

Definition of *Income Information* was added. Information relating to an individual's income, including:

- All employment income information known to current or previous employers or other income sources
- All information about wages, as defined in the State's unemployment compensation law, including any Social Security number; name of the employee; quarterly wages of the employee, full address, telephone number, and, when known, Employer Identification Number of an employer reporting wages under a State unemployment compensation law.
- Whether an individual is receiving, has received, or has applied for unemployment compensation, and the amount and period received.
- Unearned IRS income and self-employment, wages and retirement income.
- Wage, social security income data obtained by the Social Security Administration.

Definition of *Initial Rent to Owner* was added. The rent to owner at the beginning of the HAP contract term.

Definition of *Person with Disabilities* was added. *Person with Disabilities* is defined as: A person who has a disability as defined in 42 U.S.C. 423 or a developmental disability as defined as defined in 42 U.S.C. 6001. Also includes a person who is determined, under HUD regulations, to have a physical or mental impairment that is expected to be of long-continued and indefinite duration, substantially impeded the ability to live independently, and is of such nature that the ability to live independently could be improved by more suitable housing conditions. Definition does not exclude persons who have AIDS or conditions arising from AIDS, but does not include a person whose disability is based solely on drug or alcohol dependence.

Definition of *Veteran* was added. Veteran is defined as: A person who served in the active military, naval, or air service and who was discharged or released from such service under conditions other than dishonorable.

Policy Changes:

The AHA has deleted the \$10.00 waiting list application fee and policy concerning the application fee.

Added Verification of Student Status section under Verification and Documentation. Policy states: the HA requires families to provide information about the student status of all students who are 18 years of age or older. This information will be verified only if:

- The family reports full-time status for an adult other than the head, spouse, or co-head.
- The family reports child care expenses to enable a family member to further his or her education.
- The family includes a student enrolled in an institution of higher education.

The HA will verify a student's independence from his/her parents to determine that the student's parents' income is not relevant for determining the student's eligibility by doing the following:

- Either reviewing and verifying address information to determine whether the student has established separate from his/her parents for at least one year or reviewing and verifying documentation relevant to determining whether the student meets U.S. Department of Education definition of independent student.
- Reviewing prior year income tax returns to verify whether a parent has claimed the student as a dependent.
- Requesting and obtaining written certification directly from the student's parents identifying the amount of support will be providing to the student, even if the amount is \$0.

In regards to Safe Harbor and Shelter of Hope Vouchers:

Homeless Initiative vouchers have been changed. The fifty vouchers will be used for both Safe Harbor and Shelter of Hope as needed. They will not be designated to a particular shelter but pooled together to better serve the community.

Each shelter will be responsible for:

- Recommending a recipient of a Shelter Voucher.
- Administering shelter related education (self-sufficiency, budgeting, housekeeping, money-management, life skills, etc.).
- Assist qualified applicants in seeking acceptable housing.
- Provide follow up assistance and site visits for related programs.

The HA will be responsible for:

- Distributing and receiving applications for the housing choice voucher program.
- Completing related form(s) for the criminal background checks for each adult applicant.
- Searching all previous HUD-assisted housing programs for program compliance violations.
- Conducting family briefings to provide basic rental program information to applicants.
- Advocating tenant/landlord issues.

The HA will provide to each shelter a copy of the HA Voucher Program Administrative Plan. The HA will conduct all inspections required by the housing program. The HA will also conduct annual re-certifications of eligibility for assistance for each family. At the expiration of the initial twelve (12) month lease period, the tenant will be merged to the Housing Choice Voucher program and the Homeless Shelter voucher will be put back into circulation. HA will offer continuing support for the period of time the vouchers are in use by the shelters. Minor modifications of this policy and changes to the responsibilities of the HA and shelters may be made as needed. Major modifications will be pursued as required for an amendment to this administrative plan.

Preferences have been changed for the waiting list admission.

