

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	<b>PHA Information</b> PHA Name: <b>Huntsville Housing Authority</b> PHA Code: <b>AL-047</b> 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): <b>04/2015</b>												
2.0	<b>Inventory</b> (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>1717</u> Number of HCV units: <u>1606</u>												
3.0	<b>Submission Type</b> <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only												
4.0	<b>PHA Consortia</b> <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 <table border="1"> <tr> <th>PH</th> <th>HCV</th> </tr> <tr> <td>PHA 1:</td> <td></td> </tr> <tr> <td>PHA 2:</td> <td></td> </tr> <tr> <td>PHA 3:</td> <td></td> </tr> </table>	PH	HCV	PHA 1:		PHA 2:		PHA 3:	
PH	HCV												
PHA 1:													
PHA 2:													
PHA 3:													
5.0	<b>5-Year Plan.</b> Complete items 5.1 and 5.2 only at 5-Year Plan update.												
5.1	<b>Mission.</b> 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:  Bet It Resolved, that the mission of the Huntsville Housing Authority is to eliminate the negative influence of poverty in public housing to ensure that residents develop self-esteem and lead fulfilling and productive lives. In order to achieve this mission, this Authority will provide: <ul style="list-style-type: none"> <li>• Decent, safe and sanitary housing.</li> <li>• Guidance that lends to self-empowerment.</li> <li>• Assistance to residents in keeping their communities clean and free of drugs.</li> <li>• Educational assistance toward GED certification and matriculation in institutions of higher learning in academic and trade schools.</li> <li>• Pre-employment training for particular jobs.</li> <li>• Opportunities for entry-level employment in industries and disciplines, which will provide economic stability and rewards to ensure self-sufficiency.</li> <li>• A range of housing options, from affordable housing to market rate housing, and provide homeownership.</li> </ul>												

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.

The Huntsville Housing Authority (HHA) has engaged in a comprehensive, ambitious strategic planning effort to articulate its overall mission, establish goals consistent with that mission, and identify specific actions to achieve its goals. The effort has involved significant involvement from HHA management and staff, as well as input from the Board of Commissioners, HHA's residents, and the community. HHA intends to use this Strategic Plan as a guide for positioning the agency to confront the challenges it faces over the next five years. Given the dynamic nature of HHA's activities, there are sure to be many adjustments along the way, including changes to the specific activities described. However, the Plan is created around a set of goals and organizing principles so that such changes can be made in a way that keeps HHA moving along the same strategic path.

HHA conducted this process in full recognition of the funding and programmatic challenges which it confronts. In particular, since HHA's primary funding sources are from the federal government, HHA's operations and activities are extremely sensitive to the budget issues being played out in Washington, D.C. Yet, at the same time funding is declining, the regulatory environment has not followed suit. With a few exceptions, HUD's regulatory oversight of public housing agencies like HHA has not been relaxed so that agencies can do more with less. In some ways, federal regulation has even increased and tightened.

In the face of this mismatch, HHA will pursue a strategy that allows it to pursue its mission with fewer resources while maximizing regulatory flexibility. HHA leadership has also determined that it makes sense to align HHA's strategy with national trends, best practices, and the priorities of its regulators in that regard. Therefore, HHA has identified a number of policy tools and trends in the affordable housing industry which are part of its strategy. They include:

**1. Cost Savings:**

Reviewing HHA's operations to identify ways in which cost savings can be realized which can be reinvested in housing and service delivery or other local priorities.

**2. Funding Flexibility:**

To the extent permissible by funding sources, using funds as flexibly as possible to meet HHA's goals and obligations. The eventual goal is to participate in the MTW program, which allows full funding flexibility.

**3. Disaggregating its Portfolio:**

Historically, housing providers and regulators have often used a "one-size-fits-all" approach to affordable housing. Instead, HHA intends to treat each of its projects as a unique real estate asset in the same way as private owners, which may be able to serve specific populations of eligible persons based on their needs.

**4. Partnering:**

Given federal funding cuts now and for the foreseeable future, it will be critical for HHA to establish partnerships with private entities which can help HHA achieve its mission. Such partnerships have already been used in the past to leverage private debt and equity resources for the redevelopment of real estate assets, and such partnerships must continue and be expanded. However, it is also possible to develop partnerships in the areas of housing operations and human services, where other organizations have their own resources which can be directed to serve the same families and individuals whom HHA serves.

**5. Oversight and Outcomes:**

As mentioned above, regulation of HHA has not been relaxed **despite** deep funding cuts. However, at the same time, regulators have begun to focus more on performance assessment through the measurement of specific outcomes. It is likely that funding opportunities, as well as opportunities for decreased regulation in the future will be tied to HHA's ability to demonstrate through specific performance measures and outcomes that it has achieved its goals. Therefore, HHA intends to institute wherever possible, a process of establishing and reporting on specific outcome-based performance measures.

