

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: <u>Washington County HRA</u> PHA Code: <u>MN212</u> PHA Type: <input checked="" type="checkbox"/> Small <input type="checkbox"/> High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>01/01/2015</u>												
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>105</u> Number of HCV units: <u>90</u>												
3.0	Submission Type <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only												
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)												
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program <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	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: Through innovation, the Washington County Housing and Redevelopment Authority promotes community and economic development, and provides and maintains affordable, decent and safe housing opportunities in Washington County.												

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.

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

PHA Goal: Expand the supply of assisted housing

Objectives:

- Apply for additional rental assistance programs
- Leverage private or other public funds to create additional affordable housing opportunities
- Administer a homeownership program in conjunction with federal, state and/or local resources

PHA Goal: Improve the quality of assisted housing

Objectives:

- Maintain or improve public housing management as determined by PHAS score
- Maintain or improve voucher management as determined by SEMAP score
- Perform customer satisfaction surveys; address relevant concerns
- Assess and change policies as necessary to improve HUD scoring
- Increase membership of the Resident Councils
- Identify specific projects where public housing residents could volunteer their time and meet the Community Service requirements. Increase compliance with the community service requirement.
- Revise the Public Housing Admissions and Continued Occupancy Plan (ACOP) and the Administrative plan as necessary.
- Maintain low public housing vacancies

PHA Goal: Increase assisted housing choices

Objectives:

- Conduct outreach efforts to potential landlords interested in rental assistance programs
- Increase voucher payment standards as allowed by Budget Authority
- Implement public housing site-based waiting lists
- The Authority will offer Homestretch home buying education to public housing residents and voucher holders
- Continue to maximize utilization of Housing Choice Voucher Budget Authority

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:

- Develop agency relationship with local Work Force Center
- Provide information to participants regarding services offered by the Work Force Center
- Apply for funding for the Senior Service Coordinator position to increase independence for the elderly or families with disabilities
- Seek funding for FSS Coordinator for both Section 8 and Public Housing programs
- Increase the number of county-wide agencies participating in the Program Coordinating Committee

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. The Fair Housing and Equal Opportunity Policies can be found in the ACOP and Admin Plan, Chapter 2.
- Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability
- Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities

Other PHA Goals and Objectives:

Continue to assess operations in order to streamline service delivery and maximize financial viability
Assess the feasibility of transferring public housing units to either RAD, project based vouchers or other federally financed programs

ACCOMPLISHMENTS MADE ON 2010-2014 PLAN GOALS

Expand the supply of assisted housing

- The Washington County HRA leveraged private and public funds to increase affordable housing by 145 units. An additional 199 affordable housing units were rehabilitated. 12 units of new homeless vouchers were also added.
- Applied for and received 2 Bridges Regional Treatment Center Vouchers for homeless patients.
- Entered into a service agreement with Two Rivers CLT to acquire and rehabilitate single family homes, and sell to families with incomes less than 80% AMI. .
- Hosted a Developer Forum, "A Call to Partnership" to build relationships with area developers.
- Participated in First Time Home Buyer programs with Minnesota Housing.

Improve the quality of assisted housing

- Through a capital grant, completed energy efficiency improvements to the scattered site Public Housing units.
- Acquired and rehabilitated 40 units of Public Housing in Forest Lake, Minnesota.
- Stabilized scattered site Public Housing occupancy numbers, consistently at 96% or above.
- Maintained SEMAP score to High Performer.
- Completed revisions of the Housing Choice Voucher Administrative Plan and ACOP.

Increase assisted housing choices

- Provided home buying education and counseling to 12 Public Housing and HCV Section 8 Residents. Promoted program to residents in monthly newsletter.
- The Authority has maximized utilization of Housing Choice Voucher program funds being close to 100% utilized each of the 5 years.
- With the acquisition of the Whispering Pines property, reorganized the Resident Advisory Board format to include: one "scattered site" Public Housing /Housing Choice Voucher Resident Council, one Resident Council for Whispering Pines property and a combined Resident Advisory Board.

Promote self-sufficiency and asset development of assisted households

- Provide supportive services to increase independence for the elderly and people with disabilities by contracting with local non-profit to provide Senior Service Coordinator services at HRA owned properties.
- Awarded funding for FSS coordinator position for both Housing Choice Voucher and Public Housing programs.
- Since 2010, 18 Public Housing and HCV Section 8 residents have successful completed the Family Self-Sufficiency program.

PHA Plan Update

(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:

The Section 8 Administrative Plan has been updated to include language and policy revisions including areas of HUD references, students enrolled in higher education, EIV, VAWA, PBA. Changes to the document based on public comment include items supported by federal and state statute, primarily VAWA, Limited English Proficiency (LEP), and reasonable accommodation obligation items.

The Section 8 Administrative Plan has been updated to include language and policy revisions including areas of HUD references, students enrolled in higher education, EIV, VAWA, PBA. Changes to the document based on public comment include items supported by federal and state statute, primarily VAWA, Limited English Proficiency (LEP), and reasonable accommodation obligation items.

