

<b>1.0</b>	<b>PHA Information</b> PHA Name: <u>Connecticut Department of Social Services</u> PHA Code: <u>CT-901</u> PHA Type: <input 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>07/01/2010</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>0</u> Number of HCV units: <u>6604</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.)																										
	<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2">Participating PHAs</th> <th rowspan="2">PHA Code</th> <th rowspan="2">Program(s) Included in the Consortia</th> <th rowspan="2">Programs Not in the Consortia</th> <th colspan="2">No. of Units in Each Program</th> </tr> <tr> <th>PH</th> <th>HCV</th> </tr> </thead> <tbody> <tr> <td>PHA 1:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>PHA 2:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>PHA 3:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	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:					
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<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:  To promote decent, safe and affordable housing, economic opportunity and a living environment free from discrimination																										
<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. See table below.																										

<b>Goals</b>	<b>Objectives</b>
<b><u>I. Expand the Supply of Existing Housing:</u></b>	
A. Apply for additional rent vouchers	1. Respond to all NOFAs that the department is eligible to apply for
B. Leverage private or public funds to create additional housing opportunities	1. Obtain funding for an additional 100 state-funded housing subsidies for existing programs and new supportive housing initiatives
<b><u>II. Improve the Quality of Assisted Housing.</u></b>	
A. Administer an efficient, high performing agency through continuous improvement in the PHA's support systems	1. Continue to manage the Section 8 Housing Choice Voucher Program in an efficient and effective manner with HUD high performer SEMAP status
B. Improve specific management functions	1. Utilize 100% of budget authority, without exceeding baseline units
	2. Maintain a high level of standards and professionalism in day to day management of all program components
	3. Improve quality control measures by developing new evaluation protocols in conjunction with implementation of computerized random selection program
<b><u>III. Increase Assisted Housing Choices</u></b>	
A. Provide mobility counseling	1. Contract with mobility counseling agencies to assist with tenant education classes, mobility counseling apartment search assistance
	2. Five percent of participating families move from core cities to areas with lower concentrations of minority and low-income populations

B. Conduct outreach efforts to potential voucher landlords	1. Speak with landlord organizations on a quarterly basis and increase number of new participating landlords by 5%
C. Increase housing opportunities to individuals and families who are homeless, in danger of homelessness and/or disabled	1. Project base 100 vouchers in support of statewide supportive housing initiatives
<b><u>IV. Promote Self-sufficiency and Asset Development of Families and Individuals</u></b>	
1. Increase the number of employed persons in assisted families	1. Graduate 40 families, with escrow balances, from the Family Self-Sufficiency Program.
2. Provide or attract supportive services to improve assistance recipients' employability	1. Through linkages with public and private agencies, provide day care, transportation and counseling services that address issues that present barriers to employment retention for 300 families.
3. Provide or attract supportive services to increase independence for the elderly or families with disabilities	1. Through linkages with agencies providing services to the elderly and people with disabilities, assist 50 persons per year transition from state nursing facilities back into the community.
<b><u>V. Ensure Equal Opportunity in Housing for All Americans</u></b>	
A. Undertake affirmative measures to ensure access to assisted housing regardless of race color, religion, national origin, sex, familial status and disability	<ol style="list-style-type: none"> <li>1. Through tenant briefings, briefing packets and mobility counseling, ensure that all participants are aware of laws prohibiting discrimination.</li> <li>2. Brief all prospective Section 8 landlords on fair housing laws.</li> <li>3. Ensure program participants who believe they have received discriminatory treatment have the opportunity to redress grievances through hearings</li> </ol>
B. Undertake affirmative measures to provide suitable living environment for families living in assisted housing regardless of race, color, religion, national origin, sex, familial status and disability	1. Through tenant briefings and mobility counseling, encourage program participants seeking units to move into communities that do not have high concentrations of poverty or minority residents.
C. Undertake affirmative measures to ensure accessible housing to persons with disabilities regardless of unit size required.	<ol style="list-style-type: none"> <li>1. Conduct workshops educating agencies that provide services to people with disabilities about vouchers for persons with disabilities.</li> <li>2. Brief all prospective Section 8 landlords on fair housing laws as they relate to persons with disabilities.</li> </ol>

