

Department
of Housing
and Urban
Development
—
PIH
Indianapolis
Field Office

PHA Plans —
Annual and 5-Year Plans

February 7, 2024



Housekeeping

- Today's meeting is targeted to PHA staff who complete and submit PHA Plans
- This meeting will last approximately 1 hour followed by a Q&A Session
- Due to the number of attendees, all participants are muted
- Please keep your microphone muted until the end of the meeting for the Q&A Session
- Please enter any questions into the chat, and we will try to address as many as possible



Important Notes Before We Begin

- HUD FMD recently held trainings for the submission of the 5-Year PHA Plan and Annual PHA Plan in the Public Housing Portal
- The PHA Plan testing module in the Public Housing Portal is open until March 29, 2024 (*all test files will be deleted from the system at that time*)
- HUD plans to deploy the PHA 5-Year and Annual Plan modules on 5/3/2024
- Fiscal Year Beginning (FYB) 10/1/2024 PHAs are expected to submit their Annual Plans (and 5-Year Plans, if applicable) by 7/17/2024 for HUD's review
- PHAs with FYB 1/1/2024, 4/1/2024 and 7/1/2024 will submit the required PHA Plans as indicated in this training session
- Today's training session covers the PHA Plan forms and the required information to submit to the Public Housing Portal.
- Please refer to the emails from HUD FMD for information about the Public Housing Portal and PHA Plan submission process.

PHA Required Plans

PHA Plan – 5-Year and Annual

Non-Qualified vs Qualified PHA

PHA Plan Templates and Content

PHA Plan Development

PHA Plan Submission and Approval

Moving to Work (MTW) Agencies

Q&A Session

Agenda

PHA Required Plans – Overview

HUD requires PHAs to have several different plans –

- HCV Administrative Plan
- PH ACOP – Admissions and Continued Occupancy Policy
- Capital Fund Plan
- PHA Plan

HCV Administrative Plan

HCV Administrative Plan

24 CFR 982.54 PHAs must adopt a written Administrative Plan that establishes local policies for administration of the HCV program in accordance with HUD regulations and requirements.

The Plan states PHA policy on matters for which the PHA has discretion to establish local policies.

Every PHA that administers an HCV program must have an Administrative Plan and keep it current.

The Plan must be approved and adopted by the Board and used to guide the operations of the HCV program.

HCV Administrative Plan Contents

Selection and admission of applicants from the wait list

Issuance and denial of vouchers

Any special purpose vouchers

Occupancy policies

Landlord recruitment, disapproval, information sharing, and related policies

Subsidy/payment standards and rent reasonableness

Grievance and hearing processes

Recertifications

Administrative fee setting

HQS – NSPIRE

FMRs

Violence Against Women Act (VAWA)

HCV Administrative Plan

The HCV Administrative Plan is a supporting document to the PHA Plan.

The HCV Administrative Plan must be available for public review.

The PHA must revise the Administrative Plan if needed to comply with HUD requirements.

Public Housing Administrative Plan - ACOP

Public Housing ACOP – Admissions and Continued Occupancy Policy



PHA's written policies and procedures to operate their public housing program within federal law and regulations.



Required by HUD.



Must be in accordance with HUD regulations and requirements.



Every PHA must have one and keep it current.



Must be made available to the public for review at any time and open for public comment when changed.



Adopted by Board and used to guide the operations of the public housing and related programs.

Public Housing ACOP Contents

Selection and admission of applicants from PHA waiting list.

Screening of applicants for tenancy.

Occupancy standards and policies.

Assisting families claiming illegal discrimination.

Informal review/grievance hearing procedures.

Rent determinations.

Procedural guidelines.

Violence Against Women Act (VAWA).

Public Housing ACOP



The ACOP is either provided or at least certified to in Annual PHA Plan.



The Plan must be available for public review.



The PHA must revise the ACOP if needed to comply with HUD requirements.

Capital Fund 5-Year Action Plan

Capital Fund 5-Year Action Plan

Describes the PHA's 5-year plans for Capital Fund activities and includes a budget for each year in the 5-year Action Plan.

Developed from a Physical Needs Assessment (PNA), Energy Audit, and outreach meetings with PH residents and Resident Advisory Boards (RABs).

Details specific work to be performed each year to bring each Asset Management Project (AMP) up to applicable modernization and energy conservation standards.

PHAs must submit a Capital Fund 5-Year Action Plan to receive Capital Funds.

Board approval is required for Capital Fund 5-Year Action Plans.

Capital Fund 5-Year Action Plan

The Capital Fund budgets must be submitted along with annual Capital Fund Amendment and supporting documents in EPIC.

PHAs can have either rolling or fixed Capital Fund 5-Year Action Plans.

- Rolling 5YAPs cover a rolling, five-year period – a new plan is created every year, and the current year becomes year one of each new rolling year.
- Fixed 5YAPs cover a static, five-year period – the same plan is used for 5 years even after the first year has passed and a new plan is created when the PHA completes the 5th year of the current plan.
- *Reminder: A PHA must complete the current FIXED 5-Year Action Plan before converting to a ROLLING 5-Year Action Plan.*

PHAs must include a statement of capital improvement needs as part of the PHA Annual Plan as well as include 5-Year Plans covering large capital items.

Capital Fund 5-Year Action Plan



PHAs must include a statement of capital fund needs as part of the PHA Annual Plan as well as include 5-Year Plans covering large capital items.



PHAs must submit 5-Year Action Plans into EPIC for HUD Field Office approval.



The PHA must revise the 5-Year Action Plan as needed to reflect changes.

