1.0 PHA Information

PHA Name: City of Mesa Housing Authority
PHA Code: AZ005
PHA Type: □ Small X High Performing □ Standard □ HCV (Section 8)
PHA Fiscal Year Beginning: (MM/YYYY): 07/2015

2.0 Inventory (based on ACC units at time of FY beginning in 1.0 above)
Number of PH units: N/A
Number of HCV units: 1,715 (1424 HCV, 100 Mainstream, 191 VASH)

3.0 Submission Type
X 5-Year and Annual Plan □ Annual Plan Only □ 5-Year Plan Only

4.0 PHA Consortia
□ PHA Consortia: (Check box if submitting a joint Plan and complete table below.)

<table>
<thead>
<tr>
<th>Participating PHAs</th>
<th>PHA Code</th>
<th>Program(s) Included in the Consortia</th>
<th>Programs Not in the Consortia</th>
<th>No. of Units in Each Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>PHA 1:</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>PHA 2:</td>
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<tr>
<td>PHA 3:</td>
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</tbody>
</table>

5.0 5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.

5.1 Mission. 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:

Exceptional customer service to Mesa residents, neighborhoods and agencies by providing resources to improve the quality of life for the community.

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.

Goal:
Assist the availability of affordable, decent, safe and affordable housing in the City of Mesa

Objective
- Maintain the utilization of assisted vouchers or HAP subsidy at 98%-100% of available vouchers to budget authority.
- Continue to manage the HAP expenditures to confirm it is within the Annual Contributions Contract (ACC)
- Identify and collect overpayments of HAP from landlords and participants.

Goal:
Improve the quality of assisted housing

Objective
- Complete inspection on assisted units at least biennially or as deemed necessary.
- Outreach to recruit new property owners with units outside of the low-income poverty areas.

Goal:
Promote self-sufficiency and asset development of assisted households

Objective
- Maintain the FSS program for eligible participants.
- Available listings of supportive services and referrals to assisted households

Goal:
Ensure equal opportunity and affirmatively further fair housing

Objective
- Educate staff, landlords and participants/applicants the laws regarding to equal opportunity and fair housing.
- Available literature in office and website
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 Admission Policies
Eligibility policies for the MHA can be found in Chapter 3 of the MHA HCV Administrative Plan.
- Prohibited and permissible inquiries – No inquiries shall be made about a person’s sexual orientation or gender identity.
- Definition of Family – MHA has updated the administrative plan changing the definition of the family to include “equal access regardless of sexual orientation, gender identity or marital status”. PIH Notice 2014-20
- Extremely Low-Income – MHA has updated the administrative plan with the new extremely low income limits.

2. Financial Resources
Financial Resources anticipated in FY 2015-2016 for the MHA are as follows:

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>HCV (Section 8) HAP funds</td>
<td>$10,969,600</td>
</tr>
<tr>
<td>HCV (Section 8) Admin fees</td>
<td>$805,898</td>
</tr>
<tr>
<td>Veterans Affairs Supportive Housing Program (VASH) HAP funds</td>
<td>$1,090,182</td>
</tr>
<tr>
<td>Veterans Affairs Supportive Housing Program (VASH) Admin fees</td>
<td>$79,704</td>
</tr>
<tr>
<td>Mainstream HAP funds</td>
<td>$510,000</td>
</tr>
<tr>
<td>Mainstream Admin fees</td>
<td>$61,000</td>
</tr>
</tbody>
</table>

3. Rent Determination
Rent determination policies can be found in Chapter 7 and 8 of the MHA HCV Administrative Plan.
- Utility Allowance – According to the 2014 Appropriations Act, MHA has updated the administrative plan and policies to reflect the change to use the utility allowance for the voucher size. Participants were notified via mailed newsletter and at the annual briefings.
- Income Exclusions – MHA has updated the administrative plan to reflect the changes to income exclusion categories as set by HUD in May 20, 2014 Federal Register.
- Repayment Agreements – MHA has updated the administrative plan regarding repayment agreements 1) a new threshold for repaying a debt up to $500 “must be paid within 6 months of signing a repayment agreement”. And 2) participant will be denied to move out of Mesa until the debt is paid in full.
- MHA has lowered the payment standard to allow the use of all the 1,715 vouchers without over spending the allocated HAP from the ACC. Rent reasonables are completed for all initial units and if FMR is reduced 5% or more. Rent Reasonable is completed at all annual re-certifications in 2015.

