

# Instructions for Preparation of Form HUD-50075.1, Annual Statement/Performance and Evaluation Report Submission for the Annual Statement

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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 8 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

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Prepare a separate Form HUD-50075.1 (Parts I and II) for each annual formula grant, describing the activities, which are planned to be undertaken with the current year's Capital Fund Program (CFP) Grant(s) and Capital Fund Financing Program (CFFP) financing. Submit this form to HUD electronically as part of each Annual Plan submission. On an as-needed basis, submit a revised form when there are significant deviations or significant amendment/modifications to the approved Annual Statement. When submitting a completed Form HUD-50075.1 (Parts I and II), only Part I shall be signed and dated. For revisions affecting individual pages, only the pages affected shall be signed, dated and submitted to HUD electronically.

**Natural disasters and emergencies:** Prepare a separate Form HUD-50075.1 (Parts I and II) for each funding request from the reserve for natural disasters and emergencies.

## Report Submission For the Performance and Evaluation Report

At the end of the PHA's fiscal year end, complete the sections of Parts I and II as noted in footnotes 1 and 2 on a copy of the original or revised Annual Statement and mark the box, Performance and Evaluation Report for Program Year Ending \_\_\_\_\_. Submit the form(s) to HUD electronically together with the narrative report on resident and local government participation and other required items. Continue reporting at the end of each program year, until the program is completed or all funds are expended.

Revisions to the Annual Statement, which are not significant deviations or significant amendment/modifications to the PHA Plan, (e.g. expenditures for emergency work, revisions resulting from the PHA's application of fungibility) shall be reported in the Performance and Evaluation Report.

Upon completion or termination of the activities funded in a specific grant year, complete the sections of Parts I and II as noted in footnotes 1 and 2 on a copy of the original or revised Annual Statement and mark the box, Final Performance and Evaluation Report. Submit a Final Performance and Evaluation Report as soon as the program is completed or all funds are expended.

## Part I: Summary

**Executive Director Signature.** The PHA must complete and submit the 50075.1 Annual Statement /Performance and Evaluation Report electronically. The Executive Director must sign, date and scan Part I of the Annual Statement /Performance and Evaluation Report signature page, and it must also be submitted electronically. This document is being submitted electronically as part of the PHA Annual Plan. A single signature is all that is required for the Annual Statement /Performance and Evaluation Report Parts I, II and III and Capital Fund Program – Five Year Action Plan, form HUD-50075.2. This is a change from prior forms that required a signature on each part.

**Public Housing Director Signature.** The Public Housing Director does not sign the Annual Statement /Performance and Evaluation Report when it is initially submitted as part of the PHA Annual Plan. The Public Housing Director only signs the Annual Statement /Performance and Evaluation Report after the actual amount of the Capital Fund grant is known, the Annual Statement /Performance and Evaluation Report has been revised and the ACC Amendment is executed. Additional processing information will be included in the annual Capital Fund Processing Notice.

## Heading Instructions

**PHA Name.** Enter the PHA name.

**Capital Fund Program (CFP) Grant Number.** Enter the unique 13-digit alphanumeric code, which is the CFP grant number designated for the annual grant in the ACC Amendment, or the date of CFFP financing approval.

**FFY of Grant.** Enter the FFY that the grant is being awarded. In some FFY's, HUD awards a grant with funds appropriated from prior year appropriations.

**FFY of Grant Approval.** Enter the FFY in which the grant is being approved/was approved.

**Type of Grant.** Check the appropriate box and indicate whether the submission is the Original Annual Statement for the annual formula grant, Reserve for Disasters and Emergencies, the Revised Annual Statement (and revision number), the Performance and Evaluation Report for Program Year Ending (enter date), or the Final Performance and Evaluation Report or CFFP financing.

## Original Total Estimated Cost

**Line 1.** Enter the Original Total Estimated Cost for all work that will be undertaken from non-CFP funds. Enter zero if no work will be undertaken from non-CFP funds.