PHA Plan – 5-Year and Annual

PHA Plan Overview

Comprehensive Guide

- Local policies, programs, operations, strategies for meeting local housing needs and goals

Two Types

- Annual and 5-Year Plans

Goal

- Community participation in decisions directly impacting PH and HCV programs, transparency, and local accountability

Resident Advisory Boards (RAB)

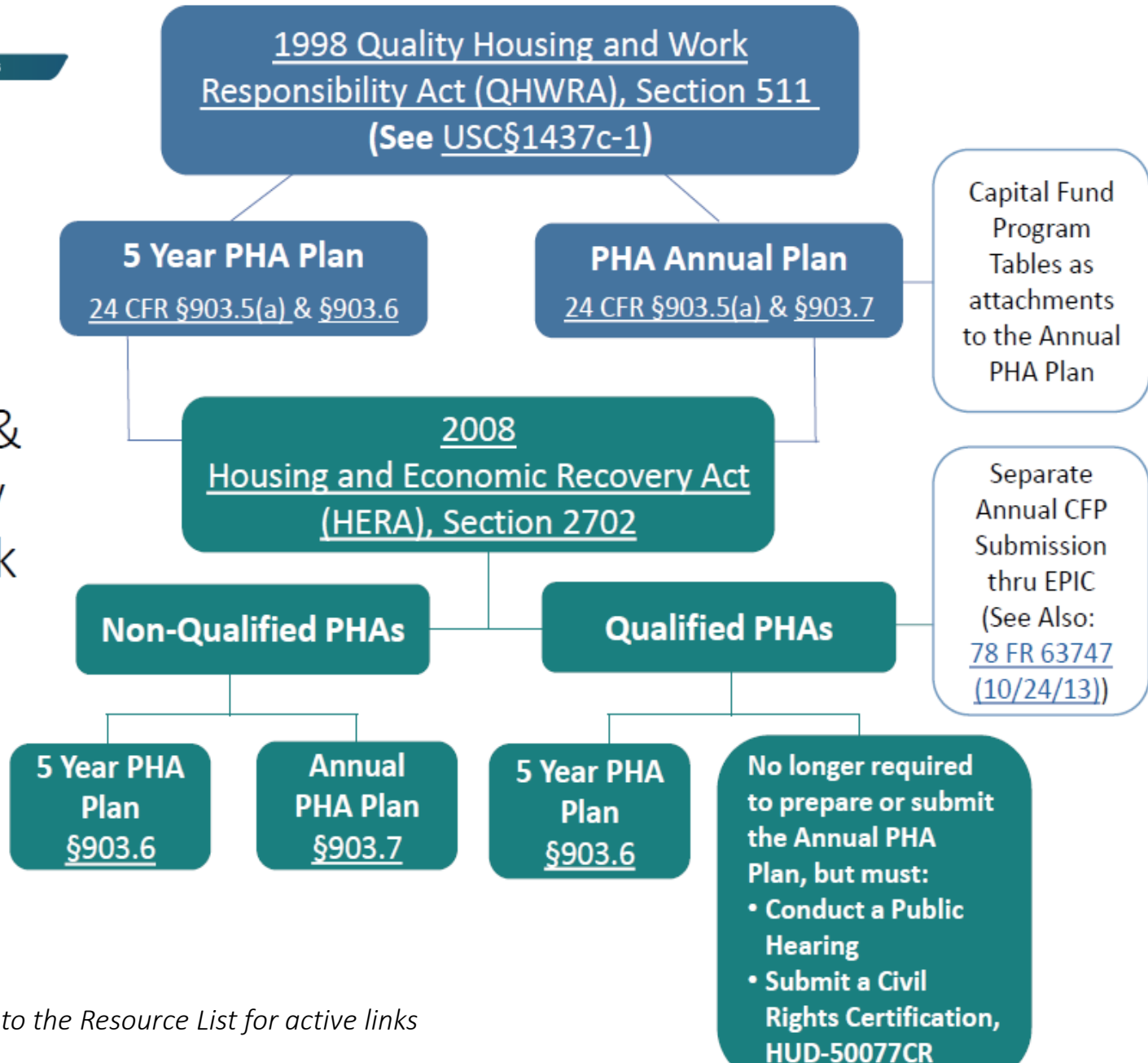
- Key component, ensures PH resident and HCV family participation

PHA/HUD Roles

- PHA completes the PHA Plans, submits to HUD for review/approval



Statutory & Regulatory Framework



Note: Please refer to the Resource List for active links

Not the Same:

PHA Plans & Capital Fund Plans

- Prior to the Capital Fund Program (CFP) Final Rule, Capital Fund budgets were part of the notice and approval process for the PHA Plan, including the 5-Year Plan and Annual Plan.
- Capital Fund Plan submission requirements were “decoupled” from the PHA Plan process by [PIH Notice 2011-24](#) for all PHAs.
- Capital Fund budgets are now submitted along with annual CFP Amendment and supporting documents in EPIC.
- Note: The two hearings required for each type of plan (the PHA Plan and the 5-Year Action Plan) can still be held together for the purposes of RAB consultation and fulfilling the notice and comment period or can be held separately.

Not the Same:

PHA Plans & Capital Fund Plans

- As a result of the decoupling, there is no distinction between Qualified and Non-Qualified PHAs under the Capital Fund Program. All PHAs have the same annual submission requirements for the Capital Fund Program.
- [24 CFR §903.7\(g\)](#) still requires PHAs to include a statement of capital improvement needs as part of the PHA Annual Plan as well as include 5-Year Plans covering large capital items.
- To satisfy this requirement on the template -PHAs should state: See the CFP 5-Year Action Plan as approved in EPIC on XX/XX/XXXX.
- Refer to Section 6 of [PIH Notice 2015-18](#) for the Statement of Capital Improvements Needed.

Annual PHA Plan vs 5-Year PHA Plan

Annual Plan (Detailed)	5-Year Plan (Big Picture)
<ul style="list-style-type: none">• The Annual PHA Plan provides details about:<ul style="list-style-type: none">• The agency's immediate operations, program participants, policies, and• The agency's strategy for handling operational concerns, residents' concerns and needs, and• Programs and services for the upcoming fiscal year.	<ul style="list-style-type: none">• The 5-year PHA Plan describes the mission of the agency and the agency's long-range goals and objectives for achieving its mission over the subsequent 5 years.
<ul style="list-style-type: none">• Non-qualified PHAs submit Annual Plans	<ul style="list-style-type: none">• All agencies submit a 5-Year Plan

