related records, except those following: (also see Procurement within this section)	Chronologically with separate folder for each contract.	Disposal 10 years following contract settlement
Contract forms, specifications, plans and addenda, including change orders, guarantee bonds and special warranties.	Chronologically with separate folder for each contract.	Disposal not recommended.
Unsuccessful bids	Chronologically with separate folder for each contract	Disposal not recommended
Contractor's Payroll	Chronologically with separate folder for each contract.	Disposal 3 years following date of Completion of contract, as established by Certificate of completion
Maintenance Wage Rates and Labor Relations documents	In separate folder and according to specific contract/job	Disposal 3 years following date of completion of contract, as established by Certificate of completion
Architects & Engineers' Contracts	Chronologically with Separate folder for each contract	Disposal 10 years following final Contract settlement
Procurement Documents such as Requests and Advertisements to Bid, Requests for Proposals, Requests for Quotes, Bid Tabulations, Bid Analysis, Cost-Price Analysis and all related support documents In accordance with PHA 's Procurement Policy or as governed by federal, state or local law	In separate folders for each procurement	Disposal 10 years following completion of service or work performed

Record Description	Filing Method	Retention Period
MAINTENANCE AND CAPITAL FUND, DEMOLITION AND EQUIPMENT CONTRACT RECORDS-Continued		
Documents, drawings, blueprints, etc., relating to technical and engineering aspects of site Planning for housing projects. Includes plans reviewed for the Selection of sites, reports of surveys, studies, and research, of the design and construction of public housing for the development of standards	Organized space in safekeeping fireproof storage room, or cabinet	Disposal not recommended
Files containing reports, designs, and calculations relating to public housing construction and site improvement design and construction for low-income housing developments. Includes experimental data and research material on surfacing types and community facilities and background and research material on the design of electrical, water, gas, sewerage and drainage Systems.	Organized space in safekeeping storage room or cabinet	Disposal not recommended
Files containing correspondence, documents, specifications and structural plans relating to the structural design of public housing developments. Includes material relating to site preparation and foundations of housing development basic research material on steel, clay, wood, and other materials. relating to site and structural plans of housing developments; and reports of tests conducted on housing developments Including but not limited to tests and surveys regarding lead-based paint and asbestos.	Organized space in safekeeping storage cabinets	Disposal not recommended

**FILE MANAGEMENT AND RETENTION OF
SECTION 8 HOUSING CHOICE VOUCHER PROGRAM RECORDS**

SUPPLEMENTAL REQUIREMENTS

FINANCIAL

The following schedules list the recommended retention period for each type of Section 8 Housing Choice Voucher Program, financial record. Upon Year-end settlement for all PHA Programs in a fiscal year, a combined PHA file should be established for all PHA programs. See Prior Schedules.

Contract Records Description	
<p>Contract records include the initial and all amendments to the Annual Contribution Contract (ACC), Form HUD-52520</p> <p>Any and all "letter amendments" received from HUD to approve non-funding changes to an ACC, such as unit redistribution in tile Section 8 Housing Choice Voucher Program, or a policy change in effect and expiration dates.</p>	
Record Retention Record	
<p>6 years and 3 months beyond the final expiration (see below) of the Consolidated ACC (CACC).</p> <p>The final expiration Of the CACC is the latest of the last dates of term of the funding increment on the funding exhibit. Renewals continue to extend this date farther into the future. For most Section 8 Housing Choice Voucher Programs, the final expiration date is never reached, making the Contract Records essentially disposal not recommended.</p>	
Annual Financial Records	
<p>Budgets, Forms-HUD-52672 and HUD-52673</p> <p>Requisitions HUD-52663</p> <p>Year-end financial statements, Forms HUD-52681 and HUD-52595 (form discontinued 216102 per PIH 2002-2)</p> <p>Revisions to any and all of the above referenced documents</p> <p>Annual financial records also include correspondence to and from HUD regarding these documents.</p>	
Record Retention Period	
<p>6 Years and 3 months beyond the end of the PHA fiscal year covered by the documents.</p>	

**HOUSING AUTHORITY
COUNTY OF MORRIS**

RECORDS RETENTION POLICY

February 2009

HOUSING AUTHORITY COUNTY OF MORRIS

RECORDS RETENTION POLICY

A. Purpose

Housing Authority of the County of Morris (herein referred to as PHA) acknowledge the disposal of records is necessary from time to time to limit the use of storage space for current and past operating records. The PHA establishes a Records Retention Policy for the purpose of providing the necessary guidance in the efforts protect and preserve vital information and to comply with applicable law. This policy directs the agency's general records', management and the proper disposition of such records. This policy applies to all types of records, including, but not limited to administrative, human resources/personnel, management, financial and maintenance/capital funds records. The policy applies to all records, regardless of the manner in which they are stored.

Reference to "Records" in this policy includes all general forms of media including papers, letters, documents, books, computer, printouts, photographs, film, tape, microfiche, microfilm, photocopies, sound recording, maps, drawings, voice data or video representation held in computer memory.

Reference to "Tenants" in this Policy relates to low income public housing residents, and other Housing Authority residents of assisted housing.

Reference to, "Participants" in this Policy relates to the Section 8 Housing Choice Voucher Program (HCV).

