

<b>Streamlined Annual PHA Plan</b> <i>(High Performer PHAs)</i>	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires: 02/29/2016
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**Purpose.** 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, goals and objectives for serving the needs of low- income, very low- income, and extremely low- income families

**Applicability.** Form HUD-50075-HP is to be completed annually by **High Performing PHAs**. PHAs that meet the definition of a Standard PHA, Troubled PHA, HCV-Only PHA, Small PHA, or Qualified PHA do not need to submit this form.

**Definitions.**

- (1) **High-Performer PHA** – A PHA that owns or manages more than 550 combined public housing units and housing choice vouchers, and was designated as a high performer on both of the most recent Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP) assessments.
- (2) **Small PHA** - A PHA that is not designated as PHAS or SEMAP troubled, or at risk of being designated as troubled, and that owns or manages less than 250 public housing units and any number of vouchers where the total combined units exceeds 550.
- (3) **Housing Choice Voucher (HCV) Only PHA** - A PHA that administers more than 550 HCVs, was not designated as troubled in its most recent SEMAP assessment, and does not own or manage public housing.
- (4) **Standard PHA** - A PHA that owns or manages 250 or more public housing units and any number of vouchers where the total combined units exceeds 550, and that was designated as a standard performer in the most recent PHAS or SEMAP assessments.
- (5) **Troubled PHA** - A PHA that achieves an overall PHAS or SEMAP score of less than 60 percent.
- (6) **Qualified PHA** - A PHA with 550 or fewer public housing dwelling units and/or housing choice vouchers combined, and is not PHAS or SEMAP troubled.

**Significant Amendment to 2017 Annual Plan**  
 RE: Implementation of Smoke-Free Policy

A.	PHA Information.
A.1	<div style="display: flex; justify-content: space-between;"> <div> <p>PHA Name: <i>Tuscaloosa Housing Authority</i></p> <p>PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performer (<i>THA scored a 90 on the most recent PHAS and 93 on the most recent SEMAP</i>)</p> <p>PHA Plan for Fiscal Year Beginning: (MM/YYYY): <i>04/2017</i></p> <p>PHA Inventory (Based on Annual Contributions Contract (ACC) units at time of FY beginning, above)</p> <p>Number of Public Housing (PH) Units: <i>845</i> Number of Housing Choice Vouchers (HCVs): <i>1321</i></p> <p>Total Combined: <i>2166</i></p> <p>PHA Plan Submission Type: <input type="checkbox"/> Annual Submission <input checked="" type="checkbox"/> Revised Annual Submission</p> <p><b>Availability of Information.</b> In addition to the items listed in this form, PHAs must have the elements listed below readily available to the public. A PHA must identify the specific location(s) where the proposed PHA Plan, PHA Plan Elements, and all information relevant to the public hearing and proposed PHA Plan are available for inspection by the public. Additionally, the PHA must provide information on how the public may reasonably obtain additional information of the PHA policies contained in the standard Annual Plan, but excluded from their streamlined submissions. 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 their official website. PHAs are also encouraged to provide each resident council a copy of their PHA Plans.</p> <p><i>A copy of the updated PHA Plan, and Plan Elements, were made available for public review and comment at all THA AMPs and the Central Office located at 2117 Jack Warner Parkway, Suite 2, Tuscaloosa, Alabama 35401, and on the THA website at <a href="http://www.tuscaloosahousing.org">www.tuscaloosahousing.org</a>.</i></p> <p style="background-color: yellow;"><i>The proposed Significant Amendment regarding the implementation of the Smoke-Free Policy was made available for public review and comment at all THA AMPs and the Central Office located at 2117 Jack Warner Parkway, Suite 2, Tuscaloosa, Alabama 35401, and on the THA website at <a href="http://www.tuscaloosahousing.org">www.tuscaloosahousing.org</a>.</i></p> </div> <div style="text-align: right;">  <p>PHA Code: <i>AL077</i></p> </div> </div>

<input type="checkbox"/> <b>PHA Consortia:</b> (Check box if submitting a Joint PHA Plan and complete table below)					
Participating PHAs	PHA Code	Program(s) in the Consortia	Program(s) not in the Consortia	No. of Units in Each Program	
				PH	HCV
Not Applicable					

**B. Annual Plan Elements**

**B.1 Revision of PHA Plan Elements.**

(a) Have the following PHA Plan elements been revised by the PHA since its last **Annual PHA Plan** submission?

