



5.2	<p><b>PHA Goal: Reform public housing and the Housing Choice Voucher programs</b>  Objective: Increase affordable housing options (Encourage poverty deconcentration by allowing families moving from concentrated areas into deconcentrated areas to move more frequently.)  Objective: Develop alternate means of marketing units available to Housing Choice Voucher holders  Objective: Provide stronger emphasis on quality control for voucher utilization, for timely and thorough inspections and recertifications  Objective: Use Agency website to provide more complete program information, making it faster and easier for applicants and participants to get answers to frequently asked questions without having to wait on the telephone or travel to Agency offices.  Objective: Survey existing landlords regarding the strengths and weaknesses of the Housing Choice Voucher program  Objective: Analyze rent policies for Public Housing and Housing Choice Voucher programs; analyze impact of voucher program's time limits  Objective: Design projects to promote opportunities that increase housing choices, such as the current project-based Section 8 voucher program</p> <p><b>PHA Goal: Promote Housing Self-Sufficiency</b>  Objective: Meet face-to-face with every household that reports zero income for a time period longer than 60 consecutive days  Objective: Continue to build partnerships with local social service agencies and create employee development program for Section 8 and property management staff, whereby representatives from partner agencies can enhance staff knowledge of area programs available for resident referral</p> <p><b>HUD Strategic Goal: Strengthen Communities</b>  <b>PHA Goal: Enhance sustainability of communities by expanding economic opportunities</b>  Objective: Provide entrepreneurship opportunities to residents  Objective: Extend IHA's GROW program to all PH residents for job readiness, job skills, employment opportunities, educational training, and homeownership.  Objective: Create career exploration opportunities for youth  Objective: Increase the number of residents pursuing a trade and/or post-secondary education</p> <p><b>PHA Goal: Foster a suitable living environment in communities by improving physical conditions and quality of life</b>  Objective: Implement Energy Savings Program improvements to control energy consumption in public housing properties  Objective: Provide opportunities for seniors to participate in programs that will enhance personal growth and development</p> <p><b>PHA Goal: End chronic homelessness and move homeless families and individuals to permanent housing</b>  Objective: Continue to implement use of 76 Veterans Affairs Supportive Housing (VASH) program housing vouchers, specifically earmarked for homeless veterans. The program combines rental assistance with case management and clinical services provided by the Veterans Affairs at the medical centers and in the community.</p> <p><b>HUD Strategic Goal: Ensure Equal Opportunity in Housing</b>  <b>PHA Goal: Improve public awareness of rights and responsibilities under fair housing laws</b>  Objective: Combat housing fraud by implementing landlord background checks, pending budget constraints  Objective: Continue disseminating housing information to the community at-large through promotional materials, presentations, training seminars and counseling sessions on fair housing issues. Fair housing information is displayed at all IHA communities.</p> <p><b>PHA Goal: Improve housing accessibility for persons with disabilities</b>  Objective: Continue partnering with the Institute on Disability and Community and the Indiana Center for Residential Living to address assisted housing issues.</p> <p><b>HUD Strategic Goal: Embrace High Standards of Ethics, Management, and Accountability</b>  <b>PHA Goal: Ensure efficient, effective, responsive public housing administration</b>  Objective: Achieve and maintain full and adequate staffing levels in all departments</p> <p><b>PHA Goal: Capitalize on modernized technology to improve the delivery of core business functions</b>  Objective: Fully implement the Elite software system for Agency financial management and accounting</p>
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**Progress Toward 2005-2009 Agency Goals**

**HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing**

**PHA Goal: Expand the supply of assisted housing**

Objective: Apply for additional rental vouchers

**Outcome: There have been no opportunities to increase the population of housing choice voucher holders during the past five years.**

Objective: Reduce public housing vacancies

**Outcome: Public housing occupancy rate has remained steady at 95%, below the Agency's 97% goal. In 2009, the Agency began an extensive effort to rehabilitate every failing unit, which will make possible the achievement of 97% occupancy.**

Objective: Leverage private or other public funds to create additional housing opportunities

