

<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: Rutland Housing Authority _____ PHA Code: VT003 _____ PHA Type: <input checked="" type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): _04/2016_____					
<b>2.0</b>	<b>Inventory</b> (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: ___181_____ Number of HCV units: _194_____					
<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	
					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>	<p><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:</p> <p style="text-align: center;"><b>The Rutland Housing Authority is dedicated to building healthy, safe, vibrant neighborhoods by creating and offering service-enriched housing options.</b></p> <p style="text-align: center;"><u><b>Vision Statement:</b></u></p> <p>As a local Housing Authority committed to the needs of our community, our vision is to:  <b>BE A LEADER</b> in the development of consumer driven, service enriched housing opportunities for the Rutland Region;  <b>BE RECOGNIZED</b> for our commitment to the principals of sound property management, process improvement, excellence, stewardship of public resources, use of appropriate state of the art technologies, and outstanding customer service;  <b>PROMOTE</b> community and resident participation and responsibility in developing healthy, safe and crime free communities;  <b>BE A CATALYST</b> for resident involvement, education, family self sufficiency, diversified regional home ownership, healthy aging and independence.</p> <p style="text-align: center;"><u><b>Values Statement:</b></u></p> <p>The Rutland Housing Authority dedicates its efforts to providing an environment that nurtures:  <b>Families.</b> We believe families thrive in communities that recognize the contributions of individuals and promote safety, stability, and independence.  <b>Communication.</b> We are committed to providing timely, accurate and appropriate communication to all of our stakeholders.  <b>Integrity.</b> We will strive for enhanced accountability and responsiveness to the ever changing needs of our diverse customers. Our relationships will be built on a foundation of fairness, loyalty, respect and credibility.  <b>Quality.</b> We shall provide the highest quality product through ongoing evaluation and service improvements.  <b>Knowledge.</b> We shall encourage the pursuit of knowledge so as to ensue organizational excellence, resident empowerment, and self-sufficiency.  <b>Cooperation.</b> We value teamwork and the resulting synergies created through effective partnerships.</p>					

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.

1. Expand the supply of assisted housing:
  - Apply for additional, non-Tenant Protection Section 8 Housing Choice Vouchers if available
  - Continue to reduce public housing vacancies
  - Leverage private or other public funds including the use of anticipated replacement funding to create additional housing opportunities through the Forest Park Redevelopment Initiative.
2. Improve the quality of assisted housing:
  - Improve public housing management by maintaining HUD “High Performer” designation
  - Improve voucher management by maintaining “High Performer” status.
  - Concentrate on efforts to improve specific management functions including public housing finance; maintenance functions; lease enforcement; modernization activities and Section 8 Program administration.
  - Renovate or modernize public housing units through the Capital Fund Program and other available resources.
  - Demolish or dispose of obsolete public housing (Forest Park Redevelopment)
  - Provide replacement housing (Forest Park Redevelopment).
  - Provide Tenant Protection/ /Replacement vouchers for families that are displaced. (Forest Park Redevelopment)
3. Increase assisted housing choices:
  - Provide voucher mobility counseling through relocation counselors.
  - Conduct outreach efforts to potential voucher landlords.
  - Relocate 27 Public Housing families in order to proceed with the Forest Park Redevelopment initiative.
  - Expand voucher homeownership program to include 3 successful participants.
  - Maintain public housing site-based waiting lists: (previously implemented)
  - Convert up to 20 Section 8 Housing Choice Vouchers to Project Based Vouchers with the possibility of placing some of these vouchers in the final phase of Hickory Street. The focus will be on providing greater housing choices for families experiencing homelessness. Services will be provided in partnership with the Homeless Prevention Center of Rutland, VT.
4. Provide an improved living environment:
  - Implement measures to de-concentrate poverty by bringing higher income market rate and tax credit households into the Hickory Street mixed income community
  - Implement public housing security improvements designed to protect residents and property.
  - Expand activities under the Support and Services at Home Program for elderly and disabled residents.
5. Promote self-sufficiency and asset development of assisted households:
  - Maintain and expand supportive services to improve the’ employability of assisted residents.
  - Maintain and expand supportive services to increase independence for the elderly or families with disabilities
  - Secure Annual ROSS and state grants as available.
6. Ensure equal opportunity and affirmatively further fair housing:
  - Expand affirmative measures to ensure access to assisted housing regardless of race, color, religion, national origin, sex, familial status or disability
  - Expand affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion, national origin, sex, familial status or disability
  - Expand affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required.
  - In conjunction with the final phase of the Hickory Street project, develop housing and services for hard to house (i.e. homeless) families.
  - All staff will have participated in updated fair housing training
7. Complete a revised five year strategic plan.