**Lines 2 through 19.** For each line, enter the Original Total Estimated Cost, for all work that will be undertaken from the annual formula grant or the reserve. Enter zero if no work will be undertaken in a particular development account. The sum total of lines 2 through 19 must equal the amount of the annual grant on line 20.

**Line 18a.** For financing transactions where the PHA pays the debt service to the bank or trustee through their normal disbursement procedures, enter the annual debt service amount.

**Line 18b.** For financing transactions where the debt service is automatically paid directly to the bank or trustee without the funds flowing through the PHA, enter the annual debt service amount.

Line 19. Enter contingency amount based on an amount not to exceed eight percent (8%) of line 20.

**Line 20.** Amount of Annual Grant. Enter the sum of lines 2 through 19 in the Original Total Estimated Cost column.

**Line 21.** Amount of line 20 Related to Lead-Based Paint (LBP) Activities. Enter the amount of line 20 related to LBP activities (hard and soft costs) in the Original Total Estimated Cost column, as applicable. For example, if windows are being replaced, estimate the portion of the funding, which is directly related to LBP abatement.

**Line 22.** Amount of line 20 Related to Section 504 Compliance. Enter the amount of line 20 related to Section 504 compliance (hard and soft costs) in the Original Total Estimated Cost column, as applicable.

**Line 23.** Amount of line 20 Related to Security soft costs in the Original Total Estimated Cost column, as applicable.

**Line 24.** Amount of Line 20 Related to Security hard costs in the Original Total Estimated Cost column, as applicable.

**Line 25.** Amount of line 20 Related to Energy Conservation Measures. Enter the amount of line 20 related to Energy Conservation Measures (hard and soft costs) in the Original Total Estimated Cost column, as applicable.

## Revised Total Estimated Cost

**Line 1.** Enter the Original Total Estimated Cost for all work that will be undertaken from non-CFP funds. Enter zero if no work will be undertaken from non-CFP funds.

**Lines 2 through 19.** After initial approval by HUD, the PHA shall track cost increases and decreases in lines 1 through 18 and cost decreases in line 19 of the Original Total Estimated Cost and report these revisions in the Revised Total Estimated Cost column at the end of each program year on the Performance and Evaluation Report.

If revisions are reported in the Revised Total Estimated Cost column when a Performance and Evaluation Report is submitted, the revisions shall be reflected in the Original Total Estimated Cost column when the next Performance and Evaluation Report is submitted.

Where there is a significant deviation or significant amendment/modification(s) to the Annual Statement (i.e., where a major work category is being added to the Annual Statement, which was not included in the latest HUD-approved Five-Year Action Plan or a prior approved budget), enter the revisions to development accounts that are affected by the change in the Revised Total Estimated Cost column and submit only the pages of the form affected by the revision to HUD. Each page submitted for HUD approval of a revision shall be signed and dated by the PHA and, where approved by HUD, a signed copy shall be returned to the PHA.

**Line 20.** After initial approval by HUD, the sum of lines 2 through 19 in the Revised Total Estimated Cost column may not exceed the annual grant amount (line 20 in the Original Total Estimated Cost column).

**Lines 21 through 25.** After initial approval by HUD, the PHA shall track cost increases and decreases in lines 21 through 25 of the Original Total Estimated Cost and report these revisions in the Revised Total Estimated Cost column when the Performance and Evaluation Report is submitted. If revisions are reported in the Revised Total Estimated Cost column when a Performance and Evaluation Report is submitted, the revisions shall be reflected in the Original Total Estimated Cost column when the next Performance and Evaluation Report is submitted.

### Total Actual Cost

At the end of the CFP program year for each grant with a separate Capital Fund Program Grant Number for which funds are still being expended, complete the section on Actual Cost on a copy of the original or revised Annual Statement, mark the box Performance and Evaluation Report for Program Year Ending \_\_\_\_\_ and submit to HUD by 9/30. Upon completion or termination of the activities funded for each grant with a separate Capital Fund Program Grant Number, complete the section on Actual Cost as part of the submission of the Final Performance and Evaluation Report.