**Outcome: The IHA is near completion of the successful HOPE VI demolition and redevelopment of the 29-acre Brokenburr Trails public housing development. HOPE VI funding (\$16.8 million) leveraged low income housing tax credits, City HOME funds and private investment to bring the project to fruition.**

**The acquisition and rehabilitation of the Georgetown Apartments brought together HUD Replacement Housing Factor Funds, low income housing tax credits, and private grants in a mixed-finance development. Producing 90 mixed-income housing units, 37 of which are public housing units.**

**The Agency embarked on the ambitious "Welcome Home" project in 2009, a \$46 million effort to rehabilitate nearly 1,400 existing units and upgrade failing mechanical systems in eight public housing communities and a ninth community in which the Agency has recently acquired an ownership interest. This investment will include low income housing tax credits, energy efficiency financing, HUD Capital Funds, and a grant from the Indianapolis Low Income Housing Trust Fund.**

Objective: Acquire or build units or developments (Acquire or have ownership interest in a minimum of two (2) development sites)

5.2

**Outcome: The Agency held an ownership interest in the former Brokenburr Trails and partnered with a private developer in the development of Red Maple Grove beginning in 2005. The third phase of the project (construction of 52 units of affordable homeownership) is currently underway. The Agency acquired ownership of the vacant, dilapidated former Georgetown Apartments in 2007 and completed rehabilitation of 90 mixed-income rental units in summer 2009. The Agency acquired ownership and began rehabilitation of Caravelle Commons, a 65-unit, project-based Section 8 property in 2009.**

**PHA Goal: Improve the quality of assisted housing**

Objective: Improve public housing management (Increase PHAS score to 90 or higher and complete site-based property management by 2011)

**Outcome: The Agency's PHAS score remains at the Standard Performer level, but below 90. The Agency completed decentralization of property management (and the implementation of asset management) for FY 2009.**

Objective: Improve voucher management (Increase SEMAP score to raise rating to Standard performer)

**Outcome: The Agency increased its SEMAP score and raised its rating to the Standard Performer level in 2007.**

Objective: Increase customer satisfaction (Develop a process to survey clients' customer satisfaction; engage and address any concerns accordingly; achieve a 90% customer satisfaction rate by year-end 2009)

**Outcome: The Agency developed a survey form to measure customer satisfaction and has maintained a 90% customer satisfaction rate every year since 2005.**

Objective: Renovate or modernize public housing units (100% of existing unit modernization over five years; 20% each year)

**Outcome: Every public housing unit in the agency's portfolio will have undergone substantial renovation and/or modernization either individually or as a part of the "Welcome Home" program—a \$46 million effort begun in 2009 that leverages HUD Capital Funds, low income housing tax credits, energy efficiency financing, and other grant funds.**

Objective: Demolish or dispose of obsolete public housing

**Outcome: IHA did not demolish any of its existing communities from 2005 to 2009. Rather, the Agency determined that the rehabilitation of eight existing communities makes better economic sense than demolition, relocation of residents, and disposition of the property.**

Objective: Provide replacement public housing  
**Outcome: From 2005 to 2009, the Agency included 58 public housing replacement units at its Red Maple Grove development and 37 public housing replacement units at The Georgetown redevelopment.**

**PHA Goal: Increase assisted housing choices**

Objective: Provide voucher mobility counseling (125 clients served through mobility counseling over five-year period)

**Outcome: 593 families have gone through counseling services.**

Objective: Implement public housing site-based waiting lists (Continue using site-based waiting list)

**Outcome: The Agency has used site-based waiting lists since 2002.**

Objective: Convert public housing to vouchers (IHA will perform an analysis to determine appropriateness of conversion plan(s) and, based on that determination, may implement a program where appropriate with HUD's mandate)

**Outcome: Using HUD's conversion cost calculation, the Agency determined that rehabilitation of two properties—Barton Apartments and Lugar Tower—made better economic sense than conversion to vouchers.**

Objective: Encourage poverty deconcentration by allowing families to move more frequently from concentrated areas into deconcentrated areas

