

Section 8 Housing Choice Voucher (HCV) - Eligibility, selection and admissions policies are documented in the PHA's HCV Administrative Plan and Procedures. The PHA maintains a nondiscriminatory policy regarding eligibility for admission to the program in compliance with HUD and Federal regulations. The HCV waiting list is currently open, but due to lack of funding we will not be administering vouchers. Waiting lists are generated by date and time and incorporate preferences. Preferences for admission include:

- e) Residents who live and/or work in Saratoga Springs or Veterans.
- f) Past Resident
- g) Domestic Violence
- h) Non - Resident

Applicants must verify that their income is at or below the Extremely Low-Income limit or the Very Low-Income through 3rd party verification and, that their family doesn't include an adult who has been involved in violent criminal activity or drug related criminal activity during the past five years, and demonstrate the ability to comply with essential provisions of the lease.

2. Financial Resources (PH) - The PH is supported by the following financial resources: PHA Operating Subsidy, and Capital Fund Grant Program.
Financial Resources (HCV)-The HCV program is supported by the following financial resources: Housing Assistance Payment (HAP) funding, Administrative Fee funding, and Portability payments from initiating housing authorities.
3. (PH) – Rents are charged at a maximum of 30% of calculated income. The PHA maintains a minimum rent of \$50.00 and incorporates a policy for Flat rents.
(HCV) – Rents are subject to Rent Reasonableness calculations for comparable and payment standards. Tenant participation is limited to a maximum of 30% of calculated income.
4. (PH) – Units owned and operated by the PHA are maintained in accordance with Uniform Physical Condition Standards (UPCS), and are inspected at a minimum on an annual basis, upon unit turnover, and upon residents' request. Regular preventative maintenance is done to provide pest control.
(HCV) – PHA performs quality control inspections of units under contract in accordance with Housing Quality Standards (HQS). Units and are inspected at a minimum on an annual basis, and on an as-needed basis. Life threatening deficiencies are required to be corrected in 24 Hours, with all other deficiencies to be corrected within 30 days.
5. (PH)- A resident being given a written Notice of Lease Termination must also be informed of their right to request a hearing in accordance with the Grievance Procedure. A written determination will be issued within (10) working days stating the reason for the decision.
(HCV)- PHA will provide the opportunity for a hearing to program participants who are being terminated for failure to meet their obligations under the program. A written determination will be issued within (10) working days stating the reason for the decision.
6. Doesn't apply
7. The PHA incorporates the following community service programs:
Section 3 Program
8. The PHA is not in a designated high crime area. The PHA works with local police enforcement to monitor each site, with a police substation within our Jefferson Terrace site, and a community police officer, with an office within Stonequist. Each site has video surveillance; Stonequist has monitored tenant emergency call system within each unit, and fire alarms at strategic locations within the building. There are also computer monitored fob readers to enter into Stonequist where the administration building is located, and all administrative windows are tinted. The PHA also shows a video weekly on fire prevention to the Stonequist tenants.
9. Limited ownership of dogs and cats (including small, caged animals, birds or fish) is permitted, subject to the requirements of state and local laws. All animals shall not weigh over a total of 20 lbs. Residents shall provide on an annual basis, a copy of the required city license. A security deposit of \$100 is also required along with an insurance policy protecting the Authority for any physical damage that the animal may do. Other animals are not permitted at SSHA developments. The Authority continues its ban on dangerous or threatening animals or animals that become a nuisance. Because of concerns regarding the impact of the change of the law, SSHA residents are advised that this policy is subject to modification. See attachment for City Code.
10. Civil Rights certifications are included in the PHA Plan Certification of Compliance with the PHA Plans and Related Regulations.
11. The results from the Audit for the fiscal year ended June 30, 2009 has been uploaded to the HUD FDS system and is maintained at the administrative offices of the PHA. Audits show no findings.
12. The PHA elected its successful conversion to the Asset Management. Through project-based budgeting and financial management, the PHA will continuously monitor the viability of its long-term operating, capital investment, rehabilitation, modernization, and disposition of its housing. We have two amps that are kept separate at their different sites.
13. See separate attachment regarding the PHA statement on Violence Against Women Act (VAWA).

7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i>
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.
8.1	Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing. See Attached Sheets
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 Sheets</i>

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. See Attached Strategic plan</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. See Attached Strategic plan</p>
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. The Authority continues to be a high performer. We continue to increase the use of our section 8 program.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification” “The Saratoga Springs Housing Authority will amend or provide modifications to the annual and or 5 year plan with regards to demolition on disposition designation, home ownership on conversion activities. The Authority will also amendments as required when the mission of the Authority changes. The Authority will consult with the RAB. A public hearing will be held and approval from both the Board of directors and HUD will be required.</p>
11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>

F) AT THE PRESENT TIME THE RAB FULLY SUPPORTS THE PLAN AND NO COMMENTS HAVE BEEN RECEIVED OTHER THEN THEIR SUPPORT!

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.

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

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

Part I: Summary						
PHA Name: Saratoga Springs Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY06P02050110 Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant: 2010 FFY of Grant Approval: 2010	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <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	Expended	
1	Total non-CFP Funds					
2	1406 Operations (may not exceed 20% of line 21) ³	\$65,000				
3	1408 Management Improvements	\$20,000				
4	1410 Administration (may not exceed 10% of line 21)	\$45,000				
5	1411 Audit	\$0				
6	1415 Liquidated Damages	\$0				
7	1430 Fees and Costs	\$20,000				
8	1440 Site Acquisition	\$0				
9	1450 Site Improvement	\$25,000				
10	1460 Dwelling Structures	\$190,000				
11	1465.1 Dwelling Equipment—Nonexpendable	\$0				
12	1470 Non-dwelling Structures	\$100,000				
13	1475 Non-dwelling Equipment	\$35,152				
14	1485 Demolition	\$0				
15	1492 Moving to Work Demonstration	\$0				
16	1495.1 Relocation Costs	\$0				
17	1499 Development Activities ⁴	\$0				

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ RHF funds shall be included here.

Part I: Summary						
PHA Name/Number Saratoga Springs H A		Locality (City/County & State)			<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 :2114
B.	Physical Improvements Subtotal	Annual Statement	\$313,348	\$283,348	\$301,348	\$298,348
C.	Management Improvements		\$20,000	\$20,000	\$20,000	\$20,000
D.	PHA-Wide Non-dwelling Structures and Equipment		\$10,000	\$35,000	\$20,000	\$15,000
E.	Administration		\$45,601	\$45,601	\$45,601	\$45,601
F.	Other		\$20,000	\$25,000	\$22,000	\$30,000
G.	Operations		\$91,203	\$91,203	\$91,203	\$91,203
H.	Demolition		0	0	0	0
I.	Development		0	0	0	0
J.	Capital Fund Financing – Debt Service		0	0	0	0
K.	Total CFP Funds		\$500,152	\$500,152	\$500,152	\$500,152
L.	Total Non-CFP Funds		0	0	0	0
M.	Grand Total		\$500,152	\$500,152	\$500,152	\$500,152

Part I: Summary	
PHA Name: Saratoga Springs Housing Authority	Grant Type and Number Capital Fund Program Grant No: NY06P02050109 Replacement Housing Factor Grant No: Date of CFFP:
FFY of Grant: 2009 FFY of Grant Approval: 2009	

