

5.2	<p>Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.</p> <p>To expand and preserve the supply of assisted housing, HOC will: When available, apply for additional rental vouchers; reduce public housing vacancies; leverage private or other public funds to create additional housing opportunities; and, acquire or build units or developments</p> <p>To continue improve the quality of assisted housing. HOC will: Improve public housing management, as measured by its PHAS score; improve voucher management, as measured by its SEMAP score; increase customer satisfaction; concentrate on efforts to improve specific management functions; renovate or modernize public housing units; demolish or dispose of obsolete public housing, if appropriate, and ensure that alternatives such as replacement public housing or replacement vouchers are available.</p> <p>To increase assisted housing choices, HOC will conduct outreach efforts to potential voucher landlords; continue its voucher homeownership program.</p> <p>To provide an improved living environment, HOC will: implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments; implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments; implement public housing security improvements; and maintain existing designations of developments for particular resident groups.</p> <p>To promote self-sufficiency and asset development of assisted households, HOC will: Continue to work to increase the number and percentage of employed persons in assisted families; provide or attract supportive services to improve assistance recipients' employability; provide or attract supportive services to increase independence for the elderly or families with disabilities.</p> <p>To ensure equal opportunity and affirmatively further fair housing, HOC will : Continue to 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:</p> <p>To enable HOC to serve the needs of children and adult victims of domestic violence, dating violence, sexual assault, or stalking, HOC will continue to follow and, as needed train staff on, procedures to ensure to the maximum extent feasible that such victims will retain their housing assistance; and develop and maintain effective relationships with providers of assistance and support to children and adult victims of domestic violence, dating violence, sexual assault, or stalking.</p> <p>HOC has met its goals in the expiring five-year plan. HOC has developed and is developing affordable, mixed-use developments in the County, such as Metropointe in Wheaton. HOC has retained its High Performer status in public housing and its Voucher program. HOC has created two customer service centers. HOC has used ARRA money to expand its Public Housing rehabilitation efforts. HOC continues its efforts through newsletters and forums to reach out to landlords for the Voucher program. The agency has reviewed and enhanced security and self-sufficiency efforts for its families. More Voucher and Public Housing families had earned income in 2011 than in 2006, despite the economic downturn. HOC's works with staff and other agencies on its fair housing efforts. HOC's FHEO Officer trains HOC and outside parties on fair housing issues, domestic violence and other issues. HOC implemented policies and procedures to ensure full compliance with the Violence Against Women Act (VAWA). HOC has expanded its allocations of Veterans Affairs Supportive Housing (VASH) and Non Elderly Disabled (NED) vouchers.</p>
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PHA Plan Update

(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: None

(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 Public may view the Plans, supporting documentation, and obtain information regarding any activities outlined in this plan at HOC's main administrative offices (10400 Detrick Avenue, Kensington, Maryland 20895) and the following three satellite offices:

- HOC Gaithersburg Customer Service Center
101 Lakeforest Blvd., #200
Gaithersburg, Maryland 20877
- HOC Silver Spring Customer Service Center
8241 Georgia Avenue 3rd Floor
Silver Spring, Maryland 20910
- East Deer Park Offices
231 East Deer Park Drive
Gaithersburg, Maryland 20877

Additional documents and supporting documents that are also available for viewing are listed below.

- Resident Advisory Board comments on Annual Plan are attached as (MD004a01.pdf)
- Capital Fund Program Annual Statement/Performance and Evaluation Report (MD004b01.xls)
- Capital Fund Program 5-Year Action Plan (MD004c01.xls)
- Annual Plan Certifications (MD004d01.pdf)
- RHF Performance and Evaluation Reports (MD004e01.pdf)
- CFP/ ARRA P&E Reports (MD004f01.pdf)

The Plan is also available for review on the HOC Web site: www.hocmc.org . A Public Hearing will be held on March 7, 2012.

Staff met with the Resident Advisory Board in January 2012 to discuss the plan.

Section 6 Continued:

PHA Plan Elements

[24 CFR Part 903.7]

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

(a) HCV

1. Eligibility

Eligibility is determined when the applicant is called from the waiting list.

The PHA uses the following criteria for screening applicants.

a. Criminal or drug related activity only to the extent required by law or regulation including criminal records from local and state law enforcement agencies. HOC checks national and state sex offender registries and will deny persons subject to lifetime registration. HOC will review, on a case by case basis, the issues related to any applicant who is registered as a sex offender for other than their lifetime.