**Lines 2 through 26.** For each line, enter the Actual Cost of Funds Obligated and Expended at the end of the CFP program year or upon completion or termination of the activities funded for each grant with a separate Capital Fund Program Grant Number. **Note:** Do not enter a dollar amount for obligated and expended for line 19 (Contingency). Funds from this account shall be shown as obligated and expended in another development account when funds from this account are used for cost overruns, contract modifications, or other work.

**Line 20.** Enter the sum of lines 2 through 18 for obligated and expended. The sum of lines 2 through 18 may not exceed line 20 in the Original Total Estimated Cost column.

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### Part II: Supporting Pages

**Development Number/Name.** Enter the abbreviated number (e. g., VA-36-1) and the name, if any, of each development where a major work category will be undertaken. Enter “PHA-wide” for a major work category that relates to a PHA-wide activity (e.g., management improvements; administration; physical improvements that are unpredictable, such as lead-based paint abatement, asbestos abatement, modernization of vacant units).

**General Description of Major Work Categories.** For each development listed, enter a general description of the major work categories, including those that will be funded with non-CFP funds and no cost items. Work categories should be described in broad terms, such as kitchens, bathrooms, electrical, site, etc. A work category may encompass various components; e.g., the major work category of kitchens may include ranges, refrigerators, cabinets, floors, etc.

Do not specify the per unit cost or the quantity of materials. Identify major work categories that will be accomplished by Force Account labor by entering (FA) in parenthesis next to the major work category. PHAs that are designated as high performers under PHAS do not have to identify major work categories that will be accomplished by FA.

After listing all major work categories for all developments being funded, enter a general description of PHA-wide activities such as; management improvements; administrative costs; non-dwelling equipment; physical improvements that are unpredictable such as lead-based paint abatement, asbestos abatement, and/or modernization of vacant units.

When major work categories are subsequently deleted, draw a line through the General Description of Major Work Categories, Development Account Number, Quantity, and Estimated Cost. When major work categories are subsequently added, enter the General Description of Major Work Categories, Development Account Number, Quantity and Estimated Cost under the appropriate development number/name. **Note:** Describe administrative and management improvement costs in sufficient detail for HUD to make a determination of eligibility. Identify items excluded from the 10 percent limitation on administrative cost, such as in-house LBP testing; identify management improvements and how they relate to identified physical or management improvement needs.

**Development Account Number.** For each major work category and PHA-wide activity, enter the appropriate development account, which corresponds to the major work categories described under the General Description of Major Work Categories column. For appropriate development accounts, refer to the CFP Handbook 7485.3. Where funding will be provided from non-CFP sources, or the work is a no-cost item, enter “N/A” for not applicable.

**Quantity.** Enter the quantity of each major work category, and PHA-wide activity, to be undertaken as a percentage or whole number; e.g., 50 percent of the units, 125 units, train 25 residents, etc.

### Total Estimated Cost Original

For each major work category and PHA-wide activity, enter the Original Estimated Cost. Asterisk the estimated cost of each major work category that will be funded with non-CFP funds. After listing the estimated cost for all major work categories at a particular development, enter a subtotal of the estimated cost of only the major work categories that will be funded from the current year’s CFP grant. (Note: Do not count costs that have been asterisked in this subtotal). Enter a subtotal for each PHA-wide activity.

Enter a grand total for Part II of only the major work categories and PHA-wide activities that will be funded with the current year’s CFP grant. The Grand Total may not exceed line 20 of the Original Total Estimated Cost column in Part I.

**Revised Total Estimated Cost**

After initial approval by HUD, the PHA shall track cost decreases or increases in the Original Total Estimated Cost and report these revisions in the Revised Total Estimated Cost column at the end of each program year on the Performance and Evaluation Report. If revisions are reported in the **Revised Total Estimated Cost** column when a Performance and Evaluation Report is submitted, the revisions shall be reflected in the Original Total Estimated Cost column when the next Performance and Evaluation Report is submitted. Where there is a significant deviation or significant amendment/modifications to the Annual Statement (e.g., a major work category is being added to the Annual Statement which was not included in the latest HUD-approved Five-Year Action Plan or a prior approved budget), enter the revisions to development accounts that are affected by the change in the Revised Total Estimated Cost column and submit only the pages of the form affected by the revision to HUD.