All records are to be maintained and disposed in accordance with the time periods recommended and set forth below, or if a federal or state statute or regulation specifies a longer retention period for any records, the statute or regulation overrides this schedule.

Caution

In the event of current or pending PHA litigation it is recommended that legal counsel be obtained for specific guidance regarding applicable documents.

A record shall not be destroyed if any litigation, claim, negotiation, audit, open records request administrative review, or other action involving the record is initiated before the expiration of a retention Period until the completion of the action and the resolution of all issues that arise from it or until the expiration of the retention period whichever is later.

In accordance with the implementation of the Privacy Act of 1974 (as revised April 3, 2003) the PHA shall maintain only such information on individuals as is relevant and necessary to the performance of its lawful functions, to maintain that information with

such accuracy, relevancy, timeliness and completeness as is reasonable necessary to assure fairness in determination made by the PHA to obtain information from the individual, to the extent practicable, and to take every reasonable step to protect the individual from unwarranted disclosure. The PHA will maintain no records describing how the individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent and within the scope of an authorized law enforcement activity.

B. Process and Method for Destruction of Records

The PHA shall review its records annually to determine what records are to be destroyed. Records shall be destroyed by shredding and appropriate disposal. A contract with a reputable recycling company may be obtained through proper procurement procedures to accomplish this task. All records shall be destroyed in the manner previously mentioned unless specific requests are made to maintain particular records. Specific written requests made by a member of the PHA or a third party to preserve certain records may be honored at the discretion of the PHA's designated records management officer, All other records shall be designated for destruction during the first periodic review after their retention period has expired.

Hard copies of originals shall be maintained and destroyed only in accordance with the schedule in this policy and shall also be maintained even though reproductions may be kept in other forms such as microfilm, computer, etc.

Questions regarding records retention should be directed to the PHA's staff person who serves as the agency's records' management officer.

**LOW INCOME PUBLIC HOUSING AND
SECTIONS HOUSING CHOICE VOUCHER PROGRAM
And Other Housing Authority's Programs**

Record Description	Filing Method	Retention Period
ADMINISTRATIVE		
General Administrative Correspondence which involves policy and procedural matters	Chronologically, separate folder each subject	Disposal not recommended
Correspondence that does <u>not</u> involve policy and procedural matters	Chronologically, separate folder each subject	Disposal 2 years following audit
Legal documents, correspondence Claims against the PHA	Chronologically, separate folder	Disposal not recommended unless at the approval of legal counsel
Annual Contributions Contracts (ACCs), Consolidated ACCs (CACCS) and Amendments, related correspondence	Chronologically, separate folder each Contract, separate by program type (Low Income/Section 8/capital fund, etc.)	Disposal not recommended
Property Deeds, Surveys, related correspondence	Chronologically, separate folder	Disposal not recommended
Administrative Contracts, including amendments, HUD approval, extensions, waivers and related correspondence. Include procurement documentation for each contract	Chronologically, separate folder	Disposal not recommended
Tax Exemption Certificates	Separate folder	Disposal not recommended
Payment in Lieu of Taxes (PILOT) or Waiver, computations of Payments	Separate folder each year	Disposal not recommended
Cooperation Agreement, amendments	Separate folder	Disposal not recommended
Documents establishing the PHA	Separate folder	Disposal not recommended
General Depository Agreements Forms HUD-51999 and/or HUD-52000	Separate folder	Disposal not recommended
By-Laws and amendments	Chronologically	Disposal not recommended
Minutes Of Commissioners' Board Meetings & Board Resolutions with index by Board Res. No., Notices of Meetings, Certificates of the Secretary Board members' appointments and other related documents	In a binder, Chronologically/ Numerically by Resolution No.	Disposal not recommended

Records Retention Policy

Record Description	Filing Method	Retention Period
ADMINISTRATIVE - Continued		
Insurance Policies/Fidelity Bonds and related correspondence	Separate folder, chronologically	Disposal 10 years after expiration date
Insurance Register	In a Binder	Disposal 6 years after audit
Titles to Motor Vehicles, Trailers, etc.	Separate folder for each vehicle by Vehicle I D No.	Disposal When PHA transfers title or otherwise disposes of vehicle/trailer, etc.
Administrative Policies (Examples: Admissions and Occupancy, Section 8 Administrative Plan, Procurement, Disposition, Capitalization, Internal Controls, etc.) & Personnel (see separate section in this document for Human Resources/personnel)	Separate folder by name of policy, maintain chronologically	Maintain in storage 3 years after policy is replaced or updated, disposal 4 years after audit
HUD Management Reviews, REAC Surveys, Results of PHAS, SEMAP, RASS, MASS, etc. and support documentation	Separate folder for each type	Maintain in storage 3 years, disposal 4 years after audit
PHA Plan documents Annual and Five-Year and Annual updates with supporting documentation as required by HUD. Correspondence with HUD regarding approval, disapproval, deficiencies, etc.	Separate binder for each, chronologically	Maintain in storage 3 years, disposal 4 years after audit