2. Waiting List Organization

a. The waiting list is evaluated yearly to decide whether to purge the list and re-open it.

b. When the waiting list is open interested persons may apply at the PHA main administrative office, site management offices and through the PHA's website, www.hocmc.org.

3. Admissions Preferences

a. HOC includes as a preference for admission the former Federal preference of Involuntary Displacement.

b. HOC has a preference for overhoused PH families.

c. HOC also has a preference for admission for applicants who live, work, and/or participate in or have been graduated from training and education courses in the jurisdiction, local displacement and transitional housing preferences, and applicants unable to work due to age or disability.

- d. First priority in admissions preference is by Date and Time.
- e. Second priority is given equally to the remaining preferences.
- f. Among applicants with equal preference status applicants are selected by drawing (lottery).

An applicant who has been called up because of a preference but screening indicates that the applicant does not qualify will be removed from the waiting list.

PHA policies for HCV Eligibility are established in Chapter 3 of the Administrative Plan.
Waiting list and selection process are established in Chapter 4 of the Administrative Plan.

(b) Public Housing

1. Eligibility

Eligibility is determined when the applicant is called from the waiting list.

The PHA uses the following criteria for screening applicants.

- a. related activity only to the extent required by law or regulation including criminal records from local and state law enforcement agencies. HOC checks national and state sex offender registries and will deny persons subject to lifetime registration. HOC will review, on a case by case basis, the issues related to any applicant who is registered as a sex offender for other than their lifetime.
- b. The PHA also uses rental history for screening applicants.
- c. The PHA also uses a credit check for screening applicants.

2. Waiting List Organization

- a. The PHA uses sub jurisdictional lists and a community-wide list to organize its waiting lists.
- b. When the waiting list is open interested persons may apply at the PHA main administrative office, site management offices and through the PHA's Web site, www.hocmc.org.

3. Assignment

- a. An applicant will be removed from the waiting list if the applicant rejects two vacant units without good cause.

4. Admissions Preferences

- a. HOC includes as a preference for admission the former Federal preference of Involuntary Displacement.
- b. HOC also has a preference for admission for applicants who live, work, and/or participate in or have been graduated from training and education courses in the jurisdiction, local displacement and transitional housing preferences, and applicants unable to work due to age or disability.
- c. First priority in admissions preference is by Date and Time.
- d. Second priority is given equally to the remaining preferences.
- e. The following are circumstances that transfers take precedence over new admissions.
 - 1. Emergencies
 - 2. Over housed
 - 3. Under housed
 - 4. Medical Justification
 - 5. Administrative reasons (e.g., to permit modernization work)
- f. Among applicants with equal preference status applicants are selected by drawing (lottery).
An applicant who have been called up because of a preference but screening indicates that the applicant does not will be removed from the waiting list.

5. Deconcentration

The average annual income as of December 31, 2011 for all of HOC's Public Housing properties was \$17,411. The average for covered developments, as per HUD rules which exclude the elderly sites, is \$21,193.

Four covered developments fall below 85 percent of the average income for all the properties. HOC will target higher income applicants for units at two sites, Seneca Ridge, Washington Square, and Emory Grove Village. The fourth, Toby Town, is a homeownership site. There is just one which has incomes above the range. It is a scattered site property and, therefore, already serves to deconcentrate its residents.

PHA policies for public housing Eligibility are established in Section 8 of the Admissions and (Continued) Occupancy Policy. Waiting list and selection process are established in Section 9 of the Admissions and (Continued) Occupancy Policy.

2. Financial Resources

HOC will have a revised budget for 2013 in April 2012. Included is the 2012 budget information.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2010 grants)		
a) Public Housing Operating Fund	6,648,319	Operations
b) Public Housing Capital Fund	1,850,00	Capital Improvements
c) Annual Contributions for Section 8 Tenant-Based Assistance	80,599,480	Operations
d) Family Self-Sufficiency Grants	4,028,300	Operations
2. Public Housing Dwelling Rental Income	4,533,640	Operations
Total Resources	\$95,809,739	

3. Rent Determination

Public Housing employs discretionary policies for determining income based rent. The discretionary deduction for any student enrolled in classes or training, age 18 or older, at their expense. Subject to verification, the deduction will be as follows:

1. The benefit for a full-time student is \$2,200 per year. A student is defined as full-time is enrolled in 15 or more credit hours per semester, or their equivalent.
2. The benefit for a part-time student is \$1,500 per year. A student is defined as part-time if the student is enrolled in between 6 and 15 credit hours per semester, or their equivalent.

