

<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>
-----------------------------------	---	--

<b>1.0</b>	<b>PHA Information</b> PHA Name: <u>The Colorado Department of Human Services</u> PHA Code: <u>CO 901</u> PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>July 1, 2010</u>				
<b>2.0</b>	<b>Inventory</b> (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: _____ Number of HCV units: <u>3,204 (plus 210 VASH vouchers)</u>				
<b>3.0</b>	<b>Submission Type</b> <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only				
<b>4.0</b>	<b>PHA Consortia</b> <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)				
	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>	<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: <u>Mission: To develop and provide resources and housing services that facilitate self-sufficiency, stability and safety for Colorado's homeless and persons with special needs.</u>				
<b>5.2</b>	<b>Goals and Objectives.</b> Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.  <u>Current 5 Year Plan Goals</u>  <u>Goal 1:</u> Maintain and expand permanent funding resources for programs designed to decrease and prevent homelessness in Colorado. <u>Objective 1:</u> Provide technical assistance to Colorado Continuums of Care (CoC) and Homeless Youth Providers to ensure each receives the maximum eligible amount of funding. <u>Objective 2:</u> Complete the grant renewal process for Shelter Plus Care Program.  <u>Goal 2:</u> Maximize utilization and expand housing resources for special needs population in Colorado. <u>Objective 1:</u> Complete competitive grant applications for new resources including VASH, Mainstream, and Family Unification Programs. <u>Objective 2:</u> Expand the project based voucher program by a minimum of one program per year for vulnerable populations, such as ex-offenders with disabilities and chronically homeless persons. <u>Object 3:</u> Maintain a 98% minimum utilization-leasing rate for HCV program.  <u>Goal 3:</u> Ensure comprehensive and prompt compliance with current and new regulatory requirements within the housing and homeless environment to improve programmatic and operational efficiencies. <u>Objective 1:</u> Increase the number of onsite reviews by three agencies. <u>Objective 2:</u> Maintain 95% minimum score on HUD's Section 8 Management Assessment Program. <u>Objective 3:</u> Achieve 100% successful submission rate on all Voucher Management System (VMS) reports. <u>Objective 4:</u> Maintain a minimum score of 95% on the Public Information Center (PIC) reports.  <u>Goal 4:</u> Ensure that all consumers, service providers, and stakeholders receive professional, high quality, and respectful service. <u>Objective 1:</u> Complete a residential coordinators' satisfaction survey. <u>Objective 2:</u> Develop a "troubled agency" plan for HCV partner agencies to provide technical assistance, training, outreach and QA evaluation. <u>Objective 3:</u> Create and distribute a tenant newsletter.				

Goal 5: Develop public and private partnerships to further the availability, accessibility and coordination of housing and supportive services.  
Objective 1: Implement at least one cross-departmental initiative with Office of Homeless Youth Services.  
Objective 2: Implement cross-divisional initiatives with the Office of Behavioral Health and Housing.  
Objective 3: Reestablish the Coordinators Advisory Network (CAN) for input on Housing Choice Voucher policies and programming.

Update on Progress of 2005-2009 PHA Plan Goals

Goal 1:

Objective 1: SHHP met this goal by applying for all appropriate and available funding opportunities.  
Objective 2: SHHP continues to outreach to new landlords in order to expand landlord participation.

Goal 2:

Objective 1: SHHP continues to be a high performing agency on HUD's SEMAP assessment.  
Objective 2: SHHP's customer satisfaction survey results indicate an increase in customer satisfaction.  
Objective 3: SHHP hired a Quality Assurance Specialist.

Goal 3:

Objective 1: SHHP has continued to expand its homeownership program.