1. Eligibility, Selection and Admissions Policies, including De-concentration and Wait List Procedures.
The policies regarding eligibility, selection and admission for the HCV Section 8 program are contained in the Administration Plan; chapter 3, 4, and 5. Policies for the Public Housing program are found in the ACOP; chapters 3 and 4. Copies of the Admin Plan and ACOP documents are available at the WCHRA office. See attachments [A1](#), [A2](#), [A3](#), [A6](#), [A7](#)
2. Financial Resources
See [Attachment B](#)
3. Rent Determination
Rent determination policies are found in the Section 8 Admin Plan, chapter 6 and the Public Housing ACOP, chapter 6. See attachments [A4](#) and [A8](#)
4. Operation and Management
The Washington County HRA will continue to own 105 units of Public Housing. A Professional property management company will be employed to provide day to day management and maintenance service to the units.
5. Grievance Procedures
Grievance procedures are found in chapter 16 of the Section 8 Admin Plan and chapter 14 of the Public Housing ACOP. See attachments [A5](#) and [A11](#)
6. Designated Housing for Elderly and Disabled Families
N/A
7. Community Service and Self-Sufficiency
The WCHRA offers the Family Self Sufficiency program for residents of HCV and PH programs. The WCHRA complies with the rules and guidelines of the Section 3 program.

Policies for community service and income changes resulting from welfare program requirements can be found in the ACOP chapter 11. See attachment [A10](#)
8. Safety and Crime Prevention
Resident councils are encouraged to invite police officers into meetings for crime prevention training. The management company receives police reports.
9. Pets
The pet policy can be found in the Public Housing ACOP, Chapter 10. See attachment [A9](#)
10. Civil Rights Certification
See attachment C - [Civil Rights Certification](#)
11. Fiscal Year Audit
See attachment D - [Audit 2014](#)

6.0

	<p>12. Asset Management A Physical Needs Assessment and energy audit was performed in 2013 on the HRA’s public housing apartment building (Whispering Pines) and the 56 scattered site single family homes (MHOP). A replacement reserve schedule was developed for each property as a part of this assessment which was incorporated into the HRA’s capital improvement plan and annual budgeting process. Each year the HRA develops a capital improvement budget for all 14 of its properties, including an annual and five year Capital Improvement Plans that lists projects and estimated costs. The plans are based on the physical needs assessments and replacement reserve schedule for each property. On a maintenance basis, each property has its own preventative maintenance checklist that includes items that are to be inspected on a monthly, semi-annual and annual basis.</p> <p>13. Violence Against Women Act (VAWA) The WCHRA policies and procedures incorporate and support the laws and requirements outlined in the Violence Against Women Act of 2013 (VAWA). The WCHRA has revised and updated the Section 8 Administrative Plan to support victims of domestic violence, dating violence, sexual assault or stalking. The WCHRA will continue to administer its housing programs in ways that support program participants and applicants who may be victims of domestic violence, dating violence, sexual assault or stalking. The WCHRA will not take any adverse action against a resident/participant or applicant solely on the basis of her or him being a victim of such criminal activity, including threats of such activity. “Adverse action” in this context includes denial or termination of housing assistance. The WCHRA will continue to develop/revise policies and procedures as needed to implement the requirements of VAWA and to collaborate with other agencies to prevent and respond to domestic violence, dating violence, sexual assault or stalking, as those criminal activities may affect applicants for and participants in the HRA’s housing programs. The March 2014 revision of the Section 8 Administrative Plan contains new guidance from HUD on the 2013 VAWA. The VAWA policy can be found in the Public Housing ACOP, Chapter 16 and the Section 8 Admin, chapter 16. See attachments A12 and A5</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. <i>Include statements related to these programs as applicable.</i> HOPE VI or Mixed finance modernization or development.</p> <p>a) Hope VI or Mixed Finance Modernization or Development – N/A b) Demolition or disposition – N/A c) Conversion of Public Housing: The HRA is investigating ways to voluntarily convert its Public Housing (105 units) to project based. d) Homeownership – N/A e) Project based voucher—The PHA is applying for 4 project based units at the Groves located in Cottage Grove, MN. This will allow the HRA to develop more affordable housing units.</p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. See attachment E (form HUD-50075.1)</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.</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. See attachment F (form HUD-50075.2)</p>
8.3	<p>Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p>

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.

The 2013 Comprehensive Housing Needs Assessment for Washington County and the Minnesota Consolidated Plan for Housing and Community Development 2012-2016 show there is a significant need for affordable housing in the county. The needs assessment shows a demand for 874 affordable units by 2020 (units affordable to persons having income less than 80% AMI) and 886 units for people with incomes less than 30% AMI.

The WCHRA has budget authority for 90 HCV's. The wait list was opened in 2004 and 1655 people were placed on the list. In 2009 the Public housing list was opened and 910 people were placed on the list. No additional people have been added. The demographics below represent the people remaining on the list.

