

<b>1.0</b>	<b>PHA Information</b> PHA Name: <u>Housing Authority of the City of Sumter</u> PHA Code: <u>SC023</u> PHA Type: <input type="checkbox"/> Small <input type="checkbox"/> High Performing <input checked="" type="checkbox"/> X Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>01/2010</u>				
<b>2.0</b>	<b>Inventory</b> (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>327</u> Number of HCV units: <u>925</u>				
<b>3.0</b>	<b>Submission Type</b> <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only				
<b>4.0</b>	<b>PHA Consortia</b> <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)				
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program
					PH HCV
	PHA 1:				
	PHA 2:				
	PHA 3:				
<b>5.0</b>	<b>5-Year Plan.</b> Complete items 5.1 and 5.2 only at 5-Year Plan update.				
<b>5.1</b>	<b>Mission.</b> 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 Housing Authority of the City of Sumter is to assist low-income families with safe, decent and affordable housing opportunities as they strive to achieve self-sufficiency and improve the quality of their lives. The Authority is committed to operating in an efficient, ethical and professional manner. The Housing Authority will create and maintain partnerships with its clients and appropriate community agencies in order to accomplish this mission.				
<b>5.2</b>	<p><b>Goals and Objectives.</b> Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.</p> <p>The Housing Authority of the City of Sumter has always acknowledged the limited resource of "affordable housing" in the Sumter community. Within the past ten years, eight tax credit properties have been developed in our community, increasing the affordable housing stock by over fifty percent. Production and utilization of affordable housing stock will remain a high priority of the Housing Authority's goals and objectives. This Authority has recently been awarded a grant for Neighborhood Stabilization in the Sumter Community. As one of three partners the Authority will own four or five houses that will be project based to the Section 8 Voucher holders. The receipt of the NSP grant will provide fourteen to seventeen rental houses at an affordable rate to the community.</p> <p>The Authority did reach 100 percent utilization with the Section 8 program only to remove families by attrition due to funding limitations; the Authority acknowledges that even though we have reduced utilization average Hap's increased due to loss of employment and benefits in the Sumter community. The Authority is anticipating the request of a special waiver to reduce payment standards to 95% effective January 1, 2010 through the HUD office to remove the requirement of the second year support to allow the program financial stability. The staff of the Section 8 program works diligently on program integrity, which has been reflected in the 2008 SEMAP of a High Performer. The Authority acknowledges receipt of Neighborhood Stabilization funds which will assist the Authority allowing voucher holders to reside in neighborhoods previously restricted by cost. Recent economic concerns have prevented the Authority from moving forward with Homeownership vouchers. We anticipate this program to start implementation in 2010.</p> <p>Public Housing's efforts of modernization including strengthening procedures have improved turnaround time and utilization with a reduction of vacancy (non lease enforcement) by twenty-four percent. At this time the Authority acknowledges utilization for AMP 1 at 97% with AMP 2 at 99% resulting in an average of 98% overall. The Authority has recently revised maintenance priorities and preventative maintenance schedules attempting to maximize the Authority efforts of producing a high quality product to our families. The Authority will continue to modernize the properties and install energy efficient products increasing the quality of life for the families. Resident Services works diligently to obtain training opportunities to the families in our communities, including but not limited to, job skills and resume writing. The Authority is working toward budgeting and other training opportunities that will enhance the quality of life of our families.</p> <p>The Authority has set a structure of training to build the skills of the Authority's staff including, but not limited to, the hiring of an outside sources to conduct file reviews to prepare for RHIIP and RIM reviews, rent calculation classes, and general accounting for Public Housing staff. The Authority has experienced difficulties in structuring staff at remote sites due to software limitations. The Authority is currently conducting reviews of the Proposals received to replace the existing software.</p>				

	<p><b>PHA Plan Update</b></p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:  (b) Identify the specific location(s) where the public may obtain copies have the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions.</p> <p>The Authority has revised the five-years expectations of capital fund expenditures because of the receipt of the ARRA stimulus funds. Receipt of the additional funds has allowed the Authority to pull several items from the five-year listing and have the work-scope completed in 2009. The five-year plan of the Housing Authority of the City of Sumter is housed in the Administrative Office of the Authority. As the remote offices become operational, copies of policies and plans will be posted at the sites. The Authority anticipates a web site to be completed prior to the end of the Authority's fiscal year 2009.</p> <p>Eligibility, Selection and Admissions addressing Deconcentration and Waiting List procedures are included in the Authority's Section 8 Administrative Plan and Admissions &amp; Continued Occupancy Plan. At present the Authority retains local preferences for both programs to include: Victims of federally declared natural disaster, Elderly Head of House, Disabled Head of House, Veteran Head of House. Public Housing has two additional preferences: Victims of fire and Victims of Domestic Violence (within 30 days of occurrence from the Authorities jurisdiction). The Authority does encourage election of properties by the applicant, however; does not have an actual site based waiting list. The Authority anticipates after the implementation of the new software the opportunity to provide this option.