

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>Housing Authority of the City of Alameda</u> PHA Code: <u>CA062</u> PHA Type: <input type="checkbox"/> Small <input type="checkbox"/> High Performing <input type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>07/2015</u>				
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>0</u> Number of HCV units: <u>1845</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 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: In partnership with the entire community, to advocate and provide quality, affordable safe housing; encourage self-sufficiency; and strengthen community inclusiveness and diversity in housing.				

5.2	<p>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.</p> <p>Goal 1: Achieve organizational excellence.</p> <p>Objectives: a) Develop a strategic plan. b) Promote professional development opportunities and staff succession plan. c) Implement a coordinated training program for staff.</p> <p>Goal 2: Maximize use of Housing Choice Voucher allocation to provide housing assistance to low-income families.</p> <p>Objectives: a) Open Section 8 waitlists and maintain similar waitlists for all properties. b) Maximize lease up of new voucher holders, portability move-ins, and transfers through landlord outreach, rental workshops, and continuation of the FSS program. c) Obtain High Performer status through the Section Eight Management Assessment Program. d) Conduct a review of the preferences for the wait lists. e) Open the HCV wait list more often and place a limited number of applications on the wait list or consider an always open “interest list”. f) Explore wait list and communication options to improve the customer service and timeliness of the wait list process including online options. g) Implement administrative streamlining including biennial inspections and Project-Based voucher regulations. h) Develop reports to monitor and project voucher utilization. i) Develop a flexible LEP program to meet changing demographic needs of the community.</p> <p>Goal 3: Improve the quality of life of residents while maintaining efficient and effective operations of Housing Authority rental units.</p> <p>Objectives: a) Offer resident supportive services for all Authority-owned units on-site. b) Apply for HUD Social Service Coordinator funds. c) Evaluate revenue and costs to maintain efficiency and to provide funding for services and upgrades. d) Develop long-term capital improvement plan and/or refinance/rehabilitation plan for all properties. e) Develop a flexible LEP program to meet changing demographic needs of the community.</p> <p>Goal 4: Improve environmental impact.</p> <p>Objectives: a) Research environmentally friendly alternatives for products used by AHA and advocate for accessibility to public transit for low-income residents. b) Encourage recycling efforts by tenants and employees and provide cost-effective recycling options. c) Use sustainable products in building maintenance and construction and seek funding to assist with improved sustainability initiatives. d) Implement a Healthy Homes orientation for residents and landlords.</p> <p>Goal 5: Maintain and improve data integrity and collection.</p> <p>Objectives: a) Review information technology systems and security on those systems against current best practices. b) Research online and paperless solutions for required documents and processes. c) Automate processes to improve efficiency and accuracy.</p> <p>Goal 6: Expand Housing Choice throughout the City of Alameda.</p> <p>Objectives: a) Identify opportunities for preservation and/or acquisition/rehabilitation of affordable units. b) Form partnerships to maximize new affordable units. c) Explore feasibility of mixed income housing projects. d) Conduct a complete review of the Administrative Plan to meet our local housing market needs. e) Seek additional flexibility (for example through waivers and Moving To Work application) to meet local housing market needs.</p> <p>For description of goals met from previous 5-year plan, see 10.0.</p>
6.0	<p>PHA Plan Update</p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:</p> <p>Three changes to the Administrative Plan have been made since the last Annual Plan submission as follows: 2014-1 Revise Chapter 3 to limit the addition of family members to assisted households and applications and to define when a remaining family member may become the head of household. 2014-2 Revise Chapter 8 to allow for biennial inspections as a cost-saving measure. 2014-3 Revise Chapter 6 to bring the plan into compliance with the new HUD regulations on the calculation of the Utility Allowance and to update the list of Federally Mandated Exclusions From Income. 2014-4 Revise Chapters 3, 4,5, 10, and Glossary to revise Wait List Policies, to redefine Family Preference and Family, to allow for additional search times and portability under a limited rental market.</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>The 5-Year Plan for the period starting July 1, 2015, and ending June 30, 2020 is available at the Housing Authority Office, 701 Atlantic Avenue, Alameda, CA 94501-2161. The Annual Plan for the current year and this proposed plan for the year starting July 1, 2015, and ending June 30, 2016, also is available at the Housing Authority Office at the address given above.</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>The Housing Authority has no Public Housing. The Housing Authority has no plans for a Homeownership Program. Currently, there are 239 Project-Based units under HAP contract with the Housing Authority. The following is the number of units under HAP contract within each census tract: 3 (4272), 36 (4273), 43 (4276), 18 (4280), 15 (4281), 59 (4282), and 61 (4287). The Housing Authority uses Project-based Vouchers to increase the supply of affordable housing in Alameda. It may use as much as 20% of its budget allocation for this purpose.</p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.</p> <p>N/A – the Housing Authority has no Public Housing.</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> <p>N/A – the Housing Authority has no Public Housing</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.</p> <p>N/A – the Housing Authority has no Public Housing</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> <p>N/A – the Housing Authority has no Public Housing</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.