4. Operation and Management
- Occupancy Standards – MHA has changed is occupancy standard to two family members per bedroom regardless of age or gender.
- HQS Inspections – MHA has added to the administrative plan that we are only required to inspect an assisted unit every 24 months. At this time we do not have our process written to move eligible annual inspected units to biennial inspections.

5. Grievance Procedures
Grievance Procedures can be found in Chapter 16 of the MHA Administrative Plan.
- Termination Notices – MHA has updated the administrative plan and MHA policy to include the HUD 50066 (Certification of Violence, domestic violence, dating violence, sexual assault, or stalking with all negative action letters.

10. Civil Rights Certification
- The MHA examines its programs to identify any impediments to fair housing choice within their programs.
- The PHA offers to each prospective and current participant a list of units offered by local owners throughout the jurisdiction. The PHA also does outreach to existing and prospective landlords by offering a landlord briefing every other month.
- The PHA supports the Consolidated Plan Antipoverty Strategy by increasing the effectiveness of existing programs through better collaboration, reduced duplication of services, and increased efficiency of implementation.
- The MHA offers a Fair Housing Conference annually that is open to the public to gain knowledge of fair housing practices.
- The MHA has the Fair Housing Posters displayed in the office lobby and conference rooms.

11. Fiscal Year Audit
The fiscal Year Audit for the Fiscal Year 2013/2014 reflects no audit findings for the MHA and subprograms.

13. Violence Against Women Act (VAWA)
- MHA has updated the administrative plan to be incompliance with the changes to the VAWA law of 2013.
- MHA reviews the VAWA law and provides VAWA information at the initial and annual briefings for applicants and participants. The VAWA law is also reviewed and information provided at the landlord briefings.

(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 5-Year and Annual PHA Plan on the city website www.mesaaz.gov/housing or view and obtain copies of the 5-Year and Annual Plan at the City of Mesa Housing Authority at: 20 E. Main St., Suite 250, Mesa, AZ, 85201.
7.0 **Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers.** Include statements related to these programs as applicable.

City of Mesa Housing and Community Development provides HOME funds to a local Community Housing Development Organization (CHDO) to administer first time homebuyers.

City of Mesa has received over $13 million in NSP1 & NSP3 dollars in which city provides new home opportunities for families and individuals in qualified census areas.

City of Mesa Housing Authority (MHA) administers 11 Homeownership Vouchers.

MHA FSS Program work with the FSS Program in Tempe, Chandler and Scottsdale. Workshops available are: homeownership, FSS Alliance Success and Homebuyer Clubs and various other outreach workshops.

MHA has awarded two properties with Project-Based Vouchers (PBV) who target the homeless population. La Mesita Apartments at 2254 W Main St, Mesa, AZ 85201, was awarded and the HAP contract was executed for 30 PBV. Escobedo at Verde Vista was awarded and the AHAP contract was executed for 30 PBV and leasing of units is scheduled for July 1, 2015. Both of these properties have onsite supportive services. Currently reviewing proposals for additional 30 PBV.

Annually City of Mesa has invested $50,000-100,000 in demolition and removal of blight.

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

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. **NA**

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

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

☐ Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements. **NA**
9.0

### 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.

MHA administers 1, 715 vouchers for extremely low to very low income families and individuals. MHA will continue to maintain the utilization of assisted vouchers or HAP subsidy at 98%-100% of available vouchers to budget authority.

The City of Mesa Housing and Community Development Department’s 5-Year Consolidated Plan for 2015 was prepared by WFN Consulting. The Consolidated Plan identifies the needs of low moderate income resident and to provide strategies to address those needs. The Consolidated Plan identifies available local and federal resources to provide services to meet these needs.

#### Summary of Housing Needs from the 2015 Consolidated Plan

Population estimates reflect the population, household and median income for residents of Mesa. According to the 2005-2009 American Community Survey (ACS) estimates, the City of Mesa included 459,741 residents and 163,740 households. The data reflects that the city had an increase in population from the 2000 Census but a decrease in the number of households. According to the 2005-2009 estimates, the median income was $50,268.00. Although the 2005-2009 estimates were the most recent provided by HUD, a review of more recent data reveals a decline in population and an increase in the number of households, narrowing the disparity between these figures present in the earlier estimates. As noted in the 2012 ACS estimates, the City’s population included 452,068 residents and 167,435 households. The median income in 2012 for households in Mesa was $47,256. The following table provides an overview and breakdown of the City's population by size, income, age and housing needs.

