

<b>1.0</b>	<b>PHA Information</b> PHA Name: <u>Columbus Metropolitan Housing Authority</u> PHA Code: <u>OH001</u> PHA Type: <input type="checkbox"/> Small <input type="checkbox"/> High Performing <input checked="" type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>01/2016</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: <u>1,373</u> Number of HCV units: <u>13,388</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
	PHA 1:				PH      HCV
	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:  The Columbus Metropolitan Housing Authority serves the community by helping people access affordable housing. By working with our collaborative partners, we develop, renovate, and maintain housing, promote neighborhood revitalization, and assist residents in accessing needed social services.				
<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.  CMHA Goals for FY 2016-2021: (1) Continue to increase the availability of decent, safe, and affordable housing; (2) Promote self-sufficiency and asset development of families and individuals; (3) Improve community quality of life and economic vitality; and (4) Ensure Equal Opportunity and Affirmatively further Fair Housing.  CMHA will endeavor to realize the goals of the 2016 5-Year Plan through the execution of the Choice Neighborhood Implementation Grant which focuses on the revitalization of the Near East Side of Columbus, converting Public Housing through the Rental Assistance Demonstration Program, utilizing the PBV allocation to support development and the continuation of the provision of high quality program administration.  CMHA has submitted RAD applications for Sawyer Manor and Trevitt Heights and will continue its analysis to determine if conversion is advantageous in the fulfilment of CMHA's goals. CMHA will assess the viability of RAD conversions for its public housing portfolio and will submit appropriate demo/dispo applications.  CMHA's public housing sites maintain an occupancy level of 98% and the high performing housing choice voucher program (SEMAP) maintains a 99% utilization rate; site based wait lists are available at Worley Terrace, Jenkins Terrace, Maplewood Heights, Bollinger Tower, The Meadows, Franklin Station, Poindexter Place and Rosewind. CMHA continues to administer the HCV Family Self-Sufficiency program and the S8 Homeownership Program. CMHA regularly applies for and has received vouchers for replacement of public housing units removed from the portfolio.				
<b>6.0</b>	<b>PHA Plan Update</b>  (a) <u>Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:</u>  <b>HCV</b> – CMHA will open the HCV wait list in 2015, implementing a Web-Based Application System with appropriate changes to the admission preferences and the use of a lottery system for placement on the Wait List. CMHA intends to keep the waitlist open in 2015 and beyond based on voucher utilization and funding received CMHA has updated the HCV Administrative Plan to include the local residency preference.  CMHA has implemented biennial HQS inspections per the HUD regulations that allow for biennial HQS inspections and has implemented policy that best supports the agency's mission.				

In 2015, CMHA implemented a mail-in recertification option for providing an additional service to its clients. The service permits the tenant to complete a recertification packet and return it to CMHA without having to attend a recertification appointment.

CMHA implemented HUD's new regulation for determining utility allowances based upon the voucher size issued instead of actual bedroom size of the unit rented.

**Public Housing** - Based on CMHA's intention to acquire an existing multifamily community (discussed further in Section 7), CMHA has revised its ACOP to include a preference for current eligible residents of an acquisition to remain in place. CMHA has also revised the ACOP to include a preference for non-elderly/disabled families from 18 to 61 years of age (exclusive of those properties with an elderly occupancy requirement due to Low Income Housing Tax Credit [LITHC] requirements).

In 2015, CMHA will convert the Public Housing wait list to a Web-Based Application System with appropriate changes to the admission preferences and the use of a lottery system for placement on the Wait List. CMHA intends to keep the waitlist perpetually open. CMHA has updated the Public Housing ACOP to include the local residency preference.

Site-based Waiting Lists apply to those properties that are funded with Low Income Housing Tax Credit (LIHTC) funds. Those communities include: Jenkins Terrace, Worley Terrace, Gender Road, Chestnut Grove, Franklin Station and Poindexter Place. Future phases of Poindexter Village redevelopment may also employ site based waiting lists.

CMHA will offer a mail-in recertification option for providing an additional service to its Public Housing clients. The service will permit a tenant to complete a recertification packet and return it to CMHA without having to attend a recertification appointment

CMHA will further make modifications to the HCV Administrative Plan and/or ACOP as needed based upon changes in HUD rules or regulations or other CMHA action that necessitates such a change. All changes to the Admin Plan and ACOP are subject to CMHA Board approval.