</p> <p>Financial Resources of the Housing Authority of the City of Sumter include Federal operating subsidies, capital fund grants and tenant rents. The Authority in 2009 will be the Lead agency in the Neighborhood Stabilization Grant totaling for the community partnership \$1,700,000.00 in acquisition, rehabilitation and rental income. Administrative income from the same grant totals \$68,000.00. The Authority will actually receive \$393,646.00 in acquisition &amp; rehabilitation income plus \$15,746.52 in administrative income plus shared expenses. The Authority was included in a consolidated grant application for the Broad Band Stimulus to provide internet and computer training to the families of Public Housing.</p> <p>Rent Determination is addressed in the Section 8 Administrative Plan and Admissions &amp; Continued Occupancy plan. The Authority has adopted only the Federal income inclusions, exclusions and deductions with a \$25.00 minimum rent. Public Housing does offer the Flat rent option to encourage families to reside in Public Housing, assisting the Authority with income deconcentration. Housing Choice Vouchers currently have the payment standard adopted at 100% of the Fair Market rent. The Authority anticipates the reduction of the payment standard to 95% of the fair market rent with a special request of a waiver to the Housing &amp; Urban Development to remove the second year restriction.</p> <p>Operations and Management is addressed in the policies of the Authority including the Administrative Plan, Admissions &amp; Continued Occupancy Plan, Maintenance Plan, Fraud Plan, Section 8 Home Ownership, Family Self Sufficiency, Security, Lease and Grievance policies and procedures which are all posted in the Public Housing and Central Office Lobbies</p> <p>Community Service and Self Sufficiency programs are implemented through the Authority's operations. Community service requirements have become a strong part of the Authority's educational opportunities through the Workforce Investment Act and the local One Stop Office. The Authority will work with the local One Stop to provide possible training opportunities on site. The Authority currently works with the local school districts to build parenting skills. The local school district provides trained Parent Educators and resource materials to the families in Public Housing. The Section 8 Family Self Sufficiency program has been rebuilding the community partnership to create the Program Coordinating Council. The Authority anticipates the shared resources to play a major part of helping the participants obtain their goals.</p> <p>Safety and Crime Prevention is being addressed through policies and safety procedures, including but not limited to, issuance of resident identification cards, vehicle registration, after hours security and the possibility of installation of surveillance cameras and software that would be provide video feed to the Authority and local law enforcement. The Authority is currently monitoring and documenting trespass notices, police incident reports and has expanded the opportunity to include the sheriff's department and probation and parole to assist with security measures. The Crime Prevention Specialist has been and will continue to meet with resident's at the Resident Meetings. Surveys have been included in the meeting to assure the voice of the community to remove uninvited guests. The Authority feels that incorporating all aspects of law enforcement will assist with the goal of preventing crime and securing the communities and residences safety.</p> <p>The Pet Policy has been posted in the Public Housing and Central Office Cost Center for review. The Authority requires that any resident desiring to have a pet, register the pet with the Authority. Limitations as to the number and care of the pets do apply. They must also provide documentation of the pets rabies tag information, spading or neutering records and shot records annually. Families must provide names and phone numbers of persons available to care for the pet in the event of an illness. All registered pets will have a decal placed on the front window for notification of staff, the fire department and police department.</p> <p>The Housing Authority of the City of Sumter examines the policies and procedures annually to ensure the Authority's staff and policies meet every participant's Civil Rights and Fair Housing requirements obligations. The Authority utilizes documented Reasonable Accommodations to allow opportunities of housing. This practice is demonstrated though outreach with Mental Health, Disabilities and Special Needs and Vocational Rehabilitation. The Authority also works with the City's Community Development Cooperation to make sure any impediments are identified and addressed.</p> <p>The Authority's Fiscal Audit year is December 31, 2008. The audit has been completed, we are waiting for the final report.</p> <p>The Authority has currently elected out of Asset Management for FY 2008 and 2009. The Authority will be implementing recommendations of relocating staff to site offices once we are able to resolve computer software issues. The Authority currently plans to house management and maintenance at the Harmony Court office location while resident services is to be housed at Friendship. Scattered site management and maintenance will remain central with designated hours of operation until a determination can be made as to the best location. Inventory has been separated and the majority of stock is housed on three sites. Central warehouse is utilized primarily for storage of equipment that has not been duplicated. Rehabilitation is currently being addressed at the asset management level to the AMPs. The remaining concerns of capital, investment and disposition will be determine at the time of the final rule if asset management is mandated for Authority's with less than 400 units.</p> <p>VAWA is addressed in the Section 8 Administrative Plan and Admissions and Continued Occupancy Plans. The Housing Authority of the City of Sumter works with the Victim Advocate's office and the Department of Social Services to provide as much supportive services as possible. The Authority is also a partner in the Domestic Violence Coordinating Council who is providing educational programs about the community resources available for the victims.</p>