Y N

Statement of Housing Needs and Strategy for Addressing Housing Needs.

Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions. **(New Details Provided Below)**

Financial Resources.

Rent Determination. *(Details Provided Below)*

Homeownership Programs. *(Details Provided Below)*

Safety and Crime Prevention.

Pet Policy.

Substantial Deviation.

Significant Amendment/Modification *(Details Provided Below)*

(b) The PHA must submit its De-concentration Policy for Field Office Review.

*THA's ACOP included the De-concentration Policy which is referenced under Section XIX, page 50-51, of the proposed ACOP.*

(c) If the PHA answered yes for any element, describe the revisions for each element below:

**Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions (See Below):**

- *THA changed the criteria for qualifying applicants for admission. Refer to Section VI-B(2)d of the ACOP for details.*
- *THA changed the protocol for conducting criminal background checks during the admissions process. Refer to Section VII-F(2) of the Admin. Plan for details.*
- *THA changed the protocol for determining unqualified applicants. Refer to Section VII-H(1)a-f of the Admin. Plan for details.*
- *THA changed the protocol for verifying family assets and asset income. Refer to Section VI-D(2)d of the proposed ACOP for details.*
- *THA changed the protocol for conducting Regular (Annual) Recertifications. Refer to Section X-B(1) of the Admin Plan for details.*
- **SITE-BASED WAITING LISTS** – *THA elected to incorporate site-based waiting lists. Refer to Section XII-A of the ACOP for details.*
  - *Site-Based Waiting Lists have been incorporated at the following sites:*
    - *Branscomb*
    - *Crescent East*
    - *Hay Court*
    - *Jackson Apartments (Under Construction)*
    - *McKenzie (Phases I & II)*
    - *Rosedale (Phases I, II, & III)*
  - *Applications will be accepted at each of the above sites.*

○ 24 CFR 903.7(b)(2)(v)(A) Compliance

The information provided in the Table below is an assessment of the changes in racial, ethnic and disability-related tenant composition at each PHA site that may have occurred during the implementation of the site-based waiting list, based upon MTCS occupancy data. More specifically, the Percentage Change is based on the data from 2009, the last year THA incorporated a central waiting list, and an average of years 2010-2016, years THA incorporated site-based waiting lists. It should be noted that many of the sites are mixed-finance developments which have always incorporated a site-based waiting list and therefore have no prior history.

Public Housing Site	% Change (Racial)	% Change (Ethnic)	% Change (Disability-Related)
Branscomb	Less than 1%	Less than 1%	*13% increase (21% to 34%)
Crescent East	Less than 1%	Less than 1%	*14% decrease (42% to 28%)
Hay Court	Less than 1%	Less than 1%	*25% decrease (60% to 35%)
Jackson Apartments (N/A)	Jackson Apartments will be a new mixed-finance development with no prior history.		
McKenzie Phase I (N/A)	McKenzie Phase I is a mixed-finance development which has incorporated a site-based waiting list since its inception.		
McKenzie Phase II (N/A)	McKenzie Phase II is a mixed-finance development which has incorporated a site-based waiting list since its inception.		
Rosedale Phase I (N/A)	Rosedale Phase I is a mixed-finance development which has incorporated a site-based waiting list since its inception.		
Rosedale Phase II (N/A)	Rosedale Phase II is a mixed-finance development which has incorporated a site-based waiting list since its inception.		
Rosedale Phase III (N/A)	Rosedale III is a new mixed-finance development with no prior history.		

\* The percentage changes relative to disability-related tenant composition from 2009 versus 2010-2016 are due to the differences in sample size of a single year and the accumulative fluctuations over the seven year period. Individually, the years are much more comparable.

○ 24 CFR 903.7(b)(2)(v)(B) Compliance

At least every three years the PHA uses independent testers or other means satisfactory to HUD, to assure that the site-based waiting list is not being implemented in a discriminatory manner, and that no patterns or practices of discrimination exist, and providing the results to HUD;

In order to comply with the above, THA will publish an RFQ and will procure the services of an independent firm to conduct the required testing. The results will be provided to HUD in the FY2018 PHA Plan.