#### **PHA Plan Elements**

1. Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures. – Described in the HCV Administrative Plan and Public Housing Admission and Continued Occupancy Plan (ACOP)
2. Financial Resources – Contained in the annual audit and budget
3. Rent Determinations – Contained in the HCV Administrative Plan and the Public Housing ACOP
4. Operation and Management Policies – available at CMHA corporate office upon request
5. Grievance Procedures – Contained in the HCV Administrative Plan and the Public Housing ACOP
6. Designated Housing for Elderly and Disabled Families – available at CMHA corporate office. CMHA will implement per HUD approval letter, dated May 23, 2014.
7. Community Service and Self Sufficiency – Information on the FSS Program, the S8 Homeownership Program and other supportive services available at CMHA corporate office
8. Safety and Crime Prevention – Available at CMHA corporate office
9. Pet Policy – contained in the Public Housing ACOP
10. Civil Rights Certification – The Certification and Information are available at the CMHA office
11. Fiscal Year Audit – available at CMHA corporate office
12. Asset Management – available at CMHA corporate office
13. VAWA - Violence Against Women Act --- (A) Describe any activities, services, or programs provided or offered by CMHA, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking: CMHA agrees that any public housing resident or Voucher holder experiencing and reporting domestic violence will be referred to CHOICES if they did not have other assistance. Based upon this partnership agreement, CMHA does not provide services. CMHA serves as a member on the ACTION OHIO COALITION FOR BATTERED WOMEN Collaboration Board and has committed to host training classes targeted for those who assist abused victims by providing support, resources and referrals.

In 2015, CMHA will conduct training on Domestic Violence Victims & Housing Issues training for the entire HCV and public housing staff. CHOICES and ACTION OHIO are scheduled to attend a New Landlord class to inform owners about VAWA. CMHA has also engaged the Maryhaven Rehabilitation Center to assist HCV participants in relocating to safe areas.

The AVP of Housing Programs reviews all VAWA referrals and makes the final recommendation to the Asset Manager and other senior staff in determining the most appropriate course of action for public housing residents. The AVP of Housing Programs also reviews all VAWA referrals for the HCV Program and maintains certifications for both programs on file.

**(B) Describe any activities, services, or programs provided or offered by a public housing agency that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing:** Services are offered through the partnership agreement with Choices, a local domestic violence service provider. Once appropriate actions are determined, CMHA works with CHOICES to protect and maintain housing needs. CMHA provides notification to residents of public housing, landlords and Voucher tenants of VAWA requirements. VAWA information is included in the Voucher and public housing tenant and landlord briefings packets and tenant files.

**(C) Describe 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.** CMHA provides information about VAWA and tenant rights and obligations in tenant lease-up packets for the HCV program. Victims are encouraged to contact their Public Housing Manager or the HCV staff to report problems and seek assistance. Referrals are made to CHOICES to enable the residents/tenants to obtain assistance from an experienced service provider. CMHA then continues to work with CHOICES as individualized service plans are developed.

**(b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan.**

Copies of the Plan can be obtained from CMHA's website at [www.cmhanet.com](http://www.cmhanet.com) and at 880 East 11<sup>th</sup> Avenue, Columbus, OH 43211

**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.*

**(a) Hope VI or Mixed Finance Modernization or Development**

As stated in our current Five Year Plan, CMHA is focused on the redevelopment and revitalization of neighborhoods impacted by demolition/disposition activities. As well as, expanding the availability of decent safe and sanitary affordable housing. Anticipated Mixed Finance applications are detailed in the following paragraphs.

CMHA has received an \$9.2 million commitment for tax credits from the Ohio Housing Finance Agency (OHFA) to build Poindexter Place. Poindexter Place is a 104 unit senior apartment community which will consist of 34 public housing units and 70 project based voucher units. Additional funding for the project includes an estimated \$5.3M in RHF funds; a Federal Home Loan Bank grant in the amount of \$1M; and \$250,000 in city of Columbus HOME funds. We anticipate completion of Poindexter Place by end of year 2015.

CMHA has been awarded the Choice Neighborhoods Initiative Implementation Grant for 2013. All terms and conditions of the CNIIG issued by HUD are incorporated herein by reference. CMHA will submit additional Mixed Finance applications requesting the release of accumulated RHF monies for projects contemplated under the CNIIG submittal.