Type of Grant
 Original Annual Statement Reserve for Disasters/Emergencies Revised Annual Statement (revision no:01)
 Performance and Evaluation Report for Period Ending: Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	\$90,000	\$90,000	0	0
3	1408 Management Improvements	\$20,000	\$20,000	\$10,293	\$10,293
4	1410 Administration (may not exceed 10% of line 21)	\$45,000	\$45,000	0	0
5	1411 Audit	\$0			
6	1415 Liquidated Damages	\$0			
7	1430 Fees and Costs	\$30,000	\$15,000	\$10,064	\$10,064
8	1440 Site Acquisition	\$0			
9	1450 Site Improvement	\$94,137	\$94,137	\$72,150	\$72,150
10	1460 Dwelling Structures	\$96,015	\$126,015	\$106,325	\$106,325
11	1465.1 Dwelling Equipment—Nonexpendable	\$15,000	\$5,000	\$0	\$0
12	1470 Non-dwelling Structures	\$35,000	\$35,000	\$14,866	\$14,866
13	1475 Non-dwelling Equipment	\$75,000	\$70,000	\$62,836	\$62,836
14	1485 Demolition	\$0			
15	1492 Moving to Work Demonstration	\$0			
16	1495.1 Relocation Costs	\$0			
17	1499 Development Activities ⁴	\$0			

¹ To be completed for the Performance and Evaluation Report.
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.
⁴ RHF funds shall be included here.

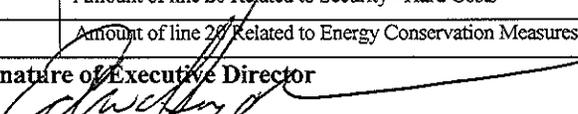
Part III: Implementation Schedule for Capital Fund Financing Program					
PHA Name: Saratoga Springs Housing Authority				Federal FFY of Grant: 2010	
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates ¹
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
NY20-1(AMP1)	09/14/2012		09/14/2014		
NY20-2(AMP1)	09/14/2012		09/14/2014		
NY20-3A(AMP1)	09/14/2012		09/14/2014		
NY20-3B(AMP2)	09/14/2012		09/14/2014		

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

Part II: Supporting Pages								
PHA Name: Saratoga Springs Housing Authority			Grant Type and Number Capital Fund Program Grant No: NY06p02050110 CFPP (Yes/ No): N Replacement Housing Factor Grant No:			Federal FFY of Grant: 2010		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
AMP 1	OPERATIONS	1406	1	\$30,000				
AMP 2	OPERATIONS	1406	1	\$35,000				
AMP 2	TRAINING/SECURITY	1408	1	\$16,000				
AMP 2	SECURITY	1408	1	\$4,000				
AMP 1	SALARIES	1410	1	\$35,000				
AMP 2	SALARIES	1410	1	\$10,000				
AMP 1	A/E FEE'S	1430	1	\$20,000				
NY20-1(AMP 1)	SIDEWALKS/ POLE LIGHTS	1450	1	\$25,000				
NY20-3(AMP 1)	REPAIR INTERIORS	1460	4	\$45,000				
NY20-1(AMP 1)	REPAIR INTERIORS	1460	4	\$45,000				
NY20-3(AMP 1)	REPLACE BOILERS	1460	12	\$100,000				
		1465	1	\$0				
NY20-1(AMP 2)	COMMUNITY ROOM ENTERANCE	1470	1	\$100,000				
NY20-2(AMP 1)	NEW EQUIPMENT - TRUCK	1475	1	\$35,152				

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

² To be completed for the Performance and Evaluation Report.

Part I: Summary						
PHA Name: Saratoga Springs Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY06p02050109 Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant:2009 FFY of Grant Approval: 2009	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: 01) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report						
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
18a	1501 Collateralization or Debt Service paid by the PHA	\$0				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment	\$0				
19	1502 Contingency (may not exceed 8% of line 20)	\$0				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$500,152	\$500,152	\$276,534	\$276,534	
21	Amount of line 20 Related to LBP Activities	\$0				
22	Amount of line 20 Related to Section 504 Activities	\$0				
23	Amount of line 20 Related to Security - Soft Costs	\$0				
24	Amount of line 20 Related to Security - Hard Costs	\$0				
25	Amount of line 20 Related to Energy Conservation Measures	\$0				
Signature of Executive Director		Date		Signature of Public Housing Director		
		3/27/2010				

¹ To be completed for the Performance and Evaluation Report.
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.
⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Saratoga Springs Housing Authority			Grant Type and Number Capital Fund Program Grant No: NY06p02050109 CFFP (Yes/ No): N Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
AMP 1	OPERATIONS	1406	1	\$45,000	\$45,000	0	0	
AMP 2	OPERATIONS	1406	1	\$45,000	\$45,000	0	0	
AMP 1	TRAINING/SECURITY	1408	1	\$16,000	\$16,000	\$10,293	\$10,293	
AMP 1	SECURITY	1408	1	\$4,000	\$4,000	0	0	
AMP 1	SALARIES	1410	1	\$45,000	\$45,000	0	0	
AMP 2	SALARIES	1410	1	\$0	0	0	0	
AMP 1	A/E FEE'S	1430	1	\$30,000	\$15,000	\$10,064	\$10,064	
NY20-1(AMP 1)	SIDEWALKS/ POLE LIGHTS	1450	30	\$94,137	\$94,137	\$72,150	\$72,150	
NY20-3(AMP 1)	REPAIR INTERIORS	1460	58	\$46,000	\$61,000	\$59,000	\$59,000	
NY20-3(AMP 2)	REPAIR INTERIORS	1460	4	\$0	\$15,000	\$13,852	\$13,852	
NY20-1(AMP 1)	REPAIR EXTERIORS	1460	75	\$25,015	\$25,015	\$25,015	\$25,015	C
NY20-1(AMP 1)	REPLACE BOILERS	1460	12	\$25,000	\$25,000	\$8,458	\$8,458	
NY20-3(AMP 1)	LAUNDRY EQUIPMENT	1465	10	\$15,000	\$5,000	0	0	
NY20-2(AMP 1)	MAINTENANCE SHOP/COMMUNITY ROOM	1470	1	\$35,000	\$20,000	0	0	
NY20-2(AMP 2)	MAINTENANCE SHOP/COMMUNITY ROOM	1470	1	\$0	\$15,000	\$14,866	\$14,866	
NY20-2(AMP 1)	NEW EQUIPMENT - TRUCK	1475	1	\$75,000	\$70,000	\$62,836	\$62,836	

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

² To be completed for the Performance and Evaluation Report.

Part III: Implementation Schedule for Capital Fund Financing Program					
PHA Name: Saratoga Springs Housing Authority				Federal FFY of Grant: 2009	
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates ¹
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
NY20-1(AMP1)	09/14/2011		09/14/2013		
NY20-2(AMP1)	09/14/2011		09/14/2013		
NY20-3A(AMP1)	09/14/2011		09/14/2013		
NY20-3B(AMP2)	09/14/2011		09/14/2013		

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

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

SARATOGA SPRINGS HOUSING AUTHORITY

Program/Activity Receiving Federal Grant Funding

2010 C.F.P.

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.)

