

1.0	PHA Information PHA Name: <u>City of Sioux City Housing Authority</u> PHA Code: <u>IA018</u> PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>July 1, 2009</u>				
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>NA</u> Number of HCV units: <u>1175</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
	PHA 1:				PH HCV
	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 PHA is to promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.				
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. The Sioux City Housing Authority is currently finishing a comprehensive rent comparability survey. Early findings lead to a fairly significant increase in our payment standards on January 1, 2009. We believe this increase has led to more opportunities for tenant choice including deconcentration, amenities, and quality. It has also allowed more families to move from apartment living into single family units. The Housing Authority continues to advise families about homeownership opportunities and Family Self-Sufficiency (FSS.) As loan requirements have become more stringent, we continue to work with agencies to assist potential home buyers in achieving their goals. While we did not have any Section 8 home owners this year, two of our Section 8/FSS participants did work through their obstacles and become homeowners through our local Habitat for Humanity program. The Housing Authority continues to partner with agencies serving the disabled and elderly populations. We cooperate with the agencies and make all special accommodations necessary to allow these individuals and families to be housed in environments that take into account their special needs. We also modify our policies as necessary to move participants in these situations with less than adequate notice when needed due to their special needs. The Housing Authority continues to promote the awareness of Violence Against Women Act (VAWA) through at least annual notification with their annual review information, newsletter articles, new participant orientations, through referrals to the Council on Sexual Assault and Domestic Violence (CSADV), and as we become aware of situations which may qualify for VAWA protection including improving portability and possible extended absences as needed. The Housing Authority's Family Reunification Program (FUP) continues to serve families for whom housing is a major priority. By "graduating" families from the FUP program as they complete their goals, we are able to maintain openings and more quickly serve families in dire circumstances. Our partnership with Sanctuary House, an apartment complex for women & families transitioning out of alcohol/drug treatment with supportive services including daycare, has allowed us to serve those who may otherwise be ineligible because of their past record of criminal activity. The City of Sioux City has received a grant of \$1.9 million for lead abatement. We will refer our landlords to this program to help improve the housing stock by making it safer for families, especially those with young children, as well as improving the overall appearance of the neighborhoods. The Housing Authority is dedicated to improving awareness and compliance with Fair Housing. We are working with the Human Rights Commission to share training they received regarding fair housing with our staff. A representative from the Human Rights Commission attends our new tenant orientations and provides family with oral and written information about what services they can offer. Our staff has participated in community wide quarterly information seminars in conjunction with Human Rights and the Sioux City Legal Aid offices.				

	<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>PHA:</p> <ol style="list-style-type: none"> 1) modified residency preferences <ol style="list-style-type: none"> a) PHA adopts a Siouxland jurisdiction for residency that includes Sioux City and the counties of Woodbury and Plymouth in Iowa, Dakota in Nebraska & Union in South Dakota. b) PHA defines “live” as having a permanent residence or at least 60 days in a temporary residence such as a shelter, treatment facility or living with friends and family that will not be a part of the permanent household. 2) removed working preference - PHA waiting list has been moving so quickly (three to six months) it has simply added administrative burden to verify this preference 3) clarified time frames and acceptable treatment options for violent, drug, and alcohol criminal activity 4) changed to verifying preference from at the time it is made to the time family is approaching the top of the waiting list 5) changed minimum rent from \$25 to \$50 6) requires families to provide address if different from unit for termination documentation to be sent to. 7) adopted the HUD stricter recommendations and requirements for verifying income, assets, and deductions. 8) extended reviews of zero/minimum income families income from 30 days to 30-90 days. 9) does not require repayment agreements for current unentitled benefit amounts less than \$200 10) added a federal preference for residency 11) added a federal preference for working, elderly & disabled 12) weighted the newly adopted preferences 13) will verify preference as name is approaching top of waiting list 14) required a stable income to approve higher rents 15) set different standards for alcohol vs. drug use – one time in past 12 months for drugs/3 times in past 12 months for alcohol 16) changed “will” to “may” for alcohol terminations 17) required proof of identity and age 18) clarified reporting requirements for absences. Extended absences are approved for medical need, treatment programs, etc 19) reduced the amount of time visitors are allowed without PHA approval 20) clarified policies regarding families establishing residency in Sioux City to begin assistance 21) clarified mutual recession procedures. Breaking leases will no longer be allowed without good cause 22) clarified policies as to what evidence may be provided as proof of residency for portability 23) clarified admitting individuals who complete acceptable treatment programs 24) established life-time denial for serious violent crimes (i.e. murder, rape, etc.). Would allow review of circumstances <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 style="padding-left: 40px;">Housing Assistance Center 405 6th St. Room 107 Sioux City, IA 51101</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>NA</p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.</p> <p>NA</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>NA</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>NA</p>
8.3	<p>Capital Fund Financing Program (CFFP).</p> <p><input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p> <p>NA</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>
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>High Performing and Section 8 only</p>

10.0	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. High performer (see 5.2) (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification” High performer
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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, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) – n/a (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) – n/a (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) - n/a (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) – n/a (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. Attached below (g) Challenged Elements - none (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)- n/a (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only) n/a
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11.f – Resident Advisory Comments & minutes.

