

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 Muncie</u> PHA Code: <u>IN36P005</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>04/2012</u>												
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>297</u> Number of HCV units: <u>842</u>												
3.0	Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only												
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)												
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program <table border="1"> <thead> <tr> <th>PH</th> <th>HCV</th> </tr> </thead> <tbody> <tr> <td>PHA 1:</td> <td></td> </tr> <tr> <td>PHA 2:</td> <td></td> </tr> <tr> <td>PHA 3:</td> <td></td> </tr> </tbody> </table>	PH	HCV	PHA 1:		PHA 2:		PHA 3:	
PH	HCV												
PHA 1:													
PHA 2:													
PHA 3:													
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.												
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: "The mission of the Muncie Housing Authority is to provide quality choices of affordable housing and to foster self-sufficiency and homeownership"												
5.2	Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.												

PHA Plan Update

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

The Authority has revised and or implemented its policies.

(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.

The Annual and Five (5) Year Plan may be obtained at the PHA’s Administration Office located at 409 E. First Street, Muncie, IN 47302, or the PHA development Management office, or visit the PHA website at www.muncieha.com.

1. PHA Plan Elements

• **Public Housing**

- a. Eligibility – Screenings are conducted thru the initial application process and person is interviewed according to income limits. Criminal or drug-related activity background checks are performed thru Screening Reports, Inc. Rental history of the applicant is reviewed. A search is conducted to ensure no outstanding balances with other PHA’s.
- b. Waiting List Organization – Waiting lists are maintained at each public housing site. Applications for housing can be turned in at the PHA administrative office or PHA development site management office. Families may be on more than one (1) waiting list simultaneously. Interested persons may obtain more information about and sign up to be on the site-based waiting lists at the PHA administrative office and all PHA development management offices.
- c. Admission Preferences – Preferences have been established by the PHA for admission into public housing (other than date and time of application). Those preferences are: working families and those unable to work because of age or disability and MFP (Money Follows Person) Rebalancing Initiative. Transfers will take precedence over a new admissions only in the case of emergencies, over housed, under housed, medical justification, or administrative reasons determined by the PHA (to permit modernization work).
- d. Deconcentration and Income - The PHA performs an analysis of its family (general occupancy) developments to determine concentrations of poverty. This indicates the needs for measures to promote deconcentration of poverty and income mixing. Based on the results of the analysis, the PHA made special efforts to attract or retain higher-income families in the following developments: Millennium Place, Earthstone Terrace, and Southern Pines.

• **Housing Choice Voucher Program**

- a. Eligibility Screening – The extent of the screenings conducted by the PHA is for criminal or drug-related activity only to the extent required by law or regulation. The screenings also identify:
 - If any member of the family has been evicted from public housing during the last three (3) years.
 - If any member of the family commits fraud, bribery or any other corrupt or criminal activity within the past three (3) years.
 - The family currently owes rent or other amounts to the HA or to another HA in connection with Housing Choice Voucher Program or public housing assistance under the 1937 Act.
 - The family has not reimbursed any HA for amounts paid to an owner under a HAP contract for rent, damages to the unit, or other amounts owed by the family under lease.
 - The family breaches an agreement with an HA to pay amounts owed to an HA or amounts paid to an owner of an HA.
 - Violations of family obligations in the past three (3) years.
- b. Waiting List Process – Interested persons may apply for admission to the Housing Choice Voucher Program for tenant-based assistance by:
 - Obtaining an Application at MHA’s Administration Office 409 E. First St. Muncie, IN 47302, or the PHA’s website at www.muncieha.com when waiting list is open.
 - The Housing Choice Voucher Program Placement waiting list is based on a lottery system.
- c. Admission Preferences – Elderly disabled singles have preference over non-elderly disabled singles.
 - Person’s displaced by MHA have preference.

