

U. S. DEPARTMENT OF HOUSING AND  
URBAN DEVELOPMENT

CAPITAL FUND GUIDEBOOK TRAINING

PLANNING AND CAPITAL FUND SUBMISSION  
(CHAPTER 3)

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PLANNING PRESENTERS

➤ Chris Granger, Housing Capital Improvement Specialist, Office of Capital Improvements



➤ Emily Haeckel, Management Information Specialist, Office of Capital Improvements





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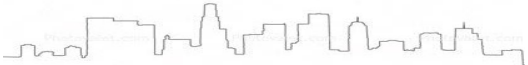
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TOPICS

➤ Planning

➤ Capital Fund Submission



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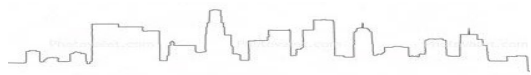
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### CHAPTER OVERVIEW



- PHAs are responsible for the long term physical and financial viability of the PHA and their properties.
- The Capital Fund plays a pivotal role in financing activities to achieve the PHA's mission and goals.



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### PLANNING



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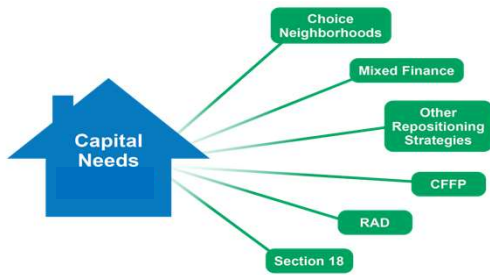
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### WHY ASSESS YOUR CAPITAL NEEDS?



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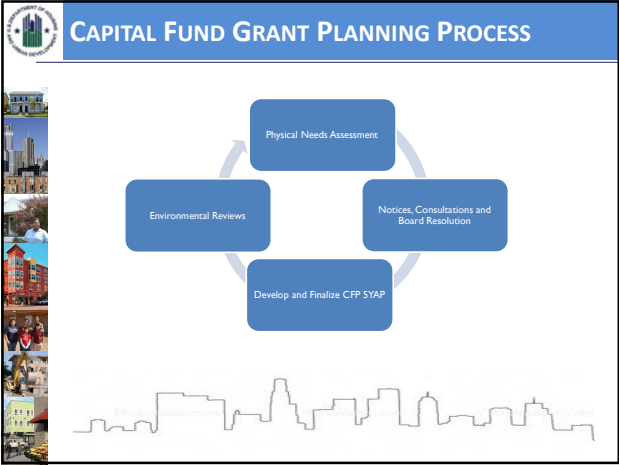
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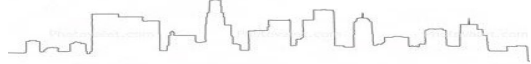
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### CAPITAL FUND AND STRATEGIC PLANNING

- The Capital Fund is a part of a larger PHA Planning Process
- Other considerations include:
  - Property conditions, vacancies, unit turnover, system lifecycles
  - Community needs
  - Financial resources available
  - Long and short term goals and strategies
  - Policies and programs
  - Procurement cycle, use of contractors versus force account labor





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### CAPITAL FUND GRANT PLANNING PROCESS

✓	Key Components
✓	Needs Assessment (e.g. PNA or CNA) and Energy Audit
✓	Draft 5 Year Action Plan
✓	45 Day Notice
✓	Public Hearing and RAB Consultation
✓	Board Resolution Approving 5-year Action Plan
✓	IMS/PIC Certification
✓	UEI (Formerly DUNS) Renewal in SAM



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## Slide 9

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**HEB0** Now UEI


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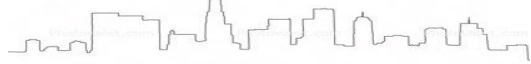
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### PUBLIC HEARING AND BOARD RESOLUTION

- **Must** Hold a public hearing **ANNUALLY** regarding the proposed Capital Fund Submission.
- Meet and consult with RAB **ANNUALLY**.
  - Capital Fund Submission must include copy of RAB recommendations and how PHA addressed them.
- PHA must have a copy of a Board Resolution on file approving its 5-Year Action Plan.