Household heads and other family members are eligible for this exclusion.

Between income reexaminations tenants must report changes in income above \$4,800 annually or changes in family composition. In setting up flat rents the PHA used a survey of similar units in the neighborhood, a HCV rent reasonableness study and County rent data. The Public Housing minimum rent is \$50.

HCV employs no discretionary policies for determining income based rent. The PHA annually reevaluates its payment standards. Currently the PHA payment standard is above 100% of the FMR but below 110% of the FMR. The PHA has chosen a higher payment standard than the FMR to increase housing options for families since the current FMRs are not adequate to ensure success in finding affordable housing among assisted families. The HCV minimum rent is \$50.

4. Operation and Management

The Policies governing the PHA maintenance management can be located in the policy documents in the following list.

- (1) Public Housing
 - HOC Policy for the Prevention and Eradication of Pest Infestation
 - Admissions and Continued Occupancy Policy
 - Housing Management On-Call Handbook
 - Turnover Standard Operating Procedures
- (2) Section 8 Management
 - Administrative Plan

5. Grievance Procedures

HOC has not established any written grievance procedures in addition to the federal requirements. Residents and applicants of the Public Housing program should initiate contact in regards to the PHA grievance process at the PHA's main administrative office.

The PHA has not established any written informal review procedures for applicants or tenants of the HCV program in addition to the federal requirements. Residents and applicants of the HCV program should initiate contact in regards to the PHA informal review and informal hearing process at the PHA's main administrative office.

6. Designated Housing for Elderly and Disabled Families

The PHA had approved on 10/21/2008 the following developments for Designated Housing.

Designation of Public Housing Activity Description
Development name: Holly Hall
Development (project) number: MD39P004013
Designation type: Occupancy by only elderly families and families with disabilities
Application status: Approved
Date this designation was Approved: 1/25/11
Number of units affected: 139

Designation of Public Housing Activity Description
Development name: Arcola Towers
Development (project) number: MD39P004015
Designation type: Occupancy by only the elderly
Application status: Approved
Date this designation was Approved: 1/25/11
Number of units affected: 139

Designation of Public Housing Activity Description
Development name: Elizabeth House
Development (project) number: MD39P004002
Designation type: Occupancy by only the elderly
Application status: Approved
Date this designation was Approved: 1/25/11
Number of units affected: 158

Designation of Public Housing Activity Description
Development name: Waverly House
Development (project) number: MD39P004017
Designation type: Occupancy by only the elderly
Application status: Approved
Date this designation was Approved: 1/25/11
Number of units affected: 156

7. Community Service and Self-Sufficiency

1. The PHA maintains a Family Self-Sufficiency Program which currently has 386 participants. The HCV program has 322 and the Public Housing program has 64 participants.

2. Community Service Policies for Enhancement

The current policy to assure Public Housing residents are in compliance with community service is to screen the Public Housing database no less than annually to identify residents who need to complete community service requirements. Some opportunities provided by HOC are listed below.

(1) External Opportunities

Agreements are in place with various external organizations, indicating interest and willingness to serve as a placement resource for community service participants. HOC has an alliance with the County Volunteer Clearinghouse for volunteer placements. Residents are encouraged to develop volunteer placement resources of their own through their affiliation with their churches, schools and other acceptable organizations.

(2) Internal Opportunities

HOC serves as a resource for placements under the condition that no resident would be placed in areas where there is sensitive or confidential information.

Community volunteers who work in concert with the Property Management Division will perform duties under the strictest of circumstances to make sure that work does not supplant the work of any paid employee or contractor and there is sufficient supervision of the worker at all times while work is in progress.

HOC will afford each Community Service participant with appropriate support prior to any adverse action taken against the resident. Participants may seek redress through the HOC Grievance Procedures.

The PHA will continue to comply with requirements of community service in regards to the treatment of income changes resulting from welfare program requirements. Some of the actions HOC is taking include training staff on rent determination policies, and informing residents of any policy changes at admission and reexamination. The PHA has a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services.

