

Streamlined Annual PHA Plan <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.

A.	PHA Information.																														
A.1	<p> PHA Name: ALBANY HOUSING AUTHORITY PHA Code: NY009 PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performer PHA Plan for Fiscal Year Beginning: (MM/YYYY): 07/2019 PHA Inventory (Based on Annual Contributions Contract (ACC) units at time of FY beginning, above) Number of Public Housing (PH) Units 1793 Number of Housing Choice Vouchers (HCVs) 2954 Total Combined 4747 PHA Plan Submission Type: <input checked="" type="checkbox"/> Annual Submission <input type="checkbox"/> Revised Annual Submission </p> <p> Availability of Information. 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> <input type="checkbox"/> PHA Consortia: (Check box if submitting a Joint PHA Plan and complete table below) </p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2" style="width: 20%;">Participating PHAs</th> <th rowspan="2" style="width: 10%;">PHA Code</th> <th rowspan="2" style="width: 20%;">Program(s) in the Consortia</th> <th rowspan="2" style="width: 20%;">Program(s) not in the Consortia</th> <th colspan="2" style="width: 30%;">No. of Units in Each Program</th> </tr> <tr> <th style="width: 15%;">PH</th> <th style="width: 15%;">HCV</th> </tr> </thead> <tbody> <tr> <td>Lead PHA:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>					Participating PHAs	PHA Code	Program(s) in the Consortia	Program(s) not in the Consortia	No. of Units in Each Program		PH	HCV	Lead PHA:																	
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B.	Annual Plan Elements
B.1	<p>Revision of PHA Plan Elements.</p> <p>(a) Have the following PHA Plan elements been revised by the PHA since its last Annual PHA Plan submission?</p> <p>Y N</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Statement of Housing Needs and Strategy for Addressing Housing Needs. Please see attachment</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Financial Resources.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Rent Determination.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Homeownership Programs.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Safety and Crime Prevention.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Pet Policy.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Substantial Deviation.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Significant Amendment/Modification - Please see attachments</p> <p>(b) The PHA must submit its Deconcentration Policy for Field Office Review.</p> <p>(c) If the PHA answered yes for any element, describe the revisions for each element below:</p>
B.2	<p>New Activities.</p> <p>(a) Does the PHA intend to undertake any new activities related to the following in the PHA's current Fiscal Year?</p> <p>Y N</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Hope VI or Choice Neighborhoods.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Mixed Finance Modernization or Development.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Demolition and/or Disposition.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Conversion of Public Housing to Tenant Based Assistance.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Conversion of Public Housing to Project-Based Assistance under RAD.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Project Based Vouchers.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Units with Approved Vacancies for Modernization.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Other Capital Grant Programs (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants).</p> <p>(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.</p>
B.3	<p>Progress Report.</p> <p>Provide a description of the PHA's progress in meeting its Mission and Goals described in the PHA 5-Year Plan.</p> <p>Please see attached document</p>
B.4.	<p>Most Recent Fiscal Year Audit.</p> <p>(a) Were there any findings in the most recent FY Audit?</p> <p>Y N</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/></p> <p>(b) If yes, please describe:</p>
Other Document and/or Certification Requirements.	
C.1	<p>Certification Listing Policies and Programs that the PHA has Revised since Submission of its Last Annual Plan</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>

C.2	Civil Rights Certification. <u>Form 50077-ST-HCV-HP</u> , <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.
C.3	Resident Advisory Board (RAB) Comments. (a) Did the RAB(s) provide comments to the PHA Plan? Y N <input type="checkbox"/> <input type="checkbox"/> 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.
C.4	Certification by State or Local Officials. <u>Form HUD 50077-SL</u> , <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.
D	Statement of Capital Improvements. Required in all years for all PHAs completing this form that administer public housing and receive funding from the Capital Fund Program (CFP).
D.1	Capital Improvements. 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. Please see HUD form 50075.2 approved by HUD on 6/27/17.

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. (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.”

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.

REVISION OF PHS PLAN ELEMENTS

Working Draft 3/12/2019

Statement of Housing Needs and Strategy for Addressing Housing Needs:

Currently AHA has a total of **4736** families on the Public Housing and Section 8 waiting lists. **51%** of our waiting list consists of families with children, 11% are elderly, and 15% are families with disabilities. AHA's Section 8 waiting list has been closed since 2015. We recently closed the Public Housing waiting list to purge applicants who are no longer interested. Combined the Public Housing and Section 8 waiting lists show a majority of the persons on the waiting lists (61%) are extremely low income (under 30% of AMI).

