

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>Ann Arbor Housing Commission</u> PHA Code: <u>MI064</u> PHA Type: <input type="checkbox"/> Small <input type="checkbox"/> High Performing <input checked="" type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>07/2009</u>																										
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>360</u> Number of HCV units: <u>1333 + 70 VASH</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.)																										
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5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.																										
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: The Ann Arbor Housing Commission (AAHC) seeks to provide desirable housing and related supportive services primarily for extremely low-income to very low-income individuals and families on a transitional and/or permanent basis. AAHC partners with community supportive service providers to build healthy residential communities and promote an atmosphere of pride and responsibility.																										
5.2	Goals and Objectives: (for next 5-years, 2010-2014) 1. In the next 6-12 months, AAHC will: (a) Issue RFP and contract for a capital needs assessment for PH, including but not limited to: a) targeted capital improvements in 5-year CFP Plan; b) asset disposition or retention; and/or c) voluntary conversion of PH to tenant-based voucher. (b) Issue RFP and contract for operational and organizational assessment which will include assessing: a) the pros/cons of asset management model for PHA of 360 units; b) operational practices for improved efficiencies and effectiveness of service delivery; and c) compensation and employee staffing configuration. (c) Analyze the relationship of AAHC and the City, to determine the beneficial relationship for the commission, be it: a) total separation; b) modification of existing relationship but within current framework; or c) development of closer relationship with city. 2. Upon completion of #1 above and data gathered therefrom, AAHC will develop a 5-year plan to stabilize and strengthen the organization, and effectively carry out its mission to provide continued affordable and desirable housing to the highest risk very-low to extremely low income individuals and families in our community. 3. Throughout the 5-year period, AAHC will work to leverage community support for improved scope and scale of supportive services for all populations served by the Commission, to improve quality of life, and economic self-sufficiency. 4. Throughout the 5-year period, AAHC will strive to improve its Customer Service to all participants of its programs Status Update on Goals & Objectives (last 5-years, 2005-2009) - see Section 10.0 Additional Information																										

6.0	<p>PHA Plan Update:</p> <p>(a) Revised or plan to be revised PHA Plan elements since last Annual Plan submission: (1) Section 8 Admin Plan revised to incorporate updated HUD regulations/policies around Project-Basing of HCVouchers (2) Will seek to institute limited housing preference for youth "aging out" of foster care, with wrap around support services.</p> <p>(b) Copies of 5-Year and Annual PHA Plan will be available for review at the following locations: (1) Administrative Offices of AAHC: 727 Miller Ave, Ann Arbor 48103 & 406 N. Ashley, Ann Arbor, 48103 (2) PH-East Mgmt Office: 106 Packard Rd, Ann Arbor 48104 (3) City Clerk's Office at City Hall, 100 N. Fourth, Ann Arbor (4) Reference Desk at Ann Arbor District Library (5) Resident Councils at Baker Commons, Miller Manor, Green Baxter Court, Hikone See Word document for PHA Plan Elements</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> AAHC currently has none of these programs: a) Hope VI, Mixed Finance Modernization, b) Demo/Dispo, or c)Conversion of PH; but will be assessing these options for the future, as part of Capital Needs Assessment. (see Section 5.2 above)</p> <p>AAHC does have the following programs in operation: d) Homeownership Programs: AAHC has one remaining Turnkey III Homeownership unit; we do not anticipate sale in coming year. AAHC has a dormant HCV Homeownership program: given staff turnover, we do not anticipate reactivating this program in FY10, although the housing market is conducive to home purchases; however, creative credit financing may not be. e) Project-based Vouchers: AAHC is engaging in and should complete its first Project-based Voucher program, with Avalon Housing, at a 20 unit, all 1-BR building in Ann Arbor. AAHC has executed an Agreement to enter into HAP; rehab process is 3 phases with final completion estimated for 12/09.</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. See Attached HUD-50075.1s for CFP501-06, CFP501-07; CFP501-08; CFP-501-09; CFRP-S501-09</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 Attached 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. Not Applicable for AAHC</p>																																																																																																																																
