

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information					
	PHA Name: _____Maine State Housing Authority_____			PHA Code: _____ME901_____		
	PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8)					
	PHA Fiscal Year Beginning: (MM/YYYY): ____1/1/2015____					
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above)					
	Number of PH units: _____		Number of HCV units: ____4320_____			
3.0	Submission Type					
	<input checked="" type="checkbox"/> 5-Year and Annual Plan		<input type="checkbox"/> Annual Plan Only		<input type="checkbox"/> 5-Year Plan Only	
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)					
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program	
					PH	HCV
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.					
5.1	Mission. 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: MaineHousing’s mission is to assist Maine people in obtaining and maintaining quality affordable housing and services suitable to their housing needs. Housing Choice Vouchers assist very low income individuals and families to choose and lease decent, safe and affordable privately owned rental housing and to achieve and maintain housing stability and self-sufficiency.					

5.2	<p>Goals and Objectives. 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.</p> <p>MaineHousing’s Program Goals</p> <p>Goal 1: Improve Housing Quality</p> <ul style="list-style-type: none"> - Ensure decent housing by adopting inspection standards above HQS and enforcing the compliance - Improve the inspections process – efficient, consistent, timely inspections <p>Goal 2: Expand the Supply of Affordable Housing</p> <ul style="list-style-type: none"> - Apply for new vouchers- project-based VASH, tenant protection, enhanced vouchers or others that are authorized - Work with landlords to provide incentives to participate in the HCV Program <p>Goal 3: Help Maine People Attain Housing Stability</p> <ul style="list-style-type: none"> - Continue to work with tenants to encourage them to opt for our Homeownership Voucher Program as appropriate - Award project-based vouchers in properties that provide supportive services to homeless families (approximately 80) - Award project-based vouchers to existing Low Income Tax Credit properties for homeless families (up to 100) - Continue to administer the Family Self Sufficiency Program - Fully utilize specialty vouchers (NED, VASH, Family Unification) <p>Goal 4: Provide Leadership in the Housing Field</p> <ul style="list-style-type: none"> - Contribute to ongoing analysis of housing needs - Work toward high performance score under SEMAP - Ensure EHO and Fair Housing by offering reasonable accommodations <p>MaineHousing’s Operational Priorities</p> <p>Service</p> <ul style="list-style-type: none"> - Strive for and monitor customer satisfaction through feedback, surveys and consumer referral line - Provide training to staff to better serve clients through a case management model similar to resident service coordination - Work with partners in providing services and outreach to low-income families via –Community Action Agencies, homeless shelters, landlord associations, 211 site and other Public Housing Authorities as well as offering options for electronic communications (DVDs, You-Tube videos, conference calling, on-line applications, etc) - Offer MaineHousingSearch.org to tenants looking for housing in Maine. It is an on-line registry of available housing <p>People</p> <ul style="list-style-type: none"> - Provide customer service and communications training to staff - Provide staff and contractors with excellent tools to enable service (software, training, education and technical assistance) - Implement a coaching model for staff performance improvement <p>Financial Capacity</p> <ul style="list-style-type: none"> - Support funding shortfalls through administrative fee reserves as needed <p>Resource Optimization</p> <ul style="list-style-type: none"> - Provide incentives for both tenants and landlords to comply with program requirements (Security Deposit+ and Owner Excellence programs) - Continue to look for process improvements <p>Progress in meeting goals in previous 5 year Plan:</p> <ul style="list-style-type: none"> - Provided excellent customer service by hiring staff competent in customer service delivery - Provided 15 homeownership vouchers - Awarded 68 Project-based vouchers to permanent supportive housing projects for homeless and or disabled families - SEMAP score has been high performing - Ensure EHO and Fair Housing by reviewing requests for reasonable accommodations - Continue to administer and coordinate the Family Self Sufficiency Program - Work with partners in providing services and outreach to low-income families via –Community Action Agencies, homeless shelters, domestic violence agencies, landlord associations, 211 site, statewide conferences, and other Public Housing Authorities - Offer MaineHousingSearch.org to tenants looking for housing in Maine. It is an on-line registry of available housing - Used administrative fee reserves to provide security deposits as needed - Provided staff and contractors