**Progress in Meeting the Goals and Objectives in Previous 5 Year Plan**

1. Expand the supply of assisted housing:
  - The RHA expanded its Voucher Program from 70 to 194 as a result of securing 48 relocation/replacement vouchers and 76 tenant protection vouchers. HUD has issued no new vouchers for which small PHAs have been eligible.
  - Public Housing vacancies have been low with an average occupancy rate of over 97%
  - The Authority has been working with the non-profit developer Housing Vermont to redevelop a portion of the Forest Park site. Thus far two of the three phases have been completed including the demolition of 48 units and the construction of 56 new mixed finance units. A total of 20 of the new units are ACC units. The final phase, which is under development, will include 22 units of 1,2 and 3 bedroom configurations.
2. Improve the quality of assisted housing.
  - The RHA is a High Performer under the HUD PHAS standards. The Authority’s SEMAP scores have resulted in “High Performer” Status over the past 5 years.
  - Over the past five years the Authority has embarked on a restructuring of the organization designed to improve all management functions. Project based, property management has prepared us for our shift to a mixed finance environment.

- The Capital Fund Program has been used to modernize our Templewood Court, Sheldon Towers and Forest Park properties. Initiatives have included window and door replacement, energy efficiency measures, expanded emergency generator coverage, new sidewalks and roof replacements to Templewood Court. Sheldon Towers has received a conversion from electric to propane heat, fire alarm upgrades and 504 unit modernizations. Activities at Forest Park have included new roofs, smoke/detectors and new electrical transformers. It should be noted that projects have been limited to health and safety measures due to pending demolition in 2015
- The Forest Park site will be replaced with a mixed income neighborhood. The balance of the project (27 units) will be demolished and disposed of and replacement units will be built. Tenant Protection/Replacement Vouchers will be utilized in order to ensure appropriate housing for displaced families.
- The RHA has received consistently positive feedback from residents through satisfaction surveys.

3. Increase assisted housing choices:

The RHA has greatly expanded its mobility counseling, landlord outreach and homeownership promotion as a result of an influx of relocation, replacement and tenant protection vouchers. Although we did not place any Section 8 voucher holders into homeownership we are working closely with our residents to offer both financial literacy and homeownership education.

Public Housing site-based waiting lists continue to be offered at our Templewood Court and Sheldon Towers properties.

4. Provide an improved living environment:

The new Hickory Street property is a mixed-income community that includes public housing, tax credit and market rate units. This mix has provided a deconcentration of poverty to this development and a greater sense of community.

The RHA continues to enjoy a strong working relationship with the Rutland City Police in helping to ensure safe neighborhoods.

In 2013 the RHA implemented a no-smoking policy in all owned and managed properties.

5. Promote self-sufficiency and asset development of assisted households:

In 2011 the Authority introduced services under the Support and Services at Home (SASH) model which brings together a variety of community based organizations to address chronic care management, transitions and the overall health and wellness in our elderly and disabled population. The program has been fully funded with outside resources and complements activities under our ROSS grant.

6. Ensure equal opportunity and affirmatively further fair housing:

The RHA has employed effective outreach to all communities so as to ensure equal opportunity and fair housing. The local media, flyers to local health and human service providers, community partnerships and word of mouth have been used to achieve this goal.