AMP-1 JEFFERSON \$ VANDERBUILT TERRACE
AMP-2 STONEQUIST APARTMENTS

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

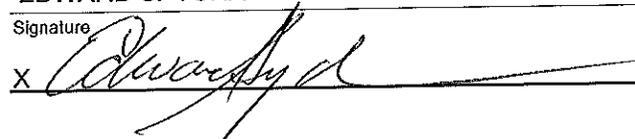
I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

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
EDWARD SPYCHALSKI

Title
EXECUTIVE DIRECTOR

Signature



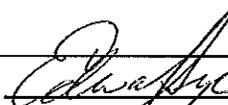
Date

3-23-2010

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

Approved by OMB
0348-0046

1. Type of Federal Action: <input checked="" type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input checked="" type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input checked="" 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: 20TH	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency: H.U.D.	7. Federal Program Name/Description: 2010 CFP CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature:  Print Name: <u>EDWARD SPYCHALSKI</u> Title: <u>EXECUTIVE DIRECTOR</u> Telephone No.: <u>518-584-6600</u> Date: <u>3-23-2010</u>	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

Certification of Payments to Influence Federal Transactions

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

Applicant Name

SARATOGA SPRINGS HOUSING AUTHORITY

Program/Activity Receiving Federal Grant Funding

2010 C.F.P.

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

EDWARD SPYCHALSKI

Title

EXECUTIVE DIRECTOR

Signature



Date (mm/dd/yyyy)

3-23-2010

Civil Rights Certification

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

Civil Rights Certification**Annual Certification and Board Resolution**

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioner, I approve the submission of the Plan for the PHA of which this document is a part and make the following certification and agreement with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

The PHA certifies that it will carry out the public housing program of the agency in conformity with title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990, and will affirmatively further fair housing.

SARATOGA SPRINGS HOUSING AUTHORITY

NY020

PHA Name

PHA Number/HA Code

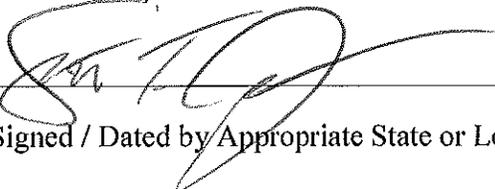
I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)	
Name of Authorized Official	EDWARD SPYCHALSKI
Title	EXECUTIVE DIRECTOR
Signature	
Date	3-23-2010

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

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

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

I, Scott Johnson the Mayor certify that the Five Year and
Annual PHA Plan of the Saratoga Springs Housing Authority is consistent with the Consolidated Plan of
City of Saratoga Springs prepared pursuant to 24 CFR Part 91.

 February 10, 2010
Signed / Dated by Appropriate State or Local Official

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

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

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

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the 5-Year and/or Annual PHA Plan for the PHA fiscal year beginning 7/1/12, 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.

SARATOGA Springs Housing Authority
PHA Name

NY020
PHA Number/HA Code

5-Year PHA Plan for Fiscal Years 2010 - 2014

Annual PHA Plan for Fiscal Years 2010 - 2011

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	Title
<u>Dennis Brunelle</u>	<u>CHAIRMAN</u>
Signature	Date
<u>Dennis Brunelle</u>	<u>3/23/2010</u>

Saratoga Springs Housing Authority Strategic Plan 2010-2014

Mission Statement:

The Mission of the Saratoga Springs Housing Authority is to assist low and modest income individuals and families by providing opportunities for safe, decent, and affordable housing.

Structure of the Housing Authority.

The Authority has a Board of Housing Commissioners which is the independent governing body for the Saratoga Springs Housing Authority (SSHA). The Board is comprised of seven city residents, two of whom are elected by the tenants and the other five appointed by the Mayor from the general citizenry. The appointed Board Commissioners serve five-year staggered terms, while the Resident Commissioners serve two-year staggered terms. The board hires an Executive Director who manages the organization according to board established policies. The Executive Director hires all organization staff.

Philosophy of Service:

We believe that the provision of public housing is one of the pragmatic expressions of the democratic ideal of the value of each and every citizen: that each of us, rich or poor, has an equal claim to the respect of all; that it is the responsibility of the citizenry at large to provide as best it can for its less fortunate members and that it is the responsibility of those served to use the opportunity provided them to better themselves and society.

The Saratoga Springs Housing Authority is and always will be guided by its mission. We are committed to providing quality housing within an environment supporting the trust, personal growth, dignity, economic independence and security of residents. We are committed to operating in an efficient, economical, and ethical manner as we provide resources for our residents as they strive to achieve social and economic opportunities to improve their quality of life.

Purpose of the Strategic Planning Document

The intent of this document is to put forward a comprehensive, realistic and workable plan for the future for the Saratoga Springs Housing Authority, hereafter referred to as SSHA. The purpose of the strategic plan is to define and affirm our mission, identify needs projected for next 5 years, and set goals & objectives to meet those needs.

This plan is a living, growing document subject to revision with changes in our internal and external environments and state of the art practices.

“Institutions must go hand in hand with the progress of the human mind. As that becomes more developed ... as new truths are discovered and manners and opinions change, institutions must advance also to keep pace with the times.”

Thomas Jefferson

This strategic plan should be used as a navigational guide plotting and determining our direction for the next 5 years. Our planning is intended to guide all members of the Saratoga Springs Housing Authority to envision its future and to develop the necessary resources, procedures, and operations to achieve that future. This planning process is an effort to produce fundamental decisions and actions that shape and guide what our authority is, what it does, and why it does it. The plan shall insure that we take a creative course and become a leader in Public Housing and in the Saratoga community.

It is critical that the plan be reviewed and updated at regular intervals to assure its integrity and utility.

The planning process has been under way for over one year. We have :

- Participated in resident meetings
- Met with key community agencies and leaders
- Used the most recent data for forecasting trends and identifying needs
- Implemented a SWOT analysis (Strengths, Weaknesses, Opportunities, Threats) in 2008 and again in 2009 with administration and staff.
- Attended annual national conferences in Washington to obtain information on cutting edge strategies and trends in public housing
- Participated in national public housing organizations such as (PHADA) and NAHRO.
- Consulted with stakeholders on state and local levels.
- Our Executive Director has successfully completed a degree in Public Housing Administration from Rutgers University.

History of the Saratoga Springs Housing Authority:

The Saratoga Springs Housing Authority was established in 1951 and was chartered under State Law in 1953 as a New York State non-profit government agency. It was originally organized by a group of concerned citizens, led by Dr. Everett Stonequist of Skidmore College, to provide housing assistance to low income families within the community.

The Authority undertook the construction of four major housing projects: Jefferson Terrace in 1952; the Jefferson Terrace Senior Complex in 1952; and the Vanderbilt Terrace and Stonequist apartments in 1970. The Jefferson Terrace complex includes 75 family units and 30 units for senior citizens; the adjacent Vanderbilt Terrace complex has 58 family housing units, and the Stonequist apartment high rise building downtown has 176 units. The William Ford Neighborhood Center, adjacent to the two Terrace complexes, was constructed in 1998 and serves as the focal point for a variety of educational, recreation and community activities for young and old.

The Authority also administers a Section 8 Rental Assistance Program that consists of approximately ninety (90) rent subsidy contracts. The Section 8 Program utilizes the private rental market and the Authority subsidizes the rent of the eligible individual.

To be eligible for housing assistance, an individual or family must meet certain federal criteria: (a) income must be within a specified range, and the current rent payment must exceed 50% of that individual's or family's total income; (b) they must be homeless or about-to-be-homeless due to government action or other recognized reasons; and they must be in need of housing due to substandard living conditions.

