

<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>City of Caribou Housing Agency</u> PHA Code: <u>ME025</u> PHA Type: <input checked="" type="checkbox"/> Small <input 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>												
<b>2.0</b>	<b>Inventory</b> (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: _____ Number of HCV units: <u>193</u>												
<b>3.0</b>	<b>Submission Type</b> <input type="checkbox"/> 5-Year and Annual Plan <input checked="" 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:  The City of Caribou Housing Agency's mission is to provide safe, decent and sanitary housing conditions for very low-income families and to manage resources efficiently. The CHA is to promote personal, economic and social upward mobility to provide families the opportunities to make the transition from subsidized to non-subsidized housing.												

5.2

**Goals and Objectives.** Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.

Goals and Objectives of the City of Caribou Housing Agency:

Increase the availability of decent, safe, and affordable housing

- Expand the supply of assisted housing:
  - Apply for additional rental vouchers should they become available
- Improve the quality of assisted housing:
  - Improve voucher management (SEMAP score)
  - Focus on efforts to improve specific management functions, such as rent reasonableness review, income verification, voucher unit inspections, and response to program violation on the part of assisted tenants, including criminal activity
  - Increase customer satisfaction
- Increase assisted housing choices:
  - Provide voucher mobility counseling
  - Conduct outreach efforts to potential voucher landlords as needed
  - Continue to administer the voucher Homeownership Program and seek private lenders who will participate

Improve community quality of life and economic vitality

- Provide an improved living environment

Promote self-sufficiency and asset development of families and individuals

- Increase the number and percentage of employed persons in assisted families
- Provide or attract supportive services to improve assistance to recipients' employability
- Provide or attract supportive services to increase independence for the elderly or families with disabilities

Ensure equal opportunity and affirmatively further fair housing by

- Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion, national origin, sex, familial status, and disability
- Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion, national origin, sex, familial status, and disability
- Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required

Previous 5-Year Plan Goals and Objectives Meet:

- Implemented the homeownership program
  - Have had two (6) closings,

**PHA Plan Update**

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

N/A

(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.

The City of Caribou Housing Agency's 5-Year and Annual PHA Plan are available in our office for public review.

**PHA Plan Elements**

**1. Eligibility, Section and Admissions Policies, including Deconcentration and Wait List Procedures.**

To be eligible for the Section 8 Housing Choice Voucher Program:

- The applicant family must:
  - Qualify as a family as defined by HUD and the PHA
  - Have income at or below HUD-specified income limits
  - Qualify on the basis of citizenship or the eligible immigrant status of family members
  - Provide social security number information for family members as required
  - Consent to the PHA's collection and use of family information as provided for in PHA-provided consent forms
  
- The PHA must determine that the current or past behavior of household members does not include activities that are prohibited by HUD or the PHA

**Admissions Policy**

75% of all new families should fall under the 30% of median area income.

**Selection Policy**

Applicants will be selected from the Waiting List by the date and time they apply, unless the PHA needs to meet the 75% of 30% of median area income.

**Waiting List Procedures**

The waiting list will contain the following information for each applicant listed:

1. Name and social security number of head of household
2. Unit size required (number of family members)
3. Date and time of application
4. Mailing address of head of household
5. Income for all members

**2. Financial Resources**

N/A

**3. Rent Determination**

A family's income determines eligibility for assistance is also used to calculate the family's rent payment. The PHA will use policies and methods per HUD and the PHA's Administration Plan to ensure that only eligible families receives assistance and that no family pay more than 40% of their monthly adjusted income during initial lease up.