- **Smoke-Free Policy:** The Department of Housing and Urban Development (HUD) has implemented a Rule that requires each Public Housing Authority administering public housing to implement a **Smoke-Free Policy** prohibiting lit tobacco products and all smoking in any interior common areas, including but not limited to community rooms, community bathrooms, lobbies, reception areas, hallways, laundry rooms, electrical rooms and closets, storage units or rooms, stairways, offices, elevators and within all living units in public housing, and Public Housing Authority administration office buildings and vehicles (in brief, a **Smoke-Free Policy** for all public housing indoor areas). The Housing Authority is also prohibiting electronic nicotine delivery systems (ENDS) and is including it in this policy's definition of Smoking. This policy extends to all outdoor areas up to twenty five (25) feet from housing (doors/entrances, windows and porches) and administrative office buildings, playgrounds and maintenance facilities.

*HUD is requiring implementation of smoke-free public housing to improve indoor air quality in housing, benefit the health of public housing tenants and public housing staff, reduce the risk of catastrophic fires, and lower overall maintenance costs. This policy applies to all tenants, tenant's families, tenant's guests, visitors, contractors, service personnel, and employees.*

*THA intends to implement its new **Smoke-Free Policy** once HUD approval is received.*

Rent Determination:

- *THA changed the protocol for handling utility reimbursements. Refer to Section XIII-A(2) of the ACOP for details.*
- *THA changed the protocol for determining subsidy bedrooms based on number of bedrooms. Refer to Section VIII-A(7) of the Admin. Plan for details.*

Homeownership Programs: *The city of Tuscaloosa donated a 20-acre parcel of land to THA in West Tuscaloosa for the purpose of developing homeownership units for qualifying first-time homebuyers. The parcel has been subdivided into 56 lots. THA will continue to develop homes as funding becomes available.*

Significant Amendment: *THA is requesting to amend its 2016 Capital Funds Grants which qualifies as a Significant Amendment because the proposed budget revision exceeds \$100,000. **Attachment 6***

B.2

**New Activities.**

(a) Does the PHA intend to undertake any new activities related to the following in the PHA's current Fiscal Year?

- Y N
- Hope VI or Choice Neighborhoods.
  - Mixed Finance Modernization or Development. (*Details Provided Below*)
  - Demolition and/or Disposition.
  - Conversion of Public Housing to Tenant Based Assistance.
  - Conversion of Public Housing to Project-Based Assistance under RAD.
  - Project Based Vouchers.
  - Units with Approved Vacancies for Modernization.
  - Other Capital Grant Programs (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants).

(b) If any of these activities are planned for the current Fiscal Year, describe the activities. For new demolition activities, describe any public housing development or portion thereof, owned by the PHA for which the PHA has applied or will apply for demolition and/or disposition approval under section 18 of the 1937 Act under the separate demolition/disposition approval process. If using Project-Based Vouchers (PBVs), provide the projected number of project based units and general locations, and describe how project basing would be consistent with the PHA Plan.

Mixed-Finance Modernization or Development (Delaware Jackson Replacement): *THA plans to replace the 60 remaining ACC units lost as a result of the disposition of Delaware Jackson Apartments. Once a suitable property has been identified, THA will submit a request for Site & Neighborhood approval in advance of a 9% low-income housing tax credit application submission to the Alabama Housing Finance Authority. Provided Site & Neighborhood approval is received and a 9% tax credit award is allocated, THA and its developer partner will proceed towards a mixed-finance closing in late 2017/ early 2018. THA intends to use Capital Funds (see Attachments 4 & 6) and/or RHF/DDTF Funds and the remaining Delaware Jackson proceeds to fund this development.*

Mixed-Finance Modernization or Development (Robertson Tower Replacement): *THA received HUD approval for the disposition of Robertson Tower. The property was advertised pursuant to the approval and THA is currently under contract with the highest responsible bidder. Per the Agreement, the sale is scheduled to be finalized in the Spring of 2017. Proceeds from the sale will go towards the development of additional affordable housing units, as outlined in the HUD Special Applications Center disposition approval.*

**B.3 Progress Report.**

Provide a description of the PHA's progress in meeting its Mission and Goals described in the PHA 5-Year Plan.