Record Description	Filing Method	Retention Period
HUMAN RESOURCES/PERSONNEL RECORDS		
Employee Records	Alphabetically by name, Chronologically	Disposal 10 years after employee separation
Employee Job Position Description and updates	Alphabetically, by position title, separate folder for each title	Disposal 3 years after Position is abolished or Position description is suspended
Employee Handbooks Policies and Personnel Policies	Chronologically in a binder	Disposal not recommended
Payroll and Individual earnings records, W-7,94 1, etc. FIT/FICA receipts from PHA	In a binder, by pay period Chronologically	Disposal 4 years after audit
Leave Records of Employees	In a binder, Chronologically	Disposal 4 Years after audit
Daily Time Records	Chronologically, separate folder	Disposal 4 years after audit
Workers' Compensation/Unemployment Records/Claims	Chronologically, in a separate folder	Disposal after 10 Years
Unsuccessful Applications for Employment	Alphabetically by name	Disposal 6 months after application
Direct Deposit Sign Up Form (payroll) Form SF-1199A	Alphabetically by name, chronologically	Maintain 3 Years after termination of employment

Record Description	Filing Method	Retention Period
PUBLIC HOUSING MANAGEMENT AND SECTION 8 AND OTHER PROGRAMS		
Admissions For Tenancy		
Waiting List	Chronologically, in a binder	Disposal not recommended while so classified
Applications (Pending and Eligible)	Alphabetically by name in a file subdivided to show eligibility status, unit size required with separate folder for each application	Disposal not recommended while so classified
Selected Applications	Alphabetically by name, with separate folder for each	Disposal not recommended while so classified
Applications (withdrawn and Ineligible)	Alphabetically by name, with separate folder for each	PHAS required records retained for 3 years after audit
Results of Criminal Background Checks and Drug Treatment Center Checks	Alphabetically by name in secure cabinet under lock and key and separate from other applicant/tenant files	Destroy immediately following determination regarding housing unless appeal filed, then destroy after appeal decision
Requests for Reasonable Accommodations if they contain medically sensitive information. Any other medical sensitive information	Alphabetically by name in secure cabinet under lock and key and separate from other applicant/tenant files	Destroy immediately following determination regarding housing unless, appeal filed, then destroy after appeal decision
Analytical Tenant/Participant Ledgers	Chronologically in a binder	Disposal 4 years after audit
Admitted public housing residents and Section 8 participants – applications, leases, inspections, etc. Proof of income, other HUD requirements such as Lead-Based Paint Disclosure	Separated by program, include all copies of correspondence with tenant/participant in a separate folder	PHAS requires records retained for 3 Years after audit (unless there is an unsettled claim) "
Schedule of Tenant Accounts Receivable (TAR.)	In a binder	4 Years after audit
Collection Losses and Charged. Off Tenant Account records Collection Agency Records	In a binder	Transfer to Storage after audit Disposal after 10 years
Non-Active Tenant Accounts Receivable and Security Deposit Ledgers	In a binder	4 Years after audit
Schedule of Maximum Income Limits and related material	Chronologically in a separate folder	Disposal 1 year after schedule is suspended

Records Retention Policy

Record Description	Filing Method	Retention Period
PUBLIC HOUSING MANAGEMENT AND SECTION 8 AND OTHER PROGRAMS - Continued		
Admissions for Tenancy Continued		
Schedules Of Rents Demonstration of Financial Feasibility and Related Material	Chronologically in a separate folder	Disposal 1 year after schedule is suspended
Rent Roll Control & Analysis of Dwelling Rent Charges	Chronologically in a separate binder	Disposal 4 years after audit
Tenant and Housing Assistance (HAP) Rental Registers	Chronologically in a separate binder	Disposal 4 years after audit
Tenant Security Deposit Records	Chronologically in a separate binder	Disposal 4 years after audit
Request for Tenant Refund of Security Deposit and Unearned Rent	Attach to voucher check copy and a copy in tenant file	Disposal 4 years after audit
Adjustment Slips	Numerically in a binder or tenant's file	Disposal 2 years following audit
Adjustments Journal	Chronologically in a separate binder	Disposal after 10 years
Eviction Records	Separate tenant file & a copy in a binder	Transfer to storage 3 years after audit Disposal 10 years after close of applicable fiscal year
Utility Allowance Review/Updates (Public Housing and Section 8) (review is required annually)	Chronologically	Disposal 4 years after audit
Physical Unit Inspections (Public Housing and Section 8) (UPCS & Section-8 HQS)	BY PHA unit and copy in Section 8 participant file is recommended	Disposal 3 years after audit as required by PHAS
Management Reports		
Occupancy Reports	Chronologically, separate folder each project	Transfer to storage following audit. Disposal 4 years
Project Reports on Families Moving into Low-Income Public Housing	Chronologically, separate folder each project	Transfer to storage following audit. Disposal 4 years
Report on Regular Re-examination Of Families in Low-Income Public Housing	Chronologically, separate folder each project	Transfer to storage following audit. Disposal 4 years
Reports on Unit Availability	Chronologically, in a binder	Disposal 4 years

Records Retention Policy

Record Description	Filing Method	Retention Period
PUBLIC HOUSING MANAGEMENT AND SECTION 8, OTHER PROGRAMS CONTINUED		
Correspondence Files pertaining to routine management and maintenance matters	Chronologically with a separate folder for each subject	Disposal 2 years following audit
Tenant Move-in/Move-Out Reports and Section 8 Data related to New Move-Ins, Re-Exams, and Participation, Cancellations	Chronologically with a separate folder for each development	Transfer to storage following audit. Disposal 4 years after audit.

