

<b>PHA 5-Year and Annual Plan</b>	<b>U.S. Department of Housing and Urban Development Office of Public and Indian Housing</b>	<b>OMB No. 2577-0226 Expires 4/30/2011</b>
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<b>1.0</b>	<b>PHA Information</b> PHA Name: <u>County of Maui</u> PHA Code: <u>HI-004</u> PHA Type: <input type="checkbox"/> Small <input type="checkbox"/> High Performing <input checked="" type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>07/01/2012</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>-0-</u> Number of HCV units: <u>1,464</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 <table border="1"> <thead> <tr> <th>PH</th> <th>HCV</th> </tr> </thead> <tbody> <tr> <td>PHA 1:</td> <td></td> </tr> <tr> <td>PHA 2:</td> <td></td> </tr> <tr> <td>PHA 3:</td> <td></td> </tr> </tbody> </table>	PH	HCV	PHA 1:		PHA 2:		PHA 3:	
PH	HCV												
PHA 1:													
PHA 2:													
PHA 3:													
<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:												
<b>5.2</b>	<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.												



**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.

Based upon a Housing Supply/Demand Model which was formulated as part of the Hawaii Housing Policy Study, 2006 Update, and updated in 2011, approximately 4,142 new units are needed in Maui County to meet overall housing demand. This estimate includes the existing "pent up" demand for housing which is assumed to be satisfied over 20 years, as well as anticipated demand on the formation of new households. Although the current economy has reduced the immediate needs to some extent, the ongoing and long-term needs remain within the study's estimates. The following were the estimates of the study:

<u>% of Median Income</u>	
<30%	1,093 households
30-50%	696 "
50-80%	732 "
80-120%	724 "
120-140%	106 "
140-180%	485 "
>180%	305 "
Total	4,142 households

Households with incomes of 80% of the HUD median income and below are estimated to be in need of rental housing and households with incomes between 80% and 140% of the HUD median income are estimated to be in need of affordable for-sale housing. 46% of all households in the County of Maui have housing problems. 55% of households with incomes between 30%-80% of median income have problems, 69% of households with incomes between 30%-50% of median income have problems, and 74% of households with incomes below 30% of median income have problems.

The Rental Housing Study 2011 shows that asking rents in Hawaii were on the rise from 2003 through 2006 and fell from 2007 to 2010. Data for the first half of 2011 indicates that asking rents are on the rise in Maui County and overall data for 2011 suggest that rents are at the beginning of an upward trend. Renters in the County of Maui represent 44% of households and pay the second highest amount in the state to cover their monthly housing expenses.

Large related households, both renters and homeowners, show the highest rates of housing problems. Housing affordability is a problem. 32% of Hawaii's households were cost-burdened, with housing costs that exceed 30% of their income. Nearly 33% of all owners and 35% of all renters in the County of Maui were cost-burdened.

9.0

There are currently 3,380 total families on the Section 8 Housing Choice Voucher Program's waiting list.

2,610	Extremely low income families	(77.2% of total families)
770	Very low income families	(22.8% of total families)
1,426	Families with children	(42.2% of total families)
281	Elderly families	( 8.3% of total families)
934	Families with disabilities	(27.6% of total families)

Race/Ethnicity:

Native Hawaiian/Pacific Islander	1,213 families	(35.9% of total families)
White	1,496	(44.3% of total families)
Asian	350	(10.4% of total families)
Black/African American	108	( 3.2% of total families)
American Indian/Alaska Native	37	( 1.1% of total families)
Other	176	( 5.2% of total families)

Elderly and Frail Elderly Households. Projections indicate that by the year 2015, 11% of older adults in the state of Hawaii will be residing in Maui County. In Maui County, there is an estimated annual need for nearly 260 units for elderly households to the year 2030. About 59% of that demand will be for purchased units and the rest will be for rentals.

Persons with Disabilities. Data from the U.S. Census Bureau, 2010 American Community Survey, estimates that 10.3% or 140,600 of Hawaii's 1,363,621 population have one or more disabilities. As many as 11,000 persons with severe and persistent mental illness are in need of housing assistance, based on their income. The Adult Mental Health Division estimates that there are approximately 1,500 homeless persons with severe and persistent mental illness who are not accounted for in their database. Virtually all these individuals are in need of housing assistance.

Chronically Homeless. Approximately 24.4% of Maui's 581 unsheltered homeless persons in 2010 were chronically homeless.

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**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.**

Strategies:

1. Maintain/increase Section 8 lease-up by maintaining/increasing payment standards to a level that will enable families to rent throughout the County of Maui’s jurisdiction.
2. Take necessary measures to ensure that families assisted by the County of Maui have access to affordable housing, regardless of unit size required.
3. Maintain/increase Section 8 lease-up by marketing the program to owners, particularly those outside of areas of minority and poverty concentration.
4. Participate in the Consolidated Plan development process to ensure coordination with broader community strategies.
5. Apply for additional Section 8 units should they become available.
6. Expand affordable housing resources in the community through the creation of mixed finance housing.
7. Pursue housing resources other than Section 8 tenant-based assistance.
8. Target available assistance to families at or below 30% of AMI and try to exceed HUD’s federal targeting requirements.
9. Adopt rent policies that support and encourage work.
10. Apply for special-purpose vouchers targeted to the elderly, families with disabilities, and families with special needs should they become available.
11. Affirmatively market to local non-profit agencies that assist families with disabilities.
12. Increase awareness of the County of Maui’s resources among families of races and ethnicities with disproportionate needs.
13. Conduct activities to affirmatively further fair housing by counseling Section 8 families as to the location of units outside areas of poverty or minority concentration and assist them to locate those units. Market the Section 8 Program to owners outside areas of poverty or minority concentration.