**PHA may not fund work items not approved by this process.**



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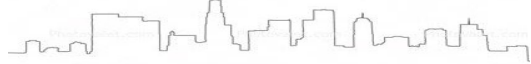
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### IMS/PIC DATA CERTIFICATION

- **Each year**, PHA must certify data accuracy in the Inventory Management System/Public Housing Information Center (IMS/PIC).
- The Capital Fund formula is based on unit information in IMS/PIC .
- HUD may suspend access to all Capital Fund LOCCS accounts for that year until IMS/PIC certification complete.
  - It will not increase funding amount after calculation based on uncertified data.

**Incorrect or Untimely Data = Incorrect/Less Capital Funding**



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### UEI NUMBER AND CURRENT SAM REGISTRATION

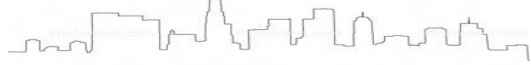

- In April 2022 the federal government moved to a [unique entity identifier](#)



U.S. General Services Administration

**Unique Entity Identifier Update**  
The New Unique Entity Identifier is Here

- SAM, formerly Central Contractor Registration or CCR:
  - PHAs must update SAM annually.
  - HUD will suspend access to Capital Funds **without** current SAM registration.



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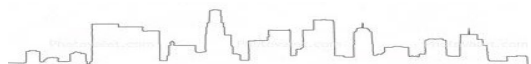


### SIGNIFICANT AMENDMENTS



- After "the approval process," PHA may amend the CFP 5-Year Action Plan, but must go through public hearing and RAB consultation process again if a **significant amendment**:
- There are automatic triggers for a Significant Amendment:
  - Proposed Demolition,
  - Disposition,
  - Homeownership,
  - Capital Fund financing,
  - Development or mixed-finance proposal not already included in approved CFP 5-Year Action Plan
  - RAD

The PHA must also create and adopt its own local policy that defines what it constitutes a Significant Amendment



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### CFP FIVE YEAR ACTION PLAN



Five Year Action Plan



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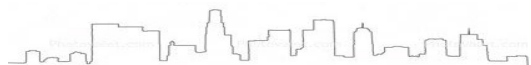

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### REJECTION OF CAPITAL FUND GRANTS



- To reject a Capital Fund Grant a PHA must:
  - Submit a written statement from the Executive Director to the FO – grant # and dollar amount.
  - Hold Board Resolution for the Capital Fund rejection on file.



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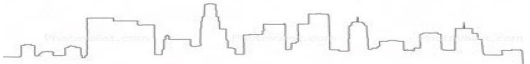


KNOWLEDGE CHECK: QUESTION #1



Not all PHAs must have a public hearing for their CFP 5-Year Action Plan.

True or False?



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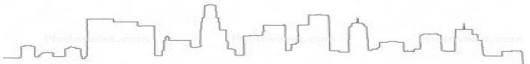


KNOWLEDGE CHECK: QUESTION #2



Once a PHA certifies its building and unit characteristics in IMS/PIC, it is required to recertify only when changes occur?

True or False?



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QUESTIONS



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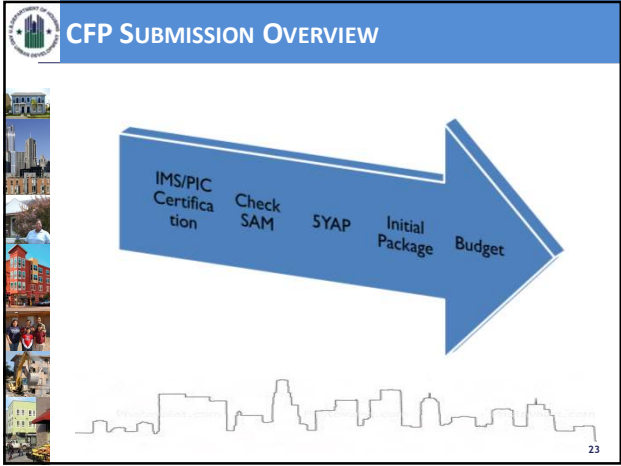
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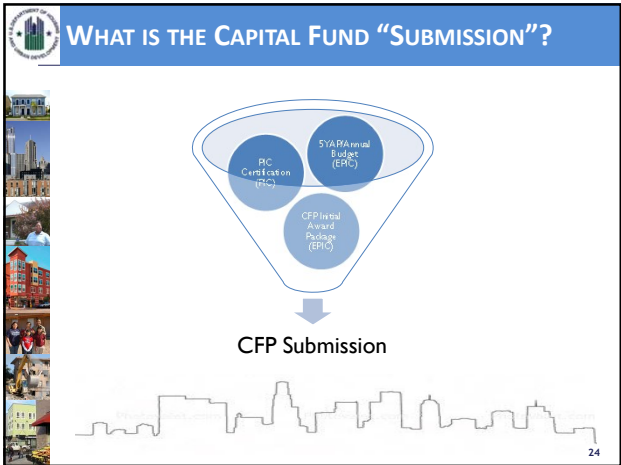
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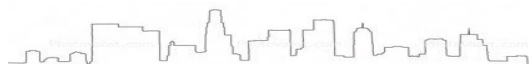
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### CAPITAL FUND ANNUAL SUBMISSION