9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. An analysis of data from City's Consolidated Plan, US Census CHAS dataset for AA as of 200, and review of AAHC public housing and section 8 waiting lists: the following chart represents the needs in this community:</p> <table border="1" data-bbox="240 1222 1521 1684"> <thead> <tr> <th>Family Type</th> <th># in AA jurisdiction</th> <th># & % on AAHC PH Lists</th> <th># & % on AAHC S8 HCV List</th> <th>Affordability</th> <th>Supply</th> <th>Quality</th> <th>Accessibility/Size/Location Undeterminable</th> </tr> </thead> <tbody> <tr> <td>ELI <30%AMI</td> <td>7197</td> <td>274 92%</td> <td>639 83%</td> <td>5</td> <td>5</td> <td>3</td> <td></td> </tr> <tr> <td>VLI 30-50% AMI</td> <td>4444</td> <td>19 6%</td> <td>111 14%</td> <td>4</td> <td>4</td> <td>1</td> <td></td> </tr> <tr> <td>LI 50-80%AMI</td> <td>4649</td> <td>5 2%</td> <td>18 2%</td> <td>3</td> <td>4</td> <td>1</td> <td></td> </tr> <tr> <td>Families with children</td> <td></td> <td>154 52%</td> <td>540 70%</td> <td>4</td> <td>5</td> <td></td> <td></td> </tr> <tr> <td>Elderly families</td> <td>1,386</td> <td>2 <1%</td> <td>6 <1%</td> <td>3</td> <td>2</td> <td>1</td> <td></td> </tr> <tr> <td>Disabled families</td> <td>287</td> <td>51 17%</td> <td>33 4%</td> <td>5</td> <td>3</td> <td></td> <td></td> </tr> <tr> <td>Other – not identified</td> <td></td> <td>91 30%</td> <td>192 25%</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Race/Black</td> <td>1,876</td> <td>215 72%</td> <td>622 81%</td> <td>5</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Race/White</td> <td>10,514</td> <td>75 25%</td> <td>132 17%</td> <td>3</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Race/Asian</td> <td>2,476</td> <td>1 <1%</td> <td>3 <1%</td> <td>1</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Race/Am Ind</td> <td></td> <td>3 1%</td> <td>3 <1%</td> <td>1</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Race/Mixed</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Race/Unknown</td> <td></td> <td>4 1%</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Ethnicity/NonHispan</td> <td></td> <td>280 94%</td> <td>739 96%</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Ethnicity/Hispanic</td> <td>647</td> <td></td> <td>16 2%</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Family Type	# in AA jurisdiction	# & % on AAHC PH Lists	# & % on AAHC S8 HCV List	Affordability	Supply	Quality	Accessibility/Size/Location Undeterminable	ELI <30%AMI	7197	274 92%	639 83%	5	5	3		VLI 30-50% AMI	4444	19 6%	111 14%	4	4	1		LI 50-80%AMI	4649	5 2%	18 2%	3	4	1		Families with children		154 52%	540 70%	4	5			Elderly families	1,386	2 <1%	6 <1%	3	2	1		Disabled families	287	51 17%	33 4%	5	3			Other – not identified		91 30%	192 25%					Race/Black	1,876	215 72%	622 81%	5				Race/White	10,514	75 25%	132 17%	3				Race/Asian	2,476	1 <1%	3 <1%	1				Race/Am Ind		3 1%	3 <1%	1				Race/Mixed								Race/Unknown		4 1%						Ethnicity/NonHispan		280 94%	739 96%					Ethnicity/Hispanic	647		16 2%				
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<p>9.1</p>	<p>Strategy for Addressing Housing Needs. Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year Maximize number of affordable units, by maintaining low vacancy rate and turnaround time in PH; by maintaining maximum lease-up rates in Section to level of funding, and continued exploration of project-basing of HCV.</p> <p>(1) Target assistance to ELI families (at or below 30% AMI) which is achieved primarily because the households on our PH & S8 waitlists (83-92% of applicants fall into this income category).</p> <p>(2) Target assistance to VLI families, especially in PH, by offering a working preference at admission and an earned income allowance during occupancy in PH program.</p> <p>(3) Target families with disabilities through 100 Mainstream HCV and 70 VASH in Section 8; and by a preference for disabled over non-disabled for public housing admissions. We pro-actively work with non-profits that service the disabled population: CIL, ACA, CSTS, AAAI-B.</p> <p>Note: without targeting: we serve based on the composition of our waitlist black families who have disproportionate housing affordability needs</p>
