

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: HOUSING AUTHORITY OF HENDERSON PHA Code: KY012 PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): 04/2011				
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units 430 Number of HCV units: 649				
3.0	Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only				
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)				
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program
	PHA 1:				PH HCV
	PHA 2:				
	PHA 3:				
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.				
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: The mission of the Housing Authority of Henderson is to promote, without discrimination, affordable quality housing, economic opportunity, and a positive living environment for the residents we serve.				
5.2	Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. See Attachment				
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: 1) ACOP, 2) Section 8 Administrative Plan, 3) Financial, 4) Audit 5) EIV (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. Housing Authority of Henderson and the City of Henderson				
7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i> Homeownership – See Attachment Three (3) Homeownership closings to date. Vouchers # 356 and # 592 and one private. Total of twelve (12) clients for credit counseling: three (3) pre-purchase, one (1) Yes You Can KHC purchase, one (1) Section 8 Homeownership and seven (7) loan modification				
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. See Attachments				
8.1	Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing. See Attachments 109/109 ARRA/110				
8.2	Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. See Attachment				

8.3	<p>Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p>
9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p>
9.1	<p>Strategy for Addressing Housing Needs. Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p>
10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <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 (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</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. See Attachments</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

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

1.0 PHA Information

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

2.0 Inventory

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

3.0 Submission Type

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

4.0 PHA Consortia

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

5.0 Five-Year Plan

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

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

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

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

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

PHA Plan Elements. (24 CFR 903.7)

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

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

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

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

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

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

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

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

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

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

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

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

8.2 Capital Fund Program Five-Year Action Plan

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

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

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

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

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

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

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

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

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

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

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

ATTACHMENTS/DISPLAY ONLY ITEMS LISTED –Attachment A

5.0 FIVE YEAR PLAN

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

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

7.0 HOMEOWNERSHIP

YRS 2010 + 2011-2014	Section 8 Administrative Plan		Supporting Documentation on Display X
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8.0 CAPITAL FUND IMPROVEMENTS**8.1 CAPITAL FUND PROGRAM ANNUAL
STATEMENT/PERFORMANCE & EVALUATION REPORT**

			Supporting Documentation on Display
KY36P01250109	50075.1	Attachment H	X
KY36S01250109	50075.1	Attachment I	X
KY36P01250110	50075.1	Attachment J	X
KY36P01250111	50075.1	Attachment K	X

8.2 CAPITAL FUND PROGRAM FIVE-YEAR ACTION PLAN

YRS 2010 + 2011-2014	50075.2	Attachment L	Supporting Documentation on Display X
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11.0 CERTIFICATIONS

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

ATTACHMENT B – GOALS and OBJECTIVES

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

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

Progress Report:

Fiscal Year 2010, we maintained a vacancy rate of 3% or less.

PHA purchased two additional vacant properties to be used for future development.

City of Henderson donated vacant lot to be used for Cabell-Platt Medical Clinic expansion.

Awarded \$884,669.00 in Neighborhood Stabilization Funds (NSP) to construct six (6) units of affordable rental housing under Eligible Use E redevelopment and purchase of foreclosed properties. Units will be constructed using Green Building methods. All new units will be handicap adaptable with one (1) unit handicap accessible and one (1) unit accessible for the hearing impaired.

With the use of NSP Funds, purchased one (1) foreclosed home to be used for rental under NSP Eligible Use B.

Purchased additional foreclosed property located at 444 Gabe Street to be used for future development.

Partnered with the Henderson County Vocational School to construct a three (3) bedroom two bath home for homeownership. Home was constructed using Green Building methods.

18 new Section 8 landlords were added to the program.

PHA held several trainings for employees and landlords. Topics included Drugs, Meth clean up, new EPA lead based paint rule, procurement, EIV, and Fair Housing.

PHA Goal: Improve the quality of assisted housing
Objectives:

Renovate or modernize public housing units: **Renovate/modernize to increase marketability and when feasible, add amenities through capital funds.**

Demolish or dispose of obsolete public housing:

Provide replacement public housing:

Provide replacement vouchers:

Progress Report:

With the use of Capital Program Funds, we continue to renovate/modernize current housing stock. As a result, this also enhances the attractiveness and marketability of our dwelling units. Received in 2010, a REAC physical inspection score of 30. (100%)

PHA Goal: Increase assisted housing choices
Objectives:

Conduct outreach efforts to potential voucher landlords **through public awareness, education presentations, brochures, PHA web site and yearly briefings for new landlords.**

Implement voucher homeownership program: **Adopted HCV Homeownership program April 2005**

Implement public housing or other homeownership programs:

Progress Report:

PHA held briefing sessions with the new tenants and landlords. PHA also provided training for landlords on Drugs, Meth Clean and New EPA lead based paint rule.

Advertised in the local newspaper, public access television, brochures and PHA website to inform the public of the availability of Section 8 vouchers in public housing.

Adopted a Section 8 Homeownership Policy in April 2005. Three Homeownership closings to date. (Voucher # 356 and # 592 and a private market using Kentucky Housing Corp)

Provided Credit/Foreclosure, Pre-Purchase and Loan Modification Counseling to twelve (12) clients. Three (3) Pre-Purchase, one (1) Yes

You Can KHC purchase, one (1) Section 8 to Homeownership and seven (7) Loan Modifications.

Landlord Access Program added to Website

Direct deposit of Landlord HAP Payments. 100% participation.

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

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

Progress Report:

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

Replaced doors at sites that primarily house elderly with steel entry doors.

Program specific activities to be undertaken by the City of Henderson includes \$36,253 in CDBG Funds to provide enhanced police protection in areas of concentration of low and moderate income families particularly focusing on census tracts in which our developments are located. This includes foot, bicycle and vehicle patrols.

\$123,761 will be utilized for rehabilitation/reconstruction and

temporary relocation. The City will undertake approximately 2-3 housing reconstructions for low-income, owner-occupied families living in dilapidated structures within the City, coupled with HOME Focus Community Funds, along with exterior repair of twenty five (25) homes for a seventh year of World Changers.

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

\$55,003 to undertake Phase II of Sand Lane sidewalk improvements approximately 1,700 l.f. Phase I is still under development (\$68,210.00) will undertake 2,021 l.f. of sidewalk improvements on Sand Lane/Madison Streets (from Commonwealth Drive to Woodland Drive). Funds are from the 2009 Recovery Act Program signed into law by President Obama on February 17, 2009.

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

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

Objectives:

- Increase the number and percentage of employed persons in assisted families: **Increase by two (2) families per year (167 now)**
- Provide or attract supportive services to improve assistance recipients' employability: **Ongoing FSS and community service programs. Adult Learning and Technology Center on site.**
- Provide or attract supportive services to increase independence for the elderly or families with disabilities. **Service Coordinator assist with obtaining partnerships with other service agencies (Audubon Area, GRADD)**
- Other: (list below) **Annually maintain a minimum of twenty (20) percent participation rate by elderly/disabled residents in programs of self-sufficiency/supportive services.**

Progress Report:

Current number of working families is one hundred sixty seven (167). Recent industry down-sizing and several major factory closings has resulted in the loss of jobs in the tri-county area. The current unemployment rate for Henderson County is nine (9.0) percent. As a result, the number of working families has decreased by thirteen (13).

The Housing Authority of Henderson provides or sponsors classes in

job/life skills, résumé, introduction to computer, GED, SAT and ACT preparation, Homeownership and credit consumer counseling.

Through the use United Way Venture Grant Funds , the Housing Authority of Henderson, in partnership with the Henderson Community College, sponsored a Certified Nursing Assistant (CNA) course. Sixteen (16) students enrolled in the class at Henderson Community College. Fifteen (15) students successfully completed, passed the test and received certifications. Twelve (12) residents secured employment.

