

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.

GOALS AND OBJECTIVES 2010-2014

HUD Strategic Goal: Promote decent and affordable housing.

HUD Strategic Goal: Foster a suitable living environment by improving physical conditions and quality of life.

PHA Goal: Improve the physical condition of assisted housing

1. For the next 4 years, the Housing Authority will spend the majority (at least 60%) of Capital Funds on physical improvements to the properties.

*Progress: This goal has been and continues to be met whenever possible. However, due to limited funding, it is often necessary to use 50% of CFP money to adequately meet operational costs. **This goal should be changed to reflect the reality of the fiscal situation at the Authority.***

2. The Housing Authority will continue to enforce the One Strike policy and will work with local law enforcement to enforce the No Trespassing Policy.

Progress: This goal has been and continues to be met.

HUD Strategic Goal: Embrace high standards of ethics, management and accountability.

PHA Goal: Maintain transparency in the management of the Housing Authority

1. The Management will employ an independent auditor and a fee accountant to provide ongoing systems of “checks and balances” to ensure program integrity.

Progress: This goal has been and continues to be met.

2. The Board of the Housing Authority will meet on a quarterly basis to ensure open communication and ongoing program oversight.

Progress: This goal has yet to be accomplished. Staff will make every effort to meet this goal and encourage participation in governing the PHA, meeting and setting goals, with local sources and input.

PHA Goal: Assure fiscal integrity by program participants

1. The Housing Authority will use the EIV system to verify all income.

Progress: This goal has been and continues to be met.

6.0	<p>PHA Plan Update</p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission</p> <p>(b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. The Plan may be reviewed at 100 Gaines Village Drive, Owenton, KY 40359</p>
7.0	<p>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. N/A</p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.</p>
8.1	<p>Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i>, form HUD-50075.1, for each current and open CFP grant and CFFP financing. attached</p>
8.2	<p>Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i>, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. attached</p>
8.3	<p>Capital Fund Financing Program (CFFP).</p> <p><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>

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.

Need: Shortage of affordable housing for all eligible populations

Strategy: Maximize the number of affordable housing units available to the PHA within its

Current resources by:

9.0

1. Employing effective maintenance and management policies to minimize the number of public housing units offline at any given time.
2. Reducing the turnover time for vacated units. (Note: In the last 2 years, the turnaround time for units has been reduced by half. It is the goal of the Authority to again reduce this time by half in the next 5 years)

Need: Specific Family Types: Families at or below 30% of median

Strategy: Target available assistance to families at or below 30% of AMI

1. The PHA will exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing while giving a local preference to working families.

Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan. See above (9.0)**

The PHA has reduced the turnaround time for units by half over the past 2 years. It is the goal of the PHA to further reduce the turnover time within the constraints of staffing numbers. Applicants continue to fall in the range of Very Low to Extremely Low Income which meets the goal of housing the most financially challenged families.

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10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA’s progress in meeting the mission and goals described in the 5-Year Plan.</p> <p style="padding-left: 40px;">See Section 5.2 above</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p> <p>“Substantial Deviation” is defined as: Discretionary changes or significant amendments or modifications in the plans or policies of the Housing Authority that fundamentally alter the mission, goals or objectives of the agency and require formal approval of the Board of Commissioners.</p> <p>“Significant Amendment or Modification” is defined as: Changes or amendments to the Annual or 5 Year Plan that fundamentally alter the goals and objectives of the Housing Authority that require formal approval of the Board of Commissioners.</p> <p>There have been no Substantial Deviations, Significant Amendments or Modifications to the Plans or Policies that in any way fundamentally alter the mission, goals or objectives of the Housing Authority.</p>
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11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>
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Part I: Summary						
PHA Name: Housing Authority of Owenton		Grant Type and Number Capital Fund Program Grant No: KY36P098501-10 Replacement Housing Factor Grant No: Date of CFFP: 2010			FFY of Grant: 2010 FFY of Grant Approval: 2010	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 03/31/2011 <input type="checkbox"/> Final Performance and Evaluation Report						
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
1	Total non-CFP Funds					
2	1406 Operations (may not exceed 20% of line 21) ³	20,400		20,400	10,000	
3	1408 Management Improvements					
4	1410 Administration (may not exceed 10% of line 21)					
5	1411 Audit					
6	1415 Liquidated Damages					
7	1430 Fees and Costs					
8	1440 Site Acquisition					
9	1450 Site Improvement	2,500		0	0	
10	1460 Dwelling Structures	15,000		0	0	
11	1465.1 Dwelling Equipment—Nonexpendable	7,000		0	0	
12	1470 Non-dwelling Structures					
13	1475 Non-dwelling Equipment					
14	1485 Demolition					
15	1492 Moving to Work Demonstration					
16	1495.1 Relocation Costs					
17	1499 Development Activities ⁴					

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ RHF funds shall be included here.