Preferences will be established to families based on the following criteria:

Targeted:

- Families who are victims of domestic violence.
- Families who are victims of violence in public housing.
- Families displaced by government action.
- Families living in shelters that have not been evicted from public housing.
- Families in receipt of Safe Haven vouchers.

Preference 1:

Families where the head, co-head, or spouse is defined as a veteran.

Preference 2:

Families working or attending school in Boyd County. Families must be working 20 hours a week to qualify. Families attending school must attend full-time as defined by their institution.

Elderly or disabled families living in Boyd County.

Preference 3:

Families who are not working or attending school and live in Boyd County.

Preference 4:

All other families.

Violence Against Women Act

Violence Against Women Act policy has been expanded to provide defined administrative policy. The HA's policy states:

The Violence Against Women Reauthorization Act of 2005 (VAWA) prohibits the denial of admission to an otherwise qualified applicant on the basis that the applicant is or has been a victim of domestic violence, dating violence, or stalking.

The HA will post the following information regarding VAWA in its front lobby. The HA will also make this information readily available to anyone who requests it.

- A summary of the rights and protections provided by VAWA to housing choice voucher program applicants and participants who are or have been victims of domestic violence, dating violence, or stalking.
- The definitions of domestic violence, dating violence, and stalking provided in VAWA.
- An explanation of the documentation that the HA may require from an individual who claims the protections provided by the VAWA.
- A copy of form HUD-50066, Certificate of Domestic Violence, Dating Violence, or Stalking
- A statement of the Housing Authority's obligation to keep confidential any information that it receives from a victim unless (a) the HA has the victim's written permission to release the information, (b) it needs to use the information in an eviction proceeding, (c) it is compelled by law to release the information
- The National Domestic Violence Hot Line: 1-800-799-SAFE (7233) or 1-800-787-3224 (TTY)
- Contact information for local victim advocacy groups or service providers.

Definitions according to the VAWA:

- Domestic violence: includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction.
- Dating violence: violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim; and where the existence of such a relationship shall be determined based on a consideration of the following factors:
 - The length of the relationship.
 - The type of relationship.
 - The frequency of interaction between the persons involved in the relationship.
- Stalking:
 - To follow, pursue, or repeatedly commit acts with the intent to kill, injure, harass, or intimidate; or
 - To place under surveillance with the intent to kill, injure, harass, or intimidate another person; and
 - In the course of, or as a result of, such a following, pursuit, surveillance, or repeatedly

committed acts, to place a person in reasonable fear of the death of, or serious bodily injury to, or to cause substantial harm to (1) that person, (2) a member of the immediate family of that person, or (3) the spouse or intimate partner of that person.

- Immediate Family, with respect to a person:
 - A spouse, parent, brother or sister, or child of that person, or an individual to whom that person stands in the position or place of a parent; or
 - Any other person living in the household of that person and related to that person by blood and marriage.

Notification to Applicants

The HA will provide all applicants with notification of their protections and rights under VAWA at the time they request an application for housing assistance.

The notice will explain the protections under the law, inform each applicant of HA confidentiality requirements, and provide contact information for local victim advocate groups or service providers.

The HA will also include in all notices of denial a statement explaining the protection against denial provided by VAWA.

Notification to Participants

The HA will provide all participants with notification of their protections and rights under VAWA at the time of admission and at annual reexamination.

The notice will explain the protections afforded under the law, inform the participant of HA confidentiality requirements, and provide contact information for local victim advocacy groups or service providers.

The HA will also include in all assistance termination notices a statement explaining assistance termination protection provided by VAWA.

Notification to Owners

The VAWA requires the HA to notify owners of their rights and responsibilities under VAWA.

The HA will:

- Provide educational material in HAP payments, owner workshops, classes, briefings, and/or newsletters.
- Provide educational material in the lobby which includes model VAWA certification forms.