CMHA will submit additional mixed finance applications should opportunities consistent with CMHA’s mission and goals present themselves. Lastly, CMHA continues to pursue the acquisition of existing (or near completion) multifamily communities with the intent of developing these communities as mixed-income neighborhoods. RHF funds will be used to finance the public housing component of these acquisitions. Financing for these developments may include Capital Fund Financing Program (CFFP), Mixed Finance Applications, Simple Acquisitions leveraging COCC funds, and/or Replacement Housing Factor Funds. Other funding sources including, but not limited to, conventional financing, tax credit financing, and joint venturing will be considered for these acquisitions, Acquisition approval and mixed finance application(s), where applicable, will be submitted as potential acquisitions are identified. CMHA may seek HUD approval to finance the acquisition(s) in part from advance(s) of CMHA reserves and repay the advance(s) from RHF funds.

**Pending RHF Commitments**

Poindexter Place	\$5,326,111
Poindexter PH 2	\$1,800,000
Market Rate Acquisition	\$2,600,000
RAD Conversion	\$10,000,000

7.0

**(b) Demolition and/or Disposition**

In accordance with approved demolition/disposition plans, CMHA’s demo/dispo updates are as follows:

Poindexter Village – Demolition of Poindexter Village was completed in 2014 with the exception of the two buildings and the community center. In response to community input and 106B historic review, the two buildings have been retained to research the possibility of adaptive reuse.

**(c) Conversion of Public Housing**

CMHA submitted applications for RAD conversion in December 2013 for Jenkins Terrace, Worley Terrace, Sawyer and Trevitt Heights. CMHA is not required to convert any public housing units to tenant-based assistance but may undertake voluntary conversions of certain public housing properties during the plan period. We have been awarded Commitment to Enter Housing Assistance Payments Contracts on Sawyer/Trevitt and are moving forward with the conversion of these sites. Worley and Jenkins applications are still pending. We are still assessing the remainder of our inventory and may submit applications in the future for any and all of our other public housing communities.

**(d) Homeownership**

CMHA is not administering a public housing homeownership program nor does it intend to initiate one. However, CMHA does administer a HCV homeownership program.

**(e) Project Based Vouchers**

CMHA currently operates a project based voucher program that targets specific populations. Chronic homeless individuals and families, the elderly/disabled and other special needs populations are being served by the 2,077 project based vouchers issued to date and located throughout Franklin County.

We anticipate potential PBV awards to future phases of the Poindexter-area redevelopment. CMHA will consider other PBV awards on a case by case basis.

These efforts are consistent with our 5 year plan to serve these targeted special needs populations by providing affordable housing in conjunction with supportive services and to develop replacement units resulting from the demolition and/or disposition of obsolete public housing communities. These housing needs are also consistent with the housing needs component of the Consolidated Plan for Columbus and Franklin County. Locations are generally identified by the service providers and they are reviewed and approved at the time the Project Based Voucher application is submitted.

8.0	<b>Capital Improvements.</b> See Form HUD 50075.23 approved by HUD in August 2014.
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.  The Annual Statement/Performance and Evaluation Report, HUD 50075.1 is included.
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.  Capital Fund Five Year Action Plan, HUD 50075.2 is included.
8.3	<b>Capital Fund Financing Program (CFFP).</b> <input checked="" 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.  This is an option that CMHA may use as it examines the best methodologies to finance future developments. Contemplated developments include Poindexter-area redevelopment and potential market-rate (mixed market) developments.
9.0	<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.

**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.**

The following information has been taken from the 2010-2014 Columbus and Franklin County Consolidated Plan:

Unlike many other metropolitan areas, where the major city is landlocked by suburban jurisdictions, the boundaries of Columbus have expanded to include a greater portion of the region's developed areas. This has created two "cities" within Columbus: one an "older" urban central city with population decline since the 1950s, and another "newer" with significant growth more akin to suburbs. Compared to the 1990s, the 2000s have seen a greater balance in growth between the older city and the rest of the county. From 1990 to 2000, there was a 1.9% decrease in the older city and much greater increases in the newer city (32.0%) and suburban county (13.0%). In comparison, from 2000 to 2008, the number of housing units increased throughout Older and Newer Columbus and suburban Franklin County. The growth was greatest in Newer Columbus, at 18.2%, while the older city saw a 5.3% increase. In spite of this gap, the results indicate a change in the pattern of development compared to the 1990s. In Franklin County, 62.5% of the housing stock was built before 1980. According to the 2002 American Housing Survey (the most recent source of data on housing conditions for city and county), Franklin County had 21,300 housing units with physical condition problems. Of these, 73.3% were renter units. Franklin County's main housing issues are lead exposure, foreclosure, and affordability. Foreclosures are a greater issue in older Columbus neighborhoods than in most other parts of Franklin County. In 2007 and 2008, the number of foreclosure filings amounted to 7.4% of residential properties. For sheriff's sales, the rate was 5.1%. Renters in Franklin County were affected by 42% of all properties sold at sheriff's sale.