**Outcome: Measures specifically pertaining to areas poverty concentrated and deconcentrated areas have not been implemented. Project-based Section 8 opportunities exist and are still being offered.**

**HUD Strategic Goal: Improve community quality of life and economic vitality**

**PHA Goal: Provide an improved living environment**

Objective: Designate developments or buildings for particular resident groups

**Outcome: HUD granted a "Seniors Only Housing" designation for Indiana Avenue Apartments, effective March 30, 2009 through March 30, 2014. The Agency may submit an application to renew that designation—for a two-year extension period—prior to before expiration.**

Objectives: Encourage poverty deconcentration by allowing families to move more frequently from concentrated areas into deconcentrated areas; Implement energy savings improvements and asset modernization at various family sites and develop Individual Development Account (IDA) programs for eligible residents

**Outcome: Measures specifically pertaining to areas concentrated and deconcentrated areas have not been implemented. Energy improvements and modernization at family sites are underway in 2009. Individual Development Accounts (IDAs) for eligible residents have been set up through the John H. Boner Community Center.**

5.2

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

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

Objective: Increase the number and percentage of employed persons in assisted families

**Outcome: IHA has implemented voluntary FSS programs for public housing families. The FSS program cannot be made mandatory; the HUD Federal Register supports the FSS program as voluntary.**

Objective: Provide or attract supportive services to improve assistance recipients' employability

**Outcome: IHA maintains employment and training service provider agreements for elderly and disabled populations—including CICOA, Purdue Exchange, Gleaners, and SCSEP (senior employment).**

Objective: Provide or attract supportive services to increase independence for the elderly or families with disabilities

**Outcome: Service providers that assist IHA's elderly and disabled populations include: Community Action/Energy Assistance, Altrusa, Second Helpings, St. Vincent DePaul and Metropolitan Baptist Center.**

Objective: Continue to comply with HUD's Mandatory Earned Income Disallowance (MEID) for public housing residents.

**Outcome: IHA is in compliance with this program.**

Objective: Create or sponsor a youth development program that focuses on life skills, higher education and job readiness.

**Outcome: IHA offers the PRIDE Program and youth councils.**

**HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans**

**PHA Goal: Landlord Fraud Prevention**

Objective: Implement landlord background checks (pending budget constraints)

**Outcome: The Agency has not yet implemented landlord background checks.**

**PHA Goal: Move Restriction**

Objective: Reduce families' ability to move every 12 months to once every two years, with exceptions for emergency situations; emergency requests should be submitted in writing by the clients, reviewed by the Housing Specialists and approved by management.