**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  
 There have been minor adjustments to SHHP's waiting list preferences to allow SHHP to continue discontinued programs such as: Project Access, and Welfare to Work.
2. Financial Resources  
 No changes since last plan
3. Rent Determination  
 No changes since last plan
4. Operation and Management  
 No changes since last plan
5. Grievance Procedures  
 No changes since last plan
6. Designated Housing for Elderly and Disabled Families-N/A
7. Community Service and Self-Sufficiency-N/A
8. Safety and Crime Prevention- N/A
9. Pets-N/A
10. Civil Rights Certification  
 No changes from the last plan
11. Fiscal Year Audit  
 No findings were reported in the most recent audit
12. Asset Management-N/A
13. Violence Against Women Act (VAWA)  
 CDHS has adopted a policy to implement applicable provisions of the Violence Against Women and Department of Justice Reauthorization Act of 2005 (PUB. L. 109-162) (VAWA). CDHS strives to serve the needs of child and adult victims of domestic violence, dating violence and stalking, as defined in VAWA.

VAWA affords certain protections to an applicant or participant who is or has been a victim of domestic violence, dating violence, or stalking. The act goes on to say that one of the previous mentions criteria is not an appropriate basis for denial of program assistance or for denial of admission of an otherwise qualified applicant. Therefore, The Colorado Department of Human Services will not deny program assistance or terminate program assistance to an individual who is or has been a victim of domestic violence, dating violence, or stalking because of charges or information linked to that violence.

6.0

All applicants are briefed upon entry to the program regarding the protections under VAWA. Additionally, each termination notice informs tenants of their ability to declare protection under VAWA, if applicable.

CDHS will work with each individual victim to identify agencies, activities, services or programs that may be available to help child and adult victims of domestic violence, dating violence, sexual assault, or stalking to enhance victim safety and to maintain housing for assisted families.

In addition, The State of Colorado has a program called, the Address Confidentiality Program (ACP). This program provides survivors of domestic violence, sexual offenses, stalking and/or harassment with a means to prevent abusers and potential abusers from locating them through public records. Enrollment in the ACP provides survivors with a legal, substitute address, which may be used as a residential, school, and work address, and a first-class mail forwarding service.

(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.

- Supportive Housing and Homeless Programs  
4020 S. Newton St.  
Denver, CO 80236
- <http://www.cdhs.state.co.us/shhp/>

**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.*

**(d) Homeownership Programs:**

On October 22, 1999, Supportive Housing and Homeless Programs submitted a letter to Secretary Lucas requesting authority to develop a Section 8 homeownership program for persons with disabilities and other special needs using Section 8 vouchers under the Draft Rule 24 CFR Parts 982 and 984, docket number FR-4427-P-01.

In its proposal to HUD, SHHP demonstrated the capacity to administer a homeownership program and addressed key issues for HUD to consider:

- A. Underwriting guidelines
- B. Private contractor and Housing Quality Standards inspections
- C. Mortgage default
- D. Homeownership counseling
- E. Choice of home
- F. First time homebuyer exemptions

In a letter dated January 3, 2000, HUD authorized SHHP to conduct a Section 8 homeownership demonstration project in accordance with the statute and HUD's Section 8 homeownership proposed rule. On October 27, 2003, SHHP submitted a letter to Gerald Benoit, Director of Housing Voucher Management Operation Division, informing HUD that effective November 1, 2003, SHHP would begin operating its Section 8 homeownership program for both disabled and non-disabled participants in accordance with the statute and requirements of the Final Rule for the Housing Choice Voucher Program option, published October 18, 2002.

SHHP has demonstrated capacity to administer a homeownership program as evidenced by the fact that as of January 2010, 114 families were successful in purchasing homes using Section 8 assistance.

**(e) PBV Programs:**

SHHP currently administers 24 units of project based voucher assistance to special needs populations statewide.