RESIDENT ADVISORY BOARD MEETING MINUTES

Sioux City Housing Authority
P.O. Box 447
Sioux City, IA 51102
2/8/08

Those present: Kathleen Torbensen, Debbie Bales, Patti Schmitz & Tom Bates

Unable to attend/not present: Gary Burton, Lori Thiele, Jim Rixner, Stacey Tieck, Ann Ragan

Introduction: Introduction of those present and review topics of discussion

Actions: the following subjects were discussed with team responses noted

Subject	Description	Response
PHA/Admin Plan approved by Sioux City Council 1/7/08	Reviewed a number of major changes as discussed and approved by the Resident Advisory Board (RAB) previously. Those include but are not limited to: 1) payment standards 2) utility allowance adjustments (required) 3) definition of infancy 4) expansion of application boundaries 5) removal of preferences (required) Handed out copies of Chapters 1-8 of the new Admin Plan to those requesting such	RAB members discussed and approved
Waiting list	Notable reduction in families ending participation and consequently longer waiting for new families	Continue to monitor
Inspection scheduling	We have to schedule annual inspections in “groups” according to geographic location. But...if nobody is there for the inspection, you will be sent notice to reschedule at a time someone will be there. Only caveat is that this will be the 2 nd inspection at your unit (first 2 are free) and if a 3 rd is required, it’s a \$15.00 fee.	Just for your information
Portability	Reviewed with those present the requirements of portability, ie. moving to another Housing Authority. 1) must be a resident of Sioux City prior 2) cannot be in 1 st year of lease 3) must be in “good standing” 4) must be issued a new voucher 5) the “other” Housing Authority must be willing to “absorb” your voucher or be of a payment standard less than ours	Members present acknowledged
Bedroom size and HQS (inspection)	Members inquiring why a unit has to be listed as a “2 bedroom” if only one is used for such. Reviewed the definition of bedroom: minimum of 70 sq. ft.,	Members present acknowledged

standards	window, electricity, lighting, closet, and privacy (doesn't have to be a door). Noted that if the owner registers it as a one bedroom (and alters if needed, ie. removed a closet) it can be such. But remember we can then only authorize assistance payment and utility allowance for that bedroom size.	
Power Point Presentation	The SCHA has updated the Power Point Presentation used in our briefing of new tenants. It is this presentation in which we review many of the major "family obligations" necessary to participate in our program and that applicants must attend before being issued a voucher.	Members present observed and approved
Literature	As usual...various pages from publications noting issues pertinent to Section 8 participants handed out	Simply for your reading

Assignments and/or possible discussions recommended by the RAB for the upcoming meeting:

- 1) Review any questions, comments, and/or concerns regarding Chapters 1-8 of the new Admin Plan
- 2) Attaching additional literature to copies of the minutes being sent out

Adjournment: this meeting of the RAB was adjourned with the next meeting tentatively scheduled for 4/11/08...as always you will be notified

RESIDENT ADVISORY BOARD MEETING MINUTES

Sioux City Housing Authority
P.O. Box 447
Sioux City, IA 51102
5/9/08

Those present: Kathleen Torbensen, & Tom Bates

Unable to attend/not present: Gary Burton, Lori Thiele, Jim Rixner, Ann Ragan, Debbie Bales, & Anthony Smith

Introduction: Introduction of those present and review topics of discussion

Actions: the following subjects were discussed with team responses noted

Subject	Description	Response
Voucher & Rent Simplification Act of 2007	Reviewed the very complicated proposal submitted by President George Bush in: 1) determination of housing assistance 2) voucher eligibility 3) frequency of income reviews 4) frequency of inspections 5) performance assessments and 6) administrative fees	RAB members discussed and noted the complex methods within this proposal and failure to address other needs
Unentitled benefits	Discussed the noted increase in the number of families found committing fraud and thereby receiving unentitled benefits. No conclusion as to whether the increase was due to more fraud or just better detection and followup.	RAB Board recommends to continue monitoring closely and follow through with repayment or disciplinary action
Miscellaneous news	Discussed Alphonso Jacksons resignation...(no loss) Roy Bernadi as Acting Secretary...(?) Senator Dodd's Reform Bill 10 point plan for the next President: 1) increase funding 2) recognize HUD has been dysfunctional 3) deregulate/streamline 4) restructure the FHA 5) acknowledge damage done 6) propose financial incentives 7) establish "Affordable Green" program 8) HUD & Dep. Of Labor to work jointly 9) Restore Sec. 515 funding 10) Expand LIHTC Program	Just keeping up with current news pertinent to our mission

Assignments and/or possible discussions recommended by the RAB for the upcoming meeting:

Review any questions, comments, and/or concerns the RAB or other tenants present at the next meeting

Adjournment: this meeting of the RAB was adjourned with the next meeting tentatively scheduled for 7/11/08...as always you will be notified

RESIDENT ADVISORY BOARD MEETING MINUTES

Sioux City Housing Authority
P.O. Box 447
Sioux City, IA 51102
7/11/08

Those present: none
Unable to attend/not present: none
Introduction: none
Actions: none