**Outcome: Effective October 2008, families may now move every two years instead of every 12 months.**

<b>6.0</b>	<p><b>PHA Plan Update</b></p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:</p> <p><b>Section 8 Administrative Plan (Attachment B)</b></p> <p><b>Admissions &amp; Continued Occupancy Policy (ACOP) will be revised prior to January 1, 2010, subject to a separate public comment period and approval by Agency’s Board of Commissioners</b></p> <p>(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.</p> <p><b>Copies of the Five-Year Plan and Annual Plan—with its related elements—may be obtained at the Indianapolis Housing Agency’s main office (1919 N. Meridian Street, Indianapolis, Indiana), at any of IHA’s eleven public housing communities and the agency website: <a href="http://www.indyhousing.org">www.indyhousing.org</a>.</b></p>
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<b>7.0</b>	<p><b>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers.</b> <i>Include statements related to these programs as applicable.</i></p> <p>(a) <b>HOPE VI, Mixed Finance Modernization or Development</b>  IHA seeks to conclude the third and final (homeownership) phase of the HOPE VI, mixed-finance redevelopment of Brokenburr Trails (formerly IN017-016, now Red Maple Grove: IN017-039, 040, 042) in 2010. HOPE VI grant closeout for that project began in September 2009. The Agency contemplates a new HOPE VI application for the redevelopment of Clearstream Gardens (IN017-014, demolished c.2002) in the second half of 2010.</p> <p><b>Mixed Finance developments (non-HOPE VI)</b>  Laurelwood Apartments (IN017-019) / Rowney Terrace (IN017-021) and Twin Hills (IN017-010) / Blackburn Terrace (IN017-013) will continue in 2010, using low income housing tax credits. Tax credit applications related to the mixed-finance redevelopment of Hawthorne Place (IN017-017) / Beechwood Gardens (IN017-018) and Lugar Tower/Barton Tower will be submitted in late 2009 and early 2010, respectively. Finally, a tax credit application for the mixed-finance redevelopment of Caravelle Commons (acquired in 2009) will be submitted in 2010.</p> <p>(b) <b>Demolition and/or Disposition</b></p> <p><b><u>Disposition – Submitted Applications/Pending</u></b>  Laurelwood Apartments, 135 units affected  Rowney Terrace, 96 units affected  Blackburn Terrace, 234 units affected  Twin Hills, 64 units affected</p> <p><b><u>Disposition - Planned Applications</u></b>  Hawthorne Place, 162 units affected  Beechwood Gardens, 155 units affected  Clearstream Gardens, 0 units affected  John J. Barton Apartments, 245 units affected  Lugar Tower, 221 units affected  John J. Barton Apartments (parcels of vacant land near building), 0 units affected  Lugar Tower, (parcels of vacant land near building), 0 units affected</p> <p>(c) <b>Conversion of Public Housing (not applicable)</b></p> <p>(d) <b>Public Housing Homeownership</b>  Concord Homes West (Section 32 of the USHA of 1937), 30 units</p> <p><b>Tenant-based Homeownership Assistance</b>  IHA administers a HCV Homeownership Program [pursuant to Section 8(y), of the U.S.H.A. of 1937, as implemented by 24 CFR part 982] that allows families and individuals participating in the Section 8 program an opportunity to purchase a home using their voucher. Participation in the program is voluntary and certain eligibility criteria must be met, including but not limited to the following: minimum income guidelines, pre-purchase counseling, first-time homebuyer training and close pre- and post-purchase communication with the Agency homeownership program staff.</p> <p>(e) <b>Project-based Vouchers (not applicable)</b></p>
<b>8.0</b>	<p><b>Capital Improvements.</b> Please complete Parts 8.1 through 8.3, as applicable.</p>

8.1	<p><b>Capital Fund Program Annual Statement/Performance and Evaluation Report.</b> As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i>, form HUD-50075.1, for each current and open CFP grant and CFFP financing.</p> <p><b>Attachment C</b></p>
8.2	<p><b>Capital Fund Program Five-Year Action Plan.</b> As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i>, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.</p> <p><b>Attachment D</b></p>
8.3	<p><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.</p>

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>Nearly half (49 percent) of all renter households in Marion County spend more than 30 percent of their gross monthly income on housing costs. Just over 15 percent of those households in spend more than 50 percent of their gross monthly income towards housing costs. Extremely low income and low income renters, households earning less than 50 percent the median family income experience the most significant cost burdens:</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th></th> <th>0-30% MFI</th> <th>31-50% MFI</th> <th>51-80% MFI</th> </tr> </thead> <tbody> <tr> <td>30% cost burden</td> <td>74.9%</td> <td>64.2%</td> <td>18.8%</td> </tr> <tr> <td>50% cost burden</td> <td>58.3%</td> <td>13.0%</td> <td>1.8%</td> </tr> </tbody> </table> <p style="text-align: center;"><small>Source: U.S. Department of Housing and Urban Development, CHAS, 2000</small></p> <p>Center Township has both the greatest cost burden and the highest number of affordable units to lower-income households, including households earning less than 30 percent of the median family income (MFI). Forty-five percent of all units affordable to households earning less than 30 percent MFI are located in Center Township. Decatur and Franklin Townships—in southern Marion County—have the lowest percentage rental units affordable to families making below 80 percent MFI.</p> <p>Low income and extremely low income renters face the largest cost burden and have the most difficult time finding affordable housing. These income brackets are described as households living at 31 to 50 percent of the MFI and below 30 percent of the median family income, respectively.</p> <p>According to the affordability mismatch data provided by the U.S. Department of Housing and Urban Development, the fair market rent for a three bedroom unit is set at \$939 per month, while a family at 50 percent MFI can only afford \$814 per month. A one or two bedroom unit may be affordable to a family at this income level; however all units, regardless of size are not affordable for a household living at or below 30% MFI who can only afford to pay \$488.</p> <p>Large families are those with the greatest need of safe, decent affordable housing. Many experience housing problems such as a cost burden or substandard living conditions (i.e., non-functioning kitchen or bathrooms). The large waiting lists for public housing and the Section 8 program confirm the need for more affordable rental units. Complete waiting list information for the public housing and Section 8 programs are included in Attachment A.</p> <p>Indianapolis has 111 Low Income Housing Tax Credit Projects that are still within the compliance period. These are projects represent 14,886 units of affordable rental housing. Dates of these projects range from 1990 to 2008. While the newer projects will have updated systems, those with older completion dates may require updating to maintain or bring units back online.</p>		0-30% MFI	31-50% MFI	51-80% MFI	30% cost burden	74.9%	64.2%	18.8%	50% cost burden	58.3%	13.0%	1.8%
	0-30% MFI	31-50% MFI	51-80% MFI										
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50% cost burden	58.3%	13.0%	1.8%										

