

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: <u>Solano County Housing Authority</u> PHA Code: <u>CA131</u> 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): <u>7/1/2012</u>												
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: _____ Number of HCV units: <u>251</u>												
3.0	Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" 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 <table border="1"> <tr> <th>PH</th> <th>HCV</th> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> </table>	PH	HCV						
PH	HCV												
	PHA 1:												
	PHA 2:												
	PHA 3:												
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:												
5.2	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.												

PHA Plan Update

(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:

The SCHA updated the following administrative plan policies and submitted the revised plan to HUD since its last Annual Plan submission:

- Reasonable Accommodations-clarified existing policies and procedures
- Voucher Splitting-clarified how the VHA will determine who retains the voucher when a family splits
- Informal Reviews-clarified existing policies and procedures
- Waiting List Preferences-clarified preference definitions
- Subsidy Standards-clarified VHA policy on determining subsidy standards
- Income Calculation-clarified existing policies and procedures
- Tenant Repayment of HAP-revised policies regarding tenant repayment agreements
- Termination of Assistance-clarified existing policies and procedures

1. Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures

The Solano County Housing Authority (SCHA) uses a preference system to determine placement on the Section 8 Waiting List. Applications are selected from the list based on preferences that include residency in Dixon, Rio Vista and the unincorporated areas of Solano County; Working, Elderly or Disabled; Veteran; and Displaced by Local Government Action. Applications with the same preference rating are placed on the list by date and time of application. When funding is available, names are pulled from the list and eligibility is determined based on HUD's guidelines.

2. Financial Resources - Resources available to the SCHA to address identified needs include the Section 8 Program, HUD Family Self-Sufficiency Coordinator grant and HUD Section 8 Homeownership Coordinator grant totaling approximately \$1,871,499 annually.

3. Rent Determination Policies – The SCHA's policy for determining the amount of rental assistance is based on family income and the Voucher Payment Standard. The Payment Standard is currently set at 90% of the area Fair Market Rent (a HUD established gross rent including utilities based on regional conditions). The Payment Standard is evaluated annually to determine if it is adequate.

4. Operations and Management Policies – The SCHA operates the Section 8 Housing Choice Voucher Rental Assistance Program in collaboration with informational, referral and supportive services and programs provided by Dixon Family Services, the Rio Vista Food Ministry, various departments within the City of Vacaville, and other community agencies. All offer resources to economically disadvantaged members of the community such as emergency food assistance, utility payment assistance, and other supportive services.

5. Grievance Procedure – The SCHA has established the following grievance procedures for families participating in the Section 8 HCV Program:

Resolution Conference – The Resolution Conference is the SCHA's attempt to resolve the violations with the participant prior to proposing termination of assistance. Clients are notified of alleged violations of family obligations and an appointment is scheduled with a SCHA representative to meet in an attempt to resolve the allegation.

Informal Hearing – If the issue is not resolved at the Resolution Conference, the participant will be sent a termination letter with an option of requesting an Informal Hearing in accordance with HUD regulations. A Hearing Officer who is not involved with the daily operations of the SCHA conducts the hearing. Both the family and the SCHA present their case to the Hearing Officer. Decisions reached by the Hearing Officer are final.

6. Designated Housing for Elderly and Disabled Families – Not applicable- the SCHA does not administer Public Housing

7. Community Service and Self-Sufficiency - Not applicable- the SCHA does not administer Public Housing

8. Safety and Crime Prevention - Not applicable- the SCHA does not administer Public Housing

9. Pets - Not applicable- the SCHA does not administer Public Housing

10. Civil Rights Certification

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations: A Housing Authority Board Resolution will accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year Annual Plans, that is submitted to the Field Office in hard copy.

11. Fiscal Year Audit

There were no audit findings for fiscal year 2011.

12. Asset Management

Not applicable - The SCHA does not administer Public Housing

13. Violence Against Women Act (VAWA)

The Violence Against Women Act (VAWA) requires the PHA's five-year and annual PHA plans to contain information regarding any goals, activities, objectives, policies, or programs of the PHA that are intended to support or assist victims of domestic violence, dating violence, sexual assault, or stalking. The SCHA's goals, activities, objectives, policies and programs regarding VAWA are summarized as follows:

- *The SCHA will continue maintaining compliance with all applicable legal requirements imposed by VAWA.*
- *The SCHA will continue to develop its Section 8 program policies and procedures as needed to implement the requirements of VAWA.*
- *When terminating or denying assistance, the SCHA will take into consideration if the reason for the criminal activities, lease violations or other violations is a direct result of a family member being the victim of domestic violence.*
- *The SCHA staff has received training on the rights and protections afforded under VAWA and will continue to provide training to new staff.*
- *The SCHA notified all participants upon initial enactment of VAWA by direct mailing, and will notify clients new to the program at the program briefing.*
- *Refer to Office of Family Violence Protection(Solano County).*

(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.