Non-
Qualified vs
Qualified
PHA

Non-Qualified vs Qualified PHAs

Qualified PHAs	Non-Qualified
<ul style="list-style-type: none">• ≤ 550 Combined Public Housing Units and Housing Choice Vouchers	<ul style="list-style-type: none">• > 550 Combined Public Housing Units and Housing Choice Vouchers
<ul style="list-style-type: none">• Not designated as “Troubled” under PHAS during prior 12 months• Does not have a failing SEMAP score during the prior 12 months	<ul style="list-style-type: none">• Designated Troubled in PHAS or SEMAP
<ul style="list-style-type: none">• Exempt from Annual Plan Submission*	<ul style="list-style-type: none">• Must submit an Annual Plan

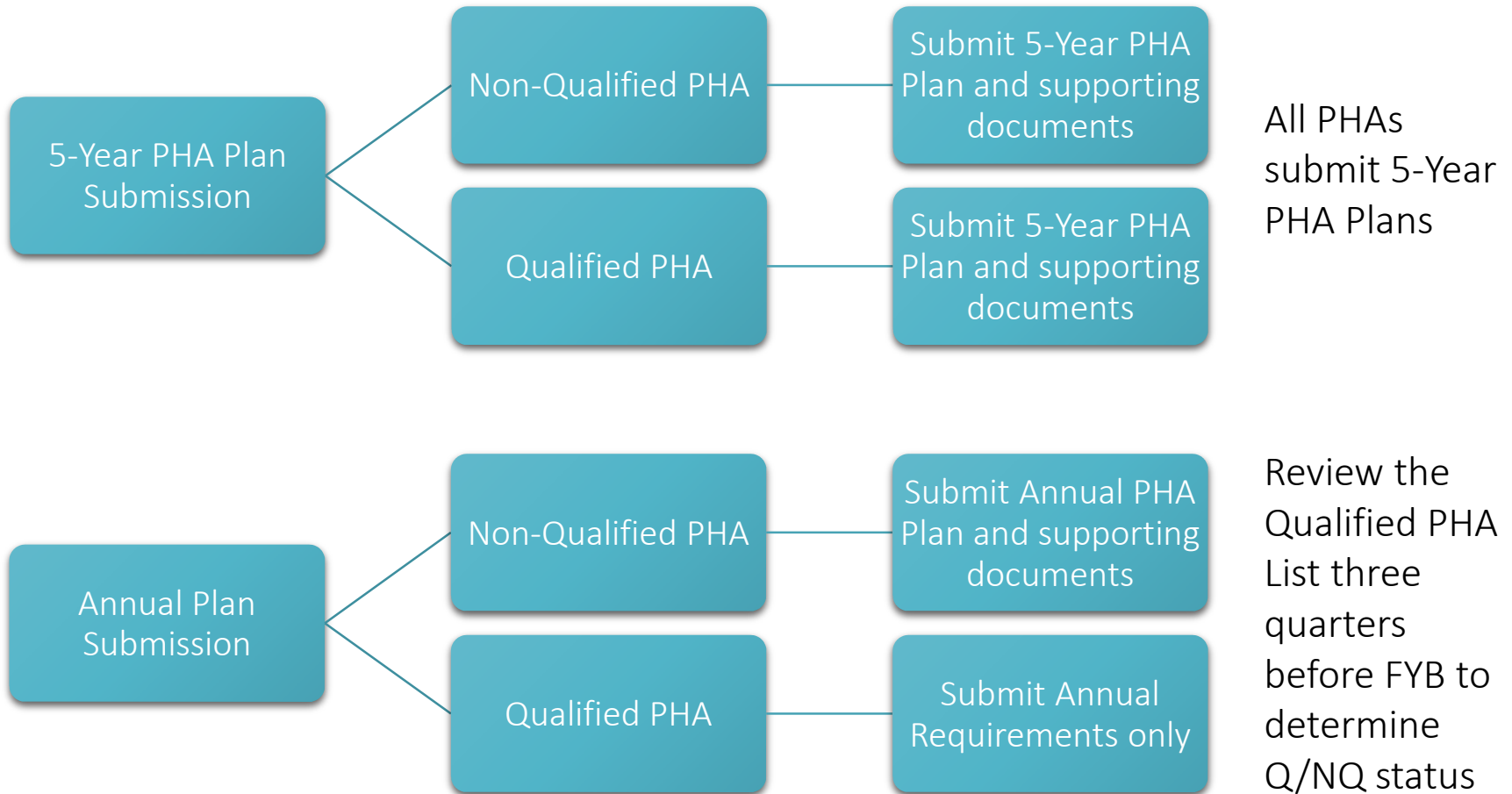
**Even though Qualified agencies are exempt from completing the Annual PHA Plan, they are still required to annually conduct a hearing to discuss any changes to the goals, objectives, and policies of the agency, and invite public comment. The Qualified Agencies are required to comply with the 45-day public comment period. (Section 2702 of [HERA](#))*

Qualified PHAs

- The Qualified PHA list is updated [here](#) on a quarterly basis (3/31, 6/30, 9/30, 12/31).
- HUD posts updates to the list three quarters in advance of a PHA's fiscal year beginning (FYB)
- A PHA is exempt from submitting an Annual PHA Plan in the upcoming fiscal year if on the Qualified PHA list
- A PHA is required to submit an Annual PHA Plan in the upcoming fiscal year if not on Qualified PHA list

Fiscal Year Beginning (FYB)	Example	Applicable Qualified Agencies List Posting Date	Example
January 1st	1/1/2024	April 1st	4/1/2023
April 1st	4/1/2024	July 1st	7/1/2023
July 1st	7/1/2024	October 1st	10/1/2023
October 1st	10/1/2024	January 1st	1/1/2024

What Submission is Required?



Qualified PHA Annual Requirements

Although Qualified PHAs are not required to submit an annual plan, qualified PHAs must carry out the following annual requirements:

1) Annual Public Hearing

- Each PHA must annually hold a public hearing regarding any changes to the goals, objectives, and policies and invite public comment
- The PHA must consult with and consider the recommendations of the resident advisory board(s) at the public hearing

2) Civil Rights Certification

- Submit no later than 75 days prior to the beginning of the PHA's fiscal year
- Qualified PHAs must use form [HUD-50077-CR](#) for the Civil Rights Certification

PHA Plan Templates and Elements

PHA Plan Templates

5-Year Plan Template (MS-Word)

[HUD-50075-5Y](#) – All PHAs

The 5-Year Plan Template should be submitted by all PHAs (Standard, Troubled, Small, High Performing, Section 8 only, and Qualified) once every 5 fiscal years.