**4. Operation and Management**

N/A

**5. Grievance Procedure**

Any evidence to be considered by the hearing office must be presented at the time of the hearing. There are four categories of evidence

1. Oral Evidence
2. Documentary Evidence
3. Real Evidence
4. Hearsay Evidence

**6. Designated Housing for Elderly and Disabled Families**

N/A

**7. Community Service and Self-Sufficiency**

N/A

**8. Safety and Crime Prevention**

N/A

**9. Pets**

N/A

**10. Civil Right Certification**

N/A

**11. Fiscal Year Audit**

N/A

6.0

**12. Asset Management**

N/A

**12. Violence Against Women Act (VAWA)**

In accordance with the Violence Against Women Act (VAWA, the City of Caribou Housing Agency (PHA) will not deny admission to any applicant on the basis that the applicant or a member of the applicant's immediate household is or has been a victim of domestic violence, dating violence, sexual assault, or stalking if the applicant is otherwise qualified. PHA will request applicant's who allege they are victims to certify via a HUD approved certification form that they are a victim of domestic violence and that an incident or incidents are bona fide incidents of such actual or threatened abuse. The certification form must be received by the PHA within 14 days of receipts and must include the name of the perpetrator. PHA shall ensure the information received regarding victims of domestic violence will be maintained in confidential file, will not be entered into a shared database, will not be provided to any other entity unless the victim requests and consents; or unless otherwise required for use in eviction proceedings or required by law.

The PHA works very closely with the local police departments, the Department of Health and Human Services, and the Hope and Justice Project to assist applicants and participants to receive and maintain their housing.

**1.) The following activities, services, or programs are provided by the PHA, either directly or in partnership with other service providers, to child or adult victims of domestic violence, sexual assault, or stalking.**

The Caribou Housing Agency hands out to all Section 8 applicants, with their initial application; and participants, with their briefing package; an informational flyer from and for the Hope and Justice Project (aka Battered Women's Project). When known to us, we refer applicants/ participants to contact them for any services that may be available to the family.

We have an informational flyer from the Hope and Justice Project hanging on our bulletin board for all to see.

**2.) The following activities, services or programs are provided by the PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking to obtain or maintain housing.**

The Caribou Housing Agency hands out to all Section 8 applicants and participants an informational flyer from and for the Hope and Justice Project (aka Battered Women's Project). If known to us, we refer applicants/ participants to contact the Hope and Justice Project, local police department and the Department of Health & Human Services to seek any services that may be available to the family during their time of need.

We have an informational flyer from the Hope and Justice Project hanging on our bulletin board for all to see.

Every participating landlord is given the VAWA flyer every year with their 1099 and then given to them again when they sign a new HAP Contract with us.

**3.) The following activities, services or programs are provided by the PHA to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.**

The Caribou Housing Agency hands out to all Section 8 applicants, with their briefing package; and participants, with their initial application; an informational flyer from and for the Hope and Justice Project (aka Battered Women's Project).

We have an informational flyer from the Hope and Justice Project hanging on our bulletin board for all to see.

Every participating landlord is given the VAWA flyer every year with their 1099 and then given to them again when they sign a new HAP Contract with us.

If known to us, we also refer the applicant/participant to the local police department.

6.0

7.0	<p><b>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers.</b></p> <p>(a) <b>Hope VI or Mixed Finance Modernization or Development</b> N/A</p> <p>(b) <b>Demolition and/or Disposition</b> N/A</p> <p>(c) <b>Conversion of Public Housing</b> N/A</p> <p>(d) <b>Homeownership</b> The City of Caribou Housing Agency implemented a voucher Homeownership Program in 2004, initially limiting enrollment to 5 participants. In order to be eligible for this program, participants must have been on the voucher program for at least one year and must be in good standing. The Homeownership Program has had 6 closings to date. The City of Caribou Housing Agency requires a mandatory home-buyer education course to be completed. Participating lenders have been USDA Rural Development.</p> <p>The PHA has just recently increased the number of Homeownership Participants to 10.</p> <p>(e) <b>Project-based Vouchers</b> N/A</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.</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.</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.</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.