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

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

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

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

Progress Report:

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

ATTACHMENT C
6.2 STATEMENT OF FINANCIAL RESOURCES

Financial Resources: Planned Sources and Uses						
	Project 1 Planned \$	Project 2 Planned \$	HA Wide Planned \$	S8 Planned \$	Total Planned \$	Planned Uses
Sources						
1. Federal Grants (FY 2011 grants)						
a) Public Housing Operating Fund	515,339	336,230			851,965	Operations
b) Public Housing Capital Fund			709,749		709,749	Capital Project
c) HOPE VI Revitalization						
d) HOPE VI Demolition						
e) Annual Contributions for Section 8 Tenant-Based Assistance				2,782,524	2,839,238	Operations
f) Resident Opportunity and Self-Sufficiency Grants						
g) Community Development Block Grant – Neighborhood Stabilization Program			597,871		597,871	Development
h) HOME						
Other Federal Grants (list below)						
2. Prior Year Federal Grants (un-obligated funds only) (list below)						
CFP KY36P012501-09			403,460		403,460	Capital Project
CFP KY36S012501-09			2,798		2,798	Capital Project-ARRA
CFP KY36P012501-10			709,749		709,749	Capital Project
3. Public Housing Dwelling Rental Income	660,020	591,290			1,251,310	Operations
4. Other income (list below)						
a) Excess Utilities	54,410	17,890			72,300	Operations
b) Other	35,080	24,940			60,020	Operations
c) Interest	9,710	6,040			15,750	Operations
5. Non-federal sources (list below)						
a) United Way	8,980				8,980	Operations
Total resources	1,283,539	976,390	2,423,627	2,839,238	7,522,794	

ATTACHMENT D

6.6

Designated Housing for Elderly and Disabled Families

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

ATTACHMENT F

6.12

Asset Management Statement

Portfolio Details

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

Project Breakdown

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

Organizational Structure and Approach to Asset Management

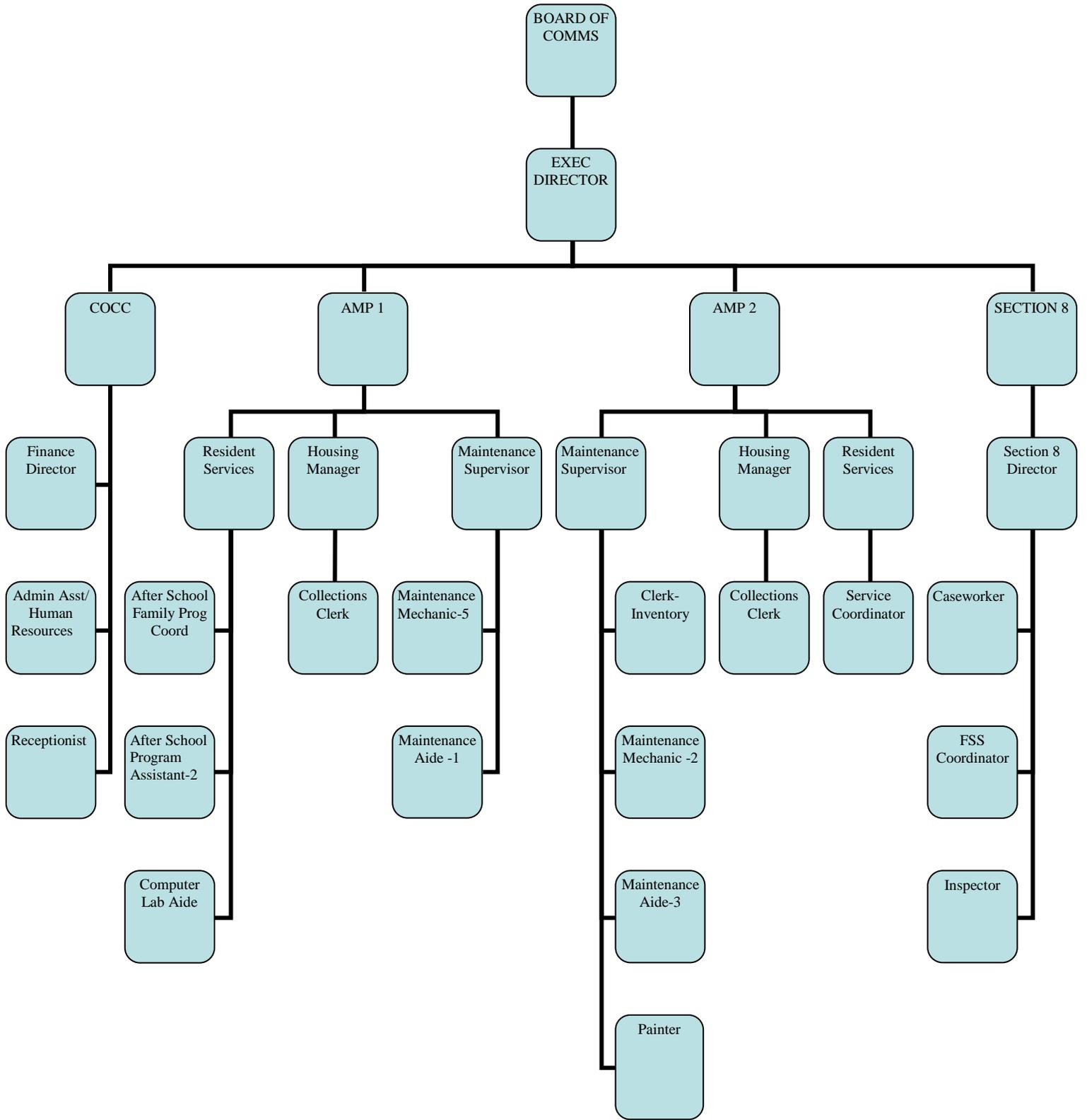
The Housing Authority's organizational structure reflects the multiple programs it administers.

POSITIONS

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

<u>AMP 1</u>	<u>AMP 2</u>
Property Manager	Property Manager
Maintenance Supervisor & MOD Coordinator	Maintenance Supervisor
Collection Clerk	Collection Clerk
	Clerk/Inventory
Maintenance Mechanic -5	Maintenance Mechanic - 2
Maintenance Aide -1	Maintenance Aide -2
	Maintenance Aide (Custodian)
	Painter
Family/Youth Coordinator	Service Coordinator
CAT Program Assistant – 3	
Computer Aide	

<u>SECTION 8</u>
Section 8 Director
Inspector
FSS/Program Assistant
Caseworker



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

The Housing Authority of Henderson's COCC consists of four staff: the Executive Director, Finance Director, Administrative Assistant/Human Resource Director and Receptionist. Each project has a Housing Manager, Collection Clerk, Maintenance Supervisor and supporting Maintenance staff. The Resident Service Department serves both family and elderly/disabled residents at each Project. Specified employees work in the modernization program to construct and perform renovations as outlined in the Capital Fund Annual and Five-Year Plan. The Section 8 Department includes a Director, Case Worker, FSS Coordinator/Case Worker, Inspector/Homeownership counselor. The Housing Authority's conversion to asset management was done in stages to manage the process; train and help staff adjust to the transition. These stages included upgrading computer system to allow for project base accounting and asset management, training staff for new positions, decentralizing of the administrative staff, maintenance department including staff and inventory; centralizing the applications, waitlist and eligibility functions for all programs and developing project base budgets and accounting functions.

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

Project-Based Budgeting and Accounting

In this second year of Asset Management, the Housing Authority continues to charge each project bookkeeping, property and an asset management fee in accordance with HUD regulations as outlined in PIH Notice 2007-9. Thus far, these fees have been sufficient to fund the operating activities of the central office. As of October 1, 2010 the Central Office and both projects are showing a positive cash flow.

The Housing Authority developed its project-based budgets using formats similar to previous FY. The budgets for FY 2010 were developed by taking actual FYE 2009 Low-Rent information, data and current expenditures and breaking it down to individual projects. The budgets were developed by COCC staff with significant involvement in the process by Housing Managers and Maintenance Supervisors.

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

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

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

ATTACHMENT G

6.41 VIOLENCE AGAINST WOMEN ACT (VAWA) POLICY

I. PURPOSE AND APPLICABILITY

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

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

II. GOALS AND OBJECTIVES

This Policy has the following principal goals and objectives:

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

III. Other PHA Policies and Procedures

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

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

IV. DEFINITIONS

As used in this Policy:

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

V. ADMISSIONS AND SCREENING

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

VI. TERMINATION OF TENANCY OR ASSISTANCE

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

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

to other tenants or to those employed at or providing service to the property, if the tenant is not evicted or terminated from assistance.