Most AHA public housing developments are located in impacted census tracts. One of the largest needs that AHA can address on a limited basis is to provide apartments for the large family. AHA has 291 families on its waiting list who need a 4 bedroom or larger apartment. Affordable large units that meet minimum inspection standards are not readily available in the private sector.

Homeownership Programs

Ida Yarbrough Phase III (NY009000005)

Albany Housing Authority has set aside approximately half an acre of vacant land at its Ida Yarbrough Homes site to develop up to 10 home ownership units. AHA intends to market the new construction units to Section 8 voucher holders. AHA is in the process of finalizing the business plan, applying for various grants including funding programs administered by the City of Albany and Federal Home Loan Bank, and working with lending institutions to address mortgage issues for the prospective purchasers. AHA will supply a full development proposal as a part of its request to HUD for Section 18 disposition of this project site.

North Albany (NY009000002)

Corning Homes Associates, L.P. owns a 160-unit low-income housing apartment community in Albany, NY, which is past year 15 of the initial low income housing tax credit compliance period, which ended in 2017. The Property is composed of 134 public housing units and 26 non-public housing units and is encumbered by a Housing Trust Fund Corporation Loan and a HOPE VI loan with the Albany Housing Authority. AHA and its affiliate own the General Partner and Limited Partner interests in the Partnership.

AHA would like to explore from a regulatory and legal standpoint the feasibility of converting the 26 Non-PHA Units into a condominium regime, so that those 26 homes may be sold to households that meet certain low to moderate-income requirements. The Property is restricted by 1) a Housing Trust Fund Corporation Loan Regulatory Agreement, 2) a New York State Division of Housing and Community Renewal LIHTC Regulatory Agreement, an Amended and Restated Regulatory and Operating Agreement with AHA, and a Ground Lease from AHA to the Partnership.

Substantial Deviation:

A substantial change in a goal(s) identified in the Five-Year Plan. For example, checking or unchecking a PHA goal box. A substantial deviation does not include any changes in HUD rules and regulations which require or prohibit changes to activities listed herein.

As part of the Rental Assistance Demonstration (RAD), Albany Housing Authority is redefining the definition of a substantial deviation from the PHA Plan to exclude the following RAD-specific items:

- a. The decision to convert to either Project Based Rental Assistance or Project Based Voucher Assistance;
- b. Changes to the Capital Fund Budget produced as a result of each approved RAD Conversion, regardless of whether the proposed conversion will include use of additional Capital Funds;
- c. Changes to the construction and rehabilitation plan for each approved RAD conversion; and
- d. Changes to the financing structure for each approved RAD conversion.

Significant Amendment/Modification:

Significant modifications to major strategies to address housing needs and to major policies (e.g., policies governing eligibility, selection or admissions and rent determination) or programs (e.g., demolition or disposition, designation, homeownership programs or conversion activities) that are not mandated by the Department of Housing and Urban Development.

Board resolution# 02-19-07:

Approval to institute a new policy whereby the Section 8 waiting list be closed when it reached 1,500 applicants and reopened when it falls below 1200 applicants.

Board resolution# 02-19-08:

Approval to amend the Admissions and Continued Occupancy Policy (ACOP) to establish a criteria to close the Public Housing and all other housing programs waiting list based upon the anticipated wait time for applicants to not exceed five years by bedroom size. Therefore this change will result in individual wait lists by bedroom size.

Effective September 2019 Re-exam month AHA will begin to implement HUD's Housing Opportunity Through Modernization Act(HOTMA) of 2016: Final implementation of Public Housing Income Limit Policy.

- The policy applies to families whose income has exceeded 120 percent of the area median income (AMI) for two consecutive years.
- PHAs must either terminate the tenancies of such families within six months of the second income determination or establish an alternative rents.

Rental Assistance Demonstration (RAD)

The Albany Housing Authority is amending its Annual PHA Plan because it was a successful applicant in the Rental Assistance Demonstration (RAD). As a result, the Albany Housing Authority will be converting to Project Based Vouchers under the guidelines of PIH Notice 2012-32, REV-1 and any successor Notices. Upon conversion to Project Based Vouchers, the Authority will adopt the resident rights, participation, waiting list and grievance procedures listed in Section 1.6 of PIH Notice 2012-32, REV-2; and Joint Housing PIH Notice H-2014-09/PIH-2014-17. These resident rights, participation, waiting list and grievance procedures are appended to this Attachment. Additionally, the Albany Housing Authority certifies that it is currently compliant with all fair housing and civil rights requirements.