with excellent tools to enable service (software, training, education and technical assistance) - Adopted additional preferences to apply to applicants. The highest preferences are homeless, victims of domestic violence and a preference for US military veterans. - By 1/1/2015 will set aside vouchers for a pilot program for up to 100 homeless applicants working with shelters under the McKinney-Vento Act - Set aside 20 Non-Elderly Disabled Vouchers to assist families that participate in the Money-follows-the-person grant through the Maine DHHS Homeward Bound program. We have issued 8 as of 7/1/2014. - Published 4 Landlord newsletters per year - Regularly hold Landlord forums and PHA inspector forums - Staff attend industry meetings, conferences, and trainings
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	<p>PHA Plan Update</p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: The PHA Plan Elements are set forth in MaineHousing’s Administrative Plan other than the Operation and Management, and Safety and Crime Prevention provisions which are not applicable because MaineHousing does not own any public housing.</p> <p>MaineHousing’s Administrative Plan was last revised in 2013 when MaineHousing did a complete overhaul of its administrative plan. Proposed changes for adoption by the Board of Commissioners in 2014 include:</p> <p>Compliance with changes in federal law or regulation:</p> <ul style="list-style-type: none"> • Most of the changes for the 2014 revision are made necessary by the publication of the Federal Register notice regarding the Violence Against Women Reauthorization Act of 2013 (VAWA), issued August 6, 2013. The notice stated that the provisions of VAWA 2013 were not self-implementing, and that HUD would issue rules of guidance at a later date. However, on September 30, 2013, HUD sent a letter to PHA executive directors which called for immediate policy development addressing certain provisions of VAWA 2013. • Updates to the list of federally mandate income exclusions as published in the Federal Register • Changes due to the HUD implementation of the 2014 appropriations act <ul style="list-style-type: none"> - The PHA must use the lower of the family’s voucher bedroom size or the unit size when establishing the family’s utility allowance. - Change the definition of extremely low-income family to read: A family whose annual income does not exceed the higher of 30% of area median income of the federal poverty level. • Changes to the policy regarding Project Based Vouchers as published in the Federal Register • Minor modifications for clarification and wording <p>6.0 Substantive Changes:</p> <ul style="list-style-type: none"> • Chapter 4 Applications, Waiting List and Tenant Selection describes HUD and MaineHousing policies for taking applications, managing the waiting list and selecting families for HCV assistance. <ul style="list-style-type: none"> - Each year, MaineHousing will set aside 50% of available federal funding for undedicated vouchers for qualified participants referred by a homeless shelter or a domestic violence service provider. • Chapter 8 Housing Quality Standards (HQS) and Rent Reasonableness. <ul style="list-style-type: none"> - MaineHousing will offer biennial inspections to those landlords participating in the Owners Excellence Program. • Temporary Addendum, Temporary Compliance Provisions. On November 5, 2013, HUD issued Notice PIH 2013-26 that provides four optional methods to reduce administrative burden. PHAs must revise their administrative plan before any of the temporary policies are implemented. MaineHousing is proposing to adopt the following temporary policies: <ul style="list-style-type: none"> - Option 2: Allow households to self-certify assets of \$5,000 or less. This notice allows PHAs to accept self-certification to save administrative time. - Option 4: Allow PHAs to establish a payment standard of not more than 120 percent of the fair market rent (FMR) without HUD approval as a reasonable accommodation. The PHA can approve a payment standard between 111% and 120% of fair market rent without field office approval as a reasonable accommodation. This has the effect of affirmatively furthering fair housing by expanding affordable housing choices for a person with disabilities. <p>In the overhaul of MaineHousing’s Administrative Plan in 2013, MaineHousing addressed the changes required by HUD Notice PIH 2014-20 (HA) to comply with HUD’s rule entitled, Equal Access to Housing HUD Programs Regardless of Sexual Orientation or Gender Identity, 77 FR 5662, effective February 3, 2012. MaineHousing provides equal access regardless of sexual orientation, gender identity or marital status. The 2014 changes include additional cleanup and clarifications with respect to these requirements.</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>353 Water Street, Augusta, Maine 04330 and on our website-www.mainehousing.org</p>