9.1	<p><b>Strategy for Addressing Housing Needs.</b> Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. <b>Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</b></p> <p>The demand for affordable housing has not decreased. IHA, in partnership with the City of Indianapolis, strives to meet this demand.</p> <p>IHA will bring back online its entire inventory of unoccupied public housing units at the Hawthorne/Beechwood and Barton/Lugar AMPs. The Agency has added 65 project-based Section 8 units at Caravelle Commons to its inventory and anticipates a HOPE VI application for new construction at the former Clearstream Gardens public housing site. IHA will continue to pursue acquisition and rehabilitation opportunities when possible, practical and financially prudent.</p> <p>In addition, IHA will continue to offer Agency support for state rental housing tax credit applications by third-party developers for proposed developments that include marketing and/or unit set asides for families on public housing and Section 8 program wait lists.</p> <p>To address the need within the Housing Choice Voucher program, IHA will increase its outreach to existing landlords and ramp up new landlord recruitment efforts. The Agency will seek to apply for more vouchers when permitted by HUD.</p>
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10.0	<p><b>Additional Information.</b> Describe the following, as well as any additional information HUD has requested.</p> <p>(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.</p> <p><b>This marks the first year of the 2010-2014 Five-Year Plan. IHA's progress in meeting the mission and goals described in the previous Five-Year Plan is described in Section 5.2.</b></p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification"</p> <p><b>A significant, major, substantive and non-procedural change to 1) the implementation of core Agency operational commitments <u>AND</u> 2) which would fundamentally deviate from program commitments contained within IHA's current 5 Year/1 Year Plan. To qualify as a "substantial deviation", any and all modifications must qualify as and result in changes of fundamental program focus so inconsistent with IHA's core mission, policy and process, as set forth within any current IHA Plan commitments, that it makes said Plan commitments obsolete, unnecessary and/or moot. Modifications to IHA Plan commitments, which <u>do not</u> change the general theme, scope, direction, policy, and/or comprehensive goals of a program, will be automatically qualified as "<u>non-substantial</u> deviations" of the Plan itself and/or in the purpose/intent of the Plan commitments, and therefore would not require further IHA action; including but not limited to, formal Plan amendment. Additionally, decisions to delay or accelerate the timing of any Plan initiative and/or program, within the relevant five (5) year planning cycle, <u>shall not</u> be deemed to be a Plan deviation (i.e. would qualify as a "non-deviation"), and under no circumstances would these decisions be considered to be a substantial Plan deviation. IHA reserves the right to interpret and apply this definition to determine whether an action or non-action qualifies as a "substantial deviation", "non-substantial deviation" or "non-deviation" for purposes of this definition and as applicable to IHA's program requirements.</b></p>
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11.0	<p><b>Required Submission for HUD Field Office Review.</b> In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. <b>Note:</b> Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>
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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](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.