Recent History:

Development of units ceased after the construction of Stonequist in 1970. The focus was then placed on management of existing buildings and complying with federal regulations. Saratoga grew rapidly for the next 35 years as did the need for affordable housing. High end homes, condos, and developments took up most of the available land in Saratoga Springs. Of the 2000 new – non senior units constructed from 1990 to 2002, only 17 were affordable to a low income family. There were several attempts to start low income housing units but they all failed including a 37 unit workforce housing (OMNI Development) project in 2003.

In 2006 Ed Spychalski became Executive Director and took a leadership role in emphasizing the need for the Housing Authority to address affordable housing issues. Subsequently, the Board of Directors focused on policy issues and strategies to embrace our duty of increasing the supply of affordable units in Saratoga Springs.

In 2008, a new Non-profit housing development organization was incorporated - The Saratoga Affordable Housing Group (SAHG). SAHG developed a working partnership with the Housing Authority, secured funding, and purchased 28 units of housing at Allen Drive. With support from the housing authority, SAHG was later awarded funds from the NYS Division of Housing and Community Renewal to construct 15 additional units at Allen Drive. SAHG also was awarded a Rotary grant to develop a playground on the site. The Saratoga Springs Housing Authority provided a majority of the support to SAHG to bring about these results.

Success brings with it many opportunities and challenges. The time is now to pause and evaluate what we should do next; to determine where we want to be in 5 years. The time is now to develop a strategic plan.

Mandates:

Federal state and local municipal government requirements play a large role in what we can and can not do. The SSHA receives its funding from the United States Department of Housing and Urban Development (HUD). New York State and local law must be followed when it does not conflict with federal regulations. New York State Law establishes SSHA as a partner to city government yet as an independent entity to it. All members of the Board of Commissioners are appointed by the Mayor of Saratoga Springs. The Commissioners and Executive Director collaborate with but are not directly accountable to the Mayor.

The Board of Commissioners is responsible for developing local public housing policy and for managing and overseeing budgets and resources. The Board hires and directs the Executive Director who carries out the day to day management of the organization. The Director reports to the board and the Board is directly accountable to the Department of Housing and Urban Development for the appropriate use of federal funds.

Our federal mandate is:

“ to provide eligible families with affordable, decent, safe and sanitary housing in a manner that promotes serviceability, economy, efficiency, and stability of the authority and the economic and social well being of the residents. “

Our contract and commitment with the Federal Government is renewed annually and takes form in the Annual Contributions Contract (ACC). (See appendix 1).

We are annually reviewed for compliance with facility safety and quality standards by HUD. This review is conducted by REACT (the Real Estate Assessment Center).

We are obligated to complete an independent annual audit which assesses our compliance with state and federal financial and operational standards.

Trends impacting affordable housing:

We have identified a number of trends which must be considered as we plan for the future of public housing in Saratoga Springs.

- The population is aging creating more of a need for special kinds of housing.
- Towns and villages are establishing restrictive zoning laws increasing housing and transportation costs thereby reducing the affordability of housing.
- Saratoga Springs is a small business, service oriented economy. Service sector employment does not pay wages necessary to afford local housing costs.

- Mobile home park opportunities will likely decline as the land value in Saratoga County continues to rise.
- Due to population gains, vacancy rates will continue to remain low. Rents are increasing at a higher rate than incomes.
- The comprehensive plan for Saratoga Springs does not allow for the high densities needed to build more affordable housing. The plan directs affordable development in the downtown area where housing costs are the highest in the county.
- Anticipated rise in property taxes will have an adverse impact on affordable housing.
- Lack of 3&4 bed room apartments for large families
- Homeless shelters and transitional housing beds are backed up because there is a lack of affordable housing and there are few affordable places for the residents to go.
- There are no plans by any non-profit to develop affordable housing units in Saratoga County in the near future.
- The Federal Government will need to pay our national debt. There will be less funds for Public Housing. Public Housing Agencies need to become much more self sufficient and achieve high levels of fiscal excellence. We will need to rely more on entrepreneurial innovations.
- There is a projected increase in need for aging population assisted living facilities. All population studies show this to be true. Saratoga Springs has and will continue to be a desirable place for retirement and our elderly population will continue to increase. This has implications for considering another level of care to housing authority as well as on site health related services.

Veteran's Housing

- Co-ed veteran's shelters don't work
- New York State is 5th in the nation for the highest number of homeless veterans
- 1 of 9 U.S. soldiers in Afghanistan are female.
- Female veterans are 4 times more likely to be homeless than males.
- There are 200 homeless veterans in the capital district.
- 50% of vets have mental health problems
- 85% have alcohol and drug issues
- Most vets have dual problems of substance abuse and mental health
- Problems of single vets have declined because services are there for them
- Problems of veterans with families have increased by 37% .
- A recent phenomenon is the increase in female veterans with children.

Analysis of our external environment:

Need for Housing in Saratoga Springs and the surrounding areas

We use the city of Saratoga Springs report - Comprehensive Housing Affordability Study (CHAS) as one indicator of who makes up our clientele. (Appendix 2)

A report by the Capital District Regional Planning Commission (CDRPC) highlights the most recent data and trends in Saratoga County impacting affordable housing. This report is in appendix 3.

A 2009 rental chart for areas in Saratoga County by area and number of bed rooms is found in appendix 4

The Saratoga County Housing Workgroup is a coalition of many organizations working to develop a long range housing plan for Saratoga County. Their report, “ Saratoga County Statistical Profile- Executive Summary” is a summary analysis of county data coupled with their observations and assessments. This report is in Appendix 5.

We also used a 2008 state profile of older Americans from the US Census bureau to highlight national trends of the increased need for affordable housing for older Americans. (Appendix 6)

Based on data from the CDRPC report, in Saratoga Springs, 1,561 owner households and 1972 renter households – a total of 3533 households, are paying more than 30% of their income on housing.

In 1998 the Saratoga County Workforce Housing Partnership produced some startling data on the housing problem in Saratoga Springs.

- Nearly 30% of all households can not find affordable housing
- Nearly 50% of all renters spend more than 33% of their income on housing.
- The average of a home in the city has grown 71% in 10 years.
- In the near future, local businesses will need 1500 additional service workers. A total of 56% of these workers (850) will be earning less than \$21,000 per year. There is a critical need for housing for our service workforce to support the vitality of local businesses

Homelessness

The bottom of the ladder of housing need is seen in our local homeless population. The most accurate indicator of the degree of homelessness is the community wide “point-in-time homeless count. Annually, the members of the Saratoga County Housing Alliance count the number of unsheltered people in our community. Counts are also taken by the police, the school district, the library, and other relevant groups. On January 27, 2009, 231 individuals were documented as unsheltered. This count does not include people in shelters. And 17 were in the city of Saratoga Springs. This count does not include families living temporarily with friends and relatives.

Most were documented to have mental illness, substance abuse problems or both. Some were homeless by choice unwilling to comply with reasonable rules of a group living environment. Many simply could not find an affordable rental unit.

The number one cause of homelessness of entire families is domestic violence. Three and four bedroom facilities are needed for many large families.

Those homeless people in shelters have a limited number of days to find a permanent living unit. The lack of available affordable units force many back on the street. Many in shelters need transitional housing with follow up support services. Little research has been done by local shelters on outcomes of discharged guests.

A summary of the Saratoga County Homeless Programs report is contained in appendix 7.