7.0

	SHHP is exploring options for providing additional PBV units for Housing Choice Voucher recipients in need of additional support in the community. Populations under discussion include people discharged from institutions with a high recidivism rate, persons with disabilities, veterans and other special needs populations.																										
8.0	<b>Capital Improvements.</b> Please complete Parts 8.1 through 8.3, as applicable.																										
8.1	<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.																										
8.2	<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.																										
8.3	<b>Capital Fund Financing Program (CFFP).</b> <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.																										
9.0	<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><b>Top Housing and Community Development Needs</b>  In October 2009, the Colorado Department of Local Affairs (DOLA) conducted an online survey of local, state and federal government officials, self-employed individuals, housing authorities, nonprofit organizations, advocacy groups, private consulting firms, businesses and private citizens. Two hundred and fifty eight (258) persons responded.  Survey participants identified the top five needs (most often selected) of their communities as follows:</p> <ol style="list-style-type: none"> <li>1. Affordable Housing 185 (16%)</li> <li>2. Transportation 120 (11%)</li> <li>3. Economic Assistance for Small Business Development/Business Retention 105 (9%)</li> <li>3. Homeless Services/Shelters 106 (9%)</li> <li>4. Neighborhood Renewals or Revitalization 101 (9%)</li> <li>5. Public Facility/Capital Improvements 67 (6%)</li> </ol> <p><b>Colorado Division of Housing Public Housing Agency Waiting List Survey Results, 2009</b></p> <table border="1"> <thead> <tr> <th>Demographics of Waiting List</th> <th>Colorado</th> </tr> </thead> <tbody> <tr> <td>Total Waiting List for Households</td> <td>36,915</td> </tr> <tr> <td>0-30% AMI</td> <td>29,779</td> </tr> <tr> <td>31-50% AMI</td> <td>5,693</td> </tr> <tr> <td>51-80% AMI</td> <td>1,443</td> </tr> <tr> <td>Families with Children</td> <td>14,472</td> </tr> <tr> <td>Elderly Families</td> <td>2,042</td> </tr> <tr> <td>Families with Disabilities</td> <td>1,167</td> </tr> <tr> <td>Hispanic</td> <td>12,677</td> </tr> <tr> <td>Non-Hispanic</td> <td>27,561</td> </tr> <tr> <td>Black</td> <td>6,577</td> </tr> <tr> <td>Native American</td> <td>903</td> </tr> <tr> <td>Asian Pacific</td> <td>914</td> </tr> </tbody> </table> <p><b>Persons with Disabilities</b>  Colorado's economy has created new and difficult housing challenges to the State's special needs population. "Persons with Disabilities" include individuals with chronic mental illness, physical disabilities, developmental disabilities, drug and/or alcohol addiction, HIV/AIDS, and multiple diagnoses. This population generally is unable to hold full-time employment, has higher than normal medical expenses, may require assistance in activities of daily</p>	Demographics of Waiting List	Colorado	Total Waiting List for Households	36,915	0-30% AMI	29,779	31-50% AMI	5,693	51-80% AMI	1,443	Families with Children	14,472	Elderly Families	2,042	Families with Disabilities	1,167	Hispanic	12,677	Non-Hispanic	27,561	Black	6,577	Native American	903	Asian Pacific	914
Demographics of Waiting List	Colorado																										
Total Waiting List for Households	36,915																										
0-30% AMI	29,779																										
31-50% AMI	5,693																										
51-80% AMI	1,443																										
Families with Children	14,472																										
Elderly Families	2,042																										
Families with Disabilities	1,167																										
Hispanic	12,677																										
Non-Hispanic	27,561																										
Black	6,577																										
Native American	903																										
Asian Pacific	914																										

living (e.g. cooking, cleaning, personal care, etc.), and most significantly, has limited income that provides them few options in housing. Their ability to compete in the housing market for affordable and appropriate housing is limited in many cases not only by their lack of income, but also by their need for special accommodations. Many special needs populations are losing ground.

In Colorado, approximately 427,1565 persons over the age of 16 have a disability. More than 168,878 persons are estimated to have a severe/chronic mental illness. Approximately 19,9957 are developmentally disabled, 88,967 are persons with physical disabilities, and more than 10,796 persons are living with HIV/AIDS.

A 2009 the Colorado Division of Housing (DOH) survey of public housing agency waiting lists found that as many as 1,167 households with disabilities and 2,042 senior households are on waiting lists for public housing assistance.