*THA's mission is the same as that of the Department of Housing and Urban Development.*

*HUD's mission is to create strong, sustainable, inclusive communities and quality affordable homes for all. HUD is working to strengthen the housing market to bolster the economy and protect consumers; meet the need for quality affordable rental homes; utilize housing as a platform for improving quality of life; build inclusive and sustainable communities free from discrimination, and transform the way HUD does business.*

*To fulfill this MISSION, THA committed to the following:*

**1.) To recognize our residents as our customers**

*Progress: Residents are recognized as our customers through the effective implementation of the Authority's policies including the ACOP, De-concentration Policy, Pet Policy, Reasonable Accommodations Policy, etc. The Authority also recognizes its residents through community meetings to obtain feedback regarding proposed physical improvements, changes in policies and procedures, and other related issues that directly affect the residents.*

**2.) To improve management and service delivery efforts through effective and efficient management of the THA resources**

*Progress: Improvements in management and service delivery are outlined in the progress for the PHA Five-Year Plan Goals listed below. Moreover, the Authority will continue to implement best practices to strengthen its management of resources by reducing vacancy turn-around time, promptly responding to maintenance service requests, upgrading housing communities as resources are made available.*

**3.) To seek problem-solving partnerships with residents, community and government leadership**

*Progress: The Authority has established partnerships with local faith based organizations to provide social services and address problems that arise within its communities. The Authority strongly promotes and supports the resident council in each community.*

*Partnerships have been formed with local government officials as evidenced by the transfer of 20 acres of land to the Authority for continuation of its homeownership program. Additionally, the city has supported the Authority's re-development of its housing communities through mixed-income housing by providing funds for infrastructure improvements and other development needs. These funds are provided under the CDBG and HOME programs.*

*Additionally, the city has partnered with the Authority through the funding of a Section 8 set-aside program targeted to families who are expected to transition to the private market after 2 years of assistance.*

*Local law enforcement, city and county, works closely with the Authority's staff in addressing crime in each community.*

*A list of THA's GOALS, as described in the PHA 5-Year Plan, and progress made to date:*

**Goal 1.) Achieve and maintain an average Section 8 Leasing rate of 98% or above**

*Progress: The Average Section 8 Leasing Rate is currently 96.73%. This rate is determined by the information THA submits into the HUD PIC system. THA is working to correct PIC errors in a timely manner moving forward.*

**Goal 2.) Maintain Annual Tenant Accounts Receivable at or below 5% of total charges**

*Progress: Annual Tenant Accounts Receivable is currently at 5.36%. THA is working on a Rent Collection Procedure which will improve rent collection.*

**Goal 3.) Complete routine Work Orders within 48 hours**

*Progress: Routine work orders were completed within 48 hours. Staff will continue to monitor work orders to ensure timely delivery of services.*

**Goal 4.) Start Construction of 60 Units of affordable housing (Phase I replacement units for Delaware Jackson)**

*Progress: THA's developer partner began construction on Jackson Apartments in September, 2016. The project will be completed prior to December 31, 2017.*