HHA was able to meet many of the goals and objectives identified in the 2010-2014 Strategic Plan, including maintaining SEMAP and PHAS High-Performer Status. HHA has diversified its affordable housing portfolio over the past five years and has purchased approximately 50 properties in neighborhoods where no existing public housing was located. HHA partnered with a developer to build a state-of-the-art 86 unit PH and LIHTC senior facility that is adjacent to an \$85 million downtown revitalization including retail, hospitality, market rate multifamily and commercial components. HHA diversified its funding stream by establishing a new business entity that will conduct inspections for other housing agencies.

<p>6.0</p>	<p><b>PHA Plan Update</b></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.</p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:</p> <ol style="list-style-type: none"> <li>1. Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures: New eligibility definitions; change in included in the ACOP.</li> <li>2. Financial Resources: A statement of financial resources is included as Attachment K.</li> <li>3. Rent Determination: New Flat Rent Policy instituted; this policy is incorporated into the Admissions and Continued Occupancy Policy (ACOP) and is available at the HHA Central Office and upon request.</li> <li>4. Operation and Management: No change; this policy is incorporated into the HHA ACOP.</li> <li>5. Grievance Procedures: No change; this policy is incorporated into the HHA ACOP.</li> <li>6. Designated Housing for Elderly and Disabled Families: No change.</li> <li>7. Community Service and Self-Sufficiency: No change.</li> <li>8. Safety and Crime Prevention: No change; HHA continues to partner with Huntsville Police Department (HPD) to patrol public housing communities.</li> <li>9. Pets: No change; this policy is incorporated into the HHA ACOP.</li> <li>10. Civil Rights Certification: An update to the Analysis of Impediments to Fair Housing Choice was completed and is included as Attachment M. The certification is included within Attachment A.</li> <li>11. Fiscal Year Audit: The results of the most recent fiscal year audit is included as Attachment N.</li> <li>12. Asset Management: HHA will carry out its asset management functions with respect to its public housing inventory according to rules and regulations promulgated by HUD as well as through implementation of the Agency intentions described in this plan.</li> <li>13. Violence Against Women Act (VAWA): No change; this policy is incorporated into the HHA ACOP.</li> </ol> <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.</p> <p>Copies of the Plan may be found at the Main Administrative Office (200 Washington Street); each Asset Management Project (a listing of each property and address is included as Attachment O); the HHA website at <a href="http://www.huntsvillehousing.org">www.huntsvillehousing.org</a>; and the Huntsville/Madison County Library (915 Monroe Street). Additionally, a copy is provided to all Resident Councils represented on the Resident Advisory Board.</p>
<p>7.0</p>	<p><b>HOPE VI. Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion or Public Housing, Homeownership Programs, and Project-based Vouchers. Include statements related to these programs as applicable.</b></p> <p>(a) <b>HOPE VI or mixed-finance modernization or development</b>  HHA may apply for HOPE VI, CNI and/or mixed-finance development at Butler Terrace (AL047000002 with 120 units), Butler Terrace Addition (AL047000004 with 134 units), Brookside (AL047000051 with 72 units), Northwoods (AL047000006 with 235 units), Northwoods Addition (047000007 with 212 units) Johnson Towers (AL047000008 with 120 units), Searcy Homes (AL047000010 with 78 units), Todd Towers (AL047000011 with 100 units) and L.R. Patton Apartments (AL047000014 with 110 units). Because development is contingent on available funding, an accurate timetable is not available at this time.</p> <p>(b) <b>Demolition and/or Disposition</b>  HHA may apply for demolition and/or disposition approval at Butler Terrace (AL047000002 with 120 units), Butler Terrace Addition (AL047000004 with 134 units), Brookside (AL047000051 with 72 units), Northwoods (AL047000006 with 235 units), Northwoods Addition (047000007 with 212 units) Johnson Towers (AL047000008 with 120 units), Searcy Homes (AL047000010 with 78 units), and L.R. Patton Apartments (AL047000014 with 110 units). Because development is contingent on available funding, an accurate timetable is not available at this time.</p> <p>(c) <b>Conversion of Public Housing</b>  HHA may engage in the process of voluntarily converting Johnson Towers (AL047000008 with 120 units), Todd Towers (AL047000011 with 100 units) and/or L.R. Patton (AL047000014 with 110 units) to tenant-based assistance. HHA is a high-performing agency and will follow the regulations governing voluntary conversion for such agencies.</p> <p>(d) <b>Homeownership</b>  HHA received Neighborhood Stabilization Program (NSP) funds in 2009. As HHA continues to implement the program pursuant to its application, properties may be utilized for a homeownership program. HHA will seek approval, if appropriate, to implement a program including these properties.</p> <p>(e) <b>Project-based Vouchers</b>  HHA currently administers 82 project based certificates at Burgundy Square and 10 project based vouchers at Castlewood. HHA is considering the use of additional project based vouchers in the future to further HHA's mission of providing decent, safe and sanitary housing.</p> <p>(f) <b>Other</b>  HHA intends to continue acquiring multi-family units throughout the HHA jurisdiction. HHA may request that these units be ACC units or HCV units. These units may be purchased with Replacement Housing Funds, NSP funds, Capital Funds and/or disposition proceeds where previously approved by HUD. HHA will apply for MTW designation if the opportunity becomes available.</p>
<p>8.0</p>	<p><b>Capital Improvements.</b> Please complete Parts 8.1 through 8.3, as applicable.</p>

