

PHA Plan Update

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

CMHA updated the Annual and Five Year Capital Grants expenditure plans to accommodate the completed stimulus funds rehab work. The essence of the 5-Year plan remains unchanged. CMHA received 9 million dollars of Federal Stimulus funding in 2009. The unexpected funds were used to complete needed renovations at Indian Meadows, Sawyer Manor, Trevitt Heights, Kenmore Square, Glenview Estates, Thornwood Commons, Post Oak I & II, Ohio Townhomes and Eastmoor Square. All stimulus funds have been expended.

HCV Component

CMHA has continued to implement changes in the HCV Administrative Plan adopted in the last calendar quarter of 2011 and during 2012. The principal revisions were:

1. Adoption and implementation of an electronic payments system for making HAP payments to landlords and Utility Assistance Payments to tenants. The landlord system is fully operational and the tenant Utility Allowance Payment (UAP) system is ready for implementation.
2. Adoption and implementation of an interim recertification policy that requires reporting of the majority of increases in tenant income only at the time of annual recertification. This encourages tenants to seek and retain employment and allows them to improve their economic circumstances.
3. Adoption and implementation of a policy and procedure that permits landlords to certify compliance with HQS violations cited during inspections when the violations are not life/health threatening or of an emergency nature.

Due to delays in the receipt of Tenant Protection Vouchers and other circumstances, the HCV wait list was not opened in 2012, and the adoption of a Web-Based Application System, changes to the admission preferences and use of a lottery system for placement on the Wait List have not been implemented. These changes are still planned for adoption and implementation in 2013 or beyond based on vouchers and funding received.

In addition to the major revisions cited above, the entire HCV Administrative Plan has been edited for clarity, conformance with new HUD regulations and incorporation of CMHA policy and procedural changes. The revised Plan will be adopted and published during the latter part of 2012. CMHA will revise its admission preferences in 2013 and include a local residency preference. CMHA plans to review and update the HCV Administrative Plan as needed during the planning period.

Public Housing Component: ACOP

The Public Housing Admission and Continued Occupancy Plan was also modified by the adoption and implementation of an interim recertification policy that requires reporting of the majority of increases in resident income only at the time of annual recertification. This encourages residents to seek and retain employment and allows them to improve their economic circumstances. CMHA will revise its admission preferences in 2013 and include a local residency preference. CMHA plans to review and update the ACOP as needed during the planning period.

An electronic payments system for making Utility Assistance Payments to residents was adopted during 2012 that will be fully implemented during 2013. Policy and procedural changes for a Web-Based Application System, modified admission preferences and use of a lottery system for placement on the Wait List are being prepared and will be implemented during 2013.

Copies of this Five Year and Annual Plan are available at each CMHA development. Additional information on the following PHA Plan elements is available on the CMHA website (www.cmhanet.com) or is available for review at CMHA's offices at 880 East 11th Avenue, Columbus, Ohio.

1. Eligibility, Selection and Admissions Policies, including De-concentration and Wait List Procedures. These are described in the Section 8 Administrative Plan and the PH Admission and Continued Occupancy Plan (ACOP).
2. Financial Resources - The Annual Audit and Budget contain this information.
3. Rent Determinations – The S8 Administrative Plan and the PH ACOP contain this information.

4. Operation and Management Policies – These are available at the CMHA office upon request.
5. Grievance Procedures -- These are described in the Section 8 Administrative Plan and the PH Admission and Continued Occupancy Plan (ACOP).
6. Designated Housing for Elderly and Disabled Families – Information is available at the CMHA office.
7. Community Service and Self-Sufficiency – Information on the FSS program, the S8 Homeownership Program and other supportive services is available at the CMHA Office.
8. Safety and Crime Prevention -- These policies are available at CMHA's office.
9. Pet Policy – This is described in the PH Admission and Continued Occupancy Plan.
10. Civil Rights Certification— The Certification and Information are available at the CMHA office.
11. Fiscal Year Audit—Copies can be obtained at the CMHA office.
12. Asset Management – Information is available at the CMHA office.

13. Violence Against Women Act --- (A) Describe any activities, services, or programs provided or offered by CMHA, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking: CMHA agrees that any public housing resident or Voucher holder experiencing and reporting domestic violence will be referred to CHOICES if they did not have other assistance. Based upon this partnership agreement, CMHA does not provide services. CMHA serves as a member on the ACTION OHIO COALITION FOR BATTERED WOMEN Collaboration Board and has committed to host training classes targeted for those who assist abused victims by providing support, resources and referrals.