Records Retention Policy

Record Description	Filing Method	Retention Period
FINANCIAL		
Public Housing Development Cost Records	Chronologically with a separate folder	Disposal not recommended
Preliminary, Advance, Temporary, Disposal not recommended Notes and Bonds, Fiscal Agent Agreements and related Records	Chronologically, separate folder each type	Transfer to storage after notes paid. Disposal not recommended
Inventory of Non-Expendable Equipment	Numerically by equipment account number and alphabetically, by name of equipment, ongoing	Disposal 3 years after item is disposed
Annual Inventory of Expendable and Non-Expendable Equipment, Material and Supplies (physical inventory is required annually)	Chronologically with a separate folder each fiscal year	Retain for next 2 audits, disposal not recommended
Audit Reports with Schedules of Auditor's Adjustments Responses to Audit Findings	Chronologically with a separate folder each fiscal year	Retain for next 2 audits, disposal not recommended
Check Vouchers with support documents (purchase order, requisition, receiving ticket, invoice, etc.) Bank Statements & Canceled Checks	Maintain Vouchers numerically in sequence, in a binder, month/fiscal year. Statements -- Chronologically in Monthly folders, Checks in numerical sequence - keep both by fiscal year & separate by checking account numbers	Transfer to Storage after audit. Disposal after 6 years <hr/> Transfer to Storage a after audit. Disposal after 6 years
General Ledger, Cash Receipts Register and Cash Disbursements register	Chronologically in a binder by fiscal year	Disposal after 10 years
Petty Cash Vouchers	Attach to check voucher copy	Transfer to storage following audit. Disposal 4 years after audit
Property Ledger	In a binder	Disposal not recommended
Real Property Disposition Records Includes Adjustments Made to Inventory Records and Property Ledger by Accountant	Separate folder for each item, disposed with support for each transaction	Disposal not recommended
Journal Vouchers	Chronologically, in a binder by fiscal year	Disposal 4 years
Certificate of cremation bonds & interest coupons	Chronologically, in a separate folder	Disposal 4 years

Records Retention Policy

Record Description	Filing Method	Retention Period
FINANCIAL - Continued		
Financial Data Schedule (FDS) (Hard Copy) <i>(Note - unaudited data must be entered into REAC website within 2 months of fiscal year end and audited no later than 9 months after the fiscal year end)</i> and all Year-End Financial Reports Balance sheets (HUD 52599 and HUD 52681 still required by HUD)	Chronologically with a separate folder each fiscal year	Disposal 5 years after audit
Direct Deposit forms Form 1199-A (authorizing federal fund deposits)	Separate folder, may be kept by grant or funding type	Disposal not recommended
e-LOCCS Authorization forms	Separate folder, may be kept by grant or funding type	Disposal not recommended
e-LOCCS Requisitions and support documentation (complete with written authorization, invoices, Purchases orders, contractual agreement, purpose of request, etc.) (Copies may be kept by the Capital Fund Dept. if so authorized by the PHA's contracting officer)	Separate folder, may be kept by grant or funding type	Disposal not recommended until Final close-out authorization is received from HUD and 4 years after close-out audit.
Cash Receipts/Cash Disbursements Check Registers and Records Including Bank Transfers	In a binder by fiscal year	Transfer to storage after audit. Disposal 10 years after fiscal year end
Cash Receipts (Rent, security deposits, other income, etc.)	Numerically in a binder by fiscal year	Disposal 3 years after audit,
Budgets; operating and supporting schedules, revisions, related records, and other related records including the Performance Funding System documentation	By fiscal year, with a separate folder for each ACC	Transfer to storage 3 years following budget fiscal year end. Disposal after 6 years.
Monthly Income and Expense Reports General Ledger and Trial Balance	By the month in a separate folder, by fiscal year	Disposal 4 years after audit.
Statement and Voucher for Basic Annual Contributions-Leased Housing HUD-52991	Chronologically, in a separate folder for each fiscal year	Transfer to storage 3 years following period covered. Disposal not recommended

Records Retention Policy

Record Description	Filing Method	Retention Period
MAINTENANCE AND CAPITAL FUND CONSTRUCTION, DEMOLITION AND EQUIPMENT, CONTRACT RECORDS		
Bid forms, contract awards, notice to proceed, progress reports, photographs, and other related records, except those following: (also see Procurement within this section)	Chronologically with separate folder for each contract.	Disposal 10 years following contract settlement
Contract forms, specifications, plans and addenda, including change orders, guarantee bonds and special warranties.	Chronologically with separate folder for each contract.	Disposal not recommended.
Unsuccessful bids	Chronologically with separate folder for each contract	Disposal not recommended
Contractor's Payroll	Chronologically with separate folder for each contract.	Disposal 3 years following date of Completion of contract, as established by Certificate of completion
Maintenance Wage Rates and Labor Relations documents	In separate folder and according to specific contract/job	Disposal 3 years following date of completion of contract, as established by Certificate of completion
Architects & Engineers' Contracts	Chronologically with Separate folder for each contract	Disposal 10 years following final Contract settlement
Procurement Documents such as Requests and Advertisements to Bid, Requests for Proposals, Requests for Quotes, Bid Tabulations, Bid Analysis, Cost-Price Analysis and all related support documents In accordance with PHA 's Procurement Policy or as governed by federal, state or local law	In separate folders for each procurement	Disposal 10 years following completion of service or work performed

