

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>Johnson County Housing Authority</u> PHA Code: <u>KS162</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>01/2010</u>												
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>0</u> Number of HCV units: <u>1367</u>												
3.0	Submission Type <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only												
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)												
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program <table border="1"> <tr> <th>PH</th> <th>HCV</th> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> </table>	PH	HCV						
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 Johnson County Housing Authority (JCHA) will administer the Housing Choice Voucher Program in a manner that is consistent with the policies of the U.S. Department of Housing and Urban Development and the Johnson County Human Services Department. The JCHA will not, on account of race, color, religion, sex, handicap, familial status or national original deny families or individuals the opportunity to lease dwelling units suitable for their need, if eligible. JCHA will promote safe, decent and affordable housing, economic opportunity and a suitable living environment free from discrimination.												

5.2	<p>Goals and Objectives. Identify the PHA’s quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.</p> <ul style="list-style-type: none"> • To assist 75% of extremely low income families before serving 25% of very low income families with rent subsidy. • Increase assisted housing choices by conducting outreach efforts to potential voucher landlords. • Provide opportunities for participants of the HCV/FSS programs to participate in the Johnson County first-time homebuyer program and purchase properties through the Neighborhood Stabilization Program. • Expand opportunities for participants of HCV/FSS Programs to work towards self-sufficiency. • Expand the supply of assisted housing by applying for additional rental vouchers from HUD when available. • Seek and apply for other grant/funding opportunities to expand on current rental assistance program. • Work collaboratively with partnering agencies in the community to promote family self-sufficiency and obtain dedicated funding for Family Self Sufficiency. • Manage the HCV Program to achieve high performance rating on Section Eight Management Assessment Program (SEMAP). • Achieve satisfactory rating on HCV participant surveys. • Provide resources for services to participants of the program targeting special needs of the elderly/disabled, unemployed participants, those seeking to complete educational goals, family health services and first-time homebuyer education. • To exercise the housing authorities right to act according to the Violence Against Women Act and Department of Justice Reauthorization Act of 2005 (VAWA) which prevents the removal of assistance from certain persons living in Section 8 assisted housing if the asserted grounds for such action is an instance of domestic violence, dating violence, sexual assault, or stalking, as those terms are defined in Section 3 of the United States Housing Act of 1937 as amended by VAWA (42 U.S.C. 13925). Johnson County Housing Authority will make referrals to local domestic violence agencies for victim and family counseling, other supportive services, and in some instances to provide temporary housing until a transfer to a safe unit is possible.
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6.0	<p>PHA Plan Update</p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:</p> <p>Johnson County Housing Authority has established Local Preferences including the following:</p> <p>Residency – An applicant who lives in Johnson County. Additionally applicant who work or have been hired to work in Johnson County. The residency preference will not have the purpose or effect of delaying or otherwise denying admission to the program based on the race, color, ethnic origin, gender, religion, disability, or age of any member of an applicant family.*</p> <p>Victims of Domestic Violence – Domestic violence means actual or threatened violence by a member of a household directed at him/her or another member of his/her household. The domestic violence should have occurred recently or may be of a continuing nature. An applicant may qualify for a preference for victims of domestic violence if the applicant vacated a unit because of domestic violence or lives in a unit with a person who engages in violence. An applicant who qualifies for this preference should certify that the person who engaged in the violence will not reside with the applicant family unless the PHA gives advance written approval.*</p> <p>Elderly/Disabled – An applicant who is at least 62 years of age (verified by a birth certificate) or disabled (verified by the Social Security Administration, Social and Rehabilitative Services or by a medical doctor, mental health assessor) will be granted a preference on the waiting list.*</p> <p>*All preferences are weighted equally.</p> <p>(b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions.</p> <p>Johnson County Housing Authority Main Office , Johnson County Human Services Department Main Office and Johnson County Human Services Official Website http://hsa.jocogov.org Each Participant of the Resident Council, which is comprised of all FSS Participants and the Housing and Community Development Advisory Committee for Johnson County Government, will receive a copy of the 5 year plan.</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>N/A</p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.</p> <p>N/A</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. N/A</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. N/A</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. N/A</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>According to US Census, 2007 American Community Survey and UCS Housing Facts in Johnson County Dec. 2008, there are 116,476 owner occupied units with a mortgage. Of the 116,476 units 26% of them are cost burdened homeowners (30,235). Additionally there are 54,731 renter occupied units, 18,120 of them are cost burdened renters or 35.5%. Census projects an increase of almost 23,000 households countywide from 2010 through 2015. As household growth continues in Johnson County, the number of households in need of affordable housing is also likely to grow. Cost burdened households are anticipated to increase by almost 11 percent from 45,966 in 2010 to 50,867 in 2015. Disproportionately greater needs exist when the percentage of persons in a category of need who are members of a particular race/ethnic group is at least 10 percentage points higher than the percentage of persons in the category as a whole. In the category of those who have incomes that are less than 30% of area median income (AMI), Johnson County identified 7,941 households of which 6,027 have a housing problem. In the category of 30 to 50% AMI, 10,762 households were identified with 7,587 having a housing problem. The National Low Income Housing Coalition publishes the “Out of Reach: America’s Housing Wage Climbs” report, which provides a side by side comparison of wages and rents. In 2008, it reported that in Johnson County an extremely low income household (earning \$20,340, 20% of AMI of \$67,800) can afford monthly rent of no more than \$509. The FMR for a two-bedroom unit in Johnson County is \$754. A minimum wage earner (earning \$5.85 per hour) can afford monthly rent of no more than \$305. A Social Security Income recipient receiving \$637 monthly can afford monthly rent of no more than \$191. The FMR for a one-bedroom unit is \$657. A wage earner must earn an hourly pay of \$14.50 and work 40 hours per week in order to afford a two-bedroom unit at the FMR in this area. Currently 40% of the people who are participants of the Johnson County HCV program require a two-bedroom unit. Additionally 14% of the people served are 51 years of age or older and 54% of the households served receive Social Security Income or a retirement pension. In March of 2009 we opened our waiting list for approximately two weeks. During this short period of time we received over 860 applications for HCV rental assistance. Prior to this time, our waiting list had not been opened since 2006 and was not exhausted until March 31, 2009. A review of JOCO HA Residents Characteristics Report reveals that 47% of the people who receive HCV assistance stay on the program from 2 to 5 years and 47% stay on the program from 5 to 10 years. The only other public housing authority located in Johnson County is the Olathe Housing Authority which has a total of 504 vouchers and 130 public housing units. This shows that there is a significant need for affordable housing in Johnson County, Kansas.</p>
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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>JCHA will apply for any vouchers that may become available through HUD in the Johnson County jurisdiction. Additionally, we intend to apply for Homeless Prevention and Rapid Re-housing Program (HPRP) funding. If received JCHA will utilize its HCV waiting list and assist clients who are at the top of it with rental assistance for 15 months at a flat assistance amount, while the applicant maintains their position on the HCV waiting list. After the HPRP assistance time has been exhausted, the assisted families will transfer to the HCV program if a need for continued assistance exists. We have also been awarded Neighborhood Stabilization Program(NSP) assistance through the State of Kansas. We will utilize this assistance to purchase foreclosed upon housing. The property will be rehabilitated and resold to people with incomes not more than 120% of AMI, targeting 25% of the families who have incomes that are 50% of AMI level. We will apply for funds to expand our already existing Family Self Sufficiency Program in hopes of providing services to more families with the goal of moving them from the HCV program to Self- Sufficiency.</p>
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Additional Information. Describe the following, as well as any additional information HUD has requested.