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

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

VII. VERIFICATION OF DOMESTIC VIOLENCE, DATING VIOLENCE OR STALKING

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

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

- (1) **HUD-approved form** - by providing to PHA or to the requesting Section 8 owner or manager a written certification, on a form approved by the U.S. Department of Housing and Urban Development (HUD), that the individual is a victim of domestic violence, dating violence or stalking that the incident or incidents in question are bona fide incidents of actual or threatened abuse

meeting the requirements of the applicable definition(s) set forth in this policy. The incident or incidents in question must be described in reasonable detail as required in the HUD-approved form, and the completed certification must include the name of the perpetrator. (**Exhibit C – Admin or Appendix II - ACOP**)

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

VIII. CONFIDENTIALITY

- A. Right of confidentiality.** All information (including the fact that an individual is a victim of domestic violence, dating violence or stalking) provided to PHA or to a Section 8 owner or manager in connection with a verification required under section VII of this policy or provided in lieu of such verification where a waiver of verification is granted, shall be retained by the receiving party in confidence

and shall neither be entered in any shared database nor provided to any related entity, except where disclosure is:

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

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

IX. TRANSFER TO NEW RESIDENCE

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

XI. RELATIONSHIPS WITH SERVICE PROVIDERS

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

XII. NOTIFICATION

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

XIII. RELATIONSHIP WITH OTHER APPLICABLE LAWS

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

XIV. AMENDMENT

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

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

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

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

Type of Grant
 Original Annual Statement Reserve for Disasters/Emergencies Revised Annual Statement (revision no: 4)
 Performance and Evaluation Report for Period Ending 9/30/2010 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	103,346	62,146	.00	.00
3	1408 Management Improvements	70,000	70,000	70,000.00	48,481.86
4	1410 Administration (may not exceed 10% of line 21)	72,987	72,987	72,987.00	65.46
5	1411 Audit	2,000	2,000	2,000.00	2,000.00
6	1415 Liquidated Damages				
7	1430 Fees and Costs	12,000	12,000	.00	.00
8	1440 Site Acquisition				
9	1450 Site Improvement	38,610	36,118	32,784.00	29,855.78
10	1460 Dwelling Structures	335,167	343,259	338,592.00	204,146.96
11	1465.1 Dwelling Equipment—Nonexpendable	22,621	59,221	22,621.00	320.00
12	1470 Non-dwelling Structures	32,141	32,141	13,320.00	13,319.75
13	1475 Non-dwelling Equipment	40,000	39,500	39,500.00	29,469.49
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs	1,000	500	.00	.00
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ RHF funds shall be included here.

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

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

Part I: Summary						
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250109 Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant:2009 FFY of Grant Approval:	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no: 3) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 5/31/2010 <input type="checkbox"/> Final Performance and Evaluation Report						
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
18a	1501 Collateralization or Debt Service paid by the PHA					
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment					
19	1502 Contingency (may not exceed 8% of line 20)					
20	Amount of Annual Grant:: (sum of lines 2 - 19)	729,872	729,872	591,804.00	327,659.30	
21	Amount of line 20 Related to LBP Activities					
22	Amount of line 20 Related to Section 504 Activities					
23	Amount of line 20 Related to Security - Soft Costs					
24	Amount of line 20 Related to Security - Hard Costs					
25	Amount of line 20 Related to Energy Conservation Measures	113,736	150,716			
Signature of Executive Director			Date			
Signature of Public Housing Director			Date			

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: : KY36P01250109 CFFP (Yes/ No): No Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
Project KY012000001								
Lawndale	1) Water Heaters - replace	1460	44 units	21,832	14,035	14,035.00	14,035.32	100% complete
	2) Tile Floors - replace	1460	15 units	35,550	33,683	33,683.00	22,084.11	66% complete
	3) Bathroom- remodel	1460	4 units	11,172	17,783	17,783.00	11,182.93	63% complete
	4) Cable-install	1460	10 units	1,500	1,500	1,500.00	627.14	25.3% complete
	5) Transformer/Pole-Replace	1450	1	5,100	7,100	7,100.00	4,677.60	66% complete
	6) Roofs-Replace	1460	11 units	0	0	.00	.00	deleted
	7) Air Conditioners-Replace	1460	95 units	0	0	.00	.00	deleted
	8) Sewer- replace	1450	1	16,760	16,760	16,760.00	16,754.18	100% complete
	9) Bathroom Vanity Replacement	1460	134 units	28,000	35,797	35,797.00	168.97	.1% complete
	Sub-Total			119,914	126,658	126,658.00	69,530.25	55% complete
Dixon	1) Tile Floors - replace	1460	15 units	22,550	11,026	11,026.00	11,026.22	100% complete
	2) Bathrooms-remodel	1460	2 units	4,602	11,213	11,213.00	4,612.35	41% complete
	3) Cable – install	1460	5 units	1,500	1,500	1,500.00	339.76	22.7% complete
	4) Roofs -replace	1460	1	0	0	.00	.00	deleted
	5) Medical Center Roof	1470	1 unit	7,831	7,831	7,831.00	7,831.00	100% complete
	6) Barret HVAC	1470	1	47	47	.00	.00	0% complete
	7) Barret Roof	1470	1	5,489	5,489	5,489.00	5,488.75	100% complete
	8) Barret Carpet/Tile Replacement	1470	1	18,774	18,774	.00	.00	0% complete
	9) Bathroom Vanity Replacement	1460	66 units	13,900	19,010	19,010.00	168.97	.01% complete
	10) Sewer Cleanout	1450	1	0	66	66.00	66.23	100% complete
	11) Refrigerators	1465	66 units		36,600	.00	.00	0% complete
	Sub-Total			74,693	111,556	56,135.00	29,533.28	26% complete

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: : KY36P01250109 CFFP (Yes/ No): No Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
Project KY012000001 cont								
Madison Court	1) Storage Building- install finish board	1460	11 units	4,048	2,587	2,587.00	2,586.54	100% complete
	2) Washer Drains -install	1460	2 units	0	0	.00	.00	deleted
	3) Water Heaters - replace	1460	22 units	12,873	9,327	9,327.00	9,327.34	100% complete
	4) Madison Floor Tile-labor	1460	22 units	0	925	925.00	925.00	100% complete
	5)Prototype –convert ½ bath to full bath	1460	1 unit	0	0	0	0	deleted
	Sub-Total			16,921	12,839	12,839.00	12,838.88	100% complete
	TOTAL Project KY012000001			211,528	251,053	195,632.00	111,902.41	45% complete
Project KY012000002								
Fagan Square	1) Water Heaters - replace	1460	48 units	20,111	20,328	20,328.00	20,328.03	100% complete
	2) Tile Floors - replace	1460	4 units	3,023	3,023	3,023.00	1,225.56	41% complete
	3) Door Jambs replacement- install	1460	44 units	36,112	36,112	36,112.00	34,186.88	95% complete
	4) Tree Removal	1450	2	2,400	2,400	.00	.00	0% complete
	5) Transformer/Pole –replace	1450	1	3,550	5,237	5,237.00	4,736.75	90% complete
	6) 504 Upgrades	1460	1	10,477	10,477	10,477.00	10,476.95	100% complete
	7) Thermostats	1460	8 units	0	320	.00	.00	0% complete
	Sub-Total			75,673	77,897	75,177.00	70,954.17	91% complete
Eighth Street Court	1) Water Heaters - replace	1460	39 units	14,657	14,827	14,827.00	14,827.38	100% complete
	2) Refrigerators - replace	1465	33 units	22,621	22,621	22,621.00	320.00	1.4% complete
	3) Tile Floors - replace	1460	4 units	5,494	3,994	3,994.00	2,450.06	61% complete
	4) Washer Drain - install	1460	2 units	0	0	.00	.00	deleted
	5) Storage Building – install finish board	1460	17 units	6,256	2,863	2,863.00	2,861.73	100% complete
	Sub-Total			49,028	44,305	44,305.00	20,459.17	46% complete