Policy

The HA acknowledges that a victim of domestic violence, dating violence, or stalking may have an unfavorable history (etc., a poor credit history, a record of previous damage to an apartment, a prior arrest record) that would warrant denial under the HA's policies. Therefore, if the HA makes a determination to deny admission to an applicant family, the HA will include in its notice of denial:

- A statement of the protection against denial provided by VAWA
- A description of HA confidentiality requirements
- A request that an applicant wishing to claim this protection submit to the HA documentation meeting the specifications below with her or his request for informal review.

An applicant claiming the cause of an unfavorable history is that a member of the applicant family is or has been a victim of domestic violence, dating violence, or stalking must provide documentation (1) demonstrating the connection between the abuse and the unfavorable history and (2) naming the perpetrator of the abuse. The documentation may consist of the following:

- A police or court record documenting the domestic violence, dating violence, or stalking
- Documentation signed by a person who has assisted the victim in addressing domestic violence, dating violence, or stalking, or the effects of such abuse. This person may be an employee or agent of a victim service provider; an attorney; or other knowledgeable professional. The person signing the document must attest under penalty of perjury to the person's belief that the incidents in question are bona fide incidents of abuse. The victim must also sign the documentation.

If the perpetrator of the abuse is a member of the applicant family, the applicant must provide additional documentation consisting of one of the following:

- A signed statement (1) requesting that the perpetrator be removed from the application and (2) certifying that the perpetrator will not be permitted to visit or to stay as a guest in the assisted unit.

The applicant must submit the required documentation with her or his request for an informal review or must request an extension in writing at that time. If the applicant so requests, the HA will grant an extension of 10 business days, and will postpone scheduling the applicant's informal review until after it has received the documentation or the extension period has elapsed. If after reviewing the documentation provided by the applicant the HA determines that the family is eligible for assistance, no informal review will be scheduled and the HA will proceed with admission of the applicant family.

Confidentiality

Confidentiality is the utmost importance. If disclosure is required for use in an eviction proceeding or is otherwise required by law, the HA will inform the victim before disclosure occurs so that safety risks can be identified and addressed.

Verification of Student Status

The HA requires families to provide information about the student status of all students who are 18 years of age or older. This information will be verified only if:

- The family reports full-time status for an adult other than the head, spouse, or co-head,
- The family reports child care expenses to enable a family member to further his or her education, or
- The family includes a student enrolled in an institution of higher education.

In accordance with the verification hierarchy, the Housing Authority will determine whether the student is exempt from the restrictions in 24CFR 5.612 being verified by any one of the following exemption criteria:

- The student is enrolled at an educational institution that does not meet the definition of institution of higher education in the Higher Education Act of 1965,
- The student is at least 24 years old,
- The student is a veteran,
- The student is married,
- The student has at least one dependent child, or
- The student is a person with disabilities and was receiving assistance prior to November 30, 2005.

For students who are seeking assistance on their own, separately from their parents, the HA will verify a student's independence from his/her parents to determine that the student's parents' income is not relevant for determining the student's eligibility. The information may be requested:

- Either reviewing and verifying address information to determination whether the student has established separate from his/her parents for at least one year or reviewing and verifying documentation relevant to determining whether the student meets U.S. Department of Education definition of independent student.
- Reviewing prior year income tax returns to verify whether a parent has claimed the student as a dependent.
- Requesting and obtaining written certification directly from the student's parents identifying the amount of support they will be providing to the student, even if the amount is \$0.

For a student who is subject to the 5.612 restrictions and who does not satisfy the definition of independent student, the HA will determine the income eligibility of the student's parents as follows:

If the students parents are married and living together, the HA will obtain a joint income declaration and certification of joint income from the parents.

If the parent's income is widowed or single, the HA will obtain an income declaration and certification of income from that parent.

If the parent's are divorced or separated, the HA will obtain an income declaration and certification of income from each parent.

If the student has been living with one of his/her parents and has not had contact with or does not know where to contact the other parent, the HA will require the student to submit a certification under penalty of perjury.