RAD was designed by HUD to assist in addressing the capital needs of public housing by providing Albany Housing Authority with access to private sources of capital to repair and preserve its affordable housing assets. Please be aware that upon conversion, the Authority's Capital Fund Budget will be reduced by the pro rata share of Public Housing Developments converted as part of the Demonstration, and that Albany Housing Authority may also borrow funds to address their capital needs. The Albany Housing Authority will also be contributing Operating Reserves and Capital Funds towards the conversions. The amount of Operating Reserves and Capital Funds that will be contributed to the RAD conversions will be determined on a case by case basis, as needed to properly fund each conversion and as available from the Capital Fund grants awarded in those years. The Albany Housing Authority currently has debt under the Capital Fund Financing Program and will be working with Capital One Public Funding, LLC to address outstanding debt issues, which may result in additional reductions of Capital Funds. The Albany Housing Authority currently has debt under an Energy Performance Contract and will be working with M&T Bank to address outstanding debt issues, which may result in additional reductions of Capital or Operating Funds.

Below, please find specific information related to the Public Housing Development(s) selected for RAD:

Development #1

<u>Name of Public Housing Project:</u> Ida IV	<u>PIC Development ID:</u> NY009000005	<u>Conversion type (PBV or PBRA):</u> PBV	<u>Transfer of Assistance:</u>
<u>Total Units:</u> 226 Units	<u>Pre-RAD Unity Type:</u> Family/General Occupancy	<u>Post-RAD Unit Type if different:</u>	<u>Capital Fund allocation of Development:</u> 1. The 2018 CFP award for NY009000005 was \$791,304, which included DDTF funding of \$169,406. CFP funds available in the conversion year and necessary for successful conversion will be allocated to this development.
Bedroom Type	Number of Units Pre-Conversion	Number of Units Post-Conversion	Change in Number of Units per Bedroom Type and Why
0 Bedroom	100	0*	Studios are small, lack accessibility, and are not marketable.
1 Bedroom	124	168*	Improved accessibility and project marketability

*These numbers are projections based on the current scope of work. Final unit counts may change as the scope of work evolves.

Development #2

<u>Name of Public Housing Project:</u> Steamboat Square Homes Phase I: 20 Rensselaer Phase II: 230 Green Street Phase III: 200 and 220 Green Street	<u>PIC Development ID:</u> NY009000003	<u>Conversion type (PBV or PBRA):</u> PBV	<u>Transfer of Assistance:</u>
<u>Phase I Total Units:</u> 51 Units <u>Phase II Total Units:</u> 80 <u>Phase III Total Units:</u> 176	<u>Pre-RAD Unity Type:</u> Family/General Occupancy	<u>Post-RAD Unit Type if different:</u>	<u>Capital Fund allocation of Development:</u> <ol style="list-style-type: none"> 1. The 2018 CFP award for NY009000003 was \$845,735, and covered 382 units. As 307 units are currently being considered for conversion 307/382, or 80.37% of these funds would be allocated to the RAD conversion: \$679,687. Depending on year of conversion, amounts may differ, based on the CFP grant award for that year.

Bedroom Type	Number of Units Pre-Conversion	Number of Units Post-Conversion	Change in Number of Units per Bedroom Type and Why
0 Bedroom	Phase I: 32 Phase II: 0 Phase III: 11	Phase I: 0* Phase II: 0 Phase III: 11	Studios have limited accessibility, are small, and not marketable. We plan to combine studios, where feasible, to create 1-Bedroom units and improve accessibility options.
1 Bedroom	Phase I: 19 Phase II: 80 Phase III: 120	Phase I: 77* Phase II: 101* Phase III: 120	In the 1980s, building wings were decommissioned. In Phase I and II, we anticipate adding units in the decommissioned wings
2 Bedroom	Phase I: 0 Phase II: 0 Phase III: 45	Phase I: 11* Phase II: 0 Phase III: 45	Adding two-bedroom units into the decommissioned wings

*These numbers are projections based on the current scope of work. Final unit counts may change as the scope of work evolves.

