

6.0 PHA Plan Update

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

1. Eligibility, Selection and Admission Policies, Including Deconcentration and Wait List Procedures:

a. Public Housing Program:

- i. Wait List Organization - will establish wait lists for Springfield Apts. And Stony Brook Manor as soon as HUD grants approval of Elderly Only Designation; date unknown at this time.
- ii. Tenant Selection Criteria – Dwelling Capacity Standards – Propose amendment to allow a living room to be used as a bedroom when the space is needed to provide for a live-in-aide, foster child, or in cases when the non-custodial parent must assume guardianship and physical custody as a result of a court action.

b. Section 8 Program:

- i. Wait List – The Wait List closed January 14, 2009.
- ii. Shelter Plus Care Program - began to administer this program, 15 subsidies to individuals meeting the eligibility criteria outlined in the application - homeless (some chronically), mentally ill, some from Criminal Justice System.
- iii. Criminal Activity Policy was amended to reduce time to prove “recovery” on a recent offense to within 3 years from the most recent subject arrest.

2. Financial Resources:

a. Federal Grants – 2009

- i. Public Housing Operating \$ 3,448,713 (Funded at 88% of need)
- ii. Capital Fund Program – ARRA grant \$ 2,017,437
- iii. Capital Fund Program – 2009 estimate \$ 1,500,000
- iv. Section 8 Program \$ 6,914,089
- v. Shelter Plus Care Program - 2008 \$ 481,140 (5 year term – waiting on HUD paperwork) – *leverages \$530,946*
- vi. Service Coordinator Funding – 2008 \$ 395,974 (for 3 years to fund 2 positions, plus associated costs)

b. Prior Year Funding - unobligated

- i. Capital Funds 2007 and 2008 \$ 1,414,402
- ii. ROSS – Neighborhood Network 05-07 \$ 218,079
- iii. Shelter Plus Care Program 2007 \$ 499,500 (5 yr. term – began 10/08) – *leverages \$663,933*

c. Public Housing Dwelling Rental Income \$ 3,124,086 (2009 Projected)

d. Non-Federal Sources – Mgmt. of non-PH \$ 122,426

e. Total \$20,135,846

3. Rent Determination:

a. Public Housing:

- i. Amendments to rent calculations described in the last Annual Plan have been put into place.
- ii. Admission and Occupancy Policy and Lease – ADD: Termination of the lease will be initiated when the tenant falsifies information on the Annual Application for Continued Occupancy and Related Documents. The second time the Tenant fails to report information of increased income or family composition changes between the Annual Re-examination(s), and within 10 calendar days, the lease is terminated.
- iii. Will consider revising rent calculations, in accordance with proposed federal regulations, when finalized. Any discretionary policy changes will be available for public review prior to implementation.

b. Section 8 Program:

- i. Amended the Payment Standard guidelines effective June 1, 2008 to allow the 3, 4, and 5 bedroom standards to increase from 95% to 100% of the current fair market rent.
- ii. Will consider revising rent calculations, in accordance with proposed federal regulations when finalized. Will look closely at how to determine the rent structure for someone who consistently reports 0 income. May base rent on previous 12 month’s income vs. projecting forward using actual income at time of evaluation/re-examination.

4. Operation and Management:

- a. Public Housing:
 - i. Expected Turnover - 188 vs. 195 last year
 - ii. Amendments Proposed to the Abuse Policy and Smoke Detector Policy in the last Annual Plan have been put in place.
 - iii. Management continues to learn and take on additional responsibilities leading toward complete "asset management" of the Asset Management Projects (AMPs) assigned to them.
 - iv. Work toward improved energy efficiency
- b. Section 8 Program:
 - i. Expected Turnover – 230 vs. 205 last year
 - ii. SRO subsidies project based to YMCA were reduced from 56 to 48 effective 10-1-08; and, from 48 to 45 effective 5-1-09
 - iii. Shelter Plus Care – Add 14 subsidies for total of 29 expected to be served in 2009-10.
 - iv. Began direct deposit of our rent payments to landlords are working on "website landlord access" for owners to view their payment history on line.
 - v. Address the need to contract with another entity to conduct Section 8 HQS inspections and rent reasonableness review for units managed by the Housing Authority.