Record Description	Filing Method	Retention Period
MAINTENANCE AND CAPITAL FUND, DEMOLITION AND EQUIPMENT CONTRACT RECORDS-Continued		
<p>Documents, drawings, blueprints, etc., relating to technical and engineering aspects of site Planning for housing projects. Includes plans reviewed for the Selection of sites, reports of surveys, studies, and research, of the design and construction of public housing for the development of standards</p>	<p>Organized space in safekeeping fireproof storage room, or cabinet</p>	<p>Disposal not recommended</p>
<p>Files containing reports, designs, and calculations relating to public housing construction and site improvement design and construction for low-income housing developments. Includes experimental data and research material on surfacing types and community facilities and background and research material on the design of electrical, water, gas, sewerage and drainage Systems.</p>	<p>Organized space in safekeeping storage room or cabinet</p>	<p>Disposal not recommended</p>
<p>Files containing correspondence, documents, specifications and structural plans relating to the structural design of public housing developments. Includes material relating to site preparation and foundations of housing development basic research material on steel, clay, wood, and other materials. relating to site and structural plans of housing developments; and reports of tests conducted on housing developments Including but not limited to tests and surveys regarding lead-based paint and asbestos.</p>	<p>Organized space in safekeeping storage cabinets</p>	<p>Disposal not recommended</p>

**FILE MANAGEMENT AND RETENTION OF
SECTION 8 HOUSING CHOICE VOUCHER PROGRAM RECORDS**

SUPPLEMENTAL REQUIREMENTS

FINANCIAL

The following schedules list the recommended retention period for each type of Section 8 Housing Choice Voucher Program, financial record. Upon Year-end settlement for all PHA Programs in a fiscal year, a combined PHA file should be established for all PHA programs. See Prior Schedules.

Contract Records Description

Contract records include the initial and all amendments to the Annual Contribution Contract (ACC), Form HUD-52520

Any and all "letter amendments" received from HUD to approve non-funding changes to an ACC, such as unit redistribution in tile Section 8 Housing Choice Voucher Program, or a policy change in effect and expiration dates.

Record Retention Record

6 years and 3 months beyond the final expiration (see below) of the Consolidated ACC (CACC).

The final expiration Of the CACC is the latest of the last dates of term of the funding increment on the funding exhibit. Renewals continue to extend this date farther into the future. For most Section 8 Housing Choice Voucher Programs, the final expiration date is never reached, making the Contract Records essentially disposal not recommended.

Annual Financial Records

Budgets, Forms-HUD-52672 and HUD-52673

Requisitions HUD-52663

Year-end financial statements, Forms HUD-52681 and HUD-52595 (form discontinued 216102 per PIH 2002-2)

Revisions to any and all of the above referenced documents

Annual financial records also include correspondence to and from HUD regarding these documents.

Record Retention Period

6 Years and 3 months beyond the end of the PHA fiscal year covered by the documents.

PART IV: RECALCULATING TENANT RENT

9-IV.A. OVERVIEW

For those families paying income-based rent, the PHA must recalculate the rent amount based on the income information received during the reexamination process and notify the family of the changes [24 CFR 966.4, 960.257]. While the basic policies that govern these calculations are provided in Chapter 6, this part lays out policies that affect these calculations during a reexamination.

9-IV.B. CHANGES IN UTILITY ALLOWANCES [24 CFR 965.507, 24 CFR 966.4]

The tenant rent calculations must reflect any changes in the PHA's utility allowance schedule [24 CFR 960.253(c)(3)]. Chapter 16 discusses how utility allowance schedules are established.

PHA Policy

Unless the PHA is required to revise utility allowances retroactively, revised utility allowances will be applied to a family's rent calculations at the first annual reexamination after the allowance is adopted.

9-IV.C. NOTIFICATION OF NEW TENANT RENT & *FLAT RENT OPTION*

The public housing lease requires the PHA to give the tenant written notice stating any change in the amount of tenant rent, and when the change is effective [24 CFR 966.4(b)(1)(ii)].

When the PHA redetermines the amount of rent (Total Tenant Payment or Tenant Rent) payable by the tenant, not including determination of the PHA's schedule of Utility Allowances for families in the PHA's Public Housing Program, or determines that the tenant must transfer to another unit based on family composition, the PHA must notify the tenant that the tenant may ask for an explanation stating the specific grounds of the PHA determination, and that if the tenant does not agree with the determination, the tenant shall have the right to request a hearing under the PHA's grievance procedure [24 CFR 966.4(c)(4)].

PHA Policy

The notice to the family will include the flat rent notification, the notice to terminate lease, and the annual and adjusted income amounts that were used to calculate the tenant rent, at time of annual reexamination. If the tenant chooses the flat rent amount, the tenant must sign the appropriate form and return the executed copy to the office.