A copy of the PHA Plan (including attachments) is available to the public at the Solano County Housing Authority Office at 40 Eldridge Avenue, Suite 2, Vacaville, CA 95688, Monday through Friday from 8:30 a.m. to 5:00 p.m. excluding Holidays and furloughs (typically the first and third Friday of each month).

6.0

	<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>(a) <u>Hope VI or Mixed Finance Modernization or Development</u> – <i>Not applicable- the SCHA does not administer Public Housing</i></p> <p>(b) <u>Demolition and/or Disposition</u> – <i>Not applicable- the SCHA does not administer Public Housing</i></p> <p>(c) <u>Conversion of Public Housing</u> – <i>Not applicable- the SCHA does not administer Public Housing</i></p> <p>(d) <u>Section 8 Homeownership Program</u> <i>The Section 8 Homeownership Program offers an option for qualified families who receive Section 8 tenant based rental assistance to purchase a home in lieu of renting. The SCHA allows eligible participants in the Section 8 Program the option of participating in the Section 8 Homeownership Program. Currently, there is no maximum number of families allowed to participate in the Homeownership Program. However, the SCHA reserves the right to give preference to families participating in the Family Self-Sufficiency program should the number of participants need to be restricted in the future.</i></p> <p><i>Homeownership assistance may be used to purchase either a one-unit property or a single dwelling unit in a cooperative or condominium that is either already existing or under construction at the time the family is determined eligible for homeownership assistance. A manufactured home and the real property upon which it sits may also be eligible. The SCHA has established relationships with local lenders: Wells Fargo, First Northern Bank, Travis Credit Union, as well as Guild Mortgage who provides low interest CalHFA loans to persons with disabilities. These lenders have committed to providing mortgages to eligible Section 8 Homeownership Program clients in order to purchase eligible properties.</i></p> <p><i>The biggest obstacle faced by clients participating in the Section 8 Homeownership Program continues to be affordability. Although overall home prices have dropped significantly over the last 5 years due to the high number of foreclosures, the current median sales price of \$190,200 is more than most clients can qualify for at this time. The few units available at lower prices are generally condominiums that may be too small for the family size of the clients participating in the Homeownership Program.</i></p> <p><i>The SCHA currently has two successful clients who are receiving monthly homeownership assistance and one participant in the program working towards homeownership. The SCHA believes that the number of successful participants will grow. To help ensure that clients are prepared for homeownership opportunities in the future, the SCHA continues to focus on providing Homeownership Program participants with one-on-one homeownership counseling. The SCHA will undertake the following actions to implement the program this year:</i></p> <ul style="list-style-type: none"> • <i>The SCHA will continue partnerships with local lenders to finance homes for purchase by qualifying Section 8 participants.</i> • <i>The SCHA will continue relationships with Vallejo Neighborhood Housing Services, North Bay Housing Coalition and other local PHAs that provide participants with the support, education, and resources needed to locate a home for purchase, move from renting to homeownership and retain homeownership status.</i> • <i>The SCHA will actively pursue opportunities to establish partnerships with additional lenders and other agencies to increase the availability of financing and add to the buying power of Section 8 Homeownership participants.</i> • <i>The SCHA will not limit the number of families eligible to participate in the Section 8 Homeownership Program.</i> • <i>The SCHA will continue to provide Section 8 Homeownership Program information in Spanish to effectively explain the program's purpose and benefits to Spanish-speaking households.</i> • <i>The SCHA's bilingual technicians will continue to assist in facilitating the transition from renting to homeownership for Spanish-speaking households.</i> • <i>The SCHA will continue to provide assistance to individuals with Limited English Proficiency (LEP) consistent with the SCHA's Language Assistance Plan (LAP). This includes providing assistance in languages other than Spanish through a professional telephone interpreter service.</i> • <i>The SCHA Homeownership Coordinator will continue to meet individually with Section 8 homeownership participants to evaluate their readiness for homeownership and, if needed, develop an action plan to facilitate their transition from renting to homeownership.</i> <p><u>Project-based Vouchers</u> – <i>Not applicable – the SCHA will not be administering a project-based program in 2012-2013.</i></p>
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. . – <i>Not applicable – the SCHA does not administer Public Housing</i>
8.1	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. . – <i>Not applicable – the SCHA does not administer Public Housing</i>
8.2	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. . – <i>Not applicable – the SCHA does not administer Public Housing</i>
8.3	Capital Fund Financing Program (CFFP). <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. . – <i>Not applicable – the SCHA does not administer Public Housing</i>
9.0	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. <i>Not applicable-The SCHA is a High Performer and will submit with 5-year plan, as allowed by regulation.</i>

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. <i>Not applicable-The SCHAs are High Performers and will submit with 5-year plan, as allowed by regulation.</i></p>
10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested. <i>Not applicable-The SCHAs are High Performers and will submit with 5-year plan, as allowed by regulation.</i></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>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</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> <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>

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 there under 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.