	Section 8	Public Housing
Extremely Low income	85%	80%
Very Low income	10%	17%
Low income	5%	3%
Elderly	26	1
Disability	3	
Family	83	108
Hispanic	3	1
White	65	21
Black	45	68
Asian	1	3

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.**

- The WCHRA will assist extremely low, very low and low-income families throughout the metropolitan area to obtain decent and affordable housing by maintaining the waiting list for its tenant-based assistance programs. It will continue to issue vouchers for tenant-based assistance in an efficient and effective manner in order to maximize use of all Federal resources.
- The HRA will use the HCV budget authority to house the maximum number of participants allowed by HUD. The HRA will maximize the number of units within budget authority.
- The WCHRA may apply for additional Section 8 Housing Choice Vouchers as funding becomes available.
- WCHRA will continue to administer rental assistance programs from other funding sources to increase/maintain the supply of affordable housing options
- Continue to develop marketing strategies that promote landlord participation in the Section 8 programs
- Request exception rent authority as necessary and as permitted under Section 8 Program regulations
- Promote affordable housing unit development through the use of Low Income Housing Tax Credits
- Apply for project-based assistance vouchers as a tool to serve low income households.
- GROW a locally funded program, provides gap financing to fund additional affordable units.
- The WCHRA will continue to administer the Shelter Plus Care program for homeless individuals and families.

Additional Information. Describe the following, as well as any additional information HUD has requested.

(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan.

The WCHRA continues to carry out its mission of assisting low income families to obtain suitable affordable housing and become more economically self-sufficient. The HRA provides over 500 individuals and families with rental assistance subsidies through local, state, and federal programs. Successful program design and implementation has resulted in efficient use of resources and effective collaborations among social service agencies and local units of government. The WCHRA has maintained a high performer SEMAP score since 2004. Public Housing was a High Performer in 2009 and 2011.

In order to expand the choice and supply of affordable housing the HRA has implemented a number of strategies that include maximizing its regulatory authority by providing competitive payment standards.

The HRA also owns and operates 105 scattered site units of Public Housing. The HRA contracts with an outside management company to provide the day-to-day management services for these units. Additional tools developed to assist in the management of the properties include an ACOP manual.

The HRA continues to take steps to maintain and improve the quality of assisted housing by creating a supportive environment for the HRA staff, program participants and landlords to discuss and resolve issues of mutual concern. Through the ongoing work of the HRA inspectors, assisted units are regularly inspected and necessary repairs communicated to landlords in order to maintain safe and suitable housing for program participants.

In order to provide opportunities for an improved living environment to its Section 8 program participants, the HRA encourages de-concentration of low income housing throughout the county. Program briefing materials include maps, resources and school information.

10.0

Self-sufficiency of its program participants is encouraged through a variety of programs administered by the HRA. The Family Self-Sufficiency Program is available to all Section 8 and Public Housing participants and includes the opportunity to establish an escrow account that saves the increased earning capacity of families as they become more economically self-sufficient. In addition, the HRA administers several state, county and locally funded rent subsidy programs with supportive service organizations in order to maintain independence for persons with disabilities. The WCHRA administers Homeownership Education and Homebuyer Counseling offered to residents in the Public Housing and HCV programs. In addition the WCHRA owns and operates a variety of units in the county to provide housing choice. Resident Councils provide the residents an opportunity to provide input and feedback to the WCHRA.

The HRA continues to ensure equal access and equal opportunity in housing through the administration of all HRA programs.

(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification"

The Washington County Housing and Redevelopment Authority defines a substantial deviation of the 5-year Plan as follows:

- a. Any changes to the PHA overall mission
- b. Any changes to the goals or objectives that affect services to the residents, or significant changes to the PHA's financial positions
- c. A complete revision or abandonment of one or more of the components of a PHA's five year plan.

- a. Significant Amendment or Modification to the Annual Plan

The Washington County Housing and Redevelopment Authority defines a significant amendment or modification to the Annual Plan as a change in the plans or policies of the PHA that require formal approval by the Washington County Housing and Redevelopment Authority Board of Commissioners. It is understood that the Washington County Housing and Redevelopment Authority may not adopt the amendment or modification until the PHA has duly called a meeting of its Board of Director and the meetings, at which the amendment or modification is adopted, is open to the public. Further, the HRA understands that it may 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 provided in Statute 903.23.

<p>11.0</p>	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <ul style="list-style-type: none"> (a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)
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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

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

Instructions form HUD-50075

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

1.0 PHA Information

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

2.0 Inventory

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

3.0 Submission Type

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

4.0 PHA Consortia

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

5.0 Five-Year Plan

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

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

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

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

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

PHA Plan Elements. (24 CFR 903.7)

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

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

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

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

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

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

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

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

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

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

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

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

8.2 Capital Fund Program Five-Year Action Plan

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

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

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

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

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

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

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

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

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

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

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