11-I.B. REQUIREMENTS

Each adult resident of the PHA, who is not exempt, must [24 CFR 960.603(a)]:

- Contribute 8 hours per month of community service; or
- Participate in an economic self-sufficiency program (as defined in the regulations) for 8 hours per month; or
- Perform 8 hours per month of combined activities (community service and economic self-sufficiency programs).

Definitions

Exempt Individual [24 CFR 960.601(b)]

An *exempt individual* is an adult who:

- Is age 62 years or older
- Is blind or disabled (as defined under section 216[i][1] or 1614 of the Social Security Act), and who certifies that because of this disability s/he is unable to comply with the service provisions
- Is a primary caretaker of such an individual, *who is blind, disabled or over 62 years old*
- *Is a primary caretaker of a dependent child who is not of school-age*
- Is engaged in work activities

PHA Policy

The PHA will consider 30 hours per week as the minimum number of hours needed to qualify for a work activity exemption.

- Meets the requirements for being exempted from having to engage in a work activity under the state program funded under part A of title IV of the Social Security Act, or under any other welfare program of the state in which the PHA is located, including a state-administered welfare-to-work program; or
- Is in a family receiving assistance under a state program funded under part A of title IV of the Social Security Act, or under any other welfare program of the state in which the PHA is located, including a state-administered welfare-to-work program, and has not been found by the state or other administering entity to be in noncompliance with such program.

Community Service [PH Occ GB, p. 174]

Community service is volunteer work which includes, but is not limited to:

- Work at a local institution including but not limited to: school, child care center, hospital, hospice, recreation center, senior center, adult day care center, homeless shelter, indigent feeding program, cooperative food bank, etc.
- Work with a nonprofit organization that serves PHA residents or their children such as: Boy Scouts, Girl Scouts, Boys or Girls Clubs, 4-H programs, PAL, Garden Center, community clean-up programs, beautification programs, other youth or senior organizations

Self-Sufficiency Activities – activities that include, but are not limited to:

- Job readiness programs
- Job training programs
- GED classes
- Substance abuse or mental health counseling
- English proficiency or literacy (reading) classes
- Apprenticeships
- Budgeting and credit counseling
- Any kind of class that helps a person toward economic independence
- Student status at any school, college or vocation school

Exempt Adult – an adult member of the family who meets any of the following criteria:

- Is 62 years of age or older
- Is blind or a person with disabilities (as defined under section 216[i][1] or 1614 of the Social Security Act), and who certifies that because of this disability he or she is unable to comply with the service provisions
- *Is the primary caretaker of such an individual who is blind, disabled or over 62 years old*
- *Is the primary caretaker of a dependent child who is not of school-age*
- Is working at least 30 hours per week
- Meets the requirements for being exempted from having to engage in a work activity under TANF or any other State welfare program including a State-administered welfare-to-work program
- Is a member of a family receiving assistance, benefits or services under TANF or any other State welfare program and has not been found to be in noncompliance with such program

EXHIBIT 11-3: PHA DETERMINATION OF EXEMPTION FOR COMMUNITY SERVICE

Family: _____

Adult family member: _____

This adult family member meets the requirements for being exempted from the PHA's community service requirement for the following reason:

- 62 years of age or older. (*Documentation of age in file*)
- Is a person with disabilities and self-certifies below that he or she is unable to comply with the community service requirement. (*Documentation of HUD definition of disability in file*)

Tenant certification: I am a person with disabilities and am unable to comply with the community service requirement.

Signature of Family Member

Date

- Is the primary caretaker of such an individual in the above categories. (*Documentation in file*)
- Is the primary caretaker of a dependent child who is not of school-age.*
- Is working at least 30 hours per week. (*Employment verification in file*)
- Is participating in a welfare-to-work program. (*Documentation in file*).
- Meets the requirements for being exempted from having to engage in a work activity under TANF or any other State welfare program, including a State-administered welfare-to-work program (*Documentation in file*)
- Is a member of a family receiving assistance, benefits or services under TANF or any other State welfare program and has not been found to be in noncompliance with such program. (*Documentation in file*)

Signature of Family Member

Date

Signature of PHA Official

Date

**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 the County of Morris

Program/Activity Receiving Federal Grant Funding

Annual and Five Year Plan/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-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

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

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

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

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

Name of Authorized Official Roberta L. Strater	Title Executive Director
Signature 	Date (mm/dd/yyyy) 10/13/2009

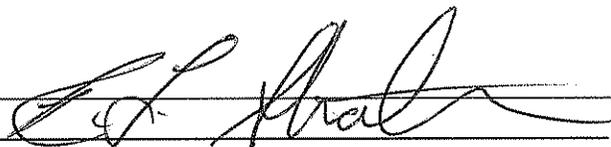
DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: <input checked="" type="checkbox"/> a. bid/offer/application b. initial award 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: Congressional District, if known: 11th	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency: US. Dept. of Housing and Urban Development	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): NO LOBBYING ACTIVITIES AT THIS HOUSING AUTHORITY	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): <div style="text-align: right;">  Signature: _____ Print Name: Roberta L. Strater Title: Executive Director Telephone No.: 973-540-0389 Date: 10/13/09 </div>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

**DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET**

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Housing Authority of the County of Morris

Program/Activity Receiving Federal Grant Funding

Annual and Five Year Plan/ 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. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

