

<b>PHA 5-Year and Annual Plan</b>	<b>U.S. Department of Housing and Urban Development Office of Public and Indian Housing</b>	<b>OMB No. 2577-0226 Expires 4/30/2011</b>
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<b>1.0</b>	<b>PHA Information</b>					
	PHA Name: <b><u>HOUSING AUTHORITY CITY OF KENNEWICK (KHA)</u></b>			PHA Code: <b><u>WA012</u></b>		
	PHA Type: <input type="checkbox"/> Small	<input checked="" type="checkbox"/> High Performing	<input type="checkbox"/> Standard	<input type="checkbox"/> HCV (Section 8)		
	PHA Fiscal Year Beginning: (MM/YYYY): <b><u>07/2010</u></b>					
<b>2.0</b>	<b>Inventory</b> (based on ACC units at time of FY beginning in 1.0 above)					
	Number of PH units: <b><u>190</u></b>		Number of HCV units: <b><u>1,113</u></b>			
<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	
					PH	HCV
	PHA 1:					
	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: <b>**KHA's Mission Is To:</b> <b>Attempt to relieve the shortage of safe, decent and affordable housing available to low-income persons; create opportunities for residents to increase their self-sufficiency and independence; and assure fiscal integrity in all programs we administer.</b>					

**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.

**\*\*KHA "new/upcoming" 5-Year Plan (FY 2010–2014) Goal and Objections:**

**\*Increase Housing Stock:**

**\*\*KHA will continue to identify and address all viable options and resources within its agency capacity to partner with community agencies to expand its housing stock in providing either transitional or long-term affordable housing for special needs population identified as under-served within its community. Barriers that would impede for KHA to not meet its goals and objectives to expand its housing stock would be major items such as but not limited to insufficient funding and viable community partnership constraints.**

**\*\*KHA "current" 5-Year Plan (FY 2005–2009) Goal and Objectives Progress:**

**\*Increase Affordable Housing Stock:**

**\*\*KHA was unable to meet its goal to expand its housing stock to construct 13-16 Section 8 "Project-Based" units for the special needs population of low-income homeless households. In 2009, KHA had temporary suspended the project due to the current economy and recession and was unable to secure funding for the project. KHA will continue with the Goal by identifying and securing appropriate funding and community partnerships for this project.**

**\*Increase Customer Satisfaction:**

**\*\*KHA continues to meet its Limited English Proficiency (LEP) Requirements and ensures meaningful access to and participation in its housing programs & services it provides.**

**\*\*KHA has established a "Satellite Office" in Richland, WA to meet established Section 8 tenants who live in City of Richland area(s) and general public service needs when KHA expanded its Section 8 Programs operations into the City of Richland jurisdictional areas when KHA accepted Richland Housing Authority's Section 8 Programs under a Voluntary Transfer, effective November 1, 2009.**

**\*Increase Assisted Housing Choices :**

**\*\*Implement Public Housing or other homeownership programs.**

**KHA has implemented a small Section 8 Homeownership Program (3 Homeownership Vouchers) when KHA accepted Richland Housing Authority's Section 8 Programs under a Voluntary Transfer, effective November 1, 2009.**

**\*Improve Community Quality of Life and Economic Vitality:**

**\*\*KHA continues to designate its Public Housing Program Keewaydin Plaza development for resident groups who are elderly and/or disabled and its Mitchell Manor development (Section 8 "Project-Based") for disabled tenants.**

**\*Promote Self-Sufficiency and asset development of assisted households:**

**\*\*KHA continues to administer its Section 8 Family Self-Sufficiency (FSS) Program, with participants successfully graduating from the program with eligible escrow accounts. Program tenants are informed of available community resources through the delivery of on-site workshops and/or by referral basis by KHA.**

**\*Ensure Equal Opportunity in Housing for all Americans:**

**\*\* KHA continues to meet its Limited English Proficiency (LEP) Requirements and ensures meaningful access to and participation in its housing programs.**