9.0

Household with Incomes <30% AMI	Cost Burden >30%		Cost Burden >50%	
Small Related Renter	735	5.0%	500	3.4%
Large Related Renter	155	1.0%	145	1.0%
Elderly Renter	375	2.5%	280	1.9%
Other Rental	805	5.5%	780	5.3%
Small Related Owner	125	0.9%	115	0.8%
Large Related Owner	50	0.3%	35	0.2%
Elderly Owner	360	2.5%	265	1.9%
Other Owner	70	0.5%	70	0.5%

Household with Incomes >30% and <50% AMI	Cost Burden >30%		Cost Burden >50%	
Small Related Renter	790	5.3%	450	3.0%
Large Related Renter	220	1.5%	115	0.8%
Elderly Renter	270	1.8%	180	1.2%
Other Rental	435	2.9%	260	1.8%
Small Related Owner	135	0.9%	85	0.6%
Large Related Owner	45	0.3%	45	0.3%
Elderly Owner	365	2.5%	210	1.5%
Other Owner	60	0.4%	60	0.4%

Household with Incomes >50% and <80% AMI	Cost Burden >30%		Cost Burden >50%	
Small Related Renter	555	3.8%	40	0.3%
Large Related Renter	50	0.3%	0	0.0%
Elderly Renter	225	1.5%	50	0.3%
Other Rental	655	4.4%	85	0.6%
Small Related Owner	300	2.1%	235	1.6%
Large Related Owner	10	0.1%	0	0.0%
Elderly Owner	185	1.3%	85	0.6%
Other Owner	110	0.8%	100	0.7%

Source: CPD Maps Consolidated Plan and Continuum of Care Planning Tools 2007-11 ACS, 2007-11 CHAS

Housing Choice Voucher Waiting List Statistics

Extremely Low Families	
Elderly Families	
Disabled Families	

Racial Categories

American Indian or Alaska Native	
Asian	
Black or African American	
Native Hawaiian or Other Pacific Islander	
White	
Other	
Unknown	

Ethnic Categories

Hispanic or Latino	
Not-Hispanic or Latino	
Unknown	

***This paragraph is not part of the final 5-Year and Annual Plan. It is an explanation of the above placeholder. The Housing Authority has outreached to all families on its waiting list. When a new waiting list is obtained, the above table will be populated with data from the demographics of the families on the waiting list.**

Housing Needs (Sources: City of Alameda General Plan Housing Element 2015-2023 Public Review Draft and Action Plan FY2014-15 City of Alameda, Alameda County HOME Consortium):
 Affordable Housing for renters decreasing cost burden
 Improvement of housing stock to reduce substandard housing
 Elderly Housing
 Shared Housing for single-parent households
 Accessible housing for persons with disabilities
 Family Housing
 Units for Small Families

9.1	<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>Open Housing Choice Voucher Waiting List.</p> <p>Increase lease-up rates for Housing Choice Voucher program and expand choice of rental units by marketing the program to owners, particularly those outside of areas of minority and poverty concentration.</p> <p>Contract and outreach to community partners to provide improved services for tenants.</p> <p>Maintain and improve physical condition of properties while exploring opportunities to develop affordable housing for low-income residents.</p> <p>Improve outreach to limited English proficient applicants, participants, and tenants.</p> <p>Explore and implement sustainability initiatives and improve efficiency to conserve resources.</p> <p>Seek waivers and additional administrative flexibility to improve resources available to participants.</p>
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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 Housing Authority made significant progress in achieving the first goal in the 5-Year Plan submitted for the period of 2010-2015 to manage and maintain efficiently and effectively Housing Authority rental units to provide safe and affordable homes for low-income seniors and families. Extraordinary maintenance and capital improvement projects completed included: replacement of doors, kitchen counters and bath cabinets, exterior modernization and infrastructure improvement, asphalt replacement, play equipment replacement, replace nurse pull stations, rebuild garage enclosures, siding upgrade, and site improvements. Green initiatives identified and implemented included Bay Friendly Drought Tolerant Landscaping at the largest Housing Authority-owned property and installing a solar hot water heating system at a property designated for seniors. The Housing Authority completed the transition to a new rental agreement for all tenants and implemented a smoke-free policy at all housing complexes.