6.0

2. Financial Resources

• Public Housing Operating Funds	\$1,282,847.57
• Public Housing Capital Funds	\$494,429.00
• Capital Fund RHF Funds	\$170,836.00
• Annual Contributions for Housing Choice Voucher Program	\$4,270,940.00
• HCVP Administrative Fee	\$360,000.00
• Developer Fees	\$111,634.00
• Public Housing Dwelling Rental Income	\$441,192.00
Total of all resources	\$7,131,878.57

3. Rent Determination Policies

- **Public Housing**
 1. The PHA employs discretionary policies for determining income based rents. The minimum rent is set at \$50. The PHA has adopted a discretionary minimum hardship exemption policy. Between income reexaminations, tenants must report changes in income or family composition to the PHA which may result in an adjustment to tenants rent. In setting the market-based flat rents, the PHA uses the Section 8 rent reasonableness study of comparable housing and survey of rents listed in local newspapers.
- **Housing Choice Voucher Program**
 1. The PHA's payment standard for HCVP is at 105% of Fair Market Rate (FMR). FMR's are adequate to ensure success among assisted families in the PHA's segment of the FMR area. The payment standards are reevaluated for adequacy on an annual basis. PHA considers the availability of suitable units below payment standard. The PHA also considers the availability of suitable units below payment standard, reasonableness Data Base/Average Rent to Owners Financial Feasibility. The minimum rent for Section 8 is set at \$50. The PHA has adopted a discretionary minimum rent hardship exemption policy. The hardship is determined if the family has lost eligibility for or is awaiting an eligibility determination for a federal, state, or local assistance program. The family would be evicted because of the following: Inability to pay the minimum rent, family income has decreased because of changed family circumstances, loss of employment, a death in the family, or the family has experienced other circumstances determined by the PHA.

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	<p>4. Operations and Management – The rules, standards and policies of the PHA that govern maintenance and management are covered in the agency’s maintenance plan. They are extensive and comprehensive and cannot be included within the limits of this space. A copy of the policies and procedures can be made available upon request.</p> <p>5. Grievance Procedures</p> <ul style="list-style-type: none"> • Public Housing <ul style="list-style-type: none"> a. The grievance procedures are outlined and followed according to the agency’s ACOP. • Housing Choice Voucher Program <ul style="list-style-type: none"> a. The grievance procedure is outlined and followed according to the agency’s Administrative Plan. <p>6. Designated Housing for Elderly and Disabled Families – Gillespie Tower</p> <p>7. Community Service and Self-Sufficiency – (The PHA has entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services). The PHA employs the following discretionary policy to enhance the economic and social self-sufficiency of assisted families: Preferences for families working. The PHA is complying with the statutory requirements of the welfare program by:</p> <ul style="list-style-type: none"> • Adopting the appropriate changes to the PHA’s public housing rent determination policies and train staff to carry out those policies. • Informing the residents of new policy on admissions and reexamination • Actively notify residents of new policies at times in addition to admission and reexamination • Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services. <p>8. Safety and Crime Prevention – The PHA has gathered information from public and community meetings, resident reports, and PHA reports to determine the need for PHA actions to improve the safety of residents. The PHA and the Muncie Police Department have coordinated efforts to prevent crime with the following activities:</p> <ul style="list-style-type: none"> • PHA conducts monthly reviews of police reports to identify possible problem areas • PHA participates in crime watch meetings • PHA has security officer which patrols Housing Authority properties • PHA sponsors the National Night Out initiative in partnership with the Muncie Police Department to promote crime prevention. <p>9. Pet Policy – The PHA does not discriminate against elderly or disabled tenants which live in senior or family communities, regarding admission or continued occupancy because of ownership of pets and has established reasonable rules governing the keeping of common household pets in accordance with 24 CFR Part 5 Subpart C and with regard to assistance animals Section 504: Fair Housing Action (42U.S.C.); 24CFR5.303.</p> <p>10. Civil Rights Certification – The Civil Rights Certification is in compliance with 24 CFR Part 903.7 9(o) as evidence attachment HUD form 50077.</p> <p>11. Fiscal Year Audit – Velma Butler & Company, LTD. Audited the PHA’s compliance with the public housing assessment system program and did observe any material instances of noncompliance. Velma Butler & Company also audited the PHA’s compliance with the Housing Choice Voucher Management Asset Program and did not observe any material instances of noncompliance. In regards to financial statements, there were no reportable findings for the FY 2010. Also, there were no reportable federal award findings or questioned costs for the FY ending 2010</p> <p>12. Asset Management – The PHA has already decentralized its warehouse and made provisions for maintenance materials and supplies on a project basis. The finance department has made the transition to development based accounting. Development site managers have been given authority to supervise maintenance personnel at each site.</p> <p>13. Violence Against Women Act (VAWA) –The PHA Staff has developed relationships with local agencies and service providers which handle matters pertaining to VAWA.</p>
6.0	<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>A. HOPE VI or Mixed Finance Modernization or Development – N/A</p> <p>B. Demolition and/or Disposition – N/A</p> <p>C. Conversion of Public Housing – N/A</p> <p>D. Homeownership – The PHA received a \$12.3 Million revitalization grant in 2002. The PHA will continue to implement its HOPE VI Homeownership phase. The Homeownership Program is a Section 24 new construction, direct-sales program to low and moderate income buyers. The plan includes 44 homeownership units, 22 are subsidized by HOPE VI and 22 are market rate. The market rate units are privately funded. The project number is IN36URD005I102. Infrastructure for this project is 100% complete, the first phase of construction consists of eight (8) single family homes is 100% complete. Two (2) of the eight (8) homes have been sold.</p> <p>E. Project-Based Vouchers – N/A</p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.</p>