The RAB meeting scheduled for 7/11/08 has been postponed due to conflict of scheduling, summer vacations, staff absences, etc. All members will be notified with the next meeting tentatively scheduled for 9/12/08

RESIDENT ADVISORY BOARD MEETING MINUTES

Sioux City Housing Authority
P.O. Box 447
Sioux City, IA 51102
9/26/08

Those present: Kathleen Torbensen, & Tom Bates (Debbie Bales & Lori Thiele called)
Unable to attend/not present: Judy Thompson
Introduction: Apologize that the meeting had to be rescheduled
Actions: the following subjects were discussed with team responses noted

Subject	Description	Response
Payment Standards	<p>Amount of rent allowed by the PHA in compliance with HUD's "fair market rates" on specific sized units. In other words somebody in Washington thinks they know how much units rent for in Sioux City. Tenants appear to be having difficulty finding units within the current payment standards. In addition many owners are asking for rent increases which add to the problem. Current rates and our reflection:</p> <p>0 bdrm \$398 (very few on program) 1 bdrm \$497 (mostly apts and rents going up) 2 bdrm \$636 (almost impossible to find houses) 3 bdrm \$777 (very few problems) 4 bdrm \$851 (very few problems) 5 bdrm \$979 (very few on program)</p> <p>SCHA recommends to adjust as needed with consideration of utility allowance adjustment noted below</p>	RAB members noted that rents are increasing & tenants need assistance to find units. Recommend adjusting as needed to promote better options for Section 8 tenants.
Utility allowances	<p>Each year the SCHA must review the costs of utilities and adjust the allowances we provide families. This allowance plus rent equals the payment standards noted above. In the past 12 months the following has occurred:</p> <ol style="list-style-type: none"> 1) kilowatt hr of electricity has decreased .5% 2) natural gas costs have increased 12% 3) city utilities increased 7.6% <p>We must adjust an allowance when a change is 10% or greater. Therefore the SCHA will adjust gas allowances for the coming year. In laymen's terms we acknowledge that heating by gas costs more and will adjust according to your unit's bedroom size.</p>	RAB agrees with the findings and adjustment needed
Miscellaneous news	<p>Siouxland Sleepout for the Homeless Nov 7th HUD reports reduction in chronic homelessness Stephen Preston sworn in as new HUD Secretary Practical Guide to Fire Safety...the 3 E's</p> <ol style="list-style-type: none"> 1) education 2) engineering 3) enforcement 	Continued information for Section 8 tenants

Assignments and/or possible discussions recommended by the RAB for the upcoming meeting:

Review the decision of SCHA and RAB regarding payments standards, utility allowances, and the administration of such at the next meeting

Adjournment: this meeting of the RAB was adjourned with the next meeting tentatively scheduled for 12/12/08...as always you will be notified

RESIDENT ADVISORY BOARD MEETING MINUTES

Sioux City Housing Authority
P.O. Box 447
Sioux City, IA 51102
12/12/08

Those present: Kathleen Torbensen, & Tom Bates (Debbie Bales called)
Unable to attend/not present: Linda Tran, Bethene Casky, Cheryl Beckstrom, Vicki Cage, Barb Audus, Patricia Schmitz, Gary Burton, Lori Thiele
Introduction: Introduction of those present and review topics of discussion

Actions: the following subjects were discussed with team responses noted

Subject	Description	Response
Meeting Minutes from 9/26/08	Reviewed meeting minutes as they were not mailed out...(I forgot)	RAB members approve
MDA Lockup	Just for the record...some dirty rotten scoundrel turned my name in for the MDA Lockup and I had to serve time...raised \$525.00 for them though...I have the option of turning someone's name in next year...any volunteers?	No volunteers at this time
Payment Standards/Utility allowances	Handled out tables/charts noting the new payment standards and utility allowances that the RAB approved and go into effective 1/1/09. The following is a brief explanation of the new payment standards (ie. the allowable price of rent AND utilities for specific sized units): 1 bdrm \$510 (up \$13) 2 bdrm \$656 (up \$20) 3 bdrm \$785 (up \$8...account for UA) 4 bdrm \$864 (up \$14...account for UA) 5 bdrm \$979 (no change)	RAB agrees with the adjustments
Miscellaneous news	PHADA Advocate...HUD statistics President elect Obama...one positive article and one negative article Potential choices for new HUD Secretary Carla Hill...interesting article on HUD's history	Continued information for Section 8 tenants
News Bulletin	Kathleen Torbensen (the longest serving member of RAB) has coordinated and is also Chairperson of the "Resident Council" at the Shire Apartments. This Council addresses the needs, concerns and votes on "problems" before they escalate to the managerial level.	GREAT JOB KATHY!!!

Assignments and/or possible discussions recommended by the RAB for the upcoming meeting:

Review any changes in HUD and/or it's reflection on local housing authorities with the new president, cabinet, and congress of 2009.

Adjournment: this meeting of the RAB was adjourned with the next meeting tentatively scheduled for 2/13/09 (that is Friday the 13th)...as always you will be notified

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.