Annual Plan Templates (MS-Word)

[HUD-50075-ST](#) – Standard/Troubled PHA

[HUD-50075-HP](#) – High Performing PHA

[HUD-50075-SM](#) – Small PHA

[HUD-50075-HCV](#) – HCV Only PHA

The Annual Plan Template should be submitted by Standard, Troubled, Small, High Performing, and Section 8 only PHAs each year, if required.

Annual PHA Plans – Definitions of PHA Types

Standard PHA 50075-ST

- Owns or manages 250 or more PH units and any number of vouchers where the total combined units exceed 550.
- Designated a Standard Performer in the most recent PHAS or SEMAP assessments if administers both programs, PHAS if only administers PH.

Troubled PHA 50075-ST

- Any PHA designated Troubled on most recent PHAS or SEMAP assessments if administers both programs. Otherwise, PHAS if PH only or SEMAP if HCV only.

High- Performer PHA 50075-HP

- Owns or manages any number of PH units and any number of vouchers where the total combined units exceed 550.
- Designated as a high performer on both most recent PHAS and SEMAP assessments if administering both programs. Otherwise, PHAS if PH only or SEMAP if HCV only.

Annual PHA Plans – Definitions of PHA Types

Small PHA 50075-SM

- Owns or manages between 1 and 249 PH units and any number of vouchers where the total combined units exceed 550.
- Not designated as Troubled in most recent PHAS or SEMAP assessments, or at risk of being designated as troubled.
- Small PHAs may also be High Performer PHAs if meet the definition of High Performer above and can choose to submit Annual Plans using 50075-HP template.

Housing Choice Voucher (HCV) Only PHA 50075-HCV

- Administers more than 550 HCVs and does not own or manage public housing.
- Not designated as Troubled in most recent SEMAP assessment.
- HCV-Only PHAs may also be High Performer PHAs if meet the definition of High Performer under SEMAP above and can choose to submit Annual Plans using 50075-HP template.

Qualified PHA- Not Required to Submit Annual PHA Plans

- Owns or manages 550 or fewer public housing dwelling units and/or housing choice vouchers combined.
- Not designated as Troubled in most recent PHAS assessment or does not have failing SEMAP score during prior 12 months.

Annual Plan – Elements

- PHA Plan Information
- Plan Elements
 - Revision of Existing PHA Plan Elements
 - New Activities
 - Progress Report
 - Capital Improvements
 - Most Recent Fiscal Year Audit
- Other Document and/or Certification Requirements
 - Resident Advisory Board (RAB) Comments
 - Certification by State or Local Officials
 - Civil Rights Certification / Certification Listing Policies and Programs that the PHA has Revised since Submission of its Last Annual Plan
 - Challenged Elements
- Affirmatively Furthering Fair Housing (AFFH)

Annual PHA Plan <i>(Standard PHAs and Troubled PHAs)</i>	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires: 03/31/2024
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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, including changes to these policies, 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. The Form HUD-50075-ST is to be completed annually by **STANDARD PHAs** or **TROUBLED PHAs**. PHAs that meet the definition of a High Performer PHA, Small PHA, HCV-Only PHA or Qualified PHA do not need to submit this form.

Definitions.

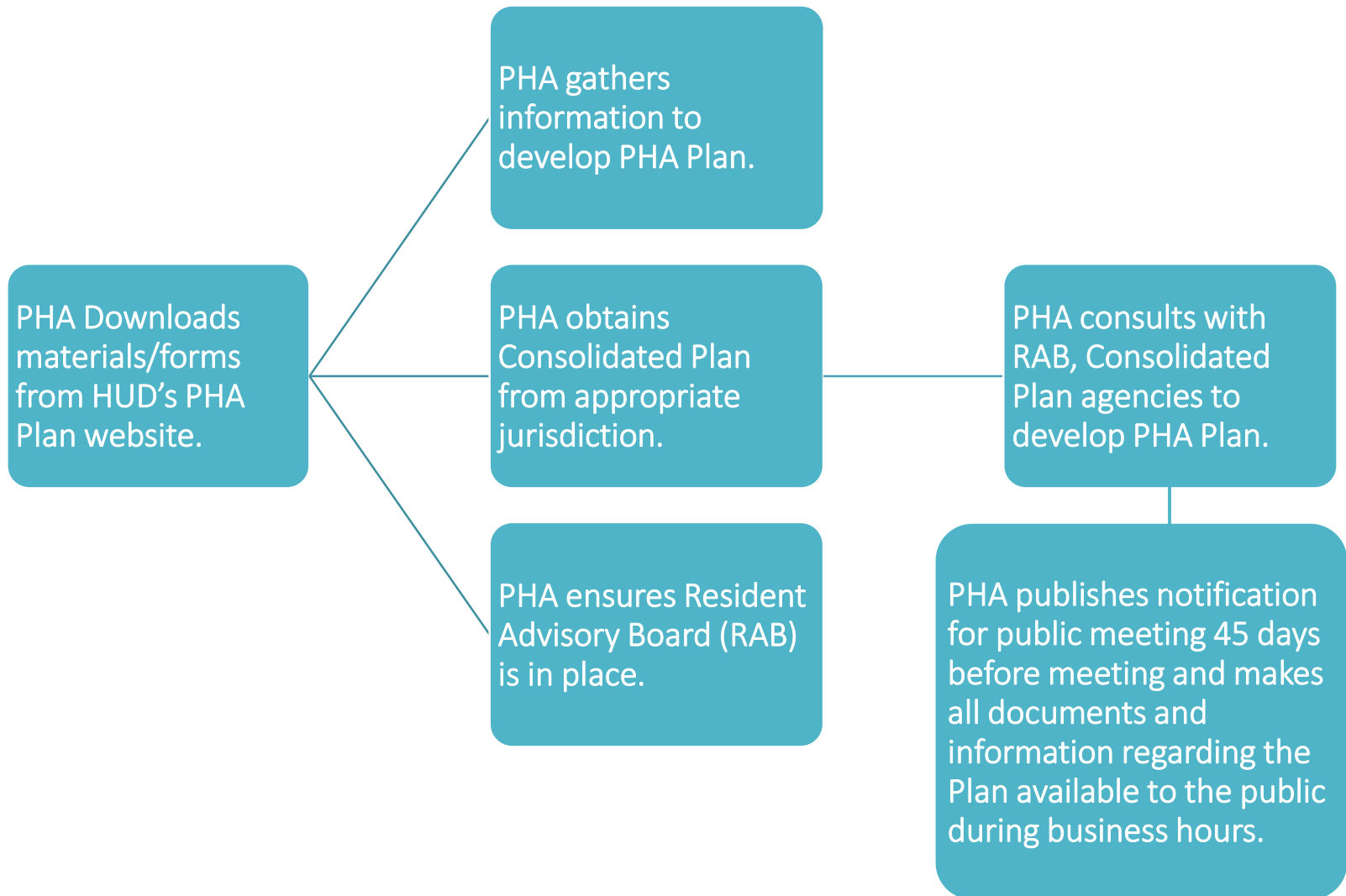
- (1) **High-Performer PHA** – A PHA that owns or manages more than 550 combined public housing units and housing choice vouchers, and was designated as a high performer on both the most recent Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP) assessments if administering both programs, or PHAS if only administering public housing.
 - (2) **Small PHA** - A PHA that is not designated as PHAS or SEMAP troubled, that owns or manages less than 250 public housing units and any number of vouchers where the total combined units exceed 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 exceed 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.
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5-Year PHA Plan - HUD- 50075-5Y Elements