6.0

In May of this year, the HCV staff was briefed on VAWA updates during a training session presented by CMHA's legal counsel. CMHA also hosted a Columbus Training Event "HELPING ABUSED VICTIMS FIND HOUSING & HOME" featuring CHOICES, ACTION OHIO Coalition for Battered Women, The Legal Aid Society of Columbus and Attorney Joe Maskovyak with OHIO Poverty Law Center.

In 2013, CMHA will host Domestic Violence Victims & Housing Issues training by ACTION OHIO and CHOICES for the entire HCV and public housing staff. We will also have CHOICES and ACTION OHIO attend a New Landlord class to inform owners about VAWA.

The CMHA Crime and Safety Manager reviews all VAWA referrals and makes the final recommendation to the Asset Manager and other senior staff in determining the most appropriate course of action for public housing residents. The CMHA Crime and Safety Manger maintains all of the VAWA certifications on file. The AVP of the HCV reviews all VAWA referrals for the HCV Program and keeps certifications on file.

(B) Describe any activities, services, or programs provided or offered by a public housing agency that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing: Services are offered through the partnership agreement with Choices, a local domestic violence service provider. Once appropriate actions are determined, CMHA works with CHOICES to protect and maintain housing needs. CMHA provides notification to residents of public housing, landlords and Voucher tenants of VAWA requirements. VAWA information is included in the Voucher and public housing tenant and landlord briefings packets and tenant files.

(C) Describe 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. CMHA provides information about VAWA and tenant rights and obligations in tenant lease-up packets for the HCV program. Victims are encouraged to contact their Public Housing Manager or the HCV staff to report problems and seek assistance. Referrals are made to CHOICES to enable the residents/tenants to obtain assistance from an experienced service provider. CMHA then continues to work with CHOICES as individualized service plans are developed.

(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.

Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. *Include statements related to these programs as applicable.*

HOPE VI, MIXED FINANCE MODERNIZATION OR DEVELOPMENT:

CMHA is planning for the redevelopment and revitalization of the Poindexter Village area and the Riverside-Bradley, Sunshine Terrace and Sunshine Annex areas. These developments have been approved for demolition and disposition by the Special Applications Center. This redevelopment will be initiated during the Five-Year Plan period. CMHA plans on applying for a HOPE VI grant, CNI Grant (or a successor program) for either/both Poindexter Village and the Sunshine Annex, Sunshine Terrace, Riverside-Bradley areas during the 5-Year Plan period. Redevelopment may include mixed-use, mixed-income and/or mixed-finance components. CMHA will also use acquisition with rehab. CMHA also plans to develop an elderly/disabled facility as a replacement for elderly/disabled facilities that will be demolished as a development strategy. Financing sources for these projects may include: Low-Income Housing Tax Credits, CMHA reserve funds, and mortgages, AHP Grant Funds, RHF Funds and HCV Project Based Vouchers. Construction activities will likely begin in 2013 or 2014.

Replacement Housing Factor Funds (First and Second Increments) are being accumulated for the redevelopment activities described above and for future projects. Updated RHF Plans for both Increments are submitted on an annual basis.

DEMOLITION AND/OR DISPOSITION:

CMHA has completed a significant portion of the demolition and disposition activities described in the 2009-2013 Five Year Plan and the 2009-2012 Annual Plans. A summary of remaining SAC approved demolition/disposition actions follows: Lincoln Park - sold July 2011; Riverside Bradley - demolition completed & land retained for redevelopment or final disposition through sale; Poindexter Village - relocation completed - demolition to occur in 2013 - land to be redeveloped, sold or a combination of both; Marion Square relocation to begin in 2013 and property will be sold or demolished; Sunshine Terrace--relocation and disposition to occur in 2013 & 2014 - land retained for redevelopment or final disposition through sale. Redevelopment activities may include the disposition of all or a portion of any selected sites, including Post Oak (OH1-35, OH1-46), Trevitt (OH1-44) and Thornwood (OH1-43). CMHA continues to review the operating feasibility and capital improvement needs of these and other public housing communities and may elect to submit additional demolition/disposition applications in the future.

7.0

CONVERSION OF PUBLIC HOUSING

CMHA is not required to convert any public housing units to tenant-based assistance but may undertake voluntary conversions of certain public housing properties during the plan period.