8.1	<p><b>Capital Fund Program Annual Statement/Performance and Evaluation Report.</b> 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.</p> <p>Included as Attachment H.</p>
8.2	<p><b>Capital Fund Program Five-Year Action Plan.</b> 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.</p> <p>Included as Attachment I.</p>
8.3	<p><b>Capital Fund Financing Program (CFFP).</b>  <input checked="" 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><b>Housing Needs.</b> Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p> <p>The Housing Needs as identified in the City of Huntsville Consolidated Plan are included as Attachment Q.</p>
9.1	<p><b>Strategy for Addressing Housing Needs.</b> 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. <b>Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</b></p> <p>HHA continues to work to address the housing needs of the citizens within the HHA jurisdiction by offering additional affordable housing options, applying for funds to increase and/or improve the affordable housing stock in the jurisdiction, redeveloping outdated housing stock in our traditional public housing communities and engaging in outreach activities targeting special populations. Additionally, HHA is acquiring properties, single-family and multi-family, throughout the jurisdiction to address locational needs/preferences.</p>

	<p><b>Additional Information.</b> Describe the following, as well as any additional information HUD has requested.</p> <p>(a) <b>Progress in Meeting Mission and Goals.</b> Provide a brief statement of the PHA’s progress in meeting the mission and goals described in the 5- Year Plan.</p> <p>HHA has made significant progress in meeting its mission and goals as identified in the previous five year plan. The new five year plan incorporates such activities as were determined to be “on-going” as is more completely addressed in Attachment J.</p> <p>(b) <b>Significant Amendment and Substantial Deviation/Modification.</b> Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p> <p>It is the intent of the Huntsville Housing Authority to adhere to the mission, goals and objectives outlined in the five-year strategic plan. The plan, however, will be modified should a substantial deviation from program goals and objectives occur. The HHA defines substantial deviations as:</p> <ul style="list-style-type: none"> <li>· Any change in the planned or actual use of federal funds for activities that would prohibit or redirect the HHA’s strategic goals of increasing the availability of decent, safe and affordable housing for the citizens of the jurisdiction served;</li> <li>· Any single or cumulative annual change in the planned or actual use of federal funds as identified in the five-year plan that exceeds 20% of the HHA annual program budgets for HCV or public housing activities;</li> <li>· A mandate from the Board of Commissioners of the HHA to modify, revise, or delete the long-range goals and objectives of a program;</li> <li>· A need to respond immediately to events beyond the control of the HHA, such as earthquakes, civil unrest, or other unforeseen significant event.</li> </ul> <p>A substantial deviation does not include any changes in HUD rules and regulations which require or prohibit changes to activities listed herein. The 5-Year Plan will be modified and re-submitted to HUD via correspondence from the Executive Director/CEO, and upon approval of the Board of Commissioners of the HHA. A substantial deviation will not trigger the same submittal requirements as a Significant Amendment.</p> <p>A Significant Amendment to the PHA 5-Year or Annual Plan is defined as:</p> <ul style="list-style-type: none"> <li>· Changes of a significant nature to the rent or admissions policies or the organization of the waiting lists not required by federal regulatory requirements, as to effect a change in the HCV Administrative Plan or the Public Housing Admissions and Continued Occupancy Policy (ACOP);</li> <li>· A change in the planned or use of funds under the Capital fund that exceeds 20% of the HHA’s total annual budget. A Significant Amendment to the 5-Year or Annual Plan will meet the following requirements: <ul style="list-style-type: none"> <li>· The PHA will consult with the Resident Advisory Board (RAB) as defined in 24 CFR 903.13;</li> <li>· The PHA will ensure consistency with the Consolidated Plan of the jurisdiction as defined in 24 CFR 903.15;</li> <li>· The PHA will provide for a review of the amendments/modifications by the public during a 45-day public review period as defined in 24 CFR 903.17;</li> <li>· The PHA will not adopt the amendment until the PHA has duly called an open meeting of the Board of Commissioners where the amendment is adopted;</li> <li>· The PHA will not implement the amendment or modification until notification of the amendment or modification is provided to HUD and approved by HUD in accordance with HUD’s plan review procedures as in defined at 24 CFR 903.23.</li> </ul> </li> </ul>
10.0	

11.0	<p><b>Required Submission for HUD Field Office Review.</b> 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. <b>Note:</b> 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 include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>
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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

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

### Instructions form HUD-50075

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

#### **1.0 PHA Information**

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

#### **2.0 Inventory**

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

#### **3.0 Submission Type**

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

#### **4.0 PHA Consortia**

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

#### **5.0 Five-Year Plan**

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

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

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

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

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

#### **PHA Plan Elements.** (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment

policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

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

to ensure the safety of the public housing residents. The statement must include: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

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

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

- (a) **Hope VI or Mixed Finance Modernization or Development. 1)** A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and **2)** A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: **(1)** A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or

disposition; and **(2)** A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: [http://www.hud.gov/offices/pih/centers/sac/demo\\_dispo/index.cfm](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.