5.2 Cont.	<p>Include a report on the <b>progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.</b></p> <ul style="list-style-type: none"> <li>• Between 2005 and 2009 the department increased the number of authorized Section 8 Housing Choice Vouchers to 6604.</li> <li>• Over the past five years 484 new units of both project-based and tenant-based state assisted supportive housing were brought on-line.</li> <li>• Mobility counseling agencies assisted 247 families, 66% were placed in low-poverty neighborhoods and 63% of these families found units in suburban areas.</li> <li>• Outreach to landlords successful. Number of new participating landlords increased by 10%</li> <li>• The worsening state of the economy over the past several years has impacted families in Connecticut in their ability to obtain and retain employment and this trend is reflected in the department's FSS Program. Fourteen families graduated with escrow balances from the Family Self sufficiency Program since 2005.</li> <li>• 185 elderly and disabled families with disabilities were able to successfully transition from state nursing facilities back into the community through the department's Section 8 Nursing Facility Transition Preference and state funded rent subsidies during this period.</li> <li>• Through tenant briefings, briefing packets and mobility counseling, all participants have been made aware of laws prohibiting discrimination.</li> <li>• Prospective Section 8 landlords are briefed on fair housing laws and fair housing laws as they relate to persons with disabilities.</li> </ul>
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**6.0 PHA Plan Update**

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

1. Eligibility, selection & admissions policies including deconcentration & wait list policies	No Revision	6. Community service and self-sufficiency	NA
2. Financial resources	Revised	7. Safety and crime prevention	NA
3. Rent determination	No Revision	8. Pets	NA
4. Grievance procedures	No Revision	9. Civil rights certification	Revised
5. Designated housing for the elderly and disabled families	NA	10. Fiscal year audit	Revised
		11. Asset management	NA
		12. Violence against Women Act	Revised

(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. Connecticut Department of Social Services, 25 Sigourney Street, Hartford CT 06106

**7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers.** *Include statements related to these programs as applicable.*  
n/a

**8.0 Capital Improvements.** Please complete Parts 8.1 through 8.3, as applicable.  
n/a

**8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report.** As part of the PHA 5-Year and Annual Plan, annually complete and submit the *Capital Fund Program Annual Statement/Performance and Evaluation Report*, form HUD-50075.1, for each current and open CFP grant and CFFP financing.

**8.2 Capital Fund Program Five-Year Action Plan.** As part of the submission of the Annual Plan, PHAs must complete and submit the *Capital Fund Program Five-Year Action Plan*, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.  
n/a

**8.3 Capital Fund Financing Program (CFFP).**  
 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.

**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.

**Family Rental Household Cost Burdens**

Income Group	No. Of Households	Percent of Total	No. Paying More than		No. Paying More than	
			30%	Percent of Income Group	50%	Percent of Income Group
0% to 30% AMI	36,667	7.4	27,971	76.3	23,377	63.8
31% to 50% AMI	27,277	5.5	18,567	68.1	5,573	20.4
51% to 80% AMI	31,351	6.3	12,342	39.4	812	2.6
Sub Total	95,295	19.2	58,880	61.8	29,762	31.2
Total Families	495,404	Not Applicable	66,182	13.4	29,906	6.0

**Elderly Rental Households Cost Burdens**

Income Group	No. of Households	Per cent of Total	No. Paying More than		No. Paying More than	
			30%	Percent of Income Group	50%	Percent of Income Group
0% to 30% AMI	39,347	47.6	23,157	58.9	13,941	35.4
31% to 50% AMI	18,325	22.2	10,300	56.2	3,978	21.7
51% to 80% AMI	9,655	11.7	4,052	42.0	477	4.9
Sub Total	67,327	81.5	37,509	55.7	18,396	27.3
Total Elderly	82,577	Not Applicable	39,783	48.2	18,633	22.6