HOMEOWNERSHIP PROGRAMS

CMHA is not administering a public housing homeownership program nor does it intend to initiate one. However, CMHA does administer a Section 8 Voucher Homeownership Program in connection with its Family Self-Sufficiency program. The FSS program currently has approximately 150 enrollees with 108 of those enrolled in the Homeownership component. The goal for 2012 is an additional 10 participants in the home ownership program. CMHA plans to continue the FSS/S8 Homeownership during the 5-year Plan period, but there are too many variables to predict the number of homeownership successes that will be achieved. A Grant has been submitted to HUD to fund a Public Housing Self-Sufficiency program. If funded, CMHA will implement the program for the benefit of public housing residents.

PROJECT BASED VOUCHERS

CMHA currently operates a project based voucher program that targets specific populations. The program is administered in cooperation with community-based organizations that offer supportive services. Chronic homeless individuals and families, the elderly/disabled and other special needs populations are being served by the 1,579 project based vouchers issued to date and located throughout Franklin County. CMHA estimates that in the next 3-5 years it will issue up to an additional 900 project based vouchers to expand assistance to these populations. CMHA is also exploring partnerships for the development of supportive housing for veterans, homeless, senior and other special needs populations within Franklin County using project based vouchers as part of the financing mechanism. CMHA will also use project based vouchers for its own future development efforts and/or conversion of public housing units to project based vouchers.

These efforts are consistent with the PHA Plan to serve these targeted special needs populations by providing affordable housing in conjunction with supportive services and to develop replacement units resulting from the demolition and/or disposition of obsolete public housing properties. These actions are also consistent with the housing needs component of the Consolidated Plan for Columbus and Franklin County. Locations are usually identified by the service providers, and they are reviewed and approved at the time the project based Section 8 Voucher application is submitted.

| | |
|-----|--|
| 8.0 | Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. |
| 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>The Annual Statement/Performance and Evaluation Report, HUD 50075.1 is included.</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>Capital Fund Program Five Year Action Plan, HUD 50075.2 is included.</p> |
| 8.3 | <p>Capital Fund Financing Program (CFFP). <input checked="" 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>This is an option that CMHA may use as it examines the best methodologies to finance future developments.</p> |

Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.

The following information has been taken from the 2010-2014 Columbus and Franklin County Consolidated Plan: Unlike many other metropolitan areas, where the major city is landlocked by suburban jurisdictions, the boundaries of Columbus have expanded to include a greater portion of the region's developed areas. This has created two "cities" within Columbus: one an "older" urban central city with population decline since the 1950s, and another "newer" with significant growth more akin to suburbs. Compared to the 1990s, the 2000s have seen a greater balance in growth between the older city and the rest of the county. From 1990 to 2000, there was a 1.9% decrease in the older city and much greater increases in the newer city (32.0%) and suburban county (13.0%). In comparison, from 2000 to 2008, the number of housing units increased throughout Older and Newer Columbus and suburban Franklin County. The growth was greatest in Newer Columbus, at 18.2%, while the older city saw a 5.3% increase. In spite of this gap, the results indicate a change in the pattern of development compared to the 1990s. In Franklin County, 62.5% of the housing stock was built before 1980. According to the 2002 American Housing Survey (the most recent source of data on housing conditions for city and county), Franklin County had 21,300 housing units with physical condition problems. Of these, 73.3% were renter units. Franklin County's main housing issues are lead exposure, foreclosure, and affordability. Foreclosures are a greater issue in older Columbus neighborhoods than in most other parts of Franklin County. In 2007 and 2008, the number of foreclosure filings amounted to 7.4% of residential properties. For sheriff's sales, the rate was 5.1%. Renters in Franklin County were affected by 42% of all properties sold at sheriff's sale.

Additional Data from the 2010-2014 Consolidated Plan:

- 19.4% of Franklin County population is black; however, a much higher percentage 34.7% is located in the "older" city
- Lower-income renters have fewer rental housing options than in the past.
- Substantial portions of the rental housing stock need improvement.
- There are over 44,000 renter households paying more than 50% of the income for housing.
- A market analysis shows a deficit of about 31,000 affordable housing units for extremely low-income renters.
- About 50% of all renters spent more than 30% of income on gross rental costs in 2007.
- There are 105 chronically homeless who are unsheltered.
- There are an estimated 3200 elderly and 600 frail elderly households in need of housing.
- There are an estimated 650 disabled persons in need of housing.
- There are an estimated 770 persons with HIV/AIDS who are in need of housing and supportive services.