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

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

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

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

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

India Brook Village, 34-36 Calais Road, Randolph, Morris County, NJ 07869
Pleasant View Village, 221 Mt. Pleasant Avenue, Rockaway Twp., Morris County, NJ 07866
Bennett Avenue, Franklin Road and Bennett Avenue, Randolph, Morris County, NJ 07869
Green Pond Village, 39 Green Pond Road, Rockaway Twp., Morris County, NJ 07866
Peer Place, 42-184 Peer Place, Denville, Morris County, NJ 07834

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

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

Name of Authorized Official Roberta L. Strater	Title Executive Director
Signature 	Date October 13, 2009

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		FFY of Grant: 2010 FFY of Grant Approval:			
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS		Grant Type and Number Capital Fund Program Grant No: NJ39P09250110 Replacement Housing Factor Grant No: Date of CFPP:			
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report			
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²		Obligated
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	\$ 25,000			
3	1408 Management Improvements	\$ 10,000			
4	1410 Administration (may not exceed 10% of line 21)	\$ 20,000			
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$ 20,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	\$ 75,505.28			
10	1460 Dwelling Structures	\$200,000			
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
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		FFY of Grant: 2010 FFY of Grant Approval:	
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS	Grant Type and Number Capital Fund Program Grant No: NJ39P09250110 Replacement Housing Factor Grant No: Date of CFFP:		
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report	
Line	Summary by Development Account	Total Estimated Cost	Total Actual Cost ¹
		Original	Obligated
18a	1501 Collateralization or Debt Service paid by the PHA	\$ 19,683.72	
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)	\$370,189	
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
		10/13/09	
			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.

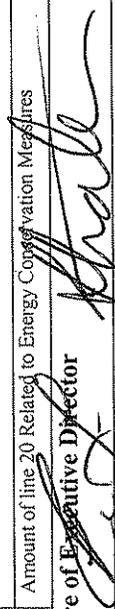
Annual Statement/Performance and Evaluation Report
Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

Part I: Summary		Grant Type and Number		FFY of Grant: 2006	
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS		Capital Fund Program Grant No: NJ39P09250106 Replacement Housing Factor Grant No: Date of CFPP:		FFY of Grant Approval:	
Type of Grant		<input checked="" type="checkbox"/> Revised Annual Statement (revision no: 2) <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9/30/09		<input checked="" type="checkbox"/> Final Performance and Evaluation Report <input type="checkbox"/> Total Estimated Cost Revised ¹	
Line	Summary by Development Account	Original	Obligated	Total Actual Cost ¹	
				Expended	
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	\$61,924	\$15,165.19	\$15,165.19	\$15,165.19
3	1408 Management Improvements	\$14,000	\$14,000	\$14,000	\$14,000
4	1410 Administration (may not exceed 10% of line 21)	\$12,000	\$9,500	\$9,500	\$9,500
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$20,000	\$15,820	\$15,820	\$15,820
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	\$261,065	\$308,929.19	\$308,929.19	\$308,929.19
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
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		FFY of Grant: 2006 FFY of Grant Approval: 2006	
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS	Grant Type and Number Capital Fund Program Grant No: NJ39P09250106 Replacement Housing Factor Grant No: Date of CFFP:		
Type of Grant <input type="checkbox"/> Original Annual Statement <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 9/30/09		<input checked="" type="checkbox"/> Revised Annual Statement (revision no: 2) <input type="checkbox"/> Final Performance and Evaluation Report	
Summary by Development Account		Total Estimated Cost	
Line	Original	Revised ¹	Expended
18a	\$0	\$5,574.62	\$0
18ba	9000 Collateralization or Debt Service paid by the PHA 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)	\$340,205	\$368,989
21	Amount of line 20 Related to LBP Activities		\$363,414.38
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 10/13/09	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.

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		Grant Type and Number		FFY of Grant: 2007	
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS		Capital Fund Program Grant No: NJ39P09250107 Replacement Housing Factor Grant No: Date of CFFP:		FFY of Grant Approval:	
Type of Grant	<input type="checkbox"/> Original Annual Statement <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 09/30/09	<input checked="" type="checkbox"/> Revised Annual Statement (revision no: 1) <input type="checkbox"/> Final Performance and Evaluation Report		Total Actual Cost ¹	
Line	Summary by Development Account	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	\$10,000	\$0	\$0	\$0
4	1410 Administration (may not exceed 10% of line 21)	\$8,000	\$4,658.84	\$4,658.84	\$4,658.84
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$22,000	\$0	\$0	\$0
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	\$310,000	\$332,854.88	\$332,854.88	\$328,011.38
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
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		FFY of Grant: 2007 FFY of Grant Approval:			
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS	Grant Type and Number Capital Fund Program Grant No: NJ39P09250107 Replacement Housing Factor Grant No: Date of CFFP:				
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 09/30/2009 <input type="checkbox"/> Revised Annual Statement (revision no: 1) <input type="checkbox"/> Summary by Development Account <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Original	Revised ²	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA	\$40,924	\$21,011.28	\$21,011.28	\$0
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)	\$390,924	\$358,525	\$358,525	\$332,670.22
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 <i>[Signature]</i>		Date 10/13/09		Signature of Public Housing Director	
				Date	