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: KY36P01250109 CFFP (Yes/ No): No Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
HA WIDE								
	1) Operations	1406		103,346	62,146	.00	.00	0% complete
	2) Management Improvements	1408		70,000	70,000	70,000.00	48,481.86	69% complete
	3) Administration	1410		72,987	72,987	72,987.00	65.46	.01% complete
	4) Audit	1411		2,000	2,000	2,000.00	2,000.00	100% complete
	5) A & E	1430		10,000	10,000	.00	.00	0% complete
	6) Fees and Costs	1430		2,000	2,000	.00	.00	0 % complete
	7) Landscaping	1450		4,800	3,100	3,100.00	3,099.96	100% complete
	8) Sidewalks-Replace	1450		5,000	521	521.00	521.06	100% complete
	9) Painting and Restoration	1460		30,000	30,000	30,000.00	10,623.18	35% complete
	10) Equipment	1475		40,000	39,500	39,500.00	29,469.49	75% complete
	11) Relocation	1495.1		1,000	500	.00	.00	0% complete
	12) Carpet	1460		26,000	26,000	26,000.00	12,394.90	48% complete
	Total – HA Wide			367,133	318,754	244,108.00	106,655.91	33% complete

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

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

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

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

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

Type of Grant
 Original Annual Statement Reserve for Disasters/Emergencies Revised Annual Statement (revision no: 3)
 Performance and Evaluation Report for Period Ending: 10/31/2010 Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)	43,705	43,705	43,705.00	43,705.00
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	9,058	9,058	9,058.00	9,058.00
8	1440 Site Acquisition				
9	1450 Site Improvement	80,000	82,798	82,798.00	82,798.09
10	1460 Dwelling Structures	651,772	652,088	652,088.00	652,088.10
11	1465.1 Dwelling Equipment—Nonexpendable	35,785	34,765	34,765.00	34,765.20
12	1470 Non-dwelling Structures	106,533	104,439	104,439.00	104,438.61
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ RHF funds shall be included here.

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

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

Part I: Summary						
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36S01250109 Replacement Housing Factor Grant No: Date of CFFP: 3/18/09			FFY of Grant:2009 FFY of Grant Approval: 2009	
Type of Grant						
<input type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input checked="" type="checkbox"/> Revised Annual Statement (revision no: 3)		
<input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 9/30/2010			<input type="checkbox"/> Final Performance and Evaluation Report			
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
18a	1501 Collateralization or Debt Service paid by the PHA					
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment					
19	1502 Contingency (may not exceed 8% of line 20)					
20	Amount of Annual Grant:: (sum of lines 2 - 19)	926,853	926,853	926,853.00	926,853.00	
21	Amount of line 20 Related to LBP Activities					
22	Amount of line 20 Related to Section 504 Activities					
23	Amount of line 20 Related to Security - Soft Costs					
24	Amount of line 20 Related to Security - Hard Costs					
25	Amount of line 20 Related to Energy Conservation Measures	337,244	254,984			
Signature of Executive Director		Date 11/10/2010		Signature of Public Housing Director		
				Date		

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: KY36S01250109 CFFP (Yes/ No): No - ARRA Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
PROJECT 1 KY012000001								
Lawndale Apts.	1) Roofs - Replace	1460	11 bldgs	.00	.00	.00	.00	
	2) Air Conditioners - Replace	1460	95 units	119,519	119,519	119,519.00	119,518.69	100% comp
	3) Sewer Line -Replace/Rework 8/9/10 buildings	1450	3 bldgs	20,000	20,000	20,000.00	20,000.03	100% comp
	4) Faucets- Replace	1460	134 units	9,130	9,130	9,130.00	9,130.53	100% comp
	SUBTOTAL			148,649	148,649	148,649.00	148,649.25	100% comp
	1) Roofs - Replace	1460	18 bldgs	289,467	289,467	289,467.00	289,467.47	100% comp
Dixon Apts.	2) Air Conditioners - Replace	1460	45 units	86,782	86,782	86,782.00	86,781.91	100% comp
	3) Faucets - Replace	1460	66 units	4,454	4,454	4,454.00	4,454.03	100% comp
	4) Barret HVAC	1470	21 units	103,573	101,479	101,479.00	101,478.61	100% comp
	SUBTOTAL			484,276	482,182	482,182.00	482,182.02	100% comp
Madison Court	1) Faucets - Replace	1460	22 units	1,485	1,485	1,485.00	1,484.68	100% comp
	SUBTOTAL			1,485	1,485	1,485.00	1,484.68	100% comp
Scattered Sites -3 Houses	1) Faucets - Replace	1460	3 units	202	202	202.00	202.45	100% comp
	SUBTOTAL			202	202	202.00	202.45	100% comp
	TOTAL PROJECT 1			634,612	632,518	632,518.00	632,518.40	100% comp

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

² To be completed for the Performance and Evaluation Report.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: KY36S01250109 CFFP (Yes/ No): No -ARRA Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
PROJECT 2 KY 012000002								
840 North Adams St.	1) Roof -replace and fascia/gutter/downspout-repair	1460	10 bldgs	127,160	127,476	127,476.00	127,476.32	100% comp
	2) 840 Hall Generator	1470	1	2,960	2,960	2,960.00	2,960.00	100% comp
	3) Faucets - Replace	1460	100 units	6,419	6,419	6,419.00	6,418.62	100% comp
	SUBTOTAL			136,539	136,855	136,855.00	136,854.94	100% comp
Dixon & Ingram	1) Sewer Line - Replace	1450	2 bldgs	15,000	17,798	17,798.00	17,798.06	100% comp
	2) Faucets - Replace	1460	10 units	675	675	675.00	674.85	100% comp
	3) Ranges – Replace	1465	10 units	3,818	5,509	5,509.00	5509.50	100% comp
	SUBTOTAL			19,493	23,982	23,982.00	23,982.41	100% comp
North Adams St.	1) Faucets - Replace	1460	10 units	675	675	675.00	674.84	100% comp
	SUBTOTAL			675	675	675.00	674.84	100% comp
Eighth St. Court	1)Faucets - Replace	1460	39 units	2,632	2,632	2,632.00	2,631.92	100% comp
	2) Ranges - Replace	1465	56 units	14,400	14,400	14,400.00	14,400.00	100% comp
	SUBTOTAL			17,032	17,032	17,032.00	17,031.92	100% comp

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

² To be completed for the Performance and Evaluation Report.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: KY36S01250109 CFFP (Yes/ No): No -ARRA Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
PROJECT 2 KY 012000002								
Fagan Square	1) Faucets - Replace	1460	47 units	3,172	3,172	3,172.00	3,171.79	100% comp
	2) Sewer Lines – Replace	1450	1	45,000	45,000	45,000.00	45,000.00	100% comp
	3) Ranges - Replace	1465	46 units	17,567	14,856	14,856.00	14,855.70	100% comp
	SUBTOTAL			65,739	63,028	63,028.00	63,027.49	100% comp
	TOTAL PROJECT 2			239,478	241,572	241,572.00	241,571.60	100% comp
	TOTALS			926,853	926,853	926,853.00	926,853.00	100% comp

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

Type of Grant
 Original Annual Statement Reserve for Disasters/Emergencies Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: 09/30/2010 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	144,600			
3	1408 Management Improvements	49,000			
4	1410 Administration (may not exceed 10% of line 21)	72,303			
5	1411 Audit	2,000			
6	1415 Liquidated Damages				
7	1430 Fees and Costs	5,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	10,000			
10	1460 Dwelling Structures	413,911		323,780.00	13,282.68
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment	25,218			
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs	1,000			
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ RHF funds shall be included here.

Part I: Summary						
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250110 Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant:2010 FFY of Grant Approval:	
Type of Grant						
<input checked="" type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no:)		
<input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Final Performance and Evaluation Report				
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
18a	1501 Collateralization or Debt Service paid by the PHA					
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment					
19	1502 Contingency (may not exceed 8% of line 20)					
20	Amount of Annual Grant:: (sum of lines 2 - 19)	723,032		323,780.00	13,282.68	
21	Amount of line 20 Related to LBP Activities					
22	Amount of line 20 Related to Section 504 Activities					
23	Amount of line 20 Related to Security - Soft Costs					
24	Amount of line 20 Related to Security - Hard Costs					
25	Amount of line 20 Related to Energy Conservation Measures					
Signature of Executive Director			Signature of Public Housing Director			
Date			Date			

¹ To be completed for the Performance and Evaluation Report.