8. Safety and Crime Prevention

The need to ensure safety is based on providing safe housing to PHA residents.

The PHA has provided crime prevention activities targeted to at-risk youth, adults and seniors and has implemented the housing provisions from the Violence Against Women Act of 2005 (VAWA). The PHA has coordination with the police that includes the police providing crime data to the housing authority for analysis and action. The police also offer a physical presence at housing authority properties and in some instances officer lives in residence. Police are also available to meet with PHA management and to testify and support eviction cases.

9. Pets

The following are the Pet Ownership policies established by the PHA for its Public Housing units.

A \$200 refundable, non-interest-bearing deposit for cat, dog, or ten-gallon aquarium, payable over three months. \$10 monthly fee for these pets.

No deposits on caged animals.

Limit of one cat or dog, per household.

Limit of adult weight of 25 pounds.

Resident must provide record of current vaccinations and registration in compliance with County law. Records will be kept in the resident file.

A dog or cat must be neutered or spayed before six months of age.

The pet will be allowed out of the premises only in designated areas and only under the complete control of the responsible human companion and on a hand held leash or in a pet carrier.

Each dog or cat must wear a collar with identification.

Dangerous animals and potentially dangerous animals, as defined in Montgomery County Code Section 5, are not permitted. The County Code defines dangerous pets, as any animal deemed dangerous by a local authority, one that has attacked unprovoked and inflicted injury outside the owner's property. HOC has the option to ban from its properties any animal it deems dangerous.

Pet waste must be cleaned up and properly disposed of. Cat litter is not to be disposed of in toilets.

Pet must be secured in a cage or separate room when HOC staff has scheduled access to the unit or needs to provide service to the unit.

Resident must complete a Pet Applications/Registration form with property manager and will sign a Pet Addendum to the lease.

10. Civil Rights Certification

The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction of Montgomery County, Maryland.

The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan, and the PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.

Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. These include development, modernization, and preservation of affordable housing and development of special needs housing.

The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments by supporting HOC's Public Housing modernization efforts and includes matching funds to a State rental assistance program for homeless and about to be homeless persons.

11. Fiscal Year Audit

The PHA was required to submit an audit to HUD. The results of that audit indicate HOC conforms to accepted accounting principles.

12. Asset Management

As per HUD's *Supplemental Guidance on Phase-in Management Fees*, HOC will maintain overhead allocations for overhead costs in lieu of fee-for-service through 2012. Therefore, HOC will not use Fee for Service, but HOC will bill its Central Office overhead at cost, utilizing a Cost Allocation Plan.

Through 2012, HOC will maintain overhead allocations and it will report that allocated overhead on the income statement for each project under a new FDS line item called "Allocated Overhead."

Other direct project costs, such as the salary of the maintenance staff or costs associated with administering the waiting list must be appropriately reflected on the project's income statement.

Allocated overhead expenses, as opposed to management fees, are covered under all applicable Federal program rules.

HOC will not create a Central Office Cost Center (COCC). Instead, it shall maintain an overhead internal service fund.

13. Violence Against Women Act (VAWA)

To help meet the goals of the Violence Against Women Act (VAWA), HOC provides support and referrals to counseling for victims of domestic violence, sexual assault, or stalking. The County Department of Health and Human Services' Abused Persons Program (240-777-4673) provides 24 hour services, including access to counseling and shelter. HOC has adopted procedural language to ensure that victims retain housing assistance. The agency also assists victims with referrals to obtain restraining orders.

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

The PHA does not have any HOPE VI or Mixed Finance funding.

(b). Demolition and/or Disposition of Public Housing

The PHA does not have any projects currently or pending demolition or disposition.

(c). Conversion of Public Housing

HOC has applied to HUD for approval of the disposition and replacement of its scattered-site public housing, in whole or in part. The purpose would be to preserve these units as low-income housing, by generating funding for renovations as explained further below.

Upon HUD approval, the Commission would apply to HUD for approval of the disposition and upon receipt of that approval, for replacement Section 8 vouchers. HOC only would intend to go forward if sufficient vouchers were awarded. HOC would then seek to project-base the vouchers at the scattered sites and to borrow against the resulting rental income to finance renovations. Subject to meeting eligibility requirements, current residents would receive project-based vouchers to remain in their current units or could accept a one-time opportunity to move with tenant-based vouchers and paid actual and reasonable moving expenses.