6.0	<p><b>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers.</b> <i>Include statements related to these programs as applicable.</i></p> <p>The Housing Authority of the City of Sumter will project base vouchers to the four or five single family detached homes acquired and rehabilitated through Neighborhood Stabilization Funds.</p>
8.0	<p><b>Capital Improvements.</b> Please complete Parts 8.1 through 8.3, as applicable.</p>

8.1	<p><b>Capital Fund Program Annual Statement/Performance and Evaluation Report.</b> 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.  50075.1 Attached for SC16P023501-08  50075.1 Attached for ARRA  50075.1 Attached for SC16P023501-09</p>
8.2	<p><b>Capital Fund Program Five-Year Action Plan.</b> 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.  50075.2 Attached</p>
8.3	<p><b>Capital Fund Financing Program (CFFP).</b>  <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.  The Housing Authority of the City of Sumter has successfully completed the Capital Fund Financing Program and should have all appropriate documentation for the close out to be audited in 2009 Fiscal year. The Authority has replaced and upgraded entry doors, screen doors floors, cabinets and roofing. The Authority is obligated to debt service \$128,769.48 from the Capital Fund Grant annually until the debt is resolved.</p>
9.0	<p><b>Housing Needs.</b> Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p> <p>The Housing Authority of the City of Sumter provides a quality resource of affordable housing in the Sumter Community. Not only is the affordable housing resources limited, but in the economic condition and with the loss of industry in the community, affordable housing and housing financial assistance is a growing population in the Authority's jurisdiction.</p> <p>Housing Choice Voucher program applicant summary currently shows of the 218 applications on file: 202 are African American, 14 White and 2 not assigned. 126 of the applicants are disabled head of house, 14 elderly, 70 families and 8 single. Extremely low-income applicants are 114 averaging 52% of the pool; Very low income applicants are 74 averaging 34 % of the pool while the remaining 30 meet the criteria of low income. Families assisted by the voucher program consist of 268 elderly households (221 Elderly with disabilities), 230-disabled household, and 284 families with children (including disabilities) and 174 non-elderly without children. Current income make up of the program consists of 564 Extremely low income families, 321 very low income families and 10 low income families.</p> <p>Public Housing program applicant summary currently shows 4 elderly, 40 disabled and 264 families of the 390 applications on file: 359 are African American, 9 white and 22 not assigned. 304 of the applicants are within the Extremely Low income guidelines, 69 meet Very Low and 18 are considered Low income.</p> <p>Of the 327 families housed in Public Housing 29 are Elderly, 22 Elderly with disability, 68 Disabled and the remaining 222 are family or single. Extremely low income families currently housed is 240, Very low 65 and low income families are 13.</p>
9.1	<p><b>Strategy for Addressing Housing Needs.</b> 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. <b>Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</b></p> <p>The Authority will continue to utilize the Administrative Plan and Admissions &amp; Continued Occupancy Plan for maximum leasing, though screening criteria and lease enforcement. The Authority's first priority in this business of families is program integrity comes first, without the funding of the programs administered by the Housing Authority of the City of Sumter we would not be able to serve the families.</p>
10.0	<p><b>Additional Information.</b> Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan.  The Authority strives every day of operation to provide quality affordable housing to the Sumter community. We also have strong partnerships that are utilized as a way to help our families achieve self-sufficiency and improve the quality of their lives. Identification of strengths and weaknesses has resulted in quality control file reviews, rent calculation training and basic accounting. The Authority will be pursuing an outside source to conduct a second Physical Standards inspection to strengthen quality standards. The overall goal is to have the staff trained and capable of obtaining efficient, effective and professional quality services at every level in the agency.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification"  The Authority defines significant amendment and substantial deviation/modification to the Annual Plan and Policies as regulatory and elective. If applicable regulations are received that requires amendment to policies and plans the Authority will make the amendment through procedures. If the Authority elects to change a policy or part of the plan that is not driven by regulatory then a Significant Amendment would be submitted for HUD's review and approval.  Capital fund amendment needs will be based on emergency criteria and/or not to exceed five percent of the Capital Fund budget.</p>

<b>11.0</b>	<p><b>Required Submission for HUD Field Office Review.</b> 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. <b>Note:</b> Faxed copies of these documents will not be accepted by the Field Office.</p> <ul style="list-style-type: none"> <li>(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)</li> <li>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</li> <li>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</li> <li>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</li> <li>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</li> <li>(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.</li> <li>(g) Challenged Elements</li> <li>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</li> <li>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</li> </ul>
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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](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.