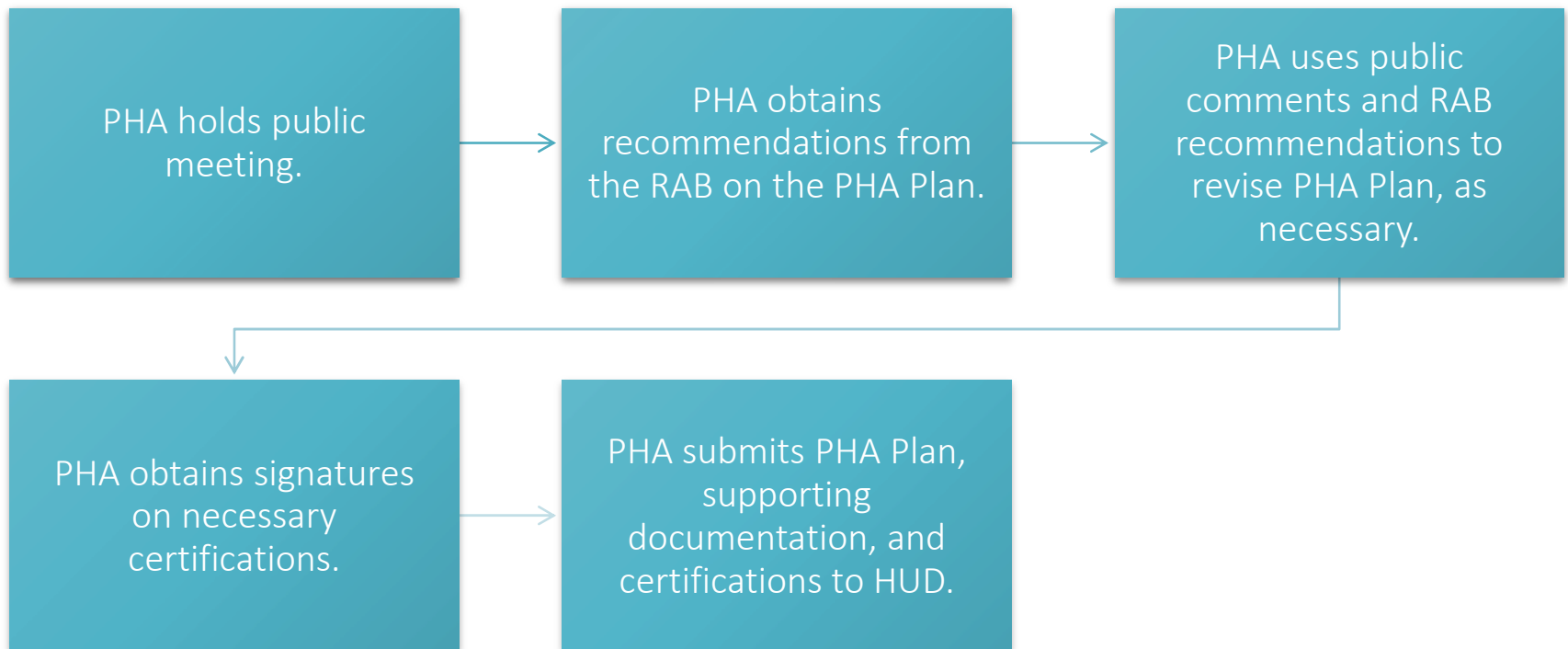
- PHA Plan Information
- Plan Elements
 - Mission
 - Goals and Objectives
 - Progress Report
 - Violence Against Women Act (VAWA) Goals
- Other Document and/or Certification Requirements
 - Significant Amendment or Modification
 - Resident Advisory Board (RAB) Comments
 - Certification by State or Local Officials
 - Required Submission for HUD FO Review
 - Challenged Elements
- Affirmatively Furthering Fair Housing (AFFH)

PHA Plan Development

PHA Plan Development Overview



PHA Plan Development Overview



Resident Consultation

- Resident consultation is achieved through:
 - Resident Advisory Board (RAB)
 - Public Hearing
- Forum for sharing information and preparation of the Plan

What is RAB?

A board or boards whose membership consists of individuals who adequately reflect and represent the residents assisted by the PHA.



RAB's role?

To assist and make recommendations regarding the development of the PHA Plan, and any significant amendment or modification to the PHA Plan.

Resident Consultation

Establish a RAB from:

Existing jurisdiction-wide resident council that complies with the tenant participation regulations (24 CFR 964) will be appointed as the RAB(s)

Jurisdiction-wide resident council does not exist, but resident councils exist that comply with the tenant participation regulations will be appointed as the RAB(s)

A PHA with a significant sized tenant-based assistance program (TBRA is 20% or more of assisted households shall assure RAB has reasonable tenant-based family representation.