7.0

(d). Homeownership Program

The PHA plans to administer Homeownership programs for Public Housing and HCV programs.

The PHA has eligibility criteria for participation in its HCV Homeownership Option program in addition to HUD criteria. This criteria is a two-year participation in the Family-Self Sufficiency Program; and a minimum annual income of \$24,000. The program size is 25 and staff is reviewing its participant list to determine if new participants need to be selected.

Public Housing Homeownership Activity Description
Development name: Bel Pre Square, Scattered Site Used, Scattered Site New, Tobytown
Development (project) number: MD 4-3,6,10,11
Federal Program authority: Turnkey III
Application status: Approved
Number of units affected: 178
Coverage of action: Total Development

(e). Project-Based Vouchers

The PHA plans to expand its use the project-based voucher program this year. The use of project based vouchers gives tenants access to neighborhoods outside of high poverty areas. HOC has about 580 PBV units throughout the County.

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

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. The Capital Fund Program Annual Statement is provided as attachment to the PHA Plan as attachment **MD004b01**.

8.2	<p>Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i>, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan as attachment MD004c01. It reflects the funding from ARRA.</p>
8.3	<p>Capital Fund Financing Program (CFFP). <input checked="" 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>
9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p>
9.1	<p>Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p> <p>Montgomery County, like most jurisdictions in the region, does not have enough affordable housing to meet the demand. Although County and HOC programs beyond the federal programs are more widespread than those in many similar jurisdictions, housing providers recognize that more needs to be done. In January 2010, HOC had over 16,800 applicants on its Voucher waiting list and over 14,200 on its Public Housing list.</p>

Additional Information. Describe the following, as well as any additional information HUD has requested.

10.0

- (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. HOC has met its goals in the expiring five-year plan. Specifically, HOC has sold obsolete public housing units, and used the proceeds to replace them and acquire other affordable units. HOC has developed and is developing affordable, mixed-use developments in the County, such as Metropointe in Wheaton, which includes 18 project-based vouchers. HOC has provided 23 PBVs at Victory Tower in Takoma Park, three at Jubilee House I Wheaton, and plans to provide 12 additional PBVs at a Hampden Lane, Bethesda, Maryland site to house formerly homeless persons. HOC is using ARRA money to expand its Public Housing rehabilitation efforts. HOC continues its efforts through newsletters and forums to reach out to landlords for the Voucher program. The agency has reviewed and enhanced security and self-sufficiency efforts for its families. More Voucher and Public Housing families had earned income in 2010 than in 2006, despite the recession. HOC's works with staff and other agencies on its fair housing efforts. HOC's FHEO Officer trains HOC and outside parties on fair housing issues, domestic violence and other issues. HOC implemented policies and procedures to ensure full compliance with the Violence Against Women Act (VAWA).
- (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification:"
1. Any revision or addition to HOC policies covering demolition or disposition, designation, homeownership programs, or conversion activities.
 2. Changes to rent (excluding changes in flat rent schedules) or admissions policies or organization of the waiting lists.
 3. Revisions or additions to the Capital Fund Program budget of non-emergency work items when dollar amount exceeds 10 percent.
- (c) Reference of applicable memorandum of agreement with HUD or plan to improve performance
None

11.0

Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. **Note:** Faxed copies of these documents will not be accepted by the Field Office.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations* (which includes all certifications relating to Civil Rights)
- (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. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.
- (g) Challenged Elements
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report* (PHAs receiving CFP grants only)
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan* (PHAs receiving CFP grants only)

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

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

Instructions form HUD-50075

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

1.0 PHA Information

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

2.0 Inventory

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

3.0 Submission Type

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

4.0 PHA Consortia

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

5.0 Five-Year Plan

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

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

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

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

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

PHA Plan Elements. (24 CFR 903.7)

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

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

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

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

- (a) **Hope VI or Mixed Finance Modernization or Development.** 1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm
Note: This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed.
- (c) **Conversion of Public Housing.** With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or

that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>

- (d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 Capital Improvements. This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report. PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

1. At the end of the program year; until the program is completed or all funds are expended;
2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 Capital Fund Financing Program (CFFP). Separate, written HUD approval is required if the PHA proposes to pledge any

portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

9.1 Strategy for Addressing Housing Needs. Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)**

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. **(Note: Standard and Troubled PHAs complete annually).**

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.