The Section 8 and Public Housing wait lists also corroborate the housing needs identified in the Consolidated Plan.

As of June 30, 2012 there were 4,399 families on the PH wait list. Of these, the demographics include:

1bdr: 1416; 2bdr:1868; 3bdr:911; 4bdr: 149; 5bdr+:54
1484 singles; 172 Elderly; 819 Disabled; 1,114 have family sizes at 3 or more
3,356 are female heads of household; 955 have male heads of household
3,434 are black; 740 are white; 120 is multi-racial
4,073 are under 30% of median income
2,183 have income <= 5,000 (20%); 3,922 have income <= 15,000 (58%)

As of June 30, 2012 there were 1,451 families on the Section 8 wait list. Of these the demographics include:

0bdr: 2; 1bdr: 591; 2bdr: 448; 3bdr: 321; 4bdr: 74; 5bdr: 11; 6bdr:4
447 singles; 130 Elderly; 238 Disabled; 684 have family sizes at 3 or more
1,188 are female heads of household; 257 have male heads of household
1,201 are black; 234 are white; 1 is multi-racial
974 are under 30% of median income
293 have income <= 5,000 (20%); 840 have income <= 15,000 (58%)

1/5 of the households on the wait lists have incomes of less than \$5,000 per year and nearly 60% of households have incomes of less than \$15,000 per year.

9.0

9.0 Housing Needs (Scale Low 1 – High 5)

| Housing Needs of Families in the Jurisdiction by Family Type | | | | | | | |
|---|----------|--------------------|--------|---------|-------------------|------|----------|
| Family Type | Overall | Afford- ability | Supply | Quality | Access -abiity | Size | Location |
| Income <= 30% of AMI | 125,489 | 5 | 5 | 5 | 5 | 3 | N/A |
| Income >30% but <=50% of AMI | 102,210 | 5 | 5 | 5 | 5 | 3 | N/A |
| Income >50% but <80% of AMI | 82,349 | 4 | 4 | 4 | 4 | 3 | N/A |
| Elderly | 115, 188 | 5 | 5 | 5 | 4 | 3 | N/A |
| Families with Disabilities | 24,141 | 5 | 5 | 5 | 5 | 4 | |
| White/Non-Hispanic | 802,756 | 5 | N/A | N/A | N/A | N/A | N/A |
| Black/Non-Hispanic | 244,317 | 5 | N/A | N/A | N/A | N/A | N/A |
| Hispanic | 55,843 | 5 | N/A | N/A | N/A | N/A | N/A |
| Asian | 45,373 | 5 | N/A | N/A | N/A | N/A | N/A |

| Housing Needs of Families on the Waiting List | | | | | | |
|---|----------------|-----------|---------------------|-----------|-----------------|-----------|
| | # of families | | % of total families | | Annual Turnover | |
| | Public Housing | Section 8 | Public Housing | Section 8 | Public Housing | Section 8 |
| Waiting list total | 4398 | 1451 | | | | |
| Extremely low income <=30% AMI | 4096 | 1004 | 93 | 69 | | |
| Very low income (>30% but <=50% AMI) | 267 | 391 | 6 | 27 | | |
| Low income (>50% but <80% AMI) | 35 | 61 | 0.07 | 4 | | |
| Families with children | 1574 | 679 | 36 | 47 | | |
| Elderly families | 172 | 130 | 4 | 9 | | |
| Families with Disabilities | 819 | 240 | 19 | 17 | | |
| White/Non-Hispanic | 794 | 235 | 18 | 16 | | |
| Black/Non-Hispanic | 3516 | 1202 | 80 | 83 | | |
| Hispanic-Non-Black | 88 | 14 | 2 | 1 | | |
| Race/ethnicity Other | | | | | | |
| Characteristics by Bedroom Size (Public Housing Only) | | | | | | |
| 1BR | 1416 | | 32 | | | |
| 2 BR | 1868 | | 42 | | | |
| 3 BR | 911 | | 21 | | | |
| 4 BR | 149 | | 3 | | | |
| 5 BR | 50 | | 1 | | | |
| 5+ BR | 4 | | 0.01 | | | |

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.**

CMHA plans to continue several strategies to address housing needs of families within Franklin County and the City of Columbus. These include:

1. The approved demolition/disposition of approximately 2000 outdated and costly public housing units will continue through 2013-2014 after the approved properties are vacated. CMHA's commitment is to apply for tenant protection replacement vouchers for these units. CMHA has already received 1678 vouchers and is due to receive an additional 422 replacement Vouchers during 2013. CMHA also plans to apply for additional Housing Choice Vouchers as funding becomes available and for special purpose vouchers targeted at veterans or disabled persons and families.