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

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⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: KY36P01250110 CFFP (Yes/ No): Replacement Housing Factor Grant No:			Federal FFY of Grant: 2010		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
Project KY012000001								
Lawndale	1) Roofs-Replace	1460	32 bldgs	323,780		323,780.00	13,282.68	4% complete
	2) Tile Floors-Replace	1460	3 units	10,500				
	Subtotal			334,280				
Dixon	1)Tile Floors- Replace	1460	3 units	10,500				
	Subtotal			10,500				
	Total Project KY012000001			344,780				
Project KY012000002	1)Tile Floors- Replace	1460	1 unit	3,100				
Fagan Square	Subtotal			3,100				

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:				Federal FFY of Grant:	
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	
KY012000001	09/14/12		09/14/14		
KY012000002	09/14/12		09/14/14		
PHA WIDE	09/14/12		09/14/14		

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

Part I: Summary		
PHA Name: Housing Authority of Henderson	Grant Type and Number Capital Fund Program Grant No: KY36P01250111 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant: 2011 FFY of Grant Approval:

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

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	144,606			
3	1408 Management Improvements	57,511			
4	1410 Administration (may not exceed 10% of line 21)	72,303			
5	1411 Audit	3,000			
6	1415 Liquidated Damages				
7	1430 Fees and Costs	10,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	15,000			
10	1460 Dwelling Structures	274,510			
11	1465.1 Dwelling Equipment—Nonexpendable	104,800			
12	1470 Non-dwelling Structures	10,000			
13	1475 Non-dwelling Equipment	30,302			
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs	1,000			
17	1499 Development Activities ⁴				

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ RHF funds shall be included here.

Part I: Summary						
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250111 Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant:2011 FFY of Grant Approval:	
Type of Grant						
<input checked="" type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no:)		
<input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Final Performance and Evaluation Report				
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
18a	1501 Collateralization or Debt Service paid by the PHA					
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment					
19	1502 Contingency (may not exceed 8% of line 20)					
20	Amount of Annual Grant:: (sum of lines 2 - 19)	723,032				
21	Amount of line 20 Related to LBP Activities					
22	Amount of line 20 Related to Section 504 Activities					
23	Amount of line 20 Related to Security - Soft Costs					
24	Amount of line 20 Related to Security - Hard Costs					
25	Amount of line 20 Related to Energy Conservation Measures	174,600				
Signature of Executive Director			Signature of Public Housing Director			
Date			Date			

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250111 CFFP (Yes/ No): Replacement Housing Factor Grant No:			Federal FFY of Grant: 2011			
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
Project KY012000001								
Lawndale	Refrigerators	1465	134 units	73,700				
	Cable-install	1460	3units	1,500				
	Bathroom-remodel	1460	20 units	44,000				
	Tile Floors-replace	1460	10 units	10,000				
	Electric receptacles-replace	1460	20 units	4,000				
	Metal storage building upgrade	1470	134 units	6,500				
	Mailboxes-replace	1460	134 units	6,700				
	Porch lights-replace	1460	134 units	10,050				
	Subtotal			156,450				
Dixon	Tile Floors-replace	1460	10 units	10,000				
	Cable-install	1460	5 units	2,500				
	Bathroom-remodel	1460	10 units	22,000				
	Electric receptacles-replace	1460	20 units	4,000				
	Metal storage building upgrade	1470	66 units	3,500				
	Mailboxes-replace	1460	66 units	3,300				
	Porch lights-replace	1460	66 units	4,950				
	Subtotal			50,250				

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

² To be completed for the Performance and Evaluation Report.

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250111 CFFP (Yes/ No): Replacement Housing Factor Grant No:			Federal FFY of Grant: 2011			
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	
Madison	Mailboxes-replace	1460	22 units	1,100				
	Porch lights-replace	1460	22 units	1,650				
	Subtotal			2,750				
	Total Project KY012000001			209,450				
Project KY012000002								
Fagan	Shut off valves-0 BR-replace	1460	5 units	5,000				
	Refrigerators-replace	1465	47 units	23,500				
	Tile Floors-replace	1460	3 units	3,600				
	Porch Lights-replace	1460	50 units	2,000				
	Air Conditioner -replace	1460	4 units	2,400				
	Subtotal			36,500				
Dixon & Ingram	Shut off valves-0 BR-replace	1460	3 units	3,000				
	Porch Lights-replace	1460	10 units	400				
	Air Conditioner-replace	1460	3 units	1,800				
	Subtotal			5,200				

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

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson		Grant Type and Number Capital Fund Program Grant No: KY36P01250111 CFFP (Yes/ No): Replacement Housing Factor Grant No:			Federal FFY of Grant: 2011			
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	
740/750 North Adams	Shut off valves-replace	1460	2 units	2,000				
	Refrigerators-replace	1465	10 units	5,000				
	Porch Lights	1460	10 units	400				
	Air Conditioner Units-replace	1460	3 units	1,800				
	Subtotal			9,200				
840 North Adams	Baseboard-replace	1460		900				
	Front Storm Doors	1460	104 units	52,000				
	Electric Panel-upgrade	1460	10 units	5,000				
	Porch Lights	1460	100 units	4,000				
	Air Conditioner Units-replace	1460	3 units	1,800				
	Subtotal			63,700				
8th Street	Ranges - replace	1465	8 units	2,600				
	Porch Lights	1460	44 units	1,760				
	Subtotal			4,360				
	Total Project KY012000002			118,960				

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

Part II: Supporting Pages								
PHA Name: Housing Authority of Henderson			Grant Type and Number Capital Fund Program Grant No: KY36P01250111 CFFP (Yes/ No): Replacement Housing Factor Grant No:			Federal FFY of Grant: 2011		
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	
PHA WIDE								
	Operations	1406		144,606				
	Management Improvements	1408		57,511				
	Administration	1410		72,303				
	Audit	1411		3,000				
	Fees and costs	1430		10,000				
	Landscape-install/Tree Removal	1450		10,000				
	Sidewalk-replace	1450		5,000				
	Painting/Restoration	1460		31,000				
	Carpet	1460		27,900				
	Termite Repair/Control	1460		2,000				
	Non-Dwelling Equipment	1475		30,302				
	Relocation	1495.1		1,000				
	Total PHA WIDE			394,622				

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: Housing Authority of Henderson				Federal FFY of Grant: 2011	
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	
KY012000001	09/14/13		09/14/15		
KY012000002	09/14/13		09/14/15		
PHA WIDE	09/14/13		09/14/15		

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.

Capital Fund Program—Five-Year Action Plan

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

Part I: Summary						
PHA Name/Number		Locality (City/County & State)			<input type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:	
A.	Development Number and Name	Work Statement for Year 1 FFY <u>2011</u>	Work Statement for Year 2 FFY <u>2012</u>	Work Statement for Year 3 FFY <u>2013</u>	Work Statement for Year 4 FFY <u>2014</u>	Work Statement for Year 5 FFY <u>2015</u>
B.	Physical Improvements Subtotal	Annual Statement	406,123	401,123	393,123	379,100
C.	Management Improvements		70,000	70,000	70,000	72,303
D.	PHA-Wide Non-dwelling Structures and Equipment		30,000	35,000	43,000	30,000
E.	Administration		72,303	72,303	72,303	72,303
F.	Other					
G.	Operations		144,606	144,606	144,606	144,606
H.	Demolition					
I.	Development					24,720
J.	Capital Fund Financing – Debt Service					
K.	Total CFP Funds		723,032	723,032	723,032	723,032
L.	Total Non-CFP Funds					
M.	Grand Total					