- Every year the Annual Capital Fund Processing Guidance is published on the Office of Capital Improvements Website: [www.hud.gov/program\\_offices/public\\_indian\\_housing/programs/ph/capfund](http://www.hud.gov/program_offices/public_indian_housing/programs/ph/capfund)
- The Processing Guidance defines the specific set of documents called the Capital Fund Annual Submission.
- This includes The Annual Contributions Contract (ACC) Amendment and other certifications, which make up the Initial Award Package.



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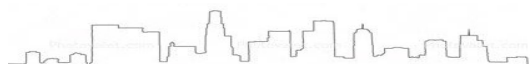
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### REQUIRED FORMS AND CERTIFICATIONS



Authorizations/Certifications	Form
CFP ACC Amendment - Signed	Form HUD-53012
Certification of Compliance with Annual Public Hearing	HUD-50077 (various versions, ST-HCV-HP, etc.)
Certification of Payments to Influence Federal Transactions	HUD-50071
Civil Rights Certification	
Lobbying Form	SF-LLL



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### BEFORE YOU SUBMIT YOUR PACKAGE



**Don't Forget To...**

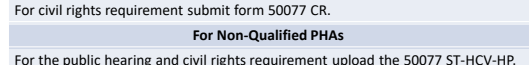
- Sign and Date all Forms
- Complete Item 9 on ACC – check Yes or No
- Identify program on Line 2 of 50071 form
- Include a Statement of Significant Amendment and it MUST contain- “In addition to the criteria established by the PHA, a proposed demolition, disposition, homeownership, RAD conversion, Capital Fund Financing, development, or mixed finance proposal is considered by HUD to be significant amendment to the CFP 5-Year Action Plan based on the Capital Fund Final Rule.”
- Upload each document under the correct category in the EPIC document mod.

**For Qualified PHAs**

- For the public hearing requirement submit the Executive Director certification statement regarding the 2021 public hearing
- For civil rights requirement submit form 50077 CR.

**For Non-Qualified PHAs**

- For the public hearing and civil rights requirement upload the 50077 ST-HCV-HP.



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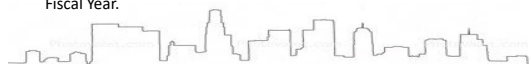
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### CERTIFICATION OF ANNUAL PUBLIC HEARING



- All PHAs are required to hold an **annual** public hearing to consider comments from residents, the public and the Resident Advisory Board (RAB) on the Capital Fund 5-Year Action Plan regardless of whether they are on a “Fixed” or “Rolling” Plan.
- The timing of the hearing must be before the submission of the CFP Submission.
- The timing may or may not align with annual hearings under the PHA Plan process because while PHA Plans have a specific deadline based on the PHA’s Fiscal Year, the full CFP Submission can only be finalized after the PHA receives its CFP Award.
- CFP Awards are based upon, but do not always align with the Federal Fiscal Year.



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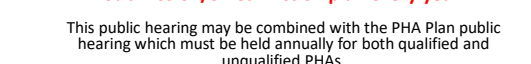


### CAPITAL FUND 5-YEAR ACTION PLAN VS. PHA PLANS

Capital Five-Year Action Plan (Part 905)	PHA Five-Year Plan (Part 903)
Covers 5 years of Capital Funding – deadline varies by choice of Fixed or Rolling Plan and Federal Appropriation.	Covers 5 PHA Fiscal Years – due 75 days before PHA FYE on a specific schedule.
Specific to PHA’s modernization efforts to ensure the long-term physical and social viability of the PHA.	PHA’s mission, goals and objectives and progress the PHA has made in meeting the goals and objectives.

**All PHAs must hold a public hearing on their Capital Fund Submission/5-Year Action plan every year.**

This public hearing may be combined with the PHA Plan public hearing which must be held annually for both qualified and unqualified PHAs.