Housing Authority Waiting List:

Our primary indicator on the need for low income housing in Saratoga Springs is our own waiting lists for both housing units and section 8 vouchers. We gathered the same data in October 2008 and again in 2009 for comparative purposes to assess the waiting list. . The actual data on our waiting list for resident units and for section 8 vouchers is in appendix 8.

On 10/08, 151 people / 50 families qualified for public housing and were on the waiting list for a public housing unit. During the year, only 3 units per month were vacated thereby freeing up 36 units for the year. At this rate, it will take 17 months for the newest applicant to secure a housing unit.

On 10/08, 445 people / 148 families were on the waiting list for a section 8 voucher. Similarly to units, 3 families terminate section 8 vouchers per month or 36 per year. It will take 49 months before a section 8 vacancy becomes available to the newest applicant.

Applicants can not wait for months for housing and one half of all families drop off the waiting list for housing units and section 8 vouchers. **We do not know what happened to those who dropped off the list.** And we are not alone in this information gap. We asked three local agencies about their follow up practices including Shelters of Saratoga , an emergency shelter, The Rural Preservation Company RPC, a shelter for veterans and the local Community Action Agency , The Economic Opportunity Council, EOC, if they had follow up data on those dropping off their waiting lists for housing. **None of the agencies including ours has ever completed a follow up study of waiting list drop outs to determine what happened to them.**

Those who remained on the housing list waited an average of 9 months for a unit. Those who remained on the section 8 list waited an average of 2 years for a voucher.

The same figures for 2009 show a similar story but document a greater need.

On 10/09, 177 people/ 59 families were on the waiting list for a public housing unit. During the year, 3 people per month vacated housing units thereby freeing up 3 units per month. At this rate, it will take 59 months for the newest applicant to secure a housing unit.

On 10/09, 582 people/ 194 families were waiting for a section 8 voucher. With 3 vouchers turned over per month, it will take 16 months before a section 8 vacancy becomes available.

Applicants can not wait for months for housing and 50% drop off the waiting list. Those city residents who do obtain units waited an average of 11 months for a housing unit. The wait for non-city residents is 1.5 years for a housing unit and over 2 years for a voucher.

Of the 597 people occupying the 339 public housing units and the 28 Allen Drive units owned by SAHG , 304 of the residents (51%) have a significant physical or mental impairment. This has numerous implications for service needs.

There are similar waiting lists at the housing facilities for veterans.

The Rural Preservation Company (RPC) maintains:

- 12 transitional units in Wilton (4 – 2 bed rooms and 8- 1bed rooms) (16 people).
- 10 bed shelter in Ballston Spa
- 2 family home (9 residents)
- 242 section 8 vouchers for Saratoga County residents.
-

The actual waiting time for a shelter bed at RPC can be 1 year ; for a section 8 voucher 3 years. Wilton transitional units and the Ballston Spa Family home have almost zero turnover.

50% of RPC residents have mental health problems and 80-90% have alcohol / drug related problems.

Waiting List Issues

The majority of these families on **the waiting list** are extremely low income and **they are experiencing are many health and social problems** while they wait for housing. The aggregation of poverty related issues overwhelm the most capable of families and deprives them of the capacity of effective response. Families on the waiting list encounter many poverty related problems including malnutrition, low birth weight, chemical dependency, obesity, dental, asthma, indebtedness, mental health, job retention etc.

Perhaps the neediest people on the waiting list are **the motel families**. On any given month, 10 families are placed in local motels by the Dept. of Social Services (DSS). DSS places people in the motels because the cost of available apartments in Saratoga exceed the allowable state shelter rate and/or there are no apartments available. Families with young children often remain there for months with no transportation.

The high volume of applicants waiting for housing reflects a national unmet need. No local agency has a mission to serve those on waiting lists for housing.

A sample of SHA residents presented their stories to our Congressional representative in 2008. Their stories are documented in the appendix 9.

History of lack of development of affordable housing

The previous data clearly documents the need for affordable housing in Saratoga Springs. This need has been documented and growing since 1990. Yet, in a 1997 study completed by the Saratoga County Economic Opportunity Council of identified 2000 new housing units built in Saratoga Springs. Excluding senior living apartments, only 17 were units affordable to low income families. And 12 of these units were built by not-for profit agencies.

This lack of development is multi-causal and complex. Our municipal systems of planning, zoning, fee charges, are geared to big developers who make big profits. It costs over \$4000 in fees and expenses just to submit an application to the planning board. Non profits trying to develop affordable housing can not afford the approval process nor can they comply with the expense of historic reservation and ambience requirements.

Next on the obstacle list is the “NYMBY” factor – Not in my back yard! In the last 20 years, there have been 8 proposals to the city for the development of affordable housing by no-profit agencies.

In all but one instance, neighbors protested the proposals based on density, zoning rules, misinformation, and philosophical issues. Regularly, statements were issued, *“I believe in affordable housing but the poor do not belong here in our neighborhood.”*

In all but one instance, the projects folded and the politicians succumbed to the neighborhood voters.

The only successful project in recent years was the acquisition and rehabilitation of the 28 units at Allen Drive by the Saratoga Affordable Housing Group (SAHG). This is because they had the mission, infrastructure, resources and leadership necessary to successfully engage in a development project.

Next is the support structure in Saratoga County for low income housing development. There are two Public Housing Authorities in Saratoga County; one in Saratoga and one in Mechanicville. Each is accountable to its own community. The remainder of townships, villages, and cities in Saratoga County do not have a housing authority to develop and support housing for low income families.

All over the county, municipalities are instituting zoning laws prohibitive to low income renters such as a 2-acre requirement for single family homes.

Finally, in Saratoga Springs, most available land for development is gone. The city does not have land to give away or sell for development. In many surrounding counties, municipalities can sell abandoned property for \$1.00 to non-profits. This is not possible in Saratoga County where land and property values are so high.

Needs of Housing Authority residents:

Once an applicant becomes a resident, the Saratoga Springs Housing Authority has an obligation to meet their needs for safe, decent housing. These needs are met primarily by maintenance and support service staff. All apartments / units are professionally maintained and calls for service are responded to promptly. All residents at SSHA have a safe, secure, and decent, housing.

Services:

A high volume of public housing residents need multiple services to sustain their economic security and social independence. A policy challenge to the Board of Commissioners is our role in the direct provision of services. Our mandate is to provide safe, decent, affordable housing. Our skills as an organization are the construction, maintenance, and coordination of services for residents.

Many residents have social, mental health, and medical problems which can not be completely addressed by on site staff. Recently, the Authority received a grant to hire a professional social worker and a nurse as to assist residents with their needs. Their services have been essential for our residents. They recently helped to identify the need for an on site health clinic. (see appendix 10)

Many outside agencies have requested permission to deliver services to our residents. Services delivered on our property must be provided by qualified individuals and agencies. We should consider contractual agreements / memoranda of understanding with outside providers. A credentialing process for providers should be considered to safeguard the residents. We need to examine our roles / policies in the provision of services to SSHA residents.

Threats:

Funding:

For the last 8 years, Federal Funds for capital expenses for Housing Authorities was reduced by 20% annually. The national debt has ballooned recently and will require future funding cuts throughout all levels of government. We need to strengthen the capacity of the housing authority to develop income streams to supplement funding from HUD. The Authority has begun to reach out into entrepreneurial profit making enterprises to supplement HUD funding. We need to strengthen this capacity.