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2011	Work Statement for Year <u>2012</u> FFY _____			Work Statement for Year: <u>2013</u> FFY _____		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	ProjectKY012000001			ProjectKY012000001		
Annual Statement	Lawndale			Lawndale		
	Bathroom-remodel	10 units	22,000	Bathroom- remodel	20 units	44,000
	Tile Floors-replace	10 units	10,000	Tile Floors- replace	10 units	10,000
	Lawndale Hall Siding-replace	1 unit	9,673	Walls/Ceilings-resurface	10 units	15,000
	Subtotal		41,673	Ranges – replace	134 units	87,100
				Subtotal		156,100
	Dixon					
	Bathroom-remodel	10 units	22,000	Dixon		
	Tile Floors – replace	10units	10,000	Bathroom Remodel	10 units	22,000
	Sewer Lines-replace	3 buildings	25,000	Tile Floors- replace	5 units	5,000
	Refrigerators-replace	66 units	36,300	Walls/Ceilings-resurface	5 units	7,500
	Subtotal		93,300	Ranges – replace	66 units	42,900
				Subtotal		77,400
	Madison					
	Metal Roof –restoration	13 buildings	8,000			
	Entry Doors-Front and Back- replace	22 units	14,300			
	Chain Link Fence-replace	1	10,000			
	Tile Floors-replace	2 units	4,400			
	Subtotal		36,700			
	ProjectKY012000001		\$171,673	ProjectKY012000001		\$233,500
	Subtotal of Estimated Cost			Subtotal of Estimated Cost		

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2011	Work Statement for Year <u>2012</u> FFY _____			Work Statement for Year: <u>2013</u> FFY _____		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	Project KY012000002			Project KY012000001		
Annual	Fagan			840 North Adams		
Statement	Tile Floors- replace	3 units	3,600	Electrical Panel-upgrade	10 units	2,000
	Sewer Lines – replace	4 buildings	58,000	Kitchen Cabinets	50 units	84,000
	0 Bedroom – remodel	2 units	20,000	Supply Shutoffs-install	50	5,323
	Mailboxes – replace	47 units	2,350	Subtotal		91,323
	Subtotal		83,950			
	Dixon and Ingram					
	0 Bedroom Remodel	2 units	20,000			
	Mailboxes – replace	10 units	500			
	Tile Floors – replace	1 unit	2,200			
	Subtotal		22,700			
	740/750 North Adams					
	0 Bedroom- remodel	2 units	20,000			
	Mailboxes- replace	10 units	500			
	Tile Floors – replace	1 unit	2,200			
	Subtotal		22,700			

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2011	Work Statement for Year 2014 FFY _____			Work Statement for Year: 2015 FFY _____		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	ProjectKY012000001			ProjectKY012000001		
Annual Statement	Lawndale			Lawndale		
	Bathroom – remodel	20 units	44,000	Storm Doors-front and back - replace	134 units	87,100
	Tile Floors-replace	10 units	10,000	Wall/ceiling- resurface	5 units	7,500
	Water Meters-replace	134 units	23,450	Tile Floors-replace	5 units	5,000
	Subtotal		77,450	Subtotal		99,600
	Dixon			Dixon		
	Bathroom- remodel	10 units	22,000	Storm Doors- front and back –replace	66 units	42,900
	Tile Floors-replace	5 units	5,000	Wall/ceiling-resurface	5 units	7,500
	Water Meters- replace	66 units	11,550	Tile Floors-replace	5 units	5,000
	Subtotal		38,550	Subtotal		55,400
	Madison			Madison		
	Storm Doors-Back & Front	22 units	25,000	Tile Floors –replace	2 units	2,000
	Water Meters- replace	22 units	3,850	Subtotal		2,000
	Subtotal		28,850			
	3 Houses- Water meters replace	3 units	525.00			
	Subtotal		525.00			
	ProjectKY012000001 Subtotal of Estimated Cost		\$145,375	ProjectKY012000001 Subtotal of Estimated Cost		\$157,000

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2011	Work Statement for Year 2014 FFY _____			Work Statement for Year: 2015 FFY _____		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	ProjectKY012000002			ProjectKY012000002		
Annual Statement	Fagan			Fagan		
	Tile Floors–replace	3 units	3,000	Tile Floors - replace	1 unit	1,000
	Water Meters-replace	47 units	8,225	Subtotal		1,000
	Subtotal		11,225			
				Dixon and Ingram		
	Dixon and Ingram			Tile Floors – replace	1 unit	1,000
	Tile Floors-replace	2 units	2,000	Subtotal		1,000
	Water Meters-Replace	10 units	1,750			
	Subtotal		3,750	740/750 North Adams		
				Tile Floors - replace	1 unit	1,000
	740/750 North Adams			Subtotal		1,000
	Tile Floors-replace	1 units	1,000			
	Water Meters-replace	8 units	1,400	Eighth Street		
	Subtotal		2,400	Tile Floors-replace	2 units	2,000
				Convert 8 th St. Hall to a 1 BR 504unit	1 unit	50,000
	Eighth St			Subtotal		52,000
	Entry Doors-Front and Back-replace	45 units	37,000			
	Water Meters- replace	41 units	7,175			
	Subtotal		44,175			

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2011	Work Statement for Year 2014 FFY _____			Work Statement for Year: 2015 FFY _____		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	840 North Adams			840 North Adams		
Annual	Kitchen Cabinets-replace	49 units	82,320	Electrical Panel-upgrade	10 units	2,000
Statement	Electrical Panel-upgrade	10 units	2,000	Doors- Entry-replace	104 units	67,600
	Supply Shutoffs	49 units	5,200	Elevator Upgrade		10,000
	Water Meters	25 units	4,375	Subtotal		79,600
	Street-resurface		21,903			
	Subtotal		115,798			
	Project KY012000002 Subtotal of Estimated Cost		\$177,348	Project KY012000002 Subtotal of Estimated Cost		\$134,600
	PHA WIDE			PHA WIDE		
	Landscape/Tree Removal		5,000	Landscape/Tree Removal		5,000
	Sidewalk – replace		5,000	Sidewalk – replace		5,000
	Painting/restoration		32,000	Painting/restoration		32,000
	Carpet		26,400	Carpet		26,000
	Termite Control/repair		2,000	Termite Control/repair		2,000
	PHA WIDE Subtotal of Estimated Cost		70,400	PHA WIDE Subtotal of Estimated Cost		\$70,000

**Certification for
a Drug-Free Workplace**

U.S. Department of Housing
and Urban Development

Instructions

1. Housing Authority of _____
 2. _____

1. Housing Authority of _____ (Project Name/Program)

Being a holder of the Contract Application for a Federal Fiscal Year, the following restrictions and agreements to the Department of Housing and Urban Development (HUD) regarding the above project are:

I hereby certify that my Agency will comply with the following conditions:

a. Providing a safe and healthy workplace for the contractor, manufacturer, distributor, wholesaler, or other person or entity who is engaged in the distribution of controlled substances prohibited in the Department's workplace and identifying the person(s) who will be taken against such persons in violation of such prohibitions.

b. Establishing or adopting drug-free workplace programs to include:

- (1) The range of drug abuse in the workplace;
- (2) The Agency's policy of non-tolerance of workplace drug abuse;

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

(4) The inclusion of any other persons or employees for drug abuse violations occurring in the workplace.

c. Making a written statement on file in the project in the possession of the grant recipient of the state or territory required by paragraph 1c.

d. Notifying the employee in the statement required by paragraph 1c of his or her condition of employment under the grant, the consequences of

(1) failure to be true to the terms of the statement; and

(2) not following the provisions of the other conditions set forth in the contract, drug abuse program, or in the workplace rules and policies and the other such conditions.

e. In notifying the Agency in writing, without delay, in writing of a conviction under Federal, State, or local laws for the possession, use, distribution, or manufacture of controlled substances by any grant recipient or other designated individual, the grant recipient or other designated individual, if the individual was working under a Federal grant, has submitted a written notice of such conviction to the grant recipient.

f. Keeping on file the following records, which will include days of working time under paragraph 1c(2), with respect to any suspension or other such action:

(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; and

(2) Retaining such employee in particular situations in a drug abuse program or similar drug abuse program approved for each project by the Secretary, or such other person authorized or otherwise appropriate agency;

g. Keeping on file all other information concerning a drug-free workplace through implementation of paragraph 1c.