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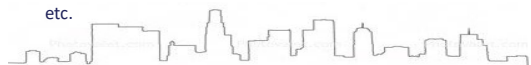
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### 5-YEAR ACTION PLAN – WHERE TO BEGIN?



- When beginning the 5-Year Action Plan consider:
  - Is the Plan Fixed or Rolling?
    - Fixed Plan – Covers 5-static years – e.g. 2022-2027
    - Rolling – Updated every year – e.g. 2022-2027; 2023-2028; 2024-2029, etc.
  - Prioritize your Projects
    - Think through what activities you will need to undertake in the next five years.
    - Based on your PNA, what will reach its expected useful life (EUL) in the next five years.
    - Put the work in priority order. Emergent, logical groupings, etc.



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### ESTIMATE AND ALLOCATE YOUR FUNDING

➤ Estimated Awards vs. Planned Projects

- How much funding do you think you will have for the next five years?
- Based on the funding available and your priority list, update your list of activities.
- Are you missing any items that are critical based on community needs/wants?
- What source year you will use to pay for each activity?

It is important to remember “when you plan to do work” is separate from the “funding source” or “grant year” you use to do it.



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### 5-YEAR ACTION PLAN – WORK ACTIVITIES

• Choose Your Work Activities


**Form HUD-50075.1**

Annual Performance and Evaluation Report  
Capital Fund Programs, Capital Fund Program Supplemental Housing Factor and  
Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
OPIH No. 1577-0117  
EXPIRES: 3/31/2025

1. Fund Name and Number  
2. Fund Title  
3. Fund Type  
4. Fund Category  
5. Fund Subcategory  
6. Fund Activity  
7. Fund Description  
8. Fund Location  
9. Fund Status  
10. Fund Funding Source  
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100. Fund Funding Description

Work Items In EPIC



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### 5-YEAR ACTION PLAN – “FUNGING”

➤ What activities will you “Funge” or reschedule?

- Activities that were approved in a prior 5YAP that could not be completed and were not included in this-years plan are eligible to “funge”.
- Items may also need to be “rescheduled” (e.g. you planned to use 2023 funds but will now use 2022 funds.)



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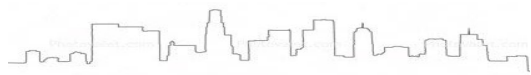
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### 5-YEAR ACTION PLAN APPROVAL AND ANNUAL BUDGET

- Once the 5YAP is finalized the PHA will submit it for Field Office review and approval in EPIC.
- PHAs may then use approved activities in their CFP 5-Year Action Plans as the basis of their Annual Budget.
- The Annual Budget is the ultimate reflection of the Capital Planning the PHA has made.
- It reflects the priorities and choices the PHA has made from the “menu” of eligible activities the PHA included in its Five-Year Plan.



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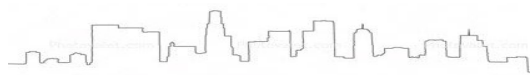
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### KNOWLEDGE CHECK: QUESTION #3

A Statement of Significant Amendment can include whatever criteria the PHA identifies but must contain a HUD specific statement pertaining to any demolition, disposition, homeownership, RAD conversion, Capital Funding Financing, development or mixed finance.

True or False?



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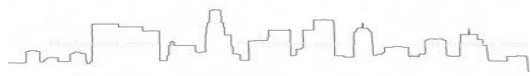
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### KNOWLEDGE CHECK: QUESTION #5

A Rolling 5-Year Action Plan, must only be updated every 5<sup>th</sup> year.

True or False?



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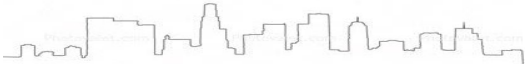

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QUESTIONS



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MTW PHAs

➤ Standard MTW Agreement establishes planning, annual submission, and distribution of funds requirements.

- Must submit a 5-Year Capital Fund Action Plan.
- Contents of the CFP Annual submission is established by MTW Agreement.



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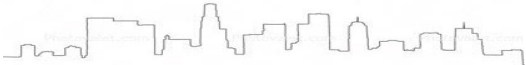
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QUESTIONS

For more information and help with EPIC, visit our [website](#) or contact your local field office. If you need technical assistance email [EPICHelp@HUD.GOV](mailto:EPICHelp@HUD.GOV)

For more information on Planning and related Activities see Chapter 3 of the Capital Fund Guidebook: <https://www.hud.gov/sites/documents/CAPITALFUNDGUIDEBOOKFINAL.PDF>



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