Factors that influenced the County of Maui’s selection of the strategies it will pursue:

1. Funding constraints.
2. Staffing constraints.
3. Limited availability of sites for assisted housing.
4. Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the County of Maui.
5. Influence of the housing market on the County of Maui programs.
6. Community priorities regarding housing assistance.
7. Results of consultation with local and state governments, residents, the resident advisory board, and advocacy groups.

9.1

Financial Resources:

The financial resources that are anticipated to be available to the County of Maui for the support of programs administered by the County of Maui during the plan year are as follows:

\$17,446,824	Annual Contributions for Section 8 Housing Choice Voucher Program
1,594,572	Community Development Block Grant*
-0-	HOME Program**
\$19,041,396	Total Resources

\*The County of Maui was informed in April 2010 that the CDBG allocations for program years 2005-2009 were miscalculated. In order to address the miscalculation, the County’s allocation for program years 2010 -2014 will be reduced by a total of \$811,251. The reductions for each of the five years will be as follows: 2010 - \$173,209; 2011- \$157,264; 2012 - \$159,864; 2013 - \$159,800, 2014 - \$161,114. With the current reduction of \$157,264 in the current program year, the County anticipates that the total CDBG allocation for Program Year 2011 will be \$1,594,572.

\*\*In prior years, the Hawaii Housing Finance and Development Corporation (HHFDC), has made annual allocations, divided equally, to the non-metropolitan counties of the State. In November, 2011, HHFDC decided to allocate the entire HOME Program funds to the non-metropolitan counties of the State on an annual rotational basis, less a portion of the funds retained by the State for their administrative expenses. Therefore, the County of Hawaii, County of Kauai, and County of Maui will rotate receipt of the State’s adjusted annual HOME Program funds for non-metropolitan counties, respectively. It is anticipated that the County of Maui will be awarded the State’s annual allotment of HOME Program funds in its sum majority in PY2014.

The County of Maui anticipates receiving \$55,000 in Program Income or “recaptured funds” from its First Time Homebuyers Assistance Program and anticipates utilizing these funds for the County’s Tenant-Based Rental Assistance (TBRA) Program.

During PY2012, the County anticipates that fourteen (14) low-income households will become first-time homeowners with assistance from the HOME Program.

For PY2012, the County anticipates appropriating \$724,000 in County General Funds for homeless programs. The County plans to issue a Request for Proposals in June, 2012 after the County’s Budget has been approved and the actual appropriation has been established.

**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.

1. The County of Maui has managed its existing rental assistance program in an efficient and effective manner and qualified as a standard performer in its most recent SEMAP performance rating. The County's Section 8 Housing Choice Voucher Program has had no audit findings in the most recent single audit of the County of Maui. The HCV Program's budget utilization rate is currently at 103.8% of budget authority. The budget utilization rate for the present fiscal year is also expected to exceed 100%.

2. Fair share vouchers were not available during the fiscal year. However, the County's application for Administrative Fee Funding for Housing Choice Voucher Family Self-Sufficiency Program Coordinator Salaries was approved and \$68,680 in funding was granted to the County of Maui to support 1 (one) HCV/FSS position.

**10.0**

3. The County provided funding for the following activities during PY2011 to address the needs of the homeless:

1) Maui Economic Opportunity, Inc. - To provide emergency financial assistance (rent, utilities and security deposit) with case management for low-income families who are at-risk of becoming homeless (\$256,250);

2) Family Life Center - To provide financial assistance with case management for homeless families (\$143,250);

3) Ka Hale A Ke Ola Resource Centers, Inc. - To provide rental assistance with case management for residents of Ka Hale A Ke Ola Homeless Resource Center (\$181,250);

4) Women Helping Women - To provide financial assistance with case management for victims of domestic violence (\$143,250).

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

The basic criteria the County of Maui will use for determining a "Substantial Deviation" from its 5-Year Plan and for determining a "Significant Amendment or Modification" to its Annual Plan will be as follows:

1. Any changes to the County's admission policies for the Department of Housing and Urban Development's (HUD's) Section 8 Housing Choice Voucher Program;

2. Any changes to the County's organization of the Section 8 Program's waiting list; and

3. Any addition(s) of a new program(s) within the Section 8 Program, such as a Project-basing Program.

An exception to the above definitions will be made for any of the above that are adopted to reflect changes in HUD regulatory requirements.

<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> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p style="padding-left: 40px;">Form HUD-50077 for the County of Maui, with signature, will be submitted by mail.</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p style="padding-left: 40px;">n/a</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p style="padding-left: 40px;">n/a</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p style="padding-left: 40px;">n/a</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p style="padding-left: 40px;">n/a</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p style="padding-left: 40px;">No comments on the County of Maui's PHA Plan were received from the Resident Advisory Board.</p> <p>(g) Challenged Elements</p> <p style="padding-left: 40px;">No element of the County of Maui's PHA Plan has been challenged.</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p style="padding-left: 40px;">n/a</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p> <p style="padding-left: 40px;">n/a</p>
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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

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

## Instructions form HUD-50075

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

### 1.0 PHA Information

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

### 2.0 Inventory

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

### 3.0 Submission Type

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

### 4.0 PHA Consortia

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

### 5.0 Five-Year Plan

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

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

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

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

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

#### PHA Plan Elements. (24 CFR 903.7)

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

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

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

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

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