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 Annual Plan for Fiscal Year 2009 may be reviewed at the Assisted Housing Office, located at 1436 Greenup Avenue. Copies will be provided to citizens and groups, upon request, free of charge. The Annual Plan will also be available at the City Building, located at 1700 Greenup Avenue, Room 314.

Copies of the above-mentioned documents will be provided to citizens and groups, upon request, free of charge during the comment period. Upon request these documents can be converted to Braille, electronic media, large print for the visually impaired or delivered to any homebound person.

7.0	<p>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i></p> <p>The Homeownership Program is included in Ashland Assisted Housing Authority 2009 Administrative Plan. The Homeownership Program is in its infancy stage.</p> <p>Currently, the program has two active participants. One additional applicant is in the process. The Homeownership program is only open to Housing Choice Voucher participants. The process takes approximately two years to complete.</p> <p>The Homeownership Program includes an educational component. Education includes: budgeting and money management, how to obtain home financing, credit counseling, and home maintenance. Policy includes units that are eligible for the program, the family's responsibilities, home inspections, and information on the contract of sale.</p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.</p> <p>N/A</p>
8.1	<p>Capital Fund Program Annual Statement/Performance and Evaluation Report. 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> <p>N/A</p>
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.</p> <p>N/A</p>
8.3	<p>Capital Fund Financing Program (CFFP).</p> <p><input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p>

Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.

Housing Needs of Families on the HA's Waiting Lists			
Waiting list type: (select one)			
<input checked="" type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/sub jurisdiction:			
	# of families	% of total families	
Waiting list total	107	100%	
Extremely low income <=30% AMI	68	63.55%	
Very low income (>30% but <=50% AMI)	34	31.78%	
Low income (>50% but <80% AMI)	4	3.74%	
Families with children	53	49.53%	
Elderly families	6	5.61%	
Families with Disabilities	22	20.56%	
Race/ethnicity(W)	99	92.52%	
Race/ethnicity(B)	8	7.48%	
Race/ethnicity(multi)	0	0%	
Race/ethnicity(Ind/Alask)	0	0%	
Characteristics by Voucher Size			
1BR	48		
2 BR	34		
3 BR	20		
4 BR	4		
5 BR	1		
5+ BR	0		
The waiting list is currently open.			

9.0

9.1

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.**

N/A

10.0

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.

Customer Service

The HA works toward giving the best customer service to our clients. Customer Service is a major area of concentration. Clients are currently being greeted by a smiling receptionist. Clients are offered a drink while they watch briefings and children are offered crayons and a coloring book. The coloring books entertain the children as well as educate on fire and bicycle safety. Areas to be improved on are: timeliness of appointments, giving individual attention to clients, and providing the most current and updated information. We will continue to work towards greater customer service levels with our clients.

Outreach to Landlords

Assisted Housing continues to outreach to landlords in the area. With the increase of briefings, Assisted Housing will need additional housing units to rent. The landlord listing given out to clients has been updated with available properties. Our immediate plan includes advertising the need for housing in the Daily Independent and through Time Warner Cable. As we continue to take participants off the waiting list, it will be crucial to have safe and decent housing in Boyd County that will be able to be utilized. In order to provide a "landlord" friendly program, we need to access where we are currently and what we need to do to improve. We are in the process of creating a letter that will be included in our landlord checks that would better explain the program as well as the assistance the specialists and staff are able to assist with. This letter will be used to open up communication between the landlords and staff on how we can better serve the landlords. Our long-term goal will to include a quarterly newsletter with landlord checks.

Self-sufficiency and Asset Development

The HA continues to use a preference scale that allows employed persons and students a higher preference on the waiting list. This is in line with our goal of promoting self-sufficiency and asset development. Specifically, we have defined hours needed to be defined to obtain the working or school preference. We would like to minimize possible duplication of services, but would like to coordinate with other agencies in the area to provide educational material on money issues and better self-sufficiency.