**\*\*KHA has enhanced the number of its Public Housing Program units located in its Keewaydin Plaza development (7 story hi-rise building for elderly/disabled) by increasing the number of ADA accessible units from seven (7) to thirteen (13), converting the entire first floor units to all ADA accessible units. Unit conversion was funded under KHA's annual Capital Fund Program (CFP) allocations.**

**\*Other Goals and Objectives:**

**\*\*KHA's Public Housing Program – Sunnyslope Homes development (multi-family). KHA successfully completed the project of individual metering of utilities for the 124 units in this housing development.**

6.0	<p><b>PHA Plan Update</b></p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:  <b>**None at this Annual/5-Year Plan Submission Time</b></p> <p>(b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions.  <b>**Agency Plans are available at the main Administration Office of the PHA (Housing Authority)</b></p>
7.0	<p><b>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers.</b> <i>Include statements related to these programs as applicable.</i></p> <p><b>**KHA anticipates to Section 8 Project-Base 13-16 units for the special needs population of low-income homeless households. Will continue to seek viable property acquisition in eligible low-income Census Tract in the City of Kennewick, Benton County, and funding sources at this time for the anticipated project. By project-basing vouchers it will meet project funding purposes, will sustain viability for the low-income housing project, and will not impact Housing Authority's (KHA) Section 8 Voucher capacity.</b></p>
8.0	<p><b>Capital Improvements.</b> Please complete Parts 8.1 through 8.3, as applicable.  <b>**See Attached Forms to KHA's FY 2010 &amp; 5-Year (FY 2010 – 2014) Agency Plans</b></p>
8.1	<p><b>Capital Fund Program Annual Statement/Performance and Evaluation Report.</b> As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i>, form HUD-50075.1, for each current and open CFP grant and CFFP financing.  <b>**See Attached HUD-50075.1 Forms to KHA's FY 2010 &amp; 5-Year (FY 2010 – 2014) Agency Plans - (Performance &amp; Evaluation Reports – P&amp;E FY 2009, P&amp;E FY 2008, P&amp;E FY 2007, P&amp;E FY 2006)</b></p>
8.2	<p><b>Capital Fund Program Five-Year Action Plan.</b> As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i>, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.  <b>**See Attached HUD-5007.2 Form Attached to KHA's FY 2010 &amp; 5-Year (FY 2010-2014) Agency Plans</b></p>
8.3	<p><b>Capital Fund Financing Program (CFFP).</b>  <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.    <b>N/A</b></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.

**\*\*Out of the total percent (100%) of KHA’s waiting lists for its Public Housing Program & Section 8 Programs the following housing needs are identified (data is derived from combining both program waiting lists together):**

**Income: 90% “households who are “extremely low income”(30% of Areas Median Income Guidelines),  
9% “households who are “low-income (30% but 50% of Areas Median Income Guidelines)  
1% “households who are “low-income (50% but 80% of Areas Median Income**

**Household Composition: 91% With children  
5% Elderly  
4% With Disabilities**

**Race/Ethnicity: 61% White  
33% Hispanic/Latino  
4% Black/African American  
2% Asian**

**Needed Bedroom Size Units:  
1 Bd = 24%  
2 Bd = 50%  
3 Bd = 20%  
5 Bd = 6%  
6 (+) = No Need Identified**

**KHA’s operational jurisdictional areas of City of Kennewick and Richland and surrounding areas, including the entire Tri-Cities areas (Cities of Kennewick, Richland & Pasco, Counties of Benton and Franklin) has a steady 1%-2% vacancy rate and resulting in high and increasing rental market rent, making it very difficult for low-income families to obtain affordable units while competing with individuals/households for same units in the rental market.**

**KHA’s Public Housing Program – Current Tenant “Average” Annual Household Incomes:  
Sunnyslope Homes (Multi-Family Development, 1-4 Bd Units) = \$11,500  
Keewaydin Plaza (7-Story Hi-Rise Bld – Elderly/Disabled Development, 1 Bd Units) = \$9,500**

**KHA’s Section 8 Program(s) – Current Tenant “Average” Annual Household Income:  
All Section 8 Program Participants (1-4 Bd Units) = \$13,500**