5. Grievance Procedures:

No changes

6. Designated Housing for Elderly and Disabled:

The YHA continues to strive toward the submission of an application to HUD for Elderly Only Designation at Broad Park Manor (201 of 281 units), Springfield Apartments (50 of 75 units), Stony Brook Manor (69 of 100 units) and The Fairmont (52 of 75 units). The plan remains the same as it was stated in last year's plan; however, the date of proposed submission of the application is postponed to 9/30/09. The living conditions/circumstances support the change; however, the need for housing elderly is not supported by the current wait lists. The YHA is working to acquire additional applications from elderly residents and document need for elderly public housing.

7. Community Service and Self-Sufficiency:

The plan is unchanged from last year, with the following exceptions:

Services and Programs: FY'04 ROSS RSDM Family Grant – increase estimated size from 120 adults and youth to 144 adults and 30 youth; FY'05 ROSS Neighborhood Network Grant – increase estimated size from 110 to 200 adults and children; Service Coordinator and Wellness Center – increase estimated size to 153 elderly and younger disabled; and FY'05 and '06 ROSS Neighborhood Networks Grant – reduce the estimated size from 225 to 185 adults and children.

Family Self-Sufficiency (FSS) Participation: Of the 25 "voluntary" FSS "slots", 17 are under contract with public housing participants, down from 23 last year at this time; Of the 40 "mandatory and voluntary" slots under the Section 8 Program, 39 are under contract. 15 of the original 52 mandatory slots remain, compared to 19 last year at this time.

The Community Service requirements continue to be administered under the Public Housing Program.

8. Safety and Crime Prevention:

The YHA plans to work with other owners/managers of City property and apply for City CDBG/HOME funds to 1. Increase and improve police/security surveillance at crucial areas in the City through the use of cameras; and 2. Create employment opportunities – hiring individuals to view/monitor the video screens and report appropriately.

9. Pets:

There have been no changes to the pet policy. However, we will amend the policy to comply with recent regulations defining exceptions to the policy.

10. Civil Rights Certification:

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

11. Fiscal Year Audit:

The most recent annual audit was for FYE 9/30/07. The audit showed no material weaknesses. There were no financial statement findings; and, as a note, the YHA has never had an audit finding. The FYE 9/30/08 audit is scheduled for late May 2009. Delay is due to HUD's delay in providing the amended reporting system used to submit the unaudited reports.

12. Asset Management:

The YHA continues to work toward Asset Management, expecting that asset management, based on HUD's requirements, will be in place by October 1, 2010.

6.0 cont	<p>13. Violence Against Women Act:</p> <p>There have been no changes to policies as they relate to violence against women. We do not plan to change policies as they relate to violence against women.</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>Copies may be obtained at the administration office: 31 S. Broad Street, York PA 17403</p> <p>Plans may be viewed at each management office and on the Authority's website, www.yorkhousingauthority.com. Management offices are located at: 140 Willis Lane, York; 1930 Kenneth Road, York; 100 Pleasant Acres Road, York; and 300 Ramsay Place, New Cumberland, PA</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></p> <p>YHA continues to anticipate the ability to successfully apply for HOPE VI funding in support of plans to renew the neighborhood in and around Codorus Homes, the YHA's oldest rental development (1954). YHA continues to anticipate the demolition of the 60 units at this site, initially 28 units closest to the creek, followed by the remaining 32 units, after Creating Opportunities in Neighborhood Environments, Inc. constructs suitable tax credit replacement housing to assist in relocation options. We continue to hold in our plan the ability to de-concentrate poverty and increase off-street parking opportunities at Parkway Homes by the demolition of three buildings with six units in each building.</p> <p>Uniform Relocation Regulations will be followed.</p> <p>If the YHA is successful in receiving additional vouchers under the Family Unification Program, the vouchers may be project based to the most responsible proposed development responding to a RFP.</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. <u>See Attachment D.</u></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. <u>See Attachments B and C.</u></p>
8.3	<p>Capital Fund Financing Program (CFFP).</p> <p><input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p>
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. <u>See Attachment A. The City and County Information has not changed. Current wait list information is provided for the Section 8 and Public Housing Programs.</u></p>