According to the 2012 American Community Survey estimates, 54,478 Mesa residents (or 8.7 percent of the total population) were of a disabled status. The data also reflected that 7.9% of the City’s population had self-care limitations. The City does not have data available to estimate the number persons or households of victims of domestic violence, dating violence, sexual assault and stalking who may be in need of housing assistance.

The most common housing problem in the City is cost burden, where residents paid more than 30 percent of their gross income on housing costs. This problem is most acute for renters and households with incomes under 30 percent of Housing Urban Development Area Median Family Income (HAMFI). Households paying more than 50 percent of their income for housing is also an issue, again particularly for those with incomes under 30 percent of HAMFI.

According to 2005-2009 CHAS data, 10,295 households under 30 percent of HAMFI were paying at least 50 percent of their monthly income on housing costs. A total of 3,370 renters between 30 and 50 percent of HAMFI were paying more than half of their monthly income on housing; and very few renters in higher income categories paid this high a percentage for housing.

Far fewer owner-occupied households were paying over 50 percent of their monthly income on housing costs. The data shows that while 10,445 renters under 80 percent of over 50 percent of their monthly income on housing costs; only 9,990 homeowners at this income level did so.

The second most common housing problem was substandard housing. This problem also disproportionately affected renters (51 percent of all cases) and owner households under 30 percent of HAMFI (5 percent of all cases).

Fortunately, substandard housing in the City was extremely limited, affecting less than 1 percent of all households. It should be noted that substandard housing in this instance is defined under a HUD interpretation and includes housing units lacking complete kitchen and/or bathroom facilities. The share of housing units not fully compliant with local code is greater.

The housing trend is that renters and extremely low-income households are much more likely to have housing problems than homeowners and higher income groups. CHAS data on severe housing problems indicated that 13,985 renter households and 11,900 owner households had one or more housing problems. This trend holds true with overcrowding, as 2,725 or 28.2 percent of renter households were overcrowded households. The elderly, particularly homeowners, were also affected by cost burdens, comprising of 56.2 percent of households with incomes below 30 percent AMI.

Individuals with an imminent risk of residing in shelters or becoming unsheltered typically have a combination of financial factors present in their lives: lack of living wage job, rent consuming more than 30 percent of their income, and high child care, medical, or transportation costs. In addition to these factors, individuals at risk of homelessness will often have additional issues present: family conflicts, domestic violence, doubling up with family members, recent crisis, housing with code or safety violations, family members with disabilities, criminal histories, history of mental health or chemical dependency, difficulty navigating systems to access public benefits or community based services, and prior experience with homelessness. The City will continue to utilize Emergency Solutions Grant program funds to address the need of residents who are currently housed but are at imminent risk of becoming unsheltered.

The characteristic that has been linked most clearly with instability and an increased risk of homelessness is a lack of affordable housing for lower-income households. The typical measure of housing affordability is whether tenants are paying more than 30 percent of their gross income on rent. According to 2012 data from the American Community Survey, 44.7 percent of City renters paid more than 30 percent of their income on housing. The affordability issue is also illustrated by the fact that just 31.5 percent of the City’s apartments rent for less than $749 a month, yet 52 percent of residents can afford no more than $880 in rent.

Another characteristic linked to instability and an increased risk of homelessness is the difficulty eligible individuals have in obtaining Permanent Supportive Housing. PSH is almost always fully utilized, but a number of issues occur when eligible recipients are placed on a waiting list. They will often remain homeless, move to rooming houses, or relapse into drugs or other harmful activities. As a result, many eligible recipients lose their eligibility for PSH during the waiting period.