(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan.

JCHA is meeting the goal of serving 75% of the extremely low income (ELI) families by ensuring that when we pull from our waiting list we pull 75% of the people from the extremely low income category. For example if we pull 100 people to be activated from the waiting list, 75 of them would be ELI families and 25 Very Low Income families. This ensures at the end of the FY that we have met this goal.

JCHA will expose to participants of the HCV and FSS programs the opportunities for homeownership that exist for them in the First-Time Homebuyers Down Payment Assistance Program. Annually we hold a First-Time Homebuyers Workshop which participants are invited to attend where there are lenders, realtors, other social agencies that administer an IDA program and Fair Housing presenters. This gives the participants a good idea of the expectations of each entity involved in the homeownership process and what things participants need to know up front when considering being a homebuyer. They will be offered opportunities to purchase homes that are acquired through the JOCO NSP purchase/rehab/resale program.

JCHA has expanded our partnerships in the PCC for the FSS program to include JOCO transit, STEP (A GED program agency), JOCO Public Health, Valley View Bank, Workforce Partnership (Employment Agency and Job Skill Development) Head Start, Catholic Charities, and SRS. These agencies offer a lot of different options to break down various barriers that face participants of this program. They are a good pool of resources and they have already been instrumental in assisting many of our clients in working towards completing education goals, job skill preparation, gaining employment, etc.

10.0

JCHA has applied to the State of Kansas for an HPRP grant in hopes that if it is awarded we will be able to provide additional rental assistance to our target population of low income, Elderly/Disabled and Victims of Domestic Violence applicants in a timely manner while they are awaiting HCV assistance.

JCHA has received a High Performance SEMAP score for the last 7 years. As a result of the guidance given during the Rental Integrity Monitoring (RIM), Enterprise Income Verification (EIV)System and the Limited English Proficiency (LEP) review HUD this year, we have made necessary adjustments to our HCV program with the hopes of maintaining or improving upon our score from the previous year.

JCHA instituted a HCV Program Survey which is a basic customer service survey in early August of 2009. The results of these surveys show that the participants of the program are overwhelmingly satisfied with the services they are provided.. There were approximately 1,400 surveys mailed and roughly 1/3 have been returned Out of the ones returned at least 95% had a satisfied or very satisfied rating.

A landlord workshop is held each year. One is generally planned the Spring of each year and we invite any interested landlords to come and learn about how the HCV program works.

JCHA attends many fairs and events throughout the County providing information on all the various services that the Department of Human Services provides. Because we are under the same umbrella as Accessibility, the Area Agency on Aging, Multi-Service Centers and the Information group, we have many resources that we are able to utilize in assisting participants of our programs.

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

For purposes of this plan, JCHA's definition of Significant Amendment/Substantial Deviation/Modification means significant changes to rent or admissions policies or organization of waiting list. Additionally, changes to the administration of HCV funding designated for tenant based assistance, which could be designated for other HUD allowable activities such as Section 8 Homeownership Program, or Project Based Vouchers. A significant amendment would not be necessary for an emergency opening of the waiting list for a specific target market, i.e., victims of a disaster.

11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <ul style="list-style-type: none"> (a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)
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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.