2. CMHA has initiated action on the following new projects that will address housing needs. These development activities will continue into 2013:

- Avondale (Dublin area) - 100 units of affordable elderly housing supported by Project-Based Vouchers
- Franklin Station - 100 units of affordable elderly/disabled housing supported by PBVs
- Commons at Livingston - 50 units of affordable housing for disabled veterans supported by PBVs
- Hilliard Run (Hilliard) - 40 units of affordable family housing supported by Project-Based Vouchers

CMHA will consider additional development strategies that meet these needs as funding and partnership opportunities become available.

3. CMHA also administers a project based voucher program that targets specific populations. The program is administered in cooperation with community-based organizations that offer supportive services. Chronic homeless individuals and families, the elderly, the disabled and other special needs populations are being served by the 1,579 project based vouchers issued to date. CMHA estimates that in the next 3-5 years it will issue up to an additional 900 project based vouchers to expand assistance to these populations. CMHA is also exploring partnerships for the development of supportive housing for veterans, homeless, senior and other special needs populations within Franklin County using project based vouchers as part of the financing mechanism.

4. CMHA will continue to explore partnerships with other housing and service providers for the development of housing to serve veterans, homeless, family, senior, and other special needs populations within Franklin County. Family needs will be addressed through the use of Housing Choice Vouchers and the Project-Based Voucher program, the latter typically used in connection with LIHTC lease/purchase projects in cooperation with other partners.

5. The Housing Authority is maintaining its lease rate at nearly 99% in the HCV program and 98% in the Public Housing program to assure that resources are fully utilized.

6. CMHA received a Choice Neighborhood Planning grant in 2012 to plan for the revitalization and redevelopment of Poindexter Village and the surrounding neighborhood. CMHA will pursue strategies that include LIHTC, CNI Implementation Grant, mixed finance applications, RHF and other capital funding to pursue its redevelopment objectives and will look for appropriate partners when necessary and appropriate. This is part of a larger effort known as Partners Achieving Community Transformation (PACT) which is a partnership between CMHA, the Ohio State University and the City of Columbus to transform this near east side neighborhood into a mixed income, diverse, and vibrant community.

7. CMHA is also working on a master planning effort to transform the historic East Franklinton neighborhood just west of downtown Columbus, and its original settlement, making it the oldest part of Columbus. CMHA will pursue strategies to redevelop the former Riverside Bradley, Sunshine Annex, and Sunshine Terrace properties into a mixed income, diverse and vibrant community.

9.1

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.

As it relates to the prior Annual and Five Year Plan CMHA continues to achieve its goals. Residents at Riverside Bradley and Lincoln Park were relocated using tenant protection vouchers. Riverside Bradley was demolished. Lincoln Park was sold. Relocation of residents at Poindexter Village is now completed and demolition will occur through 2013. CMHA is working with the City of Columbus and other partners to plan the redevelopment of the Franklinton neighborhood which includes the Riverside Bradley/Sunshine Annex and Terrace sites. CMHA is partnering with the City of Columbus and the Ohio State University to plan the redevelopment of the historic Near East Side which includes the Poindexter Village public housing project and received a Choice Neighborhood Planning Grant in 2012. Bollinger Towers and Maplewood have been transferred to limited liability corporations and converted to project based Housing Choice Vouchers. CMHA is developing the 100 unit Franklin Station housing community on West Broad Street and continues to work with several partners (CHN, NCR, Homeport, OSU, City of Columbus, and Franklin County) on developing affordable housing to meet the needs of the community through a variety of innovative strategies.

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

CMHA's definition of significant amendments and substantial modifications to the Agency Plan is "changes that would alter the PHA's mission or the goals and objectives CMHA has established for meeting the needs of the families we serve". With respect to the Capital Fund, CMHA considers significant amendments as those that involve a reallocation of more than 70% of the Capital Funds by CMHA (excepting reallocations mandated by statute or HUD regulation).

10.0

11.0 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.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations* (which includes all certifications relating to Civil Rights)
- (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. 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, *Capital Fund Program Annual Statement/Performance and Evaluation Report* (PHAs receiving CFP grants only)
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan* (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.