8.1	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.
8.2	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.
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> <p>There are no plans to apply for a CFFP Loan.</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.</p> <p>The PHA is working in collaboration with other housing service providers to provide information about the agency's available housing stock on a quarterly basis. The PHA thru its staff will disseminate information to the community. Case management and other resident development services are provided for all public housing residents and HCVP tenants. The PHA is also working with the Department of Community Development to identify and remove the negative effect of public policies that serve as barriers to affordable housing. The PHA publishes a quarterly newsletter and has recently updated the agency website.</p>

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>Strategy 1: Maximize the number of affordable units available to the PHA within its current resources by:</p> <ul style="list-style-type: none"> • Employ effective maintenance and management policies to minimize the number of public housing units off-line. • Reduce turnover time for vacated public housing units by outsourcing vacant unit maintenance to private contractors. • Reduce time to renovate public housing units. • Maintain or increase Housing Choice Voucher Program lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction. • Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required. <p>Strategy 2: Increase the number of affordable housing units by:</p> <ul style="list-style-type: none"> • Apply for additional Housing Choice Vouchers units should they come available. • Leverage affordable housing resources in the community through the creation of mixed-finance housing. • Pursue housing resources other than public housing or Housing Choice Voucher Program tenant-based assistance. <p>Need: Specific Family Types: Families or below 30% of median income</p> <p>Strategy 1: Target available assistance to families at or below 50% of AMI by:</p> <ul style="list-style-type: none"> • Employ admissions preferences aimed at families who are working. • Utilize agency instrumentality to develop further affordable housing for families at or below 30% AMI, 15 new tax credit units of housing for families at or below 40% AMI, 18 new tax credit units of housing for families at or below 50% AMI, and 19 new tax credit units of housing for families at or below 60% AMI. <p>Need: Specific Family Types: Families with Disabilities</p> <p>Strategy 1: Target available assistance to Families with Disabilities by:</p> <ul style="list-style-type: none"> • The PHA will promote marketing to not-for-profit agencies that assist families with disabilities. <p>Need: Specific Family Types: Races or ethnicities with disproportionate housing needs</p> <p>Strategy 2: Conduct activities to affirmatively further fair housing by:</p> <ul style="list-style-type: none"> • In order to provide fair available housing, the PHA refers participants to the website: www.gosection8.com.
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10.0	<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.</p> <p>In the development of Parkview Apartments all residents were offered HCVP vouchers. All residents were successfully relocated.</p> <p>The Authority has secured a fee accountant to be part of our financial management team to ensure asset management and all other financial compliances are properly met.</p> <p>A team has been established to design and consult on a business plan for the day care facility for the PHA. Development and design documents have been prepared for the construction of the facility.</p> <p>The PHA is developing plans for the admin offices to be relocated to the proposed site which will house the day care facility.</p> <p>The Authority has completed the application documents for Millennium Place West (Tax Credit Application) and will submit November 1, 2012, in order to provide additional affordable housing to the community, and a source of replacement housing for the demolition of 64 PH units.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p> <p>N/A</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> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>
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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

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

Instructions form HUD-50075

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

1.0 PHA Information

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

2.0 Inventory

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

3.0 Submission Type

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

4.0 PHA Consortia

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

5.0 Five-Year Plan

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

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

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

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

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

PHA Plan Elements. (24 CFR 903.7)

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

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

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

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

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