In addition to the two developments specifically detailed above, CHAPS have also been received for the following PIC Developments:

- i. NY009000002
- ii. NY009000008
- iii. NY009000009
- iv. NY009000010
- v. NY009000013
- vi. NY009000016
- vii. NY009000018

Albany Housing Authority is in the process of analyzing the long term physical needs and the financial viability of converting each of these developments to RAD. No final decision has been made on any of these developments. All available operating subsidy, capital fund and existing reserves at each location would be utilized in the conversion process, using all options available under RAD (e.g., rent bundling, §18, 25% PBVs, etc.) to maximize the future financial stability of each development.

Resident Rights, Participation, Waiting List and Grievance Procedures

Significant Amendment Definition

As part of the Rental Assistance Demonstration (RAD), the Albany Housing Authority is redefining the definition of a substantial deviation from the PHA Plan to exclude the following RAD-specific items:

- a. The decision to convert to either Project Based Rental Assistance or Project Based Voucher Assistance;
- b. Changes to the Capital Fund Budget produced as a result of each approved RAD Conversion, regardless of whether the proposed conversion will include use of additional Capital Funds;
- c. Changes to the construction and rehabilitation plan for each approved RAD conversion; and
- d. Changes to the financing structure for each approved RAD conversion.

PBV Resident Rights and Participation.

1. **No Rescreening of Tenants upon Conversion.** Pursuant to the RAD Statute, at conversion, current households cannot be excluded from occupancy at the Covered Project based on any rescreening, income eligibility, or income targeting. With respect to occupancy in the Covered Project, current households in the Converting Project will be grandfathered for application of any eligibility criteria to conditions that occurred prior to conversion but will be subject to any ongoing eligibility requirements for actions that occur after conversion.¹ Post-conversion, the tenure of all residents of the Covered Project is protected pursuant to PBV requirements regarding continued occupancy unless explicitly modified in this Notice (e.g., rent phase-in provisions). For example, a unit with a household that was over-income at time of conversion would continue to be treated as an assisted unit. Thus, 24 CFR § 982.201, concerning eligibility and targeting of tenants for initial occupancy, will not apply for current households. Once the grandfathered household moves out, the unit must be leased to an eligible family. MTW agencies may not alter this requirement. Further, so as to facilitate the right to return to the assisted property, this provision shall apply to current public housing residents of the Converting Project that will reside in non-RAD PBV units or non-RAD PBRA units placed in a project that contain RAD PBV units or RAD PBRA units. Such families and such contract units will otherwise be subject to all requirements of the applicable program, specifically 24

¹ These protections (as well as all protections in this Notice for current households) also apply when a household is relocated to facilitate new construction or repairs following conversion and subsequently returns to the Covered Project.

CFR § 983 for non-RAD PBV units and the PBRA requirements governing the applicable contract for non-RAD PBRA units.²

2. **Right to Return.** See section 1.4.A.5(ii) and the RAD Fair Housing, Civil Rights, and Relocation Notice regarding a resident's right to return.
3. **Renewal of Lease.** Since publication of the PIH Notice 2012-32 Rev 1, the regulations under 24 CFR part 983 have been amended requiring Project Owners to renew all leases upon lease expiration, unless cause exists. MTW agencies may not alter this requirement.
4. **Phase-in of Tenant Rent Increases.** If a tenant's monthly rent increases by more than the greater of 10 percent or \$25 purely as a result of conversion, the rent increase will be phased in over 3 or 5 years. To implement this provision, HUD is specifying alternative requirements for section 3(a)(1) of the Act, as well as 24 CFR § 983.3 (definition of "total tenant payment" (TTP)) to the extent necessary to allow for the phase-in of tenant rent increases. A PHA must create a policy setting the length of the phase-in period at three years, five years or a combination depending on circumstances. For example, a PHA may create a policy that uses a three year phase-in for smaller increases in rent and a five year phase-in for larger increases in rent. This policy must be in place at conversion and may not be modified after conversion.

The method described below explains the set percentage-based phase-in a Project Owner must follow according to the phase-in period established. For purposes of this section "Calculated PBV TTP" refers to the TTP calculated in accordance with regulations at 24 CFR §5.628 and the "most recently paid TTP" refers to the TTP recorded on line 9j of the family's most recent HUD Form 50058. If a family in a project converting from Public Housing to PBV was paying a flat rent immediately prior to conversion, the PHA should use the flat rent amount to calculate the phase-in amount for Year 1, as illustrated below.