Marketing to the Community

To better serve the community, Assisted Housing created a marketing plan. Our expectation is to better educate the public on the Housing Assistance program. Visibility is key to meeting this expectation. We will be contacting local Family Resource Centers to coordinate with their Back to School Fairs and events. Our short term goals include advertising through print media while our long term goal is to produce a press release that would be used by radio. We also intend to use newsletters as a tool to educate our landlords and clients concerning issues relevant to housing and our program.

Ongoing Coordination with Local Shelters

As part of a multi-faceted approach to end chronic homelessness, HUD has strongly emphasized the need for Federal agencies to develop strategies that will make mainstream housing assistance accessible to the homeless population. Through Notice PIH 2003-25 (HA), HUD asked that local housing authorities take proactive measures to ease the availability of their housing programs for this population. In response, the HA has developed cooperative efforts with two local shelters that provide homeless families with temporary housing, multiple supportive services, and access to various community resources. The goal of this collaborative effort is to prevent and end homelessness – not to merely manage or maintain a family’s stability. Providing affordable housing for resident families of these shelters will assist in making available more public resources to address other homeless subpopulations in the community.

Safe Harbor of Northeast Kentucky is an emergency shelter and advocacy center that provides confidential, caring and supportive services to all victims of violence and sexual assault. It is a non-profit organization funded in part under a contract with the Cabinet for Families and Children with state funds allocated by the Kentucky General Assembly and the local United Way. Safe Harbor’s services are free to all victims of domestic violence. Safe Harbor provides services without regard to race, gender, national origin, age, sexual orientation or handicap.

The Shelter of Hope provides unique temporary emergency housing and services to families who are homeless or who are at risk of becoming homeless. Other than temporary housing, Shelter of Hope provides emergency assistance with food, furnishings and appliances, access to public transportation, rent and utility deposits, assistance with utility bills, and housing counseling services. The goal for providing these services is to enable the family to establish stable housing and to prevent episodes of homelessness.

Funding sources include HUD, Federal Emergency Management Agency (FEMA), United Way, Foundation for the Tri-State Community, Ashland Ministerial Association, as well as local church congregations and individual’s donors. Services are provided without discrimination with regard to race, color, national origin, sex, age, or religion.

The City of Ashland will make available fifty (50) housing vouchers to shelters to assist in providing sheltered families with affordable housing. These vouchers will be pooled to better serve the community as needed. All policies contained in the City of Ashland Assisted Housing Authority Housing Choice Voucher Program Administrative Plan will apply to the administration of these fifty (50) vouchers. These vouchers will be subject to the availability of funding and availability of vouchers within the HA.

Each shelter will be responsible for:

- Recommending a recipient of a Shelter Voucher.
- Administering shelter related education (self-sufficiency, budgeting, housekeeping, money-management, life skills, etc.).
- Assist qualified applicants in seeking acceptable housing.
- Provide follow up assistance and site visits for related programs.

The HA will be responsible for:

- Distribute and receive applications for the housing choice voucher program.
- Completing related form(s) for the criminal background checks for each adult applicant.
- Searching all previous HUD-assisted housing programs for program compliance violations.
- Conduct family briefings to provide basic rental program information to applicants.
- Advocate tenant/landlord issues.

The HA will provide to each shelter a copy of the HA Voucher Program Administrative Plan. The HA will conduct all inspections required by the housing program. The HA will also conduct annual re-certifications of eligibility for assistance for each family.

HA will offer continuing support for the period of time the vouchers are in use by the shelters.

Minor modifications of this policy and changes to the responsibilities of the HA and shelters may be made as needed. Major modifications will be pursued as required for an amendment to this administrative plan.

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

Policy is set per administrative policy and annual plan. Any amendment would be considered a substantial deviation/modification and will be required to go through the approval process and adopted by the City Board of Commissioners.

11.0	<p>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.</p> <ul style="list-style-type: none"> (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) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (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, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)
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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.