	<p><b>Goal 5.) <u>Obtain HUD site approval for construction of 60 units of affordable housing (Phase II replacement units for Delaware Jackson)</u></b>  Progress: THA has identified a property which appears to meet the HUD Site &amp; Neighborhood Standards criteria. THA has submitted a request for Site &amp; Neighborhood approval.</p> <p><b>Goal 6.) <u>Reduce public housing average vacancy turnaround to 10 days or fewer</u></b>  Progress: The current average vacancy turnaround is 20 days. Moving forward, property managers will be required to process two applicants per unit, purge the waiting list on a regular basis, and encourage prospective tenants to contact the utility companies in advance to ensure their ability to obtain services. In addition, THA staff will continue to monitor the six-day turnaround time for staff and contractors.</p> <p><b>Goal 7.) <u>Meet Capital Funds Program obligation and expenditure deadlines</u></b>  Progress: THA has met all CFP obligation and expenditure deadlines.</p> <p><b>Goal 8.) <u>Acquire a site for construction of single family affordable homes</u></b>  Progress: The city of Tuscaloosa donated a 20-acre parcel of land to THA for the purpose of developing single-family homes for first-time homebuyers. Construction has begun on the first phase which will include five homes to be sold to qualifying families.</p> <p><b>Goal 9.) <u>Apply for additional Section 8 Vouchers (Special Purpose Vouchers)</u></b>  Progress: THA applied for Project-Based Vouchers in March, 2016, and HUD VASH Vouchers in April, 2016.</p> <p><b>Goal 10.) <u>Complete the disposition of Robertson Tower</u></b>  Progress: THA received HUD approval for the disposition of Robertson Tower and Robertson Tower was disposed of via Open Public Bid. Proceeds from the sale will go towards the development of additional affordable housing units, as outlined in the disposition approval.</p> <p><b>Goal 11.) <u>Maintain SEMAP High Performer designation</u></b>  Progress: THA has maintained SEMAP High Performer designation.</p> <p><b>Goal 12.) <u>Maintain PHAS High Performer designation</u></b>  Progress: THA has maintained PHAS High Performer designation.</p> <p><b>Goal 13.) <u>Improve REAC physical inspection score to 75 or above</u></b>  Progress: THA has improved the REAC physical inspection score to 88%.</p> <p><b>Goal 14.) <u>Achieve Family Self-Sufficiency (FSS) Program goals</u></b>  Progress: THA has achieved all FSS Program goals.</p> <p><b>Goal 15.) <u>Achieve Resident Opportunity for Self-Sufficiency (ROSS) Program goals</u></b>  Progress: THA has achieved all ROSS Program goals.</p>
<p><b>B.4.</b></p>	<p><b>Most Recent Fiscal Year Audit.</b></p> <p>(a) Were there any findings in the most recent FY Audit?</p> <p>Y N  <input type="checkbox"/> <input checked="" type="checkbox"/></p> <p>(b) If yes, please describe:</p>
<p><b>Other Document and/or Certification Requirements.</b></p>	
<p><b>C.1</b></p>	<p><b>Certification Listing Policies and Programs that the PHA has Revised since Submission of its Last Annual Plan</b></p> <p><u>Form 50077-ST-HCV-HP, Certification of Compliance with PHA Plans and Related Regulations</u>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p> <p><i>Form 50077-ST-HCV-HP has been included as an <b>Attachment 1.</b></i></p>

C.2	<p><b>Civil Rights Certification.</b></p> <p>Form 50077-ST-HCV-HP, <i>Certification of Compliance with PHA Plans and Related Regulations</i>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p> <p>Form 50077-ST-HCV-HP has been included as an <b><u>Attachment 1.</u></b></p>
C.3	<p><b>Resident Advisory Board (RAB) Comments.</b></p> <p>(a) Did the RAB(s) provide comments to the PHA Plan?</p> <p>Y   N  <input checked="" type="checkbox"/>   <input type="checkbox"/></p> <p>If yes, comments must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the RAB recommendations and the decisions made on these recommendations.</p> <p>THA met with the RAB on November 9, 2016 to discuss the Draft FY2017 PHA Plan.</p> <p>RAB comments and the applicable THA responses have been included as an <b><u>Attachment 2.</u></b></p> <p>THA met with the RAB on _____ to discuss the proposed Smoke-Free Policy/ Significant Amendment.</p> <p>RAB comments and the applicable THA responses have been included as an <b><u>Attachment 7.</u></b></p>
C.4	<p><b>Certification by State or Local Officials.</b></p> <p>Form HUD 50077-SL, <i>Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan</i>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p> <p>Form 50077-SL has been included as an <b><u>Attachment 3.</u></b></p> <p>An updated Form 50077-SL has been included as an <b><u>Attachment 8.</u></b></p>
D	<p><b>Statement of Capital Improvements.</b> Required in all years for all PHAs completing this form that administer public housing and receive funding from the Capital Fund Program (CFP).</p> <p>A Statement of Capital Improvements has been included as an <b><u>Attachment 4.</u></b></p>
D.1	<p><b>Capital Improvements.</b> Include a reference here to the most recent HUD-approved 5-Year Action Plan (HUD-50075.2) and the date that it was approved by HUD.</p> <p>The FY2016 CFP 5-Year Action Plan was approved by HUD on July 1, 2016.</p> <p>The FY2016 CFP HUD Approval Letter has been included as an <b><u>Attachment 5.</u></b></p> <p>THA is requesting to amend its 2016 Capital Fund Grants as proposed in <b><u>Attachment 6.</u></b></p>