For many individuals, Supplemental Security Income benefits (SSI) provide the bulk of their income. Colorado’s maximum monthly SSI benefit is \$674. According to a 2008 study by the Consortium for Citizens with Disabilities, *Priced Out in 2008*, the average national rent was greater than the amount of income received by persons with disabilities from the SSI program. Specifically, the average rent for a modest one-bedroom rental unit in the United States was equal to 112 percent of SSI benefits — up from 105 percent in 2002.

**Homeless Needs**

Poverty increases the risk of homelessness. The housing market crisis, predatory lending, and the loss of jobs have all contributed to poverty and impacted families’ well being and stability. In 2000, the poverty rate was 9.5. According to the 2008 American Community Survey, Colorado’s poverty rate now stands at 11.

The results of the last *statewide* homeless count found that 11,988 persons were homeless on the night of January 29, 2007. By 2009, there were 11,061 persons homeless in the seven metropolitan Denver counties *alone*, according to the 2009 Metropolitan Denver Homeless Initiative (MDHI) Point In Time Survey, and as many as half of them reported they were homeless for the first time.

**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.**

SHHP’s strategy for addressing the housing needs is a consistent application of its strategic plan. As part of its strategic planning process, SHHP involved staff and stakeholder groups, while identifying priorities as it relates to the housing needs of families within its jurisdiction.

**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.

Goal 1:  
Objective 1: SHHP works closely with the Colorado Continuums of Care (CoCs) to ensure that Colorado maximizes the funding resources available to prevent homelessness.  
Objective 2: SHHP was awarded renewal funding for all of its Shelter Plus Care Grants.

Goal 2:  
Objective 1: SHHP was awarded 100 Certain Development vouchers and also applied for an additional 100 Family Unification vouchers.  
Objective 2: SHHP is currently working with several community agencies exploring the possibility of project basing additional vouchers.  
Objective 3: SHHP’s utilization percentage at year-end was 99%.

Goal 3:  
Objective 1: SHHP is on track to exceed the 3-agency increase outlined in its plan.  
Objective 2: SHHP received a SEMAP score of 97% for last fiscal year.  
Objective 3: SHHP achieved a 100% successful submission rate on all VMS reports.  
Objective 4: SHHP currently has a 100% PIC reporting rate.

Goal 4:  
Objective 1: SHHP completed a customer service satisfaction survey in 1/1/2009.  
Objective 2: SHHP is in the process of developing a “troubled agency” plan with partner agencies.  
Objective 3: SHHP publishes a tenant newsletter twice a year.

Goal 5:

Objective 1: SHHP provided technical assistance to state and local agencies resulting in funding and increased housing and services to homeless youth across rural Colorado.

Objective 2: SHHP coordinated the Annual Runaway and Homeless Youth Awareness Month activities.

Objective 3: The Coordinator Advisory Network (CAN) has been reestablished.

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

**Substantial Deviation:**

- A substantial change in a goal(s) identified in the Five-Year Plan. For example, adding or deleting a goal.

**Significant Amendment/Modification:**

- Significant modifications to major strategies to address housing needs and to major policies (e.g., policies governing eligibility, selection or admissions and rent determination) or programs (e.g., demolition or disposition, designation, homeownership programs or conversion activities).

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

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations* (which includes all certifications relating to Civil Rights)
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace* (PHAs receiving CFP grants only)
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions* (PHAs receiving CFP grants only)
- (d) Form SF-LLL, *Disclosure of Lobbying Activities* (PHAs receiving CFP grants only)
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet* (PHAs receiving CFP grants only)
- (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.
- (g) Challenged Elements
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report* (PHAs receiving CFP grants only)
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan* (PHAs receiving CFP grants only)

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

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

## Instructions form HUD-50075

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

### 1.0 PHA Information

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

### 2.0 Inventory

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

### 3.0 Submission Type

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

### 4.0 PHA Consortia

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

### 5.0 Five-Year Plan

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

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

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

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

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

#### PHA Plan Elements. (24 CFR 903.7)

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

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

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

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

- (a) **Hope VI or Mixed Finance Modernization or Development.** 1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: [http://www.hud.gov/offices/pih/centers/sac/demo\\_dispo/index.cfm](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.