7.0	<p>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i></p> <p>Currently have 40 homeownership vouchers and plan to expand to 60 by 2019 Currently 187 units that are Project Based Vouchers and plan to expand to 370 by 2019 Plan to RFP project based VASH vouchers if these vouchers are not fully utilized</p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.</p>
8.1	<p>Capital Fund Program Annual Statement/Performance and Evaluation Report. 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>
8.2	<p>Capital Fund Program Five-Year Action Plan. 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>
8.3	<p>Capital Fund Financing Program (CFFP).</p> <p><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>Housing Needs. 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>Housing Need Summary: (According to the 2010-2014) MaineHousing Consolidated Plan Major factors affecting housing needs in Maine include</p> <ul style="list-style-type: none"> • 7th oldest housing stock in the nation • Oldest median age of Maine population (43.2 years) • Substantial number of low income renter households – 60% of renter households are at 80% or below the median income • More than 270,000 households in Maine are at or below the median income; over 132,000 of which are below 50% median income. <p>Renters Needing Assistance: The need for affordable rental housing is substantial</p> <ul style="list-style-type: none"> • More than 53,000 renter households are rent burdened (spend more than 35% of income on rent), nearly all of which are low-income • Affordable units needed <ul style="list-style-type: none"> ○ Nearly 56,000 affordable family units. By 2015, the number of family units needed is expected to increase only slightly; ○ 6,300 affordable senior rental units. By 2015, the needed number of senior units is expected to increase to over 9,000 units (a 42% increase). <p>Maine defines renters who need assistance as families and seniors (65 years and older) whose households make 80% of median income or less. They are likely to be rent burdened and spend more than 30% of their income on housing.</p> <p>Early 2011 rental vacancy data for Maine from the US Census Bureau appears to indicate tightening in the rental market. In many communities rents are rising faster than incomes. Demand is also making it increasingly difficult to find an affordable apartment. Increasing rental costs may make it impossible for the average wage earner to afford housing and is one of the reasons for Maine’s increased homelessness.</p> <p>Status of Waiting List (Statewide) MaineHousing has over 11,000 applicants currently on our waiting lists. The waiting list is open to applicants in all counties effective August 26, 2013.</p> <p>The summary of need is as follows: Family-5000 Elderly- 360 Disabled-6260</p> <p>The race and ethnicity of our applicant households is primarily white(99.5%), not hispanic with the exception of Cumberland, York, Penobscot and Androscoggin counties that show 5% Black/African American. MaineHousing has adopted a comprehensive limited English proficiency plan and policy.</p>
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9.1	<p>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.</p> <p>MaineHousing will maximize HCV resources by balancing the cost of rent with the voucher payment standard. We will apply for and/or accept vouchers offered under NOFAs or tenant replacement. Because we have a priority to assist homeless families we are working closely with the State of Maine DHHS, shelter providers and Low Income Tax Credit owners to implement a case management and referral system. We plan to set aside 100 HCV for this program. In addition, we also continue to project-based vouchers in supportive housing for homeless families.</p>
10.0	<p>Additional Information. 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. MaineHousing has met the goals as described in our 5 year plan in the areas of homeownership, project-based assistance, family self-sufficiency, landlord and tenant education and outreach and awards of new vouchers (100 FUP and 90 VASH). Our plan in 2014 to address the goal providing more housing options will be in the form of landlord outreach, focus groups and newsletters to encourage landlord participation. These educational events will help us to improve the program and the quality of housing. This was also a suggestion from our Resident Advisory Board.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification” A “significant amendment” to our plan would be a policy change in our delivery of the program that would have an impact on the applicants we currently serve in the areas we serve. A “substantial deviation/modification” to our plan would be a change in our current policy that would change the number of units that we allow optional program opportunities (project-base, homeownership, FSS, etc)</p>

11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <ul style="list-style-type: none"> (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) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements- NONE (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)
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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
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.