Three Year Phase-in:

- Year 1: Any recertification (interim or annual) performed prior to the second annual recertification after conversion – 33% of difference between most recently paid TTP or flat rent and the Calculated PBV TTP
- Year 2: Year 2 Annual Recertification (AR) and any Interim Recertification (IR) prior to Year 3 AR – 50% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 3: Year 3 AR and all subsequent recertifications – Full Calculated PBV TTP³

² For non-RAD PBV households, applicable program requirements includes the requirement that any admission to the project must be initially eligible for a HAP payment at admission to the program, which means their TTP may not exceed the gross rent for the unit at that time.

³ For example, where a resident's most recently paid TTP is \$100, but the Calculated PBV TTP is \$200 and remains \$200 for the period of the resident's occupancy, (i.e. no changes in income) the resident would continue to pay the same rent and utilities for which it was responsible prior to conversion. At the first recertification following conversion, the resident's contribution would increase by 33% of \$100 to \$133. At the second AR, the resident's contribution would increase by 50% of the \$66 differential to the standard TTP, increasing to \$166. At the third AR, the resident's contribution would increase to \$200 and the resident would continue to pay the Calculated PBV TTP for the duration of their tenancy.

Five Year Phase in:

- Year 1: Any recertification (interim or annual) performed prior to the second annual recertification after conversion – 20% of difference between most recently paid TTP or flat rent and the Calculated PBV TTP
- Year 2: Year 2 AR and any IR prior to Year 3 AR – 25% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 3: Year 3 AR and any IR prior to Year 4 AR – 33% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 4: Year 4 AR and any IR prior to Year 5 AR – 50% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 5 AR and all subsequent recertifications – Full Calculated PBV TTP

Please Note: In either the three year phase-in or the five-year phase-in, once the Calculated PBV TTP is equal to or less than the previous TTP, the phase-in ends and tenants will pay full TTP from that point forward. MTW agencies must also implement a three or five-year phase-in for impacted residents, but may alter the terms above as long as it establishes a written policy setting forth the alternative terms.

5. Family Self Sufficiency (FSS) and Resident Opportunities and Self Sufficiency Service Coordinator (ROSS-SC) programs. Public Housing residents that are currently FSS participants will continue to be eligible for FSS once their housing is converted under RAD. The PHA may continue to use any FSS funds already awarded to serve those FSS participants who live in units converted by RAD. At the completion of the FSS grant, PHAs should follow the normal closeout procedures outlined in the grant agreement. If the PHA continues to run an FSS program that serves PH and/or HCV participants, the PHA will continue to be eligible (subject to NOFA requirements) to apply for FSS funding and may use that funding to serve PH, HCV and/or PBRA participants in its FSS program. Due to the program merger between PH FSS and HCV FSS that took place pursuant to the FY14 Appropriations Act (and was continued in the subsequent Appropriation Acts), no special provisions are required to continue serving FSS participants that live in public housing units converting to PBV under RAD.

However, PHAs should note that there are certain FSS requirements (e.g., escrow calculation and escrow forfeitures) that apply differently depending on whether the FSS participant is a participant under the HCV program or a public housing resident, and PHAs must follow such requirements accordingly. All PHAs will be required to administer the FSS program in accordance with FSS regulations at 24 CFR part 984, the participants' contracts of participation, and the alternative requirements established in the "Waivers and Alternative Requirements for the FSS Program" Federal Register notice, published on December 29, 2014, at 79 FR 78100.⁴ Further, upon

⁴ The funding streams for the PH FSS Program and the HCV FSS Program were first merged pursuant to the FY 2014 appropriations act. As a result, PHAs can serve both PH residents and HCV participants, including PBV participants, with FSS funding awarded under the FY 2014 FSS Notice of Funding Availability (FSS NOFA) and any other NOFA under which the combination of funds

conversion to PBV, already escrowed funds for FSS participants shall be transferred into the HCV escrow account and be considered TBRA funds, thus reverting to the HAP account if forfeited by the FSS participant.

For information on FSS PIC reporting requirements for RAD conversions, see Notice PIH 2016-08 at <http://portal.hud.gov/hudportal/documents/huddoc?id=pih2016-08.pdf>.

Current ROSS-SC grantees will be able to finish