# Instructions for Preparation of Form HUD-50075-HP Annual Plan for High Performing PHAs

## A. PHA Information. All PHAs must complete this section.

**A.1** Include the full **PHA Name**, **PHA Code**, **PHA Type**, **PHA Fiscal Year Beginning** (MM/YYYY), **PHA Inventory**, **Number of Public Housing Units and or Housing Choice Vouchers (HCVs)**, **PHA Plan Submission Type**, and the **Availability of Information**, specific location(s) of all information relevant to the public hearing and proposed PHA Plan. ([24 CFR §903.23\(4\)\(e\)](#))

**PHA Consortia:** Check box if submitting a Joint PHA Plan and complete the table. ([24 CFR §943.128\(a\)](#))

## B. Annual Plan.

### B.1 Revision of PHA Plan Elements. PHAs must:

Identify specifically which plan elements listed below that have been revised by the PHA. To specify which elements have been revised, mark the “yes” box. If an element has not been revised, mark “no.”

**Statement of Housing Needs and Strategy for Addressing Housing Needs.** Provide a statement addressing the housing needs of low-income, very low-income and extremely low-income families and a brief description of the PHA’s strategy for addressing the housing needs of families who reside in the jurisdiction served by the PHA. The statement must identify the housing needs of (i) families with incomes below 30 percent of area median income (extremely low-income), (ii) elderly families and families with disabilities, and (iii) households of various races and ethnic groups residing in the jurisdiction or on the waiting list based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. For years in which the PHA’s 5-Year PHA Plan is also due, this information must be included only to the extent it pertains to the housing needs of families that are on the PHA’s public housing and Section 8 tenant-based assistance waiting lists. ([24 CFR §903.7\(a\)\(1\)](#)) and 24 CFR §903.12(b). 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. For years in which the PHA’s 5-Year PHA Plan is also due, this information must be included only to the extent it pertains to the housing needs of families that are on the PHA’s public housing and Section 8 tenant-based assistance waiting lists. ([24 CFR §903.7\(a\)\(2\)\(ii\)](#)) and 24 CFR §903.12(b).

**Deconcentration and Other Policies that Govern Eligibility, Selection and Admissions.** Describe the PHA’s admissions policy for deconcentration of poverty and income mixing of lower-income families in public housing. The Deconcentration Policy must describe the PHA’s policy for bringing higher income tenants into lower income developments and lower income tenants into higher income developments. The deconcentration requirements apply to general occupancy and family public housing developments. Refer to 24 CFR §903.2(b)(2) for developments not subject to deconcentration of poverty and income mixing requirements. ([24 CFR §903.7\(b\)](#)) Describe the PHA’s procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists. ([24 CFR §903.7\(b\)](#)) A statement of the PHA’s policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV. ([24 CFR §903.7\(b\)](#)) Describe the unit assignment policies for public housing. ([24 CFR §903.7\(b\)](#))

**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. ([24 CFR §903.7\(c\)](#))

**Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units, including applicable public housing flat rents, minimum rents, voucher family rent contributions, and payment standard policies. ([24 CFR §903.7\(d\)](#))

**Homeownership Programs.** A description of any homeownership programs (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval. For years in which the PHA’s 5-Year PHA Plan is also due, this information must be included only to the extent that the PHA participates in homeownership programs under section 8(y) of the 1937 Act. ([24 CFR §903.7\(k\)](#)) and 24 CFR §903.12(b).

**Safety and Crime Prevention (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. ([24 CFR §903.7\(m\)\(5\)](#))

**Pet Policy.** Describe the PHA’s policies and requirements pertaining to the ownership of pets in public housing. ([24 CFR §903.7\(n\)](#))

**Substantial Deviation.** PHA must provide its criteria for determining a “substantial deviation” to its 5-Year Plan. ([24 CFR §903.7\(r\)\(2\)\(i\)](#))

**Significant Amendment/Modification.** PHA must provide its criteria for determining a “Significant Amendment or Modification” to its 5-Year and Annual Plan. Should the PHA fail to define ‘significant amendment/modification’, HUD will consider the following to be ‘significant amendments or modifications’: a) changes to rent or admissions policies or organization of the waiting list; b) additions of non-emergency public housing CFP work items (items not included in the current CFP Annual Statement or CFP 5-Year Action Plan); or c) any change with regard to demolition or disposition, designation, homeownership programs or conversion activities. See guidance on HUD’s website at: [Notice PIH 1999-51](#). ([24 CFR §903.7\(r\)\(2\)\(ii\)](#))

If any boxes are marked “yes”, describe the revision(s) to those element(s) in the space provided.