**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 and Admissions Policies, including Deconcentration and Wait List Procedures.**

- The Housing Choice Voucher Program wait list closed on April 30, 2012 due to the high number of current applicants and the wait time (3+ years) it was subsequently reopened on March 1, 2013 and remains open.
- Due to an increase in HUD Fair Market rents the Authority reduced its payment standard from 109% back to 100% effective October 13, 2014. This move will allow us to serve additional Section 8 participants.
- Minor revisions have been made to the Section 8 Administrative Plan that will go in to effect on 04/11/2016. Additional revisions will be implemented as needed.
- Revisions were made to the Admissions and Continued Occupancy Policy that will go in to effect on 4/11/2106. Additional revisions will be implemented as needed.
- During 2013 the Authority implemented a smoke free policy for all of its owned and managed buildings. This was accomplished, in part, through a Community Transformation Grant awarded by the Vermont Department of Health. The Authority continues to monitor compliance with a high success rate. No evictions have been necessary as a result of policy violations.

**2.) Financial Resources.**

No significant change. Rutland Housing Authority received a ROSS Resident Service Coordinators grant in the amount of \$246,000.00 in 2015. Additionally the Authority has been awarded over \$400,000 in energy efficiency grants to implement upgrades to the Templewood Court and Sheldon Towers properties. Finally, the Authority was awarded \$127,000 in grants to support additional resident services through the Support and Services at Home (SASH) Program and the Housing and Supportive Services (HASS) grants and funding from the Vermont Department of Health Community Transformation Grant.

**6.0**

**3.) Rent Determination. No significant change**

**4.) Operation and Management. No significant changes**

**5.) Grievance Procedures. No significant change.**

**6.) Designated Housing for Elderly and Disabled Families. No significant change.**

**7. Community Service and Self-Sufficiency. No significant change.**

**8.) Safety and Crime Prevention. No significant change.**

**9.) Pets. No significant change.**

**10.) Civil Rights Certification. No significant change.**

**11.) Fiscal Year Audit. No significant change and no findings.**

**12.) Asset Management. No significant change.**

**13.) Violence Against Women Act (VAWA). No changes.**

(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. *All documents may be obtained at the Rutland Housing Authority Administrative Offices, 5 Tremont St., Rutland, VT*

7.0	<p><b>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers.</b> <i>Include statements related to these programs as applicable.</i></p> <p>a. <b>HOPE VI Mixed Finance Modernization or Development:</b> The Rutland Housing Authority was awarded a Neighborhood Stabilization (2) grant in 2011 in the amount of \$1,587,500. These funds combined with LIHTC equity, CFFP proceeds and State grants were used to fund phase 2 of the Forest Park Redevelopment Initiative. Forest Park was a 75 unit family housing site that, together with Templewood Court (60 units) and Sheldon Towers (74 units), makes up project number VT 003000001. As part of phase one of the redevelopment 37 units were demolished and replaced with a new mixed income, mixed finance neighborhood made up of 7 buildings and 33 units inclusive of 14 Public Housing units. The project resulted in the relocation of 37 public housing families through the use of Section 8 Housing Choice Vouchers. The project was completed in November of 2011 and is fully leased up.</p> <p>Phase 2 required that 3 additional buildings containing 11 units plus a community center/maintenance garage be demo/disposed. This was replaced with seven new buildings including 14 two bedroom and nine 1bedroom residential units, a new maintenance garage and a community center that is host to Head Start, the RHA Family Self Sufficiency Program and DREAM, a youth mentoring program. Boys and Girls Club is scheduled to move in during 2014. The new mixed finance development was completed in October of 2013 and includes 6 Public Housing units. Eleven families were successfully relocated as part of this phase.</p> <p>The Authority is currently working on Phase 3 of the project. This phase will result in the disposition and demolition of the balance of the site (5 buildings and 27 units). These units will be replaced with 22 new apartments made up of 1, 2 and 3 bedroom units.</p> <p>b. <b>Demolition and/or Disposition:</b> The Rutland Housing Authority received approval for Demolition and Disposition applications for both phase one and phase two of the Forest Park Redevelopment and Neighborhood Renewal Initiative. A separate application will be submitted this year to address the balance of the Forest Park site.</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></p> <p><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> <p><b>The PHA may propose to use operating reserves and non-PHA funds to pay down the CFFP transaction with the Vermont Community Loan Fund.</b></p>