Section 8 utilization.

Section 8 Housing is a HUD program where a subsidy is provided for people who are at 100% of the poverty level. HUD provides a portion of the rent so the family pays no more than 30% of their income on housing costs.

The Authority must apply for Section 8 vouchers based on available federal dollars and local need. We have 90 vouchers assigned to us but only 62 are being utilized. The low utilization rate is due to lack of HUD subsidy funding and the low number of landlords willing to participate in the section 8 program. We need to build up our section 8 units with creative financing strategies.

Landlords can command much higher rents on the private market due to the great demand for housing in the area. We need a monitored and collaborative outreach plan to landlords to improve our utilization.

Space

SSHA has run out of office space. In order to grow, we will need more staff and space. We need to develop a plan for acquisition of the new space as well as the financing of this space.

Our buildings are aging. We need a long range plan for the cost effective, quality management of all of the SSHA facilities

Mental Health Services

The need for mental health services in our community far exceeds the capacity of our community mental health services. As a result, a large number of mentally challenged individuals are in the community with inadequate services and minimal ability to negotiate for adequate housing.

Buildings Vs Section 8 resources

Housing and Urban Development (HUD) is getting away from supporting large building projects. They are supporting increased section 8 vouchers over building new units. This poses a threat to Saratoga where landlords can command much greater rents in the private market and have little interest in the vouchers. We must be able to develop and manage our own units because no one else will be interested in doing this.

Growth & Job satisfaction

Staff could adversely be affected as the agency grows. Surroundings could become less personal, more bureaucratic, and less satisfying. As we grow, we need to develop mechanisms to assure staff recognition and appreciation.

Chronic Welfare Dependency

Enabling someone to live permanently in public housing when they have the capacity to live independently is the best argument to de-fund government programs. It would certainly be a crisis if our community perceived we are enabling dependency.

Our philosophy is that we use our facilities and resources for residents so they can help themselves to become as independent as their capacity allows. If a resident has the capacity to progress and live independently, we must have systems in place to encourage this.

Debt Management:

Creative and successful development and maintenance of housing requires financing and management of debt. Debt is a main concern for administration as well as boards. Perhaps the greatest threat to an organization is to assume a debt it can not repay. There should be annually planned board meetings specifically to assess our debt and to determine the feasibility of accumulating additional debt for additional development.

Staff turnover.

We have a very small, very experienced and dedicated staff. Some key staff members are approaching retirement. Some may opt to change jobs. Some may leave for unforeseen reasons. Loss of any single staff member is a looming threat and will be a great challenge. We need succession plan for staff turnover to assure continuity of excellence.

Opportunities:

Regional Affordable Housing Development

Affordable housing in our region has historically relied on private developers. Few affordable housing units have been produced in Saratoga County. Unit creation relies on the good will of private developers or non profits agencies that lack expertise in development. There is a need for leadership of a non profit developer for new construction as well as rehabilitation projects. We have been encouraged by municipal leaders and community agencies to become a non-profit housing developer to assist non-profits with construction and rehabilitation projects.

Embury Apartments:

The Saratoga Springs Housing Authority was awarded 182 section 8 vouchers from DHCR. We assigned the vouchers to Wesley Health Center for use in their new apartment units for a period of 15 years. We will continue to manage the section 8 vouchers for Embury residents and receive a management fee. This will contribute to the fiscal solvency of the housing authority.

Additional vouchers:

Currently, a Schenectady based agency manages a large number of Saratoga County vouchers. We should explore the possibility of helping the non profit, SAHG to manage section 8 for other housing agencies in the future.

Geographic expansion:

We have developed excellent relationships with the city, HUD, and the NYS Division of Housing and Community Renewal and have demonstrated our capacity for development of housing. We should build on this relationship and experience by expanding our role to surrounding towns and villages. We should also support the development of affordable housing with the non profit, Saratoga Affordable Housing Group.

Regionalization:

Many organizations, schools, and businesses have regionalized to strategically respond to fiscal and market trends. Historical patterns in government, business, and health care suggest that public housing authorities may be asked to regionalize in the future, perhaps in the next 5 years. The first indication of this will be an RFP for demonstration projects. The Saratoga Springs Housing Authority has the capacity and leadership to become the

regional leader in Public Housing. We should be prepared to submit an RFP to HUD for a regionalization plan.

Joint Research:

The Saratoga Springs Housing Authority is a virtual laboratory for research on what does and does not improve the quality of life for low income families. There is great potential to develop and evaluate social science methods as well as environmental milieu designs and the outcomes they produce.

We are serving 580 families in units or on vouchers. What service strategies work / don't work in helping them to achieve their maximum economic and social potential ?

We have a number of highly respected institutions of higher learning including Skidmore College and SUNY at Albany who could research community needs, the effectiveness our intervention strategies, and follow up studies.

Strengths of the Housing Authority

Strong Board. The Board of Commissioners completed a self evaluation and the results were very favorable indicating a strong and progressive board. (Appendix 11). Several areas of improvement were suggested.

- Develop an orientation plan for new members and an annual plan for board training.
- Emphasize that Commissioners have a duty to assure compliance with regulations.
- Commissioners need to stay abreast of legislation, regulations, and funding trends.
- Commissioners must be in a position to influence Public Housing on local, state and national levels.
- Be conscious of avoiding micromanagement - a national issue for PHA boards.

Commissioners are appointed by the mayor. This gives the Board of Commissioners less control in member selection. We must advocate filling slots with the best qualified, most motivated, and truest interest in public housing.

Executive Director. The current director has been in this position for three years. He has made great progress improving management systems, performance outcomes, and progressive planning for affordable housing.

Fiscal Excellence. Fiscal competence is a major strength of the housing authority. Past three independent audits concluded the authority was compliant in all areas and is a model for other authorities to emulate. The authority has managed to maintain a profit. Our fiscal director has been recognized as THE fiscal expert and was asked to serve as a consultant to several other housing authorities in the region.

We need to continue to assure fiscal excellence of the SSHA.

An audit committee of the board should review our fiscal policies and procedures annually and test samples of fiscal transactions to assure compliance independent of and prior to the annual audit.

Staff. We have a very small, very experienced and dedicated staff. They are committed to mission and work as a team; and have demonstrated outstanding performance outcomes. As we grow however, there will be a need to reorganize in order to meet the demands of our progress.

Outcomes. REACT scores have elevated us to high performer status for three consecutive years. The Housing Authority has received outstanding assessments in operational and property management.

Collaboration. We have developed positive collaborative relationships with community agencies including banks, businesses, municipalities, no-profits, and civic groups. We must build on this strength.

Demonstrated capacity. As a result of the support of the Housing Authority, SAHG has achieved an Allen Drive profit of \$144,000. Auditors recently praised SAHG as the best For Profit arm in the country.

Weaknesses/Opportunities for improvement:

Community Integration.

Partnerships and collaboration have been key to our recent progress. We need to develop and maintain partnerships in the community to sustain our successes.

Public Image in the Community

The Authority is often perceived as a governmental unit; as a political arm of city government and HUD. A group of bureaucrats collecting rent from poor people. We ask for media coverage and they are not sure why any story would be important.

We need a planned, organized system and process to showcase the Authority. Board members could speak to service groups; open houses for the community; we need ideas. We must encourage community input and feedback from community residents, community organizations, the news media, neighborhood groups, local businesses and the general the community.