PHA shall appoint RAB(s) if a Resident Council does not exist.

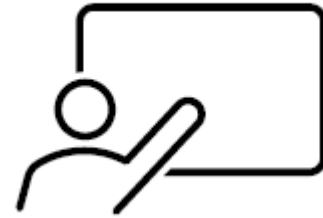
- PHA will urge them to form resident councils with tenant participation regulations.

Note: All PHAs must comply with the RAB requirement as it is required by regulation - [24 CFR 903.13](#), [24 CFR 903.17](#)

Resident Consultation

Public Hearing

- ✓ The PHA's board of commissioners must invite public comment regarding a proposed PHA Plan and conduct a public hearing to discuss it.
- ✓ The hearing must be conducted at a location that is convenient to the PHA residents.



Public Hearing

Not later than 45 days before the public hearing is to take place, the PHA must:

Make the proposed PHA Plan(s) and all attachments **available for the public** at the principal office of the PHA during normal business hours

Publish a notice that the information is available and include the date, time and location of the public hearing

Conduct reasonable outreach activities to encourage broad public participation in the PHA plans

Best Practice Note:

PHAs do not need two hearings for the Annual and 5-Year Plans. On the year that both PHA Plans are due, a best practice is to have one hearing to cover both PHA Plans.

PHA Plan – 5-Year

50075-5Y: A.1 PHA Information

Submission Type:

- Initial vs Revised Submission

Availability of Information

- Must include at each AMP and PHA main/central office
- Must provide information on how public may obtain additional info on PHA policies (Annual Plan)
- Best Practice: Post to PHA website, Social Media Accounts, Newsletters

PHA Consortia

- Most agencies – N/A
- One PHA Plan submitted on behalf of Consortia (Lead Agency)

FYI: A consortium is when two or more agencies join together to perform planning, reporting and other administrative or management functions on behalf of participating agencies, as specified in the Consortium Agreement. [24 CFR Part 943](#)

50075-5Y: B.1 Mission

- Mission for serving needs of low-income, very low-income and extremely low-income families in the PHA's jurisdiction
- May be the same mission as HUD's or a different mission
- HUD's Mission: [Mission/U.S. Department of Housing and Urban Development \(HUD\) | HUD.gov](#)

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.

50075-5Y: B.2 Goals and Objectives



- Identify the PHA’s quantifiable goals and objectives that will enable the PHA to serve the needs of low-income, very low-income, and extremely low-income families for the next five years.
 - Quantifiable Goals – E.g.: improved PHAS/SEMAP scores(s), number of families served in the PH and/or HCV programs, self-sufficiency and homeownership goals, repositioning, increasing landlord participation, etc.
- Qualified PHAs Only: Units proposed to be taken offline for modernization require a significant amendment to the PHA’s 5-Year Plan.
 - PHA Plan template imposes these requirements
 - See also, PIH Notice 2024-03 (*re: unit status change*)

Note: Non-qualified agencies must account for units taken offline for “Undergoing Modernization” in their Annual PHA Plan.

50075-5Y: B.3 Progress Report

- Include a report on the progress made in meeting goals/objectives in previous 5-Year Plan



50075-5Y: B.4 Violence Against Women Act (VAWA) Goals

- VAWA Requirements
 - ✓ PHA Plan must contain information regarding the agency's goals, objectives, policies, or programs, that will enable them to serve the needs of victims of domestic and dating violence, sexual assault, or stalking.
 - ✓ PHAs should describe in detail the activities, services, or programs that they offer to help survivors to obtain housing (i.e., Staff training on domestic violence, or designated employees to handle VAWA cases).

VAWA Requirements:

[PIH Notice 2017-08 \(HA\)](#); [81 Fed Reg 80724 \(Nov. 16, 2016\)](#); [24 CFR §960.206\(a\)\(1\)](#);
[24 CFR §982.207\(a\)\(2\)](#)

50075-5Y: C.1: Significant Amendment or Modification

- Include criteria for significant amendment/modification
 - Annual Plans: PHAs must identify the basic criteria the PHA will use for determining a substantial deviation from its 5-Year Plan and a significant amendment or modification to its 5-Year Plan and Annual Plan.
- Any significant amendment or modification is subject to the same requirements as the original PHA Plan (including time frames).
- Requirements are to:
 - ✓ Consult the RAB.
 - ✓ Be Consistent with the Consolidated Plan.
 - ✓ Hold a Public 45-day Review.
 - ✓ Obtain Board Approval in a Public Meeting.
 - ✓ Submit to HUD for Approval.

Note: A repositioning action not otherwise included in a previous PHA Plan requires public comments and a public hearing.

Repositioning Activities

Non-Qualified	Qualified
RAD is a significant action	RAD is a significant action
Demo/dispo/SVC must be in Annual Plan or Significant Amendment	Annual Public Hearing on demo/dispo/SVC activities
	Qualified PHAs under HERA: PHA Plan Requirements for Demo/Dispo HERA, Section 2702 (PL 110-289)

50075-5Y C.1: Significant Amendment or Modification – PHA Examples

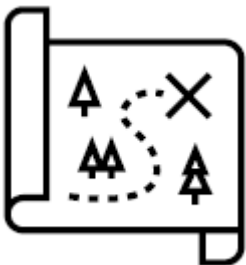
- Target population served shifts
- Mission statement revisions
- Strategic goals cannot be met due to circumstances that impact/prevent implementation of activities identified in PHA Plan
- Changes to waiting list, admissions policies

50075-5Y C.2: RAB

- ✓ PHA must consider RAB comments when preparing final PHA Plan or any significant amendment
 - ✓ Comments and recommendations must be considered and analyzed by PHA
 - ✓ RAB comments and how they were addressed must be submitted as an attachment with the Plan
- ✓ Approved Plan: PHAs may provide copies of the approved PHA Plan to each resident council and Resident Advisory

50075-5Y C.3: Certification by State or Local Officials

- ✓ Complete [Form HUD-50077-SL](#)
- ✓ Certification must describe how the 5-Year PHA Plan is consistent with Consolidated Plan (Con. Plan)
- ✓ Must be signed by State or Local Official (not PHA)



Con. Plan: CPD form; Roadmap for how housing and community development funds are spent in communities to address affordable housing and community development needs; Planning document for 4 key CPD programs: CDBG, HOME, ESG, and HOPWA

Check out HUD Exchange for which jurisdictions complete Consolidated Plans: [Consolidated Plan - HUD Exchange](#)

50075-5Y C.4: Required Submission for HUD FO Review

Challenged Elements

- Elements of the PHA Plan that are challenged without resolution
- Challenged element(s) must be included as an attachment to the Annual Plan or 5-Year PHA Plan:
 - A description of any challenges to the Plan elements
 - The source of the challenge
 - The PHA's response
- This does not include items that residents or the PHA may have comments on outside of the PHA Plan process.
 - Examples could include, but are not limited to funding, items the residents want at the PHA, etc.