9.0

**Housing Needs of Applicants on Section 8 HCV Waiting Lists**

	# of families		# of families
Waiting list totals	5,675	Race: 1 White	3,316
Extremely low income <=30% AMI	5,355	Race: 2 Black	2,264
Very low income (>30% but <=50% AMI)	267	Race: 3 Native American	8
Low income (>50% but <80% AMI)	53	Race: 4 Asian	26
Families with children	3,888	Race: 5 Hawaiian/Pacific Islander	16
Elderly families	467	Ethnicity: 1 Hispanic	2,139
Families with Disabilities	1,320	Ethnicity: 2 Non-Hispanic	3,536

Over the next five years, Connecticut faces several challenges in meeting the housing needs of State residents. These challenges include the following:

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- Promote ‘housing mobility and choice across income levels utilizing current infrastructure and the preservation of existing residential neighborhoods and housing stock’.
- Preserve and increase the supply of quality affordable housing in order to expand housing choice and opportunity, support economic growth and the development of stable and healthy communities and neighborhoods. The annual area median income in Connecticut for 2009 was \$87,678 however unemployment has reached 9% due to the recent economic downturn. Adding to the problem, utility costs that have grown at more than double the rate of inflation. 48% of renters in Connecticut are cost burdened, where 30% or more of the household income is spent on housing costs. The *Out of Reach* study estimates that more than half of Connecticut renters are unable to afford the fair market rate for a two-bedroom unit.
- Prevent and end chronic homelessness. In the final report *Connecticut Counts 2009*, volunteers counted 3,320 homeless households in Connecticut on the night of January 28, 2009. It is estimated that in a 12 month period, approximately 33,000 individuals (including 13,000 children) in Connecticut experience homelessness to varying degrees.

**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.**

9.1

- Rental Housing Supply - Preserve and increase the supply of quality affordable housing available to low and moderate-income households.
- Speak with landlord organizations on a quarterly basis and increase number of participating landlords
  - Enforce HUD’s Housing Quality Standards to ensure properties under HAP contract are decent, safe and sanitary
- Rental Housing Opportunities - Improve the ability of low and moderate-income residents to access rental housing opportunities.
- Analyze PHA Payment Standards regularly to ensure they are adequate to allow for maximum tenant choice within funding available
  - Contract with three agencies to provide statewide mobility counseling, housing search assistance and tenant education to the families participating in the department’s Section 8 HCV Program and state funded housing programs.
- Fair Housing - Empower upward mobility for low & moderate income residents through fair housing.
- Through tenant briefings and mobility counseling, encourage program participants seeking units to move to communities or census tracts within cities that do not have high concentrations of poverty or minority residents.
  - Encourage Section 8 families to participate in the Family Self Sufficiency Program
- Homelessness - Develop and implement strategies and solutions to address the problem of chronic homelessness impacting families and populations with special needs, through the development and utilization of supportive housing.
- Continue to participate in initiatives to create supportive housing opportunities for the above referenced population

<p><b>10.0</b></p>	<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 style="padding-left: 40px;">(i) The department’s Mission Statement: To promote decent, safe and affordable housing, economic opportunity and a living environment free from discrimination has not been modified as it remains the primary focus of the department’s Section 8 HCV Program. A new housing software program in combination with revised administrative protocols and revamped quality control systems have improved, and will continue to improve our performance in meeting the department’s Mission and Goals as we move forward.</p> <p style="padding-left: 40px;">(ii) Any significant amendment or modification to the PHA Plan will be submitted to HUD after approval by the department’s Commissioner or his/her designee and members of the public have had the opportunity to comment in a public hearing.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p> <p>Substantial deviations or significant amendments or modifications are defined as discretionary changes in the Section 8 plans or policies that fundamentally change the mission, goals, objectives, or plans of the department and which require formal Commissioner approval.</p>
<p><b>11.0</b></p>	<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) Attached</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.