**Total Actual Cost**

At the end of the CFP program year for each grant with a separate Capital Fund Program Grant Number for which funds are still being expended and for each CFFP financing, complete the section on Actual Cost for the Performance and Evaluation Report. Upon completion or termination of the activities funded for each grant with a separate Capital Fund Program Grant Number, complete the section on Actual Cost for the Final Performance and Evaluation Report.

**Funds Obligated**

In this column, for each development listed, enter the cumulative dollar amount of all funds obligated for that development opposite the Original Estimated Cost subtotal. For each PHA-wide activity listed, enter the cumulative dollar amount of all funds obligated opposite the Original Estimated Cost subtotal. Enter the cumulative dollar amount of all funds obligated opposite the Grand Total. The Grand Total may not exceed line 20 in the Original Total Estimated Cost column in Part I. This includes funds obligated by the PHA for work to be performed by contract labor (i.e., contract award) and force account labor, which has actually started. Funds that are recorded as being obligated shall remain obligated so that total funds obligated are always greater than or equal to total funds expended. Total funds obligated shall not exceed the amount of the annual grant. **Note:** Do not enter a dollar amount for obligated for line 19 (Contingency). Funds from this account will be shown as obligated in the appropriate development account when funds from this account are used for cost overruns, contract modifications or other work.

**Funds Expended**

In this column, for each development listed, enter the cumulative dollar amount of all funds expended for that development opposite the Original Estimated Cost subtotal. For each PHA-wide activity listed, enter the cumulative dollar amount of all funds expended opposite the Original Estimated Cost subtotal. Enter the cumulative dollar amount of all funds expended opposite the Grand Total. The Grand Total may not exceed line 20 in the Original Total Estimated Cost column in Part I. Total funds expended means cash actually disbursed and does not include retainage. **Note:** Do not enter a dollar amount for expended for line 19 (Contingency). Funds from this account will be shown as expended in the appropriate development account when funds from this account are used for cost overruns, contract modifications or other work.

**Status of Proposed Work**

At the end of the CFP program year, complete this section for the Performance and Evaluation Report. For each major work category and PHA-wide physical improvement listed, prepare a brief description of the status of the item, e.g., work completed or contract awarded on MM, DD, YYYY. Explain the addition, deletion or modification of any major work category, such as the addition of any emergency work, or changes to the Annual Statement, by substituting major work categories from the Five-Year Action Plan or other approved modernization budgets. Where funds were budgeted for PHA-wide physical improvements, indicate the actual developments/number of units where the funds were expended.

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**Part III: Implementation Schedule for CFFP only**

**Development Number/Name.** Enter the abbreviated number (e.g., VA 36-1) and the name, if any, of each development listed on Part II. Enter “PHA-wide” for major work categories that relate to PHA-wide physical or management improvements.

**Original Obligation End Date - All Funds Obligated Column**

Opposite each development or PHA-wide activity, enter the estimated ending date for obligation of all funds under the Original column. The obligation start date for financing transactions is the closing date, when funds become available to the PHA.

**Actual Obligation End Date - All Funds Obligated Column**

When all funds are obligated for a development or PHA-wide activity, enter the ending date that this occurred in the Actual column.

**Original Expenditure End Date - All Funds Expended column**

Opposite each development or PHA-wide activity, enter the estimated ending date for expenditure of all funds under the Original column.

**Actual Expenditure End Date - All Funds Expended Column**

When all funds are expended for a development or PHA-wide activity, enter the ending date that this occurred in the Actual column. When all proceeds from a financing have been expended, the PHA shall complete Parts I, II, and III, mark the box, Final Performance and Evaluation Report, and submit to the Field Office.