50075-5Y D.1: Affirmatively Furthering Fair Housing (AFFH)

- HUD's Affirmatively Furthering Fair Housing rules are evolving as of publication of this training, so PHAs do not need to complete this section at this time.
- Until such time as the PHA is required to submit an AFFH, the PHA is not obligated to complete this chart.
- Updates will follow once HUD's AFFH intentions are clear.

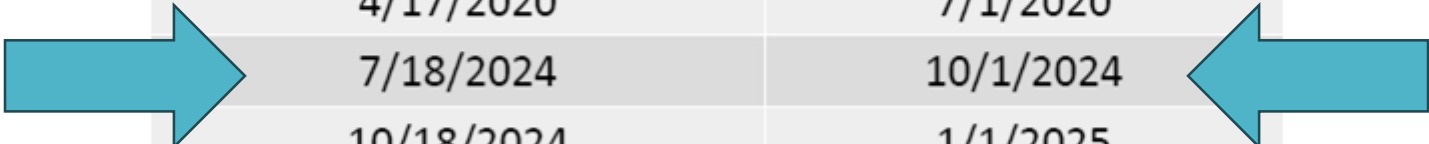
PHA Plan – Submission and Approval

PHA Plans – Submission Due Dates

- PHAs must submit 5-Year Plans and Annual Plans no later than 75 days before the commencement of the PHA's fiscal year.
- **The 5-Year PHA Plan cycle begins with PHAs with FYB 10/1.**
- The submission cycle for all 5-Year PHA Plans is on a fixed schedule.
- HUD does not approve 5-Year PHA Plans on a rolling basis (unlike CFP 5-Year Action Plans).
- PHAs may choose to update their 5-Year Plans every year as good management practice. If a PHA does so and submits within the current 5-year cycle, it does not reset the date of the next 5-Year PHA Plan.

Five Year Plan Submission Cycle

Due Date, FYB minus 75 days	PHA Plan Date, Fiscal Year Beginning
7/18/2019	10/1/2019
10/18/2019	1/1/2020
1/17/2020	4/1/2020
4/17/2020	7/1/2020
7/18/2024	10/1/2024
10/18/2024	1/1/2025
1/16/2025	4/1/2025
4/17/2025	7/1/2025



PHA Plan Submission Requirements

- PHAs should submit all PHA Plans to the Indianapolis Field Office designated PHA Plan email box at INDPHAPlan@hud.gov.
 - ONLY PHA Plans and supporting documentation should be submitted to this email address.
 - Email should specify which documents are attached.
 - PHAs should zip the files to reduce the size of the PHA Plan attachment.
 - If submitting multiple emails, please specify there are multiple emails in each email submission.

PHA Plan Approval

PHA Plans must meet the three statutory standards:

Completeness: Does the PHA Plan contain all the information that is required?

Consistency: Is the information provided as part of the PHA Plan consistent with the data on record at HUD?

Compliance: Is the information provided as part of the PHA Plan prohibited or inconsistent with QHWRA, the U.S. Housing Act of 1937 or any other applicable Federal law?

PHA Plan Approval

When the PHA submits its PHA Plan to HUD, including any significant amendment or modification to the plan, HUD reviews the Plan to determine whether:

- ✓ The Plan provides all the information that is required to be included in the plan;
- ✓ The Plan is consistent with the information and data available to HUD;
- ✓ The Plan is consistent with any applicable Consolidated Plan for the jurisdiction in which the PHA is located; and
- ✓ The Plan is not prohibited or inconsistent with the 1937 Act or any other applicable Federal law.

PHA Plan Disapproval

HUD may disapprove a PHA plan, in its entirety or with respect to any part, or disapprove any significant amendment or modification to the plan, only if HUD determines that the plan, or one of its components or elements, or any significant amendment or modification to the plan:

- ✗ Does not provide all the information that is required to be included in the PHA Plan;
- ✗ Is not consistent with the information and data available to HUD;
- ✗ Is not consistent with any applicable Consolidated Plan for the jurisdiction in which the PHA is located; or
- ✗ Is not consistent with applicable Federal laws and regulations.

PHA Plan Disapproval Examples

- × RAB comments not included
- × Inconsistent with the Consolidated Plan
- × Violence Against Women Act (VAWA) information omitted
- × Demo/Dispo plans not included
- × Civil Rights certification incomplete

PHA Plan Approval Review Process



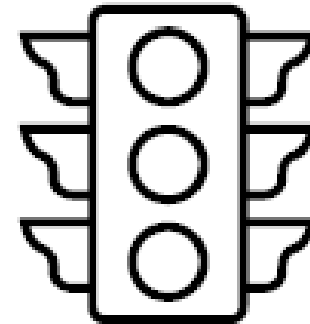
- Once the PHA submits the PHA Plan to HUD at the designated email box, INDPHAPlan@hud.gov, the Field Office will review the Plans submitted by PHAs within their jurisdiction.
- The official Date of Submission of a PHA Plan is the date when HUD receives the PHA Plan and the required certifications. The Field Office will establish the 75-day review period for a Plan upon receipt of these documents.
- The PHA plan must be reviewed by HUD within 75 days, or the plan is automatically approved.
- *Reminder: Any significant amendment or modification is subject to the 75-day review period.*

Technical Deficiencies

- No effect on information presented in the Plan
- PHA contacted to resubmit with corrections
 - ✓ Example: PHA completes the wrong form for the PHA Plan
 - ✓ No consultation with the Resident Advisory Board (RAB),
 - ✓ No public hearing,
 - ✓ No RAB assessment, and
 - ✓ No 45-day public comment/review period
- Typically, the PHA Plan can be corrected and resubmitted within a short timeframe to allow for HUD's review and approval within the 75-day required timeframe.