More data and detail can be found in the City of Mesa Housing and Community Development Consolidated Plan.
<table>
<thead>
<tr>
<th>9.1</th>
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<tbody>
<tr>
<td><strong>Strategy for Addressing Housing Needs.</strong> 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. <strong>Note:</strong> Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</td>
</tr>
<tr>
<td>- City of Mesa Housing and Community Development Department will continue to address the housing needs of the families in City of Mesa by providing HOME and CDBG funds to increase and/or improve affordable housing.</td>
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<tr>
<td>- MHA will maximize the number of vouchers utilized without over spending the allocated ACC funding.</td>
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<tr>
<td>- MHA will apply for additional vouchers should they become available.</td>
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<tr>
<td>- MHA will conduct outreach to potential owners to participate in the HCV program.</td>
</tr>
<tr>
<td>- MHA has approximately 1,200 applicants on the waiting list and will pull names for eligibility as vouchers become available.</td>
</tr>
<tr>
<td>- Provided PBV available for long-term affordable housing with supportive services.</td>
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</tbody>
</table>
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 MHA has made a noted effort in working towards achieving the 5-Year goals of the agency created for the period between 2010 and 2015. MHA is a high-performing agency with a focus on making a difference in the community by providing quality rental assistance in a high customer satisfaction environment. MHA takes an active role in implementing HUD policies, procedures and requirements within the required timeframes.

Goal: Expand the supply of assisted housing
- MHA continues to review the NOFA to determine availability of additional vouchers. MHA applied and was awarded an additional 81 VASH vouchers in 2014 bringing the total VASH vouchers to 191.
- The City of Mesa supports permanent housing projects for homeless through the CDBG and HOME funding process.

Goal: Improve the quality of assisted housing within the HCV program
- MHA is a high-performing housing authority.
- MHA promotes and supports housing staff to attend available training to improve efficiency and customer satisfaction as time and resources are available.
- MHA continues to focus on quality control procedures and regular staff training. Staff meetings are held every 2 weeks to review procedures, policies, changes and updates regarding the HCV programs. Quality controls of files are completed per the HUD and SEMAP requirements.

Goal: Increase assisted housing choices
- MHA reviews and provides information to participants and applicants regarding the portability regulations and processes at all initial and annual briefings.
- MHA has conducted 6-12 landlord briefings per year in the last 5 years. All new and existing landlords and/or property management staff are invited to attend. We require all new landlords to attend to review the program and policies. Landlord information and forms are on the Housing and Community Development website. Landlord packets are available for landlords including: copies of HAP contract, RFTA, VAWA, Good Place to Live pamphlet, landlord responsibilities, Landlord Tenant Act and other landlord information for the City of Mesa.
- MHA uses the gosection8.com website for landlord listing of their available properties. A copy is printed from the website and available in our office.
- PBV have been awarded to low-income tax credit project sites in an effort to increase new, safe, decent, sanitary and affordable housing for homeless individuals or families.
- Homeownership program was implemented in November 2002. MHA is guiding potential homeownership applicants through the process. MHA administers 11 homeownership vouchers.
- City of Mesa has received over $13 million in NSP1 & NSP3 dollars in which city provides new home opportunities for families and individuals in qualified census areas.

Goal: Work with HUD to reform regulations while increasing local PHA flexibility.
- MHA Resident Advisory Board and Housing Governing Board are active in approving and supporting changes to the MHA Administrative Plan as recommended by MHA and required by HUD.

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals.

Goal: Promote self-sufficiency and asset development of assisted households.
- MHA has a strong Family Self Sufficiency Program (FSS). City of Mesa FSS alliances with Tempe, Scottsdale and Tempe Housing to plan organize and lobby supportive services and trainings for the FSS participants. The supportive services will increase the independence and self-sufficiency for the families enrolled in the FSS program.
- MHA has awarded two properties with Project-Based Vouchers (PBV) who target the homeless population. La Mesita Apartments at 2254 W Main St, Mesa, AZ 85201, was awarded and the HAP contract was executed for 30 PBV. Escobedo at Verde Vista was awarded and the AHAP contract was executed for 30 PBV and leasing of units is scheduled for July 1, 2015. Both of these properties have onsite supportive services.

Goal: Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification"

Substantial Deviation from the 5-Year Plan: Substantial Deviation from the 5-Year Plan shall include a major modification to the PHA goals and practices. General agency policies are not included; however, if there is a significant amendment or modification to the 5-Year Plan, an updated copy of the Administrative Plan shall be available at the main administrative office of the City of Mesa Housing Authority, 20 E. Main St, Suite 250, Mesa, AZ, 85201 or on our website www.mesaaz.gov/housing.
**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:** Fax 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)
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/centers/sac/conv/index.cfm](http://www.hud.gov/offices/pih/centers/sac/conv/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](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.