<p>10.0</p>	<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 for (2005-2009).</p> <p>(1) <i>Increase affordable housing:</i> in FY09, we increased vouchers by 70 under the targeted VASH program; we also achieved 3% vacancy rate in PH during FY07 and 08.; however PH vacancies have increased in FY09 largely due to PH residents getting S8 lease-ups.</p> <p>(2) <i>Improve quality of assisted housing:</i> scores for PHAS and SEMAP have been both troubled and standard over this 5 yr period. No PHAS Scores generated for FY08; SEMAP score: Standard. Improvements in PH management of unit turns has dropped from 183 to a low of 53 In FY07, moving up to 75 in FY08. Modernization efforts are completed ahead of schedule. Agency transitioned to Asset Mgmt model with creation of 2 AMPs in FY08.</p> <p>(3) <i>Increase assisted housing choices:</i> greater outreach to landlords in S8 program and included in some mass briefings.; homeownership program has been hindered by compliance needs and staff turnover.</p> <p>(4) <i>Improve quality of life and economic vitality:</i> Safety enhancements included upgrades to security camera systems at Baker and Miller, and continued police in residence at both sites, as well as lighting upgrades at Miller, S.Maple and Green Baxter Court. Efforts to increase number of employed households with income over 30% has NOT come to fruition. However, resource coordination for seniors/disabled has been steady, as well as family site supportive services by non-profit agencies working there. Considerable time has been spent collaborating with the WHA (Washtenaw Housing Alliance) re 10-yr Plan to End Homelessness.</p> <p>(5) <i>Ensure equal opportunity and fair housing:</i> all accessible units are appropriately utilized; and AAHC has successfully partnered with local Fair Housing office and the ACLU to maintain housing for disabled S8 participant.. All Civil Rights discrimination complaints have been dismissed.</p> <p>(6) <i>AAHC specific Goals:</i> <u>Operational Excellence:</u> implemented new computer software program: Yardi; new staff is sent to industry training regularly; PIC errors are declining; continued success in RPA/fraud recovery thanks to EIV system use. AAHC has cleared all OIG findings from 2006 audit, except for final repayment (<\$14,000) which will be complete in FY09.) <u>Increase Affordable Housing in Washtenaw Cty:</u> AAHC executed first agreement to enter into PBV HAP for 20 unit project with Avalon Housing. New VASH vouchers received in FY08, will be fully utilized in FY09 for homeless veterans. <u>Address Non-Housing Needs of customers:</u> Section 3 training opportunities have been limited; FSS in S8 has been limited, as attention has been focused on in-house regulatory process requirements in Section 8. Supportive services to elders/disabled and scattered site family complexes remain strong, with non-profit agencies funded by both AAHC and the City.</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 to mean a change in policy that redirects the Ann Arbor Housing Commission’s course and/or revises its mission, goals and objectives.</p> <p>“Significant amendment or modification” is defined as a change to the Ann Arbor Housing Commission’s policies that reflect a directional shift from the published mission and policies included in the Annual Agency Plan.</p> <p>Changes in the following areas may qualify as a “significant amendment or modification”:</p> <ol style="list-style-type: none"> 1) changes to rent, i.e. increasing or decreasing the minimum rent; 2) changes to Admission’s policies or organization of the waiting list; 3) additions of non-emergency work items (Items not included in the current Annual Statement or 5-Year Capital Action Plan), or change in use of replacement reserve funds under CFP; 4) any change with regard to demolition or disposition, designation, home-ownership programs or conversion activities. <p>Changes to Ann Arbor Housing Commission internal policies that regulate administrative function, such as Check Signing Policy, Travel Policy, Vehicle Use Policy and the like , are not included in the definitions or sample examples listed above.</p> <p>Changes to Occupancy Policies (Public Housing and Section 8) that clarify or expound on existing policies included in the Agency Plan are not considered applicable to this definition.</p> <p>Changes to policies included in the Annual Agency Plan that are a result of regulatory requirement are also not considered by the Ann Arbor Housing Commission or the Department of Housing and Urban Development to be significant amendments.</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> <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.