PHAs must submit a Deconcentration Policy for Field Office review. For additional guidance on what a PHA must do to deconcentrate poverty in its development and comply with fair housing requirements, see [24 CFR 903.2](#). ([24 CFR §903.23\(b\)](#))



**B.2 New Activities.** If the PHA intends to undertake any new activities related to these elements or discretionary policies in the current Fiscal Year, mark “yes” for those elements, and describe the activities to be undertaken in the space provided. If the PHA does not plan to undertake these activities, mark “no.”

**Hope VI.** 1) A description of any housing (including project name, number (if known) and unit count) for which the PHA will apply for HOPE VI; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI is a separate process. See guidance on HUD’s website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>. (Notice PIH 2010-30)

**Mixed Finance Modernization or Development.** 1) A description of any housing (including name, project number (if known) and unit count) for which the PHA will apply for Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for 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>. (Notice PIH 2010-30)

**Demolition and/or Disposition.** Describe any public housing projects owned by the PHA and subject to ACCs (including name, 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. This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed. 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). (24 CFR §903.7(h))

**Conversion of Public Housing.** Describe any public housing building(s) (including project number and unit count) owned by the PHA that the PHA is required to convert or plans to voluntarily convert to tenant-based assistance; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received 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>. (24 CFR §903.7(j))

**Project-Based Vouchers.** Describe any plans to use HCVs for new project-based vouchers. (24 CFR §983.57(b)(1)) If using project-based vouchers, provide the projected number of project-based units and general locations, and describe how project-basing would be consistent with the PHA Plan.

**Other Capital Grant Programs** (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants).

**B.3 Progress Report.** For all Annual Plans following submission of the first Annual Plan, a PHA must include a brief statement of the PHA’s progress in meeting the mission and goals described in the 5-Year PHA Plan. (24 CFR §903.7(r)(1))

**B.4 Most Recent Fiscal Year Audit.** If the results of the most recent fiscal year audit for the PHA included any findings, mark “yes” and describe those findings in the space provided. (24 CFR §903.7(p))

#### C. Other Document and/or Certification Requirements

**C.1 Certification Listing Policies and Programs that the PHA has Revised since Submission of its Last Annual Plan.** Provide a certification that the following plan elements have been revised, provided to the RAB for comment before implementation, approved by the PHA board, and made available for review and inspection by the public. This requirement is satisfied by completing and submitting form HUD-50077 SM-HP.

**C.2 Civil Rights Certification.** Form HUD-50077 SM-HP, *PHA Certifications of Compliance with the PHA Plans and Related Regulation*, must be submitted by the PHA as an electronic attachment to the PHA Plan. This includes all certifications relating to Civil Rights and related regulations. A PHA will be considered in compliance with the 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. (24 CFR §903.7(o))

**C.3 Resident Advisory Board (RAB) comments.** If the RAB provided comments to the annual plan, mark “yes,” submit the comments as an attachment to the Plan and describe the analysis of the comments and the PHA’s decision made on these recommendations. (24 CFR §903.13(c), 24 CFR §903.19)

**C.4 Certification by State or Local Officials.** Form HUD-50077-SL, *Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan*, must be submitted by the PHA as an electronic attachment to the PHA Plan. (24 CFR §903.15)

**D. Statement of Capital Improvements.** PHAs that receive funding from the Capital Fund Program (CFP) must complete this section. (24 CFR 903.7 (g))

**D.1 Capital Improvements.** In order to comply with this requirement, the PHA must reference the most recent HUD approved Capital Fund 5 Year Action Plan. PHAs can reference the form by including the following language in Section C. 8.0 of the PHA Plan Template: “See HUD Form 50075.2 approved by HUD on XX/XX/XXXX.”

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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 the 5-Year and Annual PHA Plan. 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, goals and objectives for serving the needs of low- income, very low- income, and extremely low- income families.

Public reporting burden for this information collection is estimated to average 16.64 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.