The progress towards the second goal to maximize use of Housing Choice Voucher allocation to provide housing assistance to as many low-income seniors and families as possible included implementation of the Family Unification Program; and maintaining High Performer status on the Section Eight Management Assessment Program (SEMAP) four out of the five years of the plan. The Housing Authority completed an analysis of lease-up obstacles and market conditions, but the instability of funding made overcoming the obstacle of a high-rent market difficult to overcome.

The third goal to develop, implement and maintain policies and procedures for effective, efficient operations of Housing Authority programs had mixed success. The Housing Authority completed a Draft Fiscal Sustainability Policy; developed and implemented a Development Policy; and developed and implemented green initiatives to improve the effective and efficient operation of properties and service delivery to customers. The Housing Authority is continuing to update and implement policies to enhance service delivery.

In the achievement of the fourth goal to promote, provide, and secure services for our customers, the Housing Authority implemented a Family Self Sufficiency Program and currently has 31 families participating in the program. Frequent workshops are provided to these participants. The Housing Authority decided not to complete an agreement for the Safe Schools Program; however an agreement was completed with the Alameda Unified School District to allow for an exchange of data to assist families. The Housing Authority issued a request for proposals to partner with non-profits to enhance the level and kinds of services available to clients, but with limited success. Two contracts were signed as a result of that proposal to provide services to the seniors and some counseling services to families. The Housing Authority has also continued to partner with the Boys and Girls Club to provide services free to the tenants and participants of programs operated by the Housing Authority. The Housing Authority used space in the common area at one complex to create a Reading Room for children residing in the Housing Authority owned properties. Volunteers staff the room and donations provided the books. Newsletters are published at least yearly to provide information to participants and landlords of the Housing Choice Voucher program. The Housing Authority assessed the need to submit an application for non-elderly, disabled families, and determined not to apply at that time.

The fifth goal to promote a Work Environment that follows the Housing Authority's Principles to Ensure Quality Customer Service has promoted the use of an electronic document imaging system. The Housing Authority is continuing to explore the enhanced use of technology in other areas. Management staff is working to comply with the performance review program to optimize the values and functions of the agency. Consultants have evaluated the organizational structure of the agency, including salaries and job descriptions. Consultants have also evaluated the workflow of the Housing Choice Voucher Program and the Maintenance Department. The Housing Authority did not meet the objective of creating a Succession Plan, but filled key positions in a timely manner.

The Housing Authority has met the goal and objectives to develop additional affordable housing in Alameda. The Housing Authority, in partnership with non-profit partners, is close to acquiring the former North Housing site for 90 units of affordable housing for the homeless. The Housing Authority designed a Development Plan and has completed the objectives of that plan, resulting in numerous affordable housing options already developed and soon to be developed. This includes increasing the Project-Based program from 110 units to 129 units providing low-income families with expanded housing choices in a very competitive housing market; creating 18 units of affordable housing for disabled individuals along with supportive services; and rehabilitating a former weekly motel into 65 units of workforce housing in the downtown area allowing for shorter commutes via public transportation. The Housing Authority also completed financing a loan that generated financial capital to provide the gap funds to develop over 100 affordable units.

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

The definition is unchanged. It is:

The Housing Authority of the City of Alameda defines a "substantial deviation of significant amendment or modification" for both its Five-Year and Annual Plans as one that meets all the following qualifications:

- a. Is discretionary (rather than mandated by HUD or other government entity);
- b. Fundamentally changes the policies of the Housing Authority;
- c. Requires formal approval of the Board of Commissioners; and
- d. Would result in changes to a Streamlined Plan submission.

10.0

11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>The Annual Plan will be taken to the Board of Commissioners for consideration and adoption of Form HUD-50077.</p> <p>(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)</p> <p>Items b through e apply only to housing authorities receiving CFP grants; this Housing Authority does not have public housing and does not receive CFP grants.</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>The Resident Advisory Board comments will be incorporated into the final Annual Plan and submitted to HUD.</p> <p>(g) Challenged Elements</p> <p>Challenged elements will be submitted to HUD along with the final Annual Plan.</p> <p>(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)</p> <p>Items h and i apply only to housing authorities receiving CFP grants; this Housing Authority does not have public housing and does not receive CFP grants.</p>
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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

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

Instructions form HUD-50075

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

1.0 PHA Information

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

2.0 Inventory

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

3.0 Submission Type

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

4.0 PHA Consortia

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

5.0 Five-Year Plan

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

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

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

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

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

PHA Plan Elements. (24 CFR 903.7)

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

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

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

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

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