<p>9.0</p>	<p><b>Housing Needs.</b> Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p> <p>The HUD Consolidated Plan for Housing and Community Development Programs for the State of Vermont reveals that although fairly affordable compared with other counties, low-income Rutland County residents still struggle with few rental housing options. Households earning \$33,235 per year (80% of the estimated county median household income) can afford to pay about \$831 monthly for rent (including utilities). In 2005, an estimated 6,596 affordable rental units were available with rents ranging from \$1 to \$831. However, slightly more than one-half of these units are estimated to be occupied by upper income households and an additional five percent are assumed to be vacant at any given point in time, leaving only about 3,029 units available for low-income households, a shortage of 1,950 affordable rental units in Rutland. Affordable housing built by Rutland County's affordable housing developers (mid 1970s to 2004) provides for about 24% of low-income renter households in 2005. There is a current "gap" of 749 units in affordable elderly rental housing and 3,060 units in non-elderly.</p> <p>In rental housing development, bedroom sizes are an important consideration. Details about types of subsidized rental units show that, as expected, apartments for elderly tenants are smaller in size, with one bedroom apartments most prevalent. For non-elderly or non-disabled residents, apartment sizes tend to be larger. In Rutland County, between 2005 and 2010, there is a need for new construction of 600 owner-occupied homes to bridge the gap in supply and the expected demand from 18,572 owner households in 2010.</p> <p>The proportion of Rutland County households with household members over 62 years of age is growing at a rate more than double the rate of all households between 2000 and 2010. The level of change for low-income older households (below 80% of median income) is keeping pace with other growth rates in Rutland, with more than 4,458 households expected by 2010, representing a change of 5.6% between 2000 and 2010. This reflects the first decade of the "baby boom" population cohort as it begins to affect elder households and longer life expectancies for older residents.</p> <p>The RHA is currently working to expand the Support and Services at Home Program to improve the delivery of long term care services to residents of congregate housing.</p> <p>The 2000 Census showed that Rutland County's lowest-income households were much more likely to have mobility and/or self-care limitations <b>and</b> housing problems (as measured by cost burden, and/or overcrowding, and/or without adequate plumbing or kitchen facilities).</p> <p>In general, Vermont's housing stock is old. This corresponds to housing quality issues and the potential need for housing rehabilitation as opposed to new housing. Rutland is older than the state average, with 38.1% built prior to 1939. In fact, Rutland has the second highest percent in the state. On the other hand, less than 5.3% of the housing stock was built since 1998, which is a lower rate than most other Vermont counties.</p> <p>In Rutland, about 58% of the total subsidized housing stock is designated for elderly households. Typically, most non-elderly low-income renter households rent homes through the private rental market. In Rutland County, about 14% of non-elderly low-income rental households live in subsidized housing stock. These 1,175 subsidized units do not include "affordable" rental units in the marketplace occupied by low-income households and the associated needs/gaps for that type of housing.</p> <p>An updated 5 Year Consolidated Plan will be produced in 2015.</p>
<p>9.1</p>	<p><b>Strategy for Addressing Housing Needs.</b> Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. <b>Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</b></p> <p>The RHA's strategy to meet the needs stated above is to maintain the units that it has in its portfolio to the highest possible standard that funds will allow, use all the section 8 funds available to lease the maximum number of units possible, and to continue to work diligently with community partners and funders to redevelop the Forest Park site. The final phase of this initiative will result in an additional 22 units of mixed income housing.</p> <p>Over the next year the Authority will continue the restructuring of the organization designed to improve all management functions. Additional participants are anticipated as a result of the Forest Park Redevelopment. Public Housing site-based waiting lists continue to be offered at our Templewood Court, Forest Park, Hickory Street and Sheldon Towers properties.</p>

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

(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan.