Outcome evaluation:

We do not know if we have been successful with people who leave our system.

Did we / did we not facilitate economic independence? What happens to people when they leave our housing / section 8 units? Are they better off? Why? Why not? We need this information to adjust our service strategies and demonstrate cause and affect results.

Services Needs:

A high volume of public housing residents need multiple services to sustain their economic security and social independence. A policy challenge to the Board of Commissioners is our role in the direct provision of services. Our mandate is to provide safe, decent, affordable housing. Our skills as an organization are the construction, maintenance, and coordination of services for residents. Service needs may need to be provided by qualified agencies / providers in the community; and should be arranged by contractual agreements of memoranda of understanding. We need to examine our roles in the provision of services to SSHA residents.

STRATEGIES:

Competition

In Saratoga County, there is no competition for renters for our housing units. The long waiting lists at all housing agencies eliminates the need for competitive marketing strategies. What is needed are strategies for collaborative planning and service support with our human service peers to meet the huge need for affordable housing in our community.

Collaborative Planning

Any long range strategy to address issues of public and affordable housing must be done collaboratively with local organizations and housing providers to avoid duplication and encourage cooperation.

The following is a list of the primary providers of low income housing in our area, a description of the agencies, and potential areas of collaboration.

Rural Preservation Company

36 Church Street
Balston Spa, NY 12020
885-0091

- Homeless veterans shelter 10 beds at 36 Church Street with advocacy & support services. 10 discharges per year.
- A 12 unit apartment complex in Wilton for formerly homeless veterans. Serves 26 residents. 1 turnover apartment per year.
- A 2 family home in Ballston Spa for disabled vets. Serves 9 veterans. 0 discharge per year.
- Management of 250 Section 8 vouchers for Saratoga County Residents . Currently, a 3 year waiting list.
- Financial support for low income families unable to secure conventional mortgage
- Financial assistance for home rehab and /or handicap accessibility measures for eligible families.
- Number of new units (beds) secured since 1999 – 11

Long Range Goals

1. Currently seeking to build a homeless shelter for female veterans.
2. Wants to buy 2 more 3-bed room homes outside of Ballston Spa as a half way house for vets discharged from the shelter.

Agency needs:

RPC is unable to expand at their current site. They need more office space.

SHA Consideration:

- Coordinate planning with RPC regarding veteran’s housing needs.
- Consider prioritizing female veterans with children for SHA admission.
- Collaborative planning for new office space.
- Set aside 1-2 units for vets discharged from the vets shelter with support services provided by RPC
- Assist RPC with property management and rehabilitation.

Saratoga County EOC

40 New Street
Saratoga Springs, NY 12866
587-3158

EOC currently operates two (2) 2-family homes for affordable housing. EOC plans to sell the homes and get out of the housing business.

SSHA consideration:

1. Purchasing one of the homes and add the units to SHA housing stock.
2. Recruit landlords for (EOC) Weatherization Services and Section 8 status.
3. Continue to provide maintenance services on a fee for service basis.

Shelters of Saratoga / Neighborhood Preservation Company

20 Walworth Street

Saratoga Springs, NY 12866

- Manages a 10 bed homeless shelter
- Manages Neighborhood Preservation Company & \$500,000 grant
- Would like to build a 2 family transitional unit next to the shelter(6 beds)

Main need – transitional and affordable housing units with support services. . Unable to discharge shelter residents.

SSHA Consideration:

- Set aside one apartment as a temporary transitional unit with service support from SOS
- Assist SOS with rehabilitation projects

Domestic Violence Services in Saratoga and Mechanicville encounter victims of abuse who can not safely return home and/or who are not able to afford housing. Lack of affordable housing forces them to remain in shelters, usually with their children.

SSHA Consideration:

Set aside one 3 bedroom unit for DV families with children with support from DVS services. Goal is to provide stability and opportunity to become self sufficient.

To be explored:

Transitional Services

Alcoholism Services

SARATOGA SPRINGS HOUSING AUTHORITY VIOLENCE AGAINST WOMEN ACT (VAWA) POLICY

I. Purpose and Applicability

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

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

II. Goals and Objectives

This Policy has the following principal goals and objectives:

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

III. Other SSHA Policies and Procedures

This Policy shall be referenced in and attached to SSHA’s Five-Year Public Housing Agency Plan and shall be incorporated in and made a part of SSHA’s Admissions and Continued Occupancy Policy. SSHA’s annual public housing agency plan shall also contain information concerning AHA’s activities, services or programs relating to domestic violence, dating violence, and stalking.

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

IV. Definitions

As used in this Policy:

A. *Domestic Violence* – The term ‘domestic violence’ includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabiting with or has cohabited with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the jurisdiction.”

B. *Dating Violence* – means violence committed by a person—

(A) who is or has been in a social relationship of a romantic or intimate nature with the victim; and

(B) where the existence of such a relationship shall be determined based on a consideration of the following factors:

(i) The length of the relationship.

(ii) The type of relationship.

(iii) The frequency of interaction between the persons involved in the relationship.

C. *Stalking* – means –

(A) (i) to follow, pursue, or repeatedly commit acts with the intent to kill, injure, harass, or intimidate another person; and (ii) to place under surveillance with the intent to kill, injure, harass or intimidate another person; and

(B) in the course of, or as a result of, such following, pursuit, surveillance or repeatedly committed acts, to place a person in reasonable fear of the death of, or serious bodily injury to, or to cause substantial emotional harm to –

(i) that person;

(ii) a member of the immediate family of that person; or

(iii) the spouse or intimate partner of that person;

D. *Immediate Family Member* - means, with respect to a person –

(A) a spouse, parent, brother, sister, or child of that person, or an individual to whom that person stands in loco parentis; or

(B) any other person living in the household of that person and related to that person by blood or marriage.

E. *Perpetrator* – means person who commits an act of domestic violence, dating violence or stalking against a victim.

V. Admissions and Screening

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

Note that VAWA does not require an admissions preference, and, therefore, if such a preference is adopted it need not be applicable to victims of dating violence and stalking as well as to domestic violence]

B. *Admissions Preference.* Applicants for housing assistance from SSHA will receive a preference in admissions by virtue of their status as victims of domestic violence [dating violence, stalking]. This preference is particularly described as follows: [insert description including any requirements with respect to evidence of past domestic violence incidents, etc.]

Note that VAWA does not require such a provision]

C. *Mitigation of Disqualifying Information.* When so requested in writing by an applicant for assistance whose history includes incidents in which the applicant was a victim of domestic violence, AHA, may but shall not be obligated to, take such information into account in mitigation of potentially disqualifying information, such as poor credit history or previous damage to a dwelling. If requested by an applicant to take such mitigating information into account, SSHA shall be entitled to conduct such inquiries as are reasonably necessary to verify the claimed history of domestic violence and its probable relevance to the potentially disqualifying information. SSHA will not disregard or mitigate potentially disqualifying information if the applicant household includes a perpetrator of a previous incident or incidents of domestic violence.

VI. Termination of Tenancy or Assistance

A. *VAWA Protections.* Under VAWA, public housing residents and persons assisted under the Section 8 rental assistance program have the following specific protections, which will be observed by AHA:

1. An incident or incidents of actual or threatened domestic violence, dating violence, or stalking will not be considered to be a “serious or repeated” violation of the lease by the victim or threatened victim of that violence and will not be good cause for terminating the tenancy or occupancy rights of or assistance to the victim of that violence.
2. In addition to the foregoing, tenancy or assistance will not be terminated by SSHA as a result of criminal activity, if that criminal activity is directly related to domestic violence, dating violence or stalking engaged in by a member of the assisted household, a guest or another person under the tenant’s control, and the tenant or an immediate family member is the victim or threatened victim of this criminal activity.