2. Sites for Work Performance: The Agency will file an annual report on the performance of the contractor, manufacturer, distributor, wholesaler, or other person or entity who is engaged in the distribution of controlled substances prohibited in the Department's workplace and identifying the person(s) who will be taken against such persons in violation of such prohibitions.

3. Signature: This document is required to be signed by the contractor, manufacturer, distributor, wholesaler, or other person or entity who is engaged in the distribution of controlled substances prohibited in the Department's workplace and identifying the person(s) who will be taken against such persons in violation of such prohibitions.

This document is required to be signed by the contractor, manufacturer, distributor, wholesaler, or other person or entity who is engaged in the distribution of controlled substances prohibited in the Department's workplace and identifying the person(s) who will be taken against such persons in violation of such prohibitions.

4. Signature: _____
 5. Signature: _____
 6. Signature: _____
 7. Signature: _____

**Certification of Payments
to Influence Federal Transactions**

U.S. Department of Housing
and Urban Development
Official Business - Penalties for
Unauthorized Copying or
Reproduction are Prescribed by
Law

Contract Name:

Financial Authority of the American

Procurement Contracting Terms and Conditions

Contract Number: 4000000000

This individual certifies to the best of his or her knowledge and belief, that:

(1) No Federal acquisition funds have been paid or will be paid, by or on behalf of the undersigned, to any person for any services being performed by or on behalf of or on the part of any individual of the press, an officer or employee of the press, or a company of the Member of the press in connection with the rendering of any Federal contract, the making of any Federal loan, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, modification, renewal, amendment, or modification of any Federal contract, loan, lease, or cooperative agreement.

(2) Funds have not been paid or will be paid to any person for influencing or attempting to influence in any way any officer or employee of any Member of the press, an officer or employee of any person in place of a Member of the press, or any individual in the Federal contract, loan, lease, or cooperative agreement, the undersigned shall certify to the Federal Acquisition Regulation Reporting Requirements of this contract.

(3) The undersigned shall not, for the full page of this contract, be included in the contract documents, including all subcontracts or all orders, including subcontracts, proposals, and contracts, or in any press releases, and newspaper advertisements, and other publications that identify and disclose, respectively:

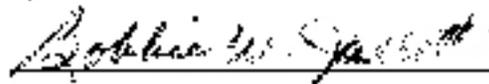
The name of the undersigned in connection with the contract, which information may be used to identify the undersigned in any future public relations or other activities, or in any way, including entering into this transaction imposed by Section 1058, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$1,000 and not more than \$10,000 for each such failure.

I hereby certify that all the information on this form is true and correct to the best of my knowledge and belief, and that I am not a member of the press.
Warning: If a false statement is made on this form, it may constitute a criminal offense under Federal law.
40 CFR 101-11.6 (10/27/04) (40 CFR 101-11.6)

Contracting Officer:

Richard W. Thompson

Signature:



Executive Director:

Richard W. Thompson

10-10-2010

DISCLOSURE OF LOBBYING ACTIVITIES

Complete if the recipient is a lobbying activity pursuant to 21 U.S.C. 1052

Approved by OMB
0347-004

Registration for publication is for use only

1. Type of Federal Action: a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. lease/leasehold	2. Status of Federal Action: a. initial application b. initial award c. performance	3. Report Type: a. final report b. interim report c. other
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Private <input type="checkbox"/> Government Title _____ of _____ Address: _____ _____ _____ _____		5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: _____ _____ _____
6. Federal Department/Agency: U.S. Department of Health and Human Services	7. Federal Program Name/Description: OIG Number, if applicable: 14-007	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, etc.):	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, etc.)	
11. (Instructions follow on the back of this form.)	Signature: <u>Robert W. Finkbeiner</u> Print Name: <u>Robert W. Finkbeiner</u> Title: <u>Executive Director</u> (Indicate No. 270 271 274 275 276 277 278 279)	

Facsimile Use Only	National Center for Human Resources Development 10-18-83
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ATTACHMENT Q

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

Date: **October 18, 2010 10:00 A.M.**
 Location: Boswell Conference Room—111 South Adams Street
 Present: Board: President-Betty Wilson; Vice-President-Barbara Pruitt; Becky Harris-Treasurer;
 Nannie Keene-Member at Large; Members- Lillie Hinton, Wanda Hawkins, Mary Barrett, and Flora Householder - Section 8 Member (see attached sign-in sheet)
 Staff: Bobbie Jarrett, Executive Director; Tina Belcher, Administrative Assistant

Ms. Jarrett reviewed with the Board the revised sections of the Public Housing Agency Plans, namely PHA Plans Template; FFY **2011** Capital Fund Program Annual Statement; FFY **2009**, FFY **2009 American Recovery Act**, and FFY **2010**, Performance and Evaluation Report; and Capital Fund Program Five-Year Action Plan and Project Based Accounting (AMPs)

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

<i>Page # and Item</i>	<i>Comment from Board Member</i>	<i>HA Response</i>
	PROJECT KY012000001 - Resident asked about bedbugs.	Executive Director responded that the HA of Henderson does not have any cases of bedbugs but should it happen, the HA would fully professionally exterminate.
	PROJECT KY012000001 - Resident said slugs are getting into her house.	Executive Director said she would look into the matter immediately.
	PROJECT KY012000001 - Resident said that the pipe below her water shut off in the utility room is wet and rusty.	Executive Director stated that she would address the matter with a maintenance supervisor immediately. Repairing the issue will require a water shut off for the building.
	PROJECT KY 012000002 -Residents asked about the handicap accessible units and what amenities they have	Executive Director fully explained all of the amenities of the handicap accessible and handicap adaptable apartments.
	PROJECT KY012000002 – Residents expressed gratitude for the new front and back doors.	Executive Director said the new doors should be safer than the old doors and was glad that they liked them.
	PROJECT KY012000002 – Resident asked if Dixon and Ingram were going to get refrigerators.	Executive Director responded that the refrigerators there are fairly new and in good shape. They are not in the plan at this time.

<i>Page # and Item</i>	<i>Comment from Board Member</i>	<i>HA Response</i>
	PROJECT KY012000002 – Resident asked if one bedrooms on Eighth St. Ct. could have an electric range?	Executive Director responded that the one bedroom apartments at Eighth St. Ct. have to have gas ranges because of the electrical panel configuration.
	PROJECT KY012000002 -Residents asked which sidewalks are to be replaced? Dixon and Ingram stated that they have a bad one by the parking area.	Executive Director responded that only the bad sidewalks that have issues are being replaced. She also stated that she would look into the matter tomorrow.
	PROJECT KY012000002 - Dixon and Ingram parking area needs curbs to keep cars from parking in the grass	Executive Director stated that she will look into purchasing curbs and lining the parking areas.
	PROJECT KY012000002 – Residents again thanked the Executive Director the work done on the sewers at Dixon and Ingram and Fagan. One resident commented that she still had a little trouble in her apartment with water problems.	Executive Director responded that she is glad that the problem is now basically resolved with the sewers at these locations. She will look into the one apartment that is having some issues.
	PROJECT KY012000002 – Resident wanted to know if Fagan Hall could have a generator.	Executive Director stated that this hall will not hold very many people so a generator is probably not a good idea.
Template, 5 Year Plan		
Template, Annual 2010 Streamline Plan		
Capital Fund Program Table		
Misc.		Executive Director stated that 840 hall has gotten a new television and Fagan hall will be getting one soon.

**COMMENTS OF PUBLIC HEARING FOR
PUBLIC HOUSING AGENCY PLAN 2010**

Date: **December 17, 2010 @ 10:30 a.m.**
 Location: Boswell Conference Room—111 South Adams Street
 Present: Board: Betty Wilson-Chairperson; Barbara Pruitt-Vice-Chairperson; Lillie Hinton- Secretary, Nannie Keene, Member at Large; Members: Wanda Hawkins, Mary Barret, and Flora Householder –Section 8 member
 Board of Commissioners: Hallie Folz, Chairperson; Thomas Platt, Holly Vincent, Keith Utley, attorney, Mayor Thomas Davis
 Staff: Bobbie Jarrett, Executive Director; Tina Belcher, Administrative Assistant

Ms. Jarrett reviewed with the Board the revised sections of the Public Housing Agency Plans, namely PHA Plans Template; FFY **2011** Capital Fund Program Annual Statement; FFY **2009**, FFY **2009 American Recovery Act**, and FFY **2010**, Performance and Evaluation Report; and Capital Fund Program Five-Year Action Plan and Project Based Accounting (AMPs). The actual Agency Plan has been previously reviewed by all present during Board of Commissioners Meeting and RAB Board Meeting and nothing has been updated in regard to it except for closeout of ARRA funds.