Substantive Deficiencies

- Require consultation with the RAB
- Require a new 45-day comment period a public hearing
- Substantive deficiencies affect the information presented to the RAB or to the public.
 - Example: Omitting a VAWA policy statement is a substantive deficiency.
- Plans will typically be returned for correction and resubmission.
- The PH Director will specify a reasonable time to resubmit plans to allow for corrections and the consultation process.



PHA Plan – Moving to Work Agencies

Moving to Work Agencies

- Original 39 MTW Agencies
 - Annual MTW Plan/Report (HUD Form 50099 (exp 1/31/21) completed in lieu of the PHA Plan forms (*Per an agency's Standard MTW Agreement*))
- Expansion MTW Agencies (100 more agencies)
 - 5-Year PHA Plan and Annual PHA Plan forms *PLUS*
 - MTW Supplement

Moving to Work Agencies

- Expansion MTW agencies are subject to the same planning and reporting protocols as non-MTW agencies for the PHA Plan (5-Year PHA Plan and Annual PHA Plan)
- Expansion MTW Agencies must submit form [HUD-50075-MTW](#) “MTW Supplement to the Annual PHA Plan” as an attachment to the Annual PHA Plan
- Expansion MTW agencies that are considered Qualified under 24 CFR 903.3(c) may not be required to submit the Annual PHA Plan, but must submit the MTW Supplement every year

MTW Supplement

- The tool used to communicate with the local community, other stakeholders, and HUD on how MTW PHAs plan to use MTW flexibilities
- The process which MTW PHAs can submit a Safe Harbor Waiver request and/or propose activities that require Agency-Specific waivers for HUD approval prior to implementation
- Must go through the public process along with the Annual Plan
- Submit at least 75 days prior to the start of the fiscal year

Resources

PHA Plans Website:

[Public Housing Agency \(PHA\) Plans | HUD.gov](#)

Public Housing Agency (PHA) Plan Desk Guide (dated, but helpful):

[PHA Plan Desk Guide](#)

HUD's Mission:

[Mission / U.S. Department of Housing and Urban Development \(HUD\) | HUD.gov](#)

Notices:

[Notice PIH 2011-24 \(HA\)](#) “Capital Fund Program Awards”

[Notice PIH 2015-18 \(HA\)](#) “Availability of New and Revised Public Housing Agency (PHA) Five-Year and Annual Plan Templates and Other Forms

[Notice PIH 2021-35](#) “Guidance on Inventory Management System/PIH Information Center (IMS-PIC) Sub-Module Reporting and Validation”

Resources – (Cont'd.)

Templates:

5-Year PHA Plan Template (MS-Word)

[HUD-50075-5Y](#) – All PHAs

Annual PHA Plan Templates (MS-Word)

[HUD-50075-ST](#) – Standard/Troubled PHA

[HUD-50075-HP](#) – High Performing PHA

[HUD-50075-SM](#) – Small PHA

[HUD-50075-HCV](#) – HCV Only PHA

MTW Supplement Template

[HUD-50075-MTW](#) – MTW PHA attachment

Resources — (Cont'd.)

Certifications:

PHA Certifications of Compliance with PHA Plans and Related Regulations:

[HUD-50077-CRT-SM](#) “Certification of Compliance with PHA Plan and Related Regulations (Small PHAs)”

[HUD-50077-ST-HCV-HP](#) “Certification of Compliance with PHA Plan and Related Regulations (Standard, Troubled, HCV-Only, and High Performer PHAs)”

Civil Rights Certification

[HUD-50077-CR](#) “Civil Rights Certification (Qualified PHAs)”

Certification by State or Local Office of PHA Consistency with the Consolidated Plan

[HUD-50077-SL](#) “Certification by State or Local Official of PHA Plans Consistency with the Consolidated Plan or State Consolidated Plan (All PHAs)”

Resources — (Cont'd.)

Statutory and Regulatory Framework:

[1998 Quality Housing and Work Responsibility Act \(QHWRA\), Section 511](#)

(See [USC§1437c-1](#))

[24 CFR § 903 Public Housing Agency Plans](#)

[24 CFR § 903.6 What information must a PHA provide in the 5-Year Plan](#)

[24 CFR § 903.7 What information must a PHA provide in the Annual Plan](#)

[2008 Housing and Economic Recovery Act \(HERA\), Section 2702](#)

See also [78 FR 63747 \(10/24/13\)](#) (Separate Annual CFP Submission through EPIC)

[64 Fed Reg 56844, 56851 \(Oct. 21, 1999\)](#)

[24 CFR Part 943 - Public Housing Agency Consortia and Joint Ventures](#)

Resources — (Cont'd.)

Consolidated Plan:

[Consolidated Plan - HUD Exchange](#)

VAWA Requirements:

[Notice 2017-08 \(HA\)](#) “Violence Against Women Reauthorization Act of 2013 Guidance

[81 Fed Reg 80724 \(Nov. 16, 2016\)](#)

[24 CFR Part 960 - Admission to, and Occupancy of, Public Housing](#)

(See 24 CFR §960.206(a)(1))

[24 CFR Part 982 -- Section 8 Tenant-Based Assistance: Housing Choice Voucher Program](#)

(See 24 CFR 982.207(a)(2))

Resources — (Cont'd.)

Moving to Work Agencies:

[MTW Supplement - Forms, Instructions, and Guidance | HUD.gov](#)

[Federal Register :: Operations Notice for the Expansion of the Moving to Work Demonstration Program](#)

[Moving to Work \(MTW\) Demonstration Program | HUD.gov](#)

[MTW Expansion Training - HUD Exchange](#)

Questions?

- Please raise your hand and unmute yourself in Teams to ask a questions or make a comment
- Please be sure to lower your hand and mute yourself in Teams after your question has been answered
- You may also use the Teams chat for questions or comments

Thank you for attending this training session!