However, the protection against termination of tenancy or assistance described in this paragraph is subject to the following limitations:

- (a) Nothing contained in this paragraph shall limit any otherwise available authority of SSHA or a Section 8 owner or manager to terminate tenancy, evict, or to terminate assistance, as the case may be, for any violation of a lease or program requirement not premised on the act or acts of domestic violence, dating violence, or stalking in question against the tenant or a member of the tenant's household. However, in taking any such action, neither SSHA nor a Section 8 manager or owner may apply a more demanding standard to the victim of domestic violence dating violence or stalking than that applied to other tenants.
- (b) Nothing contained in this paragraph shall be construed to limit the authority of AHA or a Section 8 owner or manager to evict or terminate from assistance any tenant or lawful applicant if the owner, manager or SSHA, as the case may be, can demonstrate an actual and imminent threat to other tenants or to those employed at or providing service to the property, if the tenant is not evicted or terminated from assistance.

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

VII. Verification of Domestic Violence, Dating Violence or Stalking

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

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

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

2. *Other documentation* - by providing to SSHA or to the requesting Section 8 owner or manager documentation signed by an employee, agent, or volunteer of a victim service provider, an attorney, or a medical professional, from whom the victim has sought assistance in addressing the domestic violence, dating violence or stalking, or the effects of the abuse, described in such documentation. The professional providing the documentation must sign and attest under penalty of perjury (28 U.S.C. 1746) to the professional's belief that the incident or incidents in question are bona fide incidents of abuse meeting the requirements of the applicable definition(s) set forth in this policy. The victim of the incident or incidents of domestic violence, dating violence or stalking described in the documentation must also sign and attest to the documentation under penalty of perjury.

3. *Police or court record* – by providing to SSHA or to the requesting Section 8 owner or manager a Federal, State, tribal, territorial, or local police or court record describing the incident or incidents in question.

B. *Time allowed to provide verification/ failure to provide.* An individual who claims protection against adverse action based on an incident or incidents of actual or threatened domestic violence, dating violence or stalking, and who is requested by SSHA, or a Section 8 owner or manager to provide verification, must provide such verification within 14 business days (*i.e.*, 14 calendar days, excluding Saturdays, Sundays, and federally-recognized holidays) after receipt of the request for verification. Failure to provide verification, in proper form within such time will result in loss of protection under VAWA and this policy against a proposed adverse action.

C. *Waiver of verification requirement.* The Executive Director of SSHA, or a Section 8 owner or manager, may, with respect to any specific case, waive the above-stated requirements for verification and provide the benefits of this policy based on the victim's statement or other corroborating evidence. Such waiver may be granted in the sole discretion of the Executive Director, owner or manager. Any such waiver must be in writing. Waiver in a particular instance or instances shall not operate as precedent for, or create any right to, waiver in any other case or cases, regardless of similarity in circumstances.

VIII. Confidentiality

A. *Right of confidentiality.* All information (including the fact that an individual is a victim of domestic violence, dating violence or stalking) provided to SSHA or to a Section 8 owner

or manager in connection with a verification required under section VII of this policy or provided in lieu of such verification where a waiver of verification is granted, shall be retained by the receiving party in confidence and shall neither be entered in any shared database nor provided to any related entity, except where disclosure is:

1. requested or consented to by the individual in writing, or
 2. required for use in a public housing eviction proceeding or in connection with termination of Section 8 assistance, as permitted in VAWA, or
 3. otherwise required by applicable law.
- B. *Notification of rights.* All tenants of public housing and tenants participating in the Section 8 rental assistance program administered by SSHA shall be notified in writing concerning their right to confidentiality and the limits on such rights to confidentiality.

VIII. Transfer to New Residence

- A. *Application for transfer.* In situations that involve significant risk of violent harm to an individual as a result of previous incidents or threats of domestic violence, dating violence, or stalking, SSHA will, if an approved unit size is available at a location that may reduce the risk of harm, approve transfer by a public housing or Section 8 tenant to a different unit in order to reduce the level of risk to the individual. A tenant who requests transfer must attest in such application that the requested transfer is necessary to protect the health or safety of the tenant or another member of the household who is or was the victim of domestic violence dating violence or stalking and who reasonably believes that the tenant or other household member will be imminently threatened by harm from further violence if the individual remains in the present dwelling unit.
- B. *Action on applications.* SSHA will act upon such an application promptly .
- C. *No right to transfer.* SSHA will make every effort to accommodate requests for transfer when suitable alternative vacant units are available and the circumstances warrant such action. However, except with respect to portability of Section 8 assistance as provided in paragraph IX. E. below the decision to grant or refuse to grant a transfer shall lie within the sole discretion of SSHA, and this policy does not create any right on the part of any applicant to be granted a transfer.
- D. *Family rent obligations.* If a family occupying SSHA public housing moves before the expiration of the lease term in order to protect the health or safety of a household member, the family will remain liable for the rent during the remainder of the lease term unless released by SSHA. In cases where SSHA determines that the family's decision to move was reasonable under the circumstances, SSHA may wholly or partially waive rent payments and any rent owed shall be reduced by the amounts of rent collected for the remaining lease term from a tenant subsequently occupying the unit.
- E. *Portability.* Notwithstanding the foregoing, a Section 8-assisted tenant will not be denied

portability to a unit located in another jurisdiction (notwithstanding the term of the tenant's existing lease has not expired, or the family has not occupied the unit for 12 months) so long as the tenant has complied with all other requirements of the Section 8 program and has moved from the unit in order to protect a health or safety of an individual member of the household who is or has been the victim of domestic violence dating violence or stalking and who reasonably believes that the tenant or other household member will be imminently threatened by harm from further violence if the individual remains in the present dwelling unit.

X. Court Orders/Family Break-up

A. *Court orders.* It is SSHA's policy to honor orders entered by courts of competent jurisdiction affecting individuals assisted by AHA and their property. This includes cooperating with law enforcement authorities to enforce civil protection orders issued for the protection of victims and addressing the distribution of personal property among household members in cases where a family breaks up.

B. *Family break-up.* Other SSHA policies regarding family break-up are contained in AHA's Public Housing Admissions and Continuing Occupancy Plan (ACOP) and its Section 8 Administrative Plan.

XI. Relationships with Service Providers

It is the policy of SSHA to cooperate with organizations and entities, both private and governmental, that provide shelter and/or services to victims of domestic violence. If SSHA staff become aware that an individual assisted by SSHA is a victim of domestic violence, dating violence or stalking, SSHA will refer the victim to such providers of shelter or services as appropriate. Notwithstanding the foregoing, this Policy does not create any legal obligation requiring SSHA either to maintain a relationship with any particular provider of shelter or services to victims or domestic violence or to make a referral in any particular case. SSHA's annual public housing agency plan shall describe providers of shelter or services to victims of domestic violence with which SSHA has referral or other cooperative relationships.

XII. Notification

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

XIII. Relationship with Other Applicable Laws

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

XIV. Amendment

This policy may be amended from time to time by SSHA as approved by the SSHA Board of Commissioners.