Additional Data from the 2010-2014 Consolidated Plan:

- 19.4% of Franklin County population is black; however, a much higher percentage 34.7% is located in the "older" city
- Lower-income renters have fewer rental housing options than in the past.
- Substantial portions of the rental housing stock need improvement.
- There are over 44,000 renter households paying more than 50% of the income for housing.
- A market analysis shows a deficit of about 31,000 affordable housing units for extremely low-income renters.
- About 50% of all renters spent more than 30% of income on gross rental costs in 2007.
- There are 105 chronically homeless who are unsheltered.
- There are an estimated 3200 elderly and 600 frail elderly households in need of housing.
- There are an estimated 650 disabled persons in need of housing.
- There are an estimated 770 persons with HIV/AIDS who are in need of housing and supportive services.

The Section 8 and Public Housing wait lists also corroborate the housing needs identified in the Consolidated Plan. As of July 1, 2015 there were 2,265 families on the PH wait list. Of these, the demographics include:

1bdr: 987; 2bdr: 828; 3bdr: 341; 4bdr: 90; 5bdr+: 19  
1,032 singles; 179 Elderly; 615 Disabled; 588 have family sizes at 3 or more

9.1

1,642 are female heads of household; 623 have male heads of household  
1,781 are black; 370 are white; 114 are multi-racial  
2,074 are under 30% of median income  
883 have income <= 5,000 (39%); 1,962 have income <= 15,000 (86%)

As of July 1, 2015 there were 473 families on the Housing Choice Voucher wait list. Of these the demographics include:

1bdr: 207; 2bdr: 149; 3bdr: 91; 4bdr: 23; 5bdr: 2; 6bdr: 1

173 singles;  
57 Elderly;  
86 Disabled;

208 have family sizes at 3 or more

390 are female heads of household; (82%)  
83 have male heads of household (18%)

391 are black (83%)  
82 are white (16%)

315 are under 30% of median income

CMHA has initiated or proceeded with action on the following new projects that will address housing needs.

Hawthorn Grove – 40 units of disabled families supported by PBV vouchers (2015)  
Van Buren Village - 100 units PBV for disabled individuals (2015)  
Scholar House II – 28 units for families (2016)  
Poindexter Place – 70 units PBV; 104 total units for elderly (2016)  
YMCA Griswold – 90 units PBV (2016)

Additionally, CMHA will continue to explore partnerships with other housing and service providers for the development of housing to serve veterans, homeless, family, senior, and other special needs populations within Franklin County.

<b>10.0</b>	<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>As it relates to the current Five Year Plan, CMHA continues to meet its goals.</p> <p>CMHA’s mission: “The Columbus Metropolitan Housing Authority serves the community by helping people access affordable housing. By working with our collaborative partners, we develop, renovate and maintain housing, promote neighborhood revitalization, and assist residents in accessing needed social services”</p> <p>Goals: (1) Continue to increase the availability of decent, safe and affordable housing; (2) promote self-sufficiency and asset development of families and individuals; (3) continue with implementation of the HUD approved demolition/disposition of 1,970 units; (4) improve community quality of life and economic vitality; and (5) ensure equal opportunity and affirmatively fair housing.</p> <p>CMHA is working with the City of Columbus and The Ohio State University to revitalize the Near East Side of Columbus, Ohio. With the award of the CNIIG, CMHA is implementing the master plan.</p> <p>CMHA is also working with the City of Columbus and the Franklinton Area Commission to implement a master plan for the redevelopment of Columbus’ oldest community, Franklinton. Franklinton was/is the home of the former public housing community Riverside Bradley and Sunshine Terrace.</p> <p>Further, CMHA continues to work in partnership with area service providers (CHN, NCR, Homeport, OSU, City of Columbus and Franklin County) to meet the housing needs of Central Ohio’s most vulnerable population.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p> <p>CMHA’s definition of significant amendments and substantial modifications to the Agency Plan is “changes that would alter the PHA’s mission or the goals and objectives CMHA has established for meeting the needs of the families we serve.” With respect to the Capital Fund, CMHA considers significant amendments as those that involve a reallocation of more than 70% of the Capital Funds by CMHA (excepting reallocations mandated by statute or HUD regulation)</p>
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<b>11.0</b>	<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.