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

<i>Page # and Item</i>	<i>Comment from Board Member</i>	<i>HA Response</i>
Goals page 2	The mayor asked that the section for 840 North Adams St. possible demolition be deleted due to renovations taking place.	Executive Director, Ms. Jarrett, responded that HUD engineers stated that the buildings were structurally sound so the section regarding 840 North Adams St. demolition will be removed from the plan goals and objectives.
Capital Fund Tables	The residents again expressed gratitude for the heavy safety doors installed.	Executive Director said she is glad that they like them and hoped the safety factor made them feel more secure.
Capital Fund Tables	The residents expressed satisfaction that new thermostats are going to be installed.	Executive Director stated that she hoped it would make the heating/cooling better and easier for residents.
Capital Fund Tables	Mayor asked about refrigerator recycling	Executive Director responded that the HA sells the old refrigerators as-is at a nominal fee to the public or donate to Habitat Restore.
Misc.	Resident would like rose bushes but back at Dixon and Ingram .	Executive Director responded that she would have that done in the spring.
Misc.		Overall residents very happy with the Housing Authority.

After comments from the Board of Commissioners and the RAB members, an amendment was made to the Agency Plan Goals and Objectives regarding demolition of 840 North Adams. This item was deleted along with vouchers for those displaced by demolition and replacement of demolished units. After discussion a motion to accept the plan as amended was made by Commissioner Holly Vincent and seconded by Commissioner Thomas Platt.

Attachment R

BOARD OF COMMISSIONERS

	<u>Original Appointment</u>	<u>Term Expires</u>
Ms. Hallie M. Folz (R) 842 Cherokee Rd. Henderson, KY 42420	5/8/90	9/30/2012
Mr. Luther Duncan, Jr. (D) 2348 Cobblestone Henderson, KY 42420	2/12/80	9/30/2011
Mr. Thomas Platt (D) 400 S. Ingram Street Henderson, KY 42420	11/24/92	9/30/2014
Mrs. Holly Vincent 1132 Deer Lane Henderson, KY 42420	08/28/07	9/30/2013
The Honorable Thomas Davis Mayor of Henderson 31 North Green Street Henderson, Ky 42420	01/01/2006	01/01/2011
Mayor Tom Davis City of Henderson PO Box 716 Henderson, KY 42420		
Ms. Willie Ballard Chairperson, Resident Advisory Bd.	8/31/2005	9/30/2012
The Hon. Keith Utley, Housing Authority Attorney 304 First Street Henderson, KY 42420		

RESIDENT ADVISORY BOARD

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

STATUTORY WORKSHEET

(H. 24-Reg) IX Factor worksheet Form (Revised December 2003) - use only as a guide to complete this worksheet only for projects that are Categorically Excluded (per 24 CFR Part 101.60001.6.1(a)). (Note: Compliance with the applicable statutes (per 24 CFR §48.5) must also be demonstrated.)

24 CFR §50.5 STATUTES, EXECUTIVE ORDERS & REGULATIONS

PROJECT NAME and DESCRIPTION: (Indicate the completed actions that apply to either geographically or functionally part of the project)

This proposal is determined to be categorically excluded according to Title 24 CFR:

DIRECTIONS: Write "A" in the Status Column with the analysis by its scope and nature does not affect the resources under consideration. Write "B" if more complex legal or other compliance consultation procedures with the relevant agency or agencies might be (see Statutory Worksheet Instructions). Compliance documentation must be maintained throughout the project.

Compliance Factors:

Statutes, Executive Orders, and Regulations (per 24 CFR §48.5)	Status A/B	Compliance Description & Documentation
Historic Preservation (36 CFR Part 800)	A	Kentucky Heritage Council
Floodplain Management (24 CFR 55 Executive Order 11988)	A	Floodplain Management Section KY DEREP
Wetland Protection (Executive Order 11934)	A	City of Henderson, Field Observation
Special Zone Management Act (Sections 307(a), (d))	A	City of Henderson, Field Observation
Nest House Aquifers (40 CFR 148)	A	City of Henderson, Field Observation
Fracturing Springs Act (40 CFR 405)	A	City of Henderson, Field Observation
Wild and Scenic Rivers Act (Sections 107 and 109)	A	City of Henderson, Field Observation
Clean Air Act - (Sections 176(a), (d), and 40 CFR 51.103)	A	Airborn Air Quality Report

V-A8-1

Furniture Protection Policy Act (7 CFR 558)	A	City of Henderson, Field Observation
Environmental Justice (Executive Order 12898)	A	City of Henderson, Field Observation
HUD ENVIRONMENTAL STANDARDS Noise Abatement and Control (24 CFR 517)	A	City of Henderson, Field Observation
Explosive and Flammable Operations (24 CFR 510)	A	City of Henderson, Field Observation
Hazardous, Toxic or Residually Metals & Substances (24 CFR 58.00(2))	A	City of Henderson, Field Observation
Airport Clear Zones and Airport Potential Zones (24 CFR 510)	A	City of Henderson, Field Observation

DETERMINATION:

- () This project conforms to EXEMPT, per Section 58.31(a)(2), because it does not require any mitigation for compliance with any listed statutes or authorities, nor requires any formal permit or license (Status "A" has been determined in the status column for all authorities). Funds may be committed and drawn down for this (now) EXEMPT project OR
- () This project cannot conform to Exempt status because one or more statutes or authorities require formal consultation or mitigation. Complete consultation/mitigation protocol requirements, publish NOIRROF and obtain Authority to Use Grant Funds (HJD 7015.18) per Section 58.70 and 58.71 before committing or drawing down funds. OR
- () The unusual circumstances of this project may result in a significant environmental impact. This project requires preparation of an Environmental Assessment (EA). Prepare the EA according to 24 CFR Part 58 Subpart E.

PREPARED SIGNATURE _____

DATE _____

PREPARED NAME (COMPANY) _____

RESPONSIBLE ENTITY AGENCY OFFICIAL SIGNATURE _____

NAME TITLE John C. Smith, Code Administrator

DATE 11/24/10

V-A8-2

**Request for Release of Funds
and Certification**

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

HUD Form HUD-985 (Rev.
10/1/80)

This form is to be used by Responsible Entities and Government Agencies to request the release of funds and requesting the priority processing of applications for HUD programs. It is to be used by the applicant in the assumption of the responsibility to ensure that all data is complete, correct and verifiable. Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed to complete the review and collection of information, reviewing and collecting the data, and preparing and reviewing the information to be submitted. Send comments regarding this burden estimate or any aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Office, Bureau for Economic Analysis, Paperwork Project (2024-0182).

Part I. Program Description and Request for Release of Funds (to be completed by Responsible Entity)

1. Program Title Capital Funds Program	2. HUD File Identification Number 42913	3. Request Location (City, State, Zip) Terre Haute, IN 47780
4. Contact person (Name) _____	5. Name of Government Agency City of Henderson Community Development	
6. Government Agency or other Federal, State & Local Agency Frank W. Judd, Jr. 270-837-1094 ext. 113	7. Address of Government Agency 1910 Market Court Suite B Henderson, IN 47420	
8. If this is a new project, what is the name of the project? Continental Field Office	9. Address of the project (City, State, Zip) Henderson, Indiana 47420	

The recipient of assistance under the program's provisions requests the release of funds and certifies that the following conditions pertaining to the use of the assistance for the following:

10. Agency Address (City, State, Zip) Terre Haute, IN 47780	11. Contact Person (Name, City, State, Zip) 111 South Adams Street Terre Haute, IN 47780
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Project No. 10-10-10-10-10-10
SEE ATTACHED 2010 HUD ANNUAL REPORT