<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. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p> <p>YHA, as a HIGH Performing Agency, acknowledges a continuing focus on service to families and individuals with low-income; especially incomes at or below 30% of the County median income. Our commitment to a long term strategy to sustain and enhance current facilities remains. Our investment in rehabilitation is planned with regularly scheduled in-put and review by the residents, including the Resident Advisory Board, and agency staff. Whenever possible, we look for outside funding opportunities, including Energy Service Contracts (ESCO – second phase), for sources of additional revenue to meet our rehabilitation and property improvement goals.</p> <p>We will continue to collaborate with City and County government offices and other housing and service providers toward filling the gap between need and resources, and improving neighborhoods.</p> <p>Under the Section 8 Program: In addition to strategies stated in the last Agency Plan, the YHA plans to:</p> <ul style="list-style-type: none"> i. Apply for additional Continuum of Care funding for additional rent subsidies as available in 2010, subject to the NOFA, when published; ii. Continue to work with voucher holders through the Family Self-Sufficiency Program toward the Section 8 Homeownership Program goal; iii. Re-open the Section 8 Wait List (for HCV Program) in accordance with policies in the Section 8 Administrative Plan (Stopped accepting applications 1-14-09; will begin accepting applications again in 2010, at the earliest); . iv. Apply for 25 additional vouchers under the Family Unification Program and make the vouchers available in a collaborated effort to assist individuals aging out of foster care; v. Apply for Section 8 vouchers to provide relocation alternatives to families impacted by proposed demolition of public housing; <p>Under the Public Housing Program – the Authority plans to continue with strategies outlined in prior Agency Plan. High occupancy rates is a measure of the success of these strategies. Unable to increase the number of public housing units, the Authority, continues to believe that, with exception of units described under 7.0 above, public housing units should not be sold or transferred to homeownership.</p>
<p>10.0</p>	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <ul style="list-style-type: none"> (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. <ul style="list-style-type: none"> i. Section 8 Program: Applied for vouchers for which we were eligible and had the various supports to obtain, specifically those under the Continuum of Care; Attained goal of administering the current level of vouchers; created additional housing opportunities through administration of Shelter Plus Care Program: 29 vouchers; Met goal of scoring 85% or better under SEMAP assessment: scored 93% - HIGH PERFORMER; met goal of maintaining lease-up rate of 97%: achieved rate of 102%; met goal of increasing payment standards as necessary by modifying the standards in June 2008. ii. Public Housing Program: 98+% occupancy throughout the year; Achieved HIGH PERFORMER status based on HUD’s assessment tool; Reduced unit turnaround time to 41 days, an improvement, but shy of the goal; Moved additional accounting and maintenance processes to responsibility of Management vs. Central Admin. or Maintenance (Asset Management); admitted 8 households under the ready for permanent housing preference; began implementing the Nursing Home transition program with expectations to house the first individual through this preference by July 31, 2009; retained bilingual employees to address needs of applicants and residents; moved 11 residents to address accommodation needs; transferred 3 families due to over or under-housed conditions; reduced Tenant Accounts Receivable debt; sable to continue rehabilitation and extraordinary maintenance of our properties, including modifications to improve accessibility; unable to meet the goals of designated elderly only housing and demolition of housing at Codorus Homes and Parkway homes due to circumstances unforeseen in 2008, but proposes to advance in achieving these goals in this plan year; iii. Supportive Services: Credit scores have limited staff’s ability to assist residents with homeownership; Many collaborations continue, and new have been formed, to provide quality of life programming such as, computer resource centers, after-school programming, youth activities, services for the elderly and disabled, mental health services, cultural opportunities, budget counseling, homeskills / housekeeping training, GED programs, Driver’s education, Family Self-Sufficiency Programs creating escrow accounts for participating residents and resulting in 16 families transitioning to homeownership, Wellness Centers for the elderly and families staffed by York College interns at no cost to the Authority or residents, Weed and Seed initiatives, and creation of resident councils. iv. General: Increased an already extensive list of collaborations and partnerships to improve neighborhoods and the quality of life of the people who live in them. (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and substantial deviation/modification” <ul style="list-style-type: none"> i. Under the Capital Fund: Any one item or combination of items that exceeds 5% of the annual amount allocated under the Capital Fund ii. Under Strategies or Services: When there is a change to rent or admission policies or organization of the wait list; and, Any change with regard to demolition or disposition, designation, homeownership programs or conversion activities, unless the elimination is a result of elimination of funding that proposed to or had previously covered the expense of the service/program.

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)
-------------	---

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.