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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		Grant Type and Number		FFY of Grant: 2008	
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS		Capital Fund Program Grant No: NJ39P09250108 Replacement Housing Factor Grant No: Date of CFFP:		FFY of Grant Approval: 2008	
Type of Grant	<input type="checkbox"/> Original Annual Statement <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 9/30/09	<input type="checkbox"/> Reserve for Disasters/Emergencies	<input checked="" type="checkbox"/> Revised Annual Statement (revision no: 1) <input type="checkbox"/> Final Performance and Evaluation Report		
Line	Summary by Development Account	Original	Total Estimated Cost Revised ¹	Obligated	Total Actual Cost ¹ Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	\$3,000	\$3,000	\$3,000	\$3,000
3	1408 Management Improvements	\$8,000	\$8,000	\$8,000	\$8,000
4	1410 Administration (may not exceed 10% of line 21)	\$3,000	\$3,000	\$3,000	\$3,000
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$21,000	\$21,000	\$15,683	\$13,483.75
8	1440 Site Acquisition				
9	1450 Site Improvement	\$0	\$55,000	\$55,000	\$55,000
10	1460 Dwelling Structures	\$322,803.74	\$267,803.74	\$154,541	\$9,487.37
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

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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		FFY of Grant: 2008 FFY of Grant Approval: 2008	
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS		Grant Type and Number Capital Fund Program Grant No: NJ39P09250108 Replacement Housing Factor Grant No: Date of CFFP:	
Type of Grant <input type="checkbox"/> Original Annual Statement <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 09/30/2009		<input type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no: 1) <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	\$20,604.26	\$20,604.26 \$0
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)	\$378,408	\$378,408 \$91,971.12
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
		10/13/09	

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

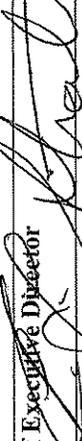
U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 4/30/2011

Part I: Summary		Grant Type and Number		FFY of Grant: 2009	
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS		Capital Fund Program Grant No: NJ39P09250109 Replacement Housing Factor Grant No: Date of CFFP:		FFY of Grant Approval:	
Type of Grant		Reserve for Disasters/Emergencies		Revised Annual Statement (revision no: 1)	
<input type="checkbox"/> Original Annual Statement		<input type="checkbox"/>		<input type="checkbox"/> Final Performance and Evaluation Report	
<input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9/30/2009					
Line	Summary by Development Account	Original	Revised ²	Obligated	Total Actual Cost ¹
					Expended
1	Total non-CFFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	\$6,000	\$6,000		
3	1408 Management Improvements	\$7,000	\$7,000		
4	1410 Administration (may not exceed 10% of line 21)	\$5,000	\$5,000		
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$21,000	\$21,000		
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	\$305,993.73	\$318,001.73		
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

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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		FFY of Grant: 2009	
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS		FFY of Grant Approval:	
Grant Type and Number Capital Fund Program Grant No: NJ39P09250109 Replacement Housing Factor Grant No: Date of CFFP:		<input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Reserve for Disasters/Emergencies	
Summary by Development Account		Total Estimated Cost	
Line		Original	Revised ²
18a	1501 Collateralization or Debt Service paid by the PHA	\$20,189.27	\$20,189.27
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)	\$370,189	\$377,191
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 		Signature of Public Housing Director	
Date 10/13/09		Date	

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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		Grant Type and Number		FFY of Grant Approval:	
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MORRIS		Capital Fund Program Grant No: CFFP BOND Replacement Housing Factor Grant No: Date of CFFP: 8/15/07			
Type of Grant		Revised Annual Statement (revision no:)			
<input type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Final Performance and Evaluation Report			
<input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 7/31/09		Total Estimated Cost		Total Actual Cost ¹	
Line	Summary by Development Account	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)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$56,314	\$54,460	\$54,460	\$54,460
8	1440 Site Acquisition				
9	1450 Site Improvement	\$457,081	\$462,311.69	\$462,311.69	\$411,706
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

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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		FFY of Grant: FFY of Grant Approval:	
PHA Name:	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: Date of CFFP:		
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:)) <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)	\$513,395	\$516,771.69
21	Amount of line 20 Related to LBP Activities		\$466,166
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		Signature of Public Housing Director	
		Date	Date
		10/13/09	

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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 Housing Authority of the County of Morris/NJ092		Locality (City/County & State) Morris County, NJ			<input checked="" 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	\$308,165.82	\$307,524.48	\$307,889.76	\$309,594.66
C.	Management Improvements		9,000.00	10,000.00	10,000.00	9,000.00
D.	PHA-Wide Non-dwelling Structures and Equipment					
E.	Administration		5,000.00	5,000.00	5,000.00	5,000.00
F.	Other A/E		20,000.00	20,000.00	20,000.00	20,000.00
G.	Operations		9,000.00	9,000.00	9,000.00	9,000.00
H.	Demolition					
I.	Development					
J.	Capital Fund Financing – Debt Service		19,234.18	18,775.52	18,310.24	17,905.34
K.	Total CFP Funds		370,400.00	370,300.00	370,200.00	370,500.00
L.	Total Non-CFP Funds		0.00	0.00	0.00	0.00
M.	Grand Total		\$370,400.00	\$370,300.00	\$370,200.00	\$370,500.00