**This data clearly demonstrates KHA’s current assisted households are extremely-low income and below, many are disabled, elderly and working poor individuals and households.**

**Based on community data and needs (2010-2014 Tri-Cities Consolidated Plan comprised of the Cities of Kennewick, Richland and Pasco, Benton & Franklin Counties and Tri-Cities January 2009 one-day Homeless Point-In-Time Count) “transitional” and “long-term” affordable housing of the special needs population (i.e. homeless individuals/households and who are mentally/chronically mentally ill and who suffer from drug or alcohol addition, veterans, victims of domestic violence, and elderly, etc.) and households with children is greatly needed and identified as under-served and who are individuals/households who are at or below of being extremely-low income.**

9.0

9.1	<p><b>Strategy for Addressing Housing Needs.</b> Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. <b>Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan</b></p> <ol style="list-style-type: none"> <li><b>1. KHA has submitted a Request for Proposal (RFP) under the City of Kennewick’s HUD Neighborhood Stabilization Program (NSP) to be awarded a single family dwelling (house) for its proposed “Homeless &amp; Transitional Supportive Housing Project”, an affordable shared living unit providing up to seven (7) beds strictly allocated to “homeless veterans” who have substance abuse problems and/or Post Traumatic Stress Disorder (PTSD) diagnosis. KHA will partner with the local CBVC, Inc (Columbia Basin Veterans Coalition) as the main service provider who will provide the on-site service components to program participants. Currently, there is no set-a-side bed/units for either transitional or long-term affordable housing for this under-served special needs population of homeless veterans in KHA’s operational jurisdiction of City of Kennewick, Richland and Benton County.</b></li> <li><b>2. KHA anticipates to Section 8 Project-Base 13-16 units for the special needs population of low-income homeless households. Housing Authority is seeking property for acquisition in eligible low-income Census Tract in the City of Kennewick, Benton County, and funding sources at this time for the anticipated project. By project-basing vouchers it will meet project funding purposes, will sustain viability for the low-income housing project, and will not impact Housing Authority’s (KHA) Section 8 Voucher capacity.</b></li> <li><b>3. KHA has been able to extended its operational jurisdiction for its Section 8 Program into the City of Richland and all of Benton County, doubling its program size from serving 536 (to) 975 Section 8 “Tenant-Based” Voucher households and 6 (to) 144 Section 8 “Project-Based” households within its current fiscal year.</b></li> <li><b>4. KHA will continue to identify and address all viable options and resources within its agency capacity to partner with community agencies to expand its housing stock in providing either transitional or long-term affordable housing for the special needs population that is identified within our communities.</b></li> </ol>
10.0	<p><b>Additional Information.</b> Describe the following, as well as any additional information HUD has requested.</p> <ol style="list-style-type: none"> <li>(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.  <b>**KHA’s current 5-Year Plan (FY 2005–2009) Goal was to expand its housing stock to construct 13-16 units Section 8 “Project-Based” units for the special needs population of low-income homeless households. In 2009, KHA had to temporarily suspend the project due to the current economy recession and unable to secure funding for the project. KHA will continue with the Goal by identifying and securing appropriate funding and community partnerships for this project.</b></li> <li>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”  <b>**The HA hereby defines substantial deviation and significant amendment or modification as any change in policy which significantly and substantially alters the Authority’s stated mission and the populations the Authority serves. This would include admissions preferences, demolition or disposition activities and conversion programs. Discretionary or administrative amendments consonant with the Authority’s stated overall mission and basic objectives will not be considered substantial deviations or significant amendments.</b></li> </ol>
11.0	<p><b>Required Submission for HUD Field Office Review.</b> In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. <b>Note:</b> Faxed copies of these documents will not be accepted by the Field Office.</p> <ol style="list-style-type: none"> <li>(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)</li> <li>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</li> <li>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</li> <li>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</li> <li>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</li> <li>(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.</li> <li>(g) Challenged Elements</li> <li>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</li> <li>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</li> </ol>

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.