<b>Housing Needs of Families: Section 8 Housing Choice Voucher Program Waiting List</b>			
	<b># of Families</b>	<b>% of Total Families</b>	<b>Annual Turnover</b>
Waiting List Total	155		155 (estimate)
Extremely Low Income <=30% AMI	105	67%	
Very Low Income (>.30% but <80% AMI)	30	19%	
Low Income (>50% but <80% AMI)	20	12%	
Families with Children	77	%	
Elderly Families	54	%	
Race (White)	147	94%	
Race (African –American)	3	1%	
Race (Others)	2	1%	
Ethnicity (Hispanic)	3	1%	
Bedroom Size - 1	70	45%	
- 2	56	36%	
- 3	18	11%	
-4	11	7	

The waiting list is open.

<b>Housing Needs of Families in the Jurisdiction by Family Type</b>							
<b>Family Type</b>	<b>Overall</b>	<b>Affordability</b>	<b>Supply</b>	<b>Quality</b>	<b>Accessibility</b>	<b>Size</b>	<b>Location</b>
All Households	1157						
Income <=30% AMI	244	4	4	3	2	2	2
Income (>30% but <50% AMI)	192	4	3	3	2	2	2
Income (>50% but <80% AMI)	249	4	2	3	2	2	2

The City of Caribou is a Service Center for Central Aroostook County with offices for the Maine Department of Human Services, Maine Motor Vehicle and County Courthouse. Caribou has several privately owned facilities for the elderly, assisted living and special needs population. Caribou has it’s own hospital, The Cary Medical Center. The Veterans Administration operates an assisted living facility and health clinic on the same campus as the hospital.

The City of Presque Isle lies 15 miles to our south with a slightly larger population. Statistics provided from the 2005 – 2009 Maine Consolidated Plan provided by the Department of Economic and Community Development (DECD) combines the two cities. DECD reports 8 Assisted Living Facilities, 2 Adult Daycares, 3 Hospitals and 5 Nursing Facilities.

The jurisdiction of the Caribou Housing Agency includes the surrounding towns of New Sweden, Woodland, Limestone, Caswell, Conner and the former Loring Air Force Base. Caribou and the surrounding towns are primarily rural / agricultural.

The inventory of rental properties in urban Caribou are mostly older multi family apartment houses. The majority of rental properties in the smaller communities and suburban Caribou consist of, for the most part, older single wide mobile homes dating from pre 1976 to present. Caribou has 6 mobile home parks. Four of the parks are below standard with limited units that will pass HQS inspections. Two of the parks are well maintained and managed with better quality rental homes that do not become vacant. DECD reports 1,560 households are substandard in Caribou and Presque Isle. Many of the rental units in the older multi family homes and older mobile homes remain vacant for extended periods. Single family homes listed as “For Sale” will remain on the market; often for several years if they sell at all. The 2000 Census report shows Aroostook County as having a 12% rental vacancy rate.

In summation; The housing needs for Caribou, Maine would be an increase in affordable housing units that meet HQS standards. Due to the extreme climate, high cost of energy, the lack of energy efficient building construction and an imbalance between owner operating cost to Fair Market Rent we are loosing available rental units.

9.0

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>N/A</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.</p> <p>Homeownership: the PHA has had two Homeownership closings in the year 2010.</p> <p>Family Self-Sufficiency: the PHA has had three graduates from the FSS program, due to becoming self sufficient and one ZERO HAP.</p> <p>Portability: have had one family port out to other PHA jurisdictions due to job placement and/or education.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p> <p>A substantial deviation from the housing agency’s 5-year plan is defined as any change to the overall mission or to the goals or objective as outlined in the plan. A significant amendment or modification of the 5-year plan or annual plan includes a major deviation from any activity, proposed activity, or policy provided in the agency plan that would affect services. This definition does not include budge revisions, changes in organizational structure, changes resulting from HUD-imposed regulations, or minor policy changes.</p>
11.0	<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>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</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>(g) Challenged Elements</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>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>

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.