Part I: Summary		
PHA Name: Housing Authority of Owenton	Grant Type and Number Capital Fund Program Grant No: KY36P098501-09 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant:2008 FFY of Grant Approval: 2008

Type of Grant

Original Annual Statement Reserve for Disasters/Emergencies Revised Annual Statement (revision no: **1**)

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
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)	44,900			10,000
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

Signature of Executive Director Date 03/31/2011		Signature of Public Housing Director	Date
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Part II: Supporting Pages								
PHA Name: Housing Authority of Owenton			Grant Type and Number Capital Fund Program Grant No: KY36P098501-10 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	
PHA Wide	Operations	1406		20,400		20,400	10,000	Ongoing
PHA Wide	Trim Trees	1450		2,500		0	0	Not Begun
PHA Wide	Blow-In Insulation	1460	32	10,000		0	0	Not Begun
PHA Wide	Porch Repair/Construction	1460	8	5,000		0	0	Not Begun
PHA Wide	Stoves/Refrigerators	1465	15	6,000		0	0	Not Begun
PHA Wide	Water Heater Insulation	1465	32	1,000		0	0	Not Begun

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 Owenton					Federal FFY of Grant: 2010
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates ¹
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
PHA Wide	9/30/2012		12/31/2013		

Part I: Summary		
PHA Name: Housing Authority of Owenton	Grant Type and Number Capital Fund Program Grant No: KY36P098501-11 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant: 2011 FFY of Grant Approval: 2011

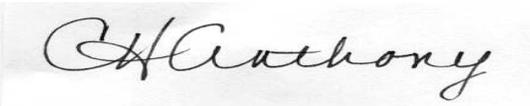
Type of Grant
 Original Annual Statement Reserve for Disasters/Emergencies Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: Final Performance and Evaluation Report

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	15,000			
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	20,000			
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

Part I: Summary		
PHA Name: Housing Authority of Owenton	Grant Type and Number Capital Fund Program Grant No: KY36P098501-11 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant:2011 FFY of Grant Approval: 2011

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)	45,000			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

Signature of Executive Director	Date: 03/31/2011	Signature of Public Housing Director	Date
			

Part II: Supporting Pages								
PHA Name: Housing Authority of Owenton			Grant Type and Number Capital Fund Program Grant No: KY36P098501-11 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		15,000				
PHA Wide	Upgrade Electrical Service	1460	32	20,000				

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 Owenton					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	
PHA Wide	12/31/2013		12/31/2014		

Part I: Summary						
PHA Name/Number : Housing Authority of Owenton			Locality (City/County & State) Owenton, Owen County, Kentucky		<input checked="" type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:	
A.	Development Number and Name	Work Statement for Year 2011	Work Statement for Year 2 FFY 2012	Work Statement for Year 3 FFY 2013	Work Statement for Year 4 FFY 2014	Work Statement for Year 5 FFY 2015
	KY098					
B.	Physical Improvements Subtotal	Annual Statement	15,000	15,000	15,000	
C.	Management Improvements					
D.	PHA-Wide Non-dwelling Structures and Equipment					15,000
E.	Administration					
F.	Other					
G.	Operations		20,000	15,000	15,000	15,000
H.	Demolition					
I.	Development					
J.	Capital Fund Financing – Debt Service					
K.	Total CFP Funds		45,000	30,000	30,000	30,000
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 2 FFY 2012			Work Statement for Year: 3 FFY 2013		
	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	Replace Outer Doors	15	3,000	Wall HVAC units	15	12,000
Annual	Replace Fascia Boards	15	3,000	Stoves/Refrigerators	6	3,000
Statement	Upgrade Electrical Service (continued)	32	8,000			
	Landscaping	32	1,000			
	Subtotal of Estimated Cost		15,000			15,000

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2011	Work Statement for Year 4 FFY 2014			Work Statement for Year: 5 FFY 2015		
	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						0
Annual	Wall HVAC units	19 units	15,000			
Statement						
	Subtotal of Estimated Cost		15,000			0

Part III: Supporting Pages – Management Needs Work Statement(s)				
Work Statement for Year 1 FFY 2011	Work Statement for Year 2 FFY 2012		Work Statement for Year: 3 FFY 2013	
	Development Number/Name General Description of Major Work Categories	Estimated Cost	Development Number/Name General Description of Major Work Categories	Estimated Cost
See Annual Statement	PHA Wide -Operations	20,000	PHA Wide –Operations	15,000
	Subtotal of Estimated Cost	20,000		15,000

Part III: Supporting Pages – Management Needs Work Statement(s)				
Work Statement for Year 1 FFY 2011	Work Statement for Year: 4 FFY 2014		Work Statement for Year: 5 FFY 2015	
	Development Number/Name General Description of Major Work Categories	Estimated Cost	Development Number/Name General Description of Major Work Categories	Estimated Cost
See Annual Statement	PHA Wide –Operations	15,000	PHA Wide –Operations	15,000
			Lawn Mower	15,000
	Subtotal of Estimated Cost	15,000		30,000