The Authority has made significant progress in meeting the goals described in the 2015 Five Year Plan through the following accomplishments:

- The addition of 59 relocation and 76 enhanced vouchers into the voucher inventory.
- Reduction in Public Housing vacancies
- The Authority leveraged private and other public funds including the use of replacement funding to create phase 1 and phase 2 of the Forest Park Redevelopment Initiative. A similar funding stream is anticipated for phase 3.
- Continuously improved voucher management by maintaining "High Performer" status.
- Concentrated on efforts to improve specific management functions including public housing finance; maintenance functions; lease enforcement; modernization activities and Section 8 Program administration.
- Renovated or modernized public housing units through the Capital Fund Program and other available resources. This included major energy upgrades to 135 units.
- Demolished and disposed of obsolete public housing (Forest Park Redevelopment)
- Provided 20 units of replacement public housing in phase one and two of the Hickory Street project.
- Provided voucher mobility counseling through relocation activities.
- Conducted outreach efforts to potential voucher landlords
- Maintained public housing site-based waiting lists: (previously implemented)
- Implemented measures to de-concentrate poverty by bringing higher income public housing and tax credit households into the Hickory Street mixed income community
  - Expanded supportive services to increase independence for the elderly or families with disabilities through the Support and Services at Home (SASH) Program.
- Secured ROSS and state grants.
- Expanded affirmative measures to ensure access to assisted housing regardless of race, color, religion, national origin, sex, familial status or disability
- Expanded affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion, national origin, sex, familial status or disability
- Expanded affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required through unit modifications.

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

10.0

Substantial deviations from the 5-Year Plan and significant amendments or modifications to the Annual Plan will result in the Rutland Housing Authority subjecting these changes to the policies or activities to full public hearing and HUD review before implementation.

The Rutland Housing Authority shall define substantial deviation from the 5-Year Plan or significant amendment or modification to the Annual Plan as any of the following actions:

- Changes to rent or admissions policies or to the organization of the waiting list;
- Additions of non-emergency work items (items not included in the current Annual Statement or 5-Year Annual Plan) or change in use of replacement reserve funds under the Capital Fund;
- Any change with regard to demolition or disposition, designation or conversion activities.

An exception to this definition will be made for any of the above that are adopted to reflect changes in HUD regulatory requirements; such changes will not be considered significant amendments by the Rutland Housing Authority.

**PHA Statement of Compliance with the Violence Against Women Act**

The Rutland Housing Authority (RHA) has adopted a policy (the "RHA VAWA Policy") to implement applicable provisions of the Violence Against Women and Department of Justice Reauthorization Act of 2005 (Pub. L. 109 – 162) (VAWA). RHA's goals, objectives and policies to enable RHA to serve the needs of child and adult victims of domestic violence, dating violence and stalking, as defined in VAWA, are stated in the RHA VAWA Policy and the Rutland Housing Authority Admissions and Continued Occupancy Policy.

In addition:

a. The following activities, services or programs are provided by RHA, directly or in partnership with other service providers, to child and adult victims of domestic violence, sexual assault or stalking:

Resident Service Coordination and referrals to relevant service providers including: Rutland County Women's Network, Rutland City Police Department, Rutland County Parent Child Center, Vermont Achievement and Vermont Children's Aid Society.

b. The following activities, services or programs are provided by RHA to help child and adult victims of domestic violence, dating violence, sexual assault, or staking maintain housing:

Resident Service Coordination and referrals to relevant service providers including: Rutland County Women's Network, Rutland County Housing Coalition, Rutland County Parent Child Center, and Vermont Children's Aid Society.

11.0	<p style="text-align: center;"><b><u>PHA Statement of Compliance with the Violence Against Women Act</u></b></p> <p>c. The following activities, services or programs are provided by RHA to prevent domestic violence, dating violence, sexual assault and stalking, or to enhance victim safety in assisted families:</p> <p style="padding-left: 40px;">Resident Service Coordination and referrals to relevant service providers including: Rutland County Women’s Network, Rutland City Police Department, Rutland County Parent Child Center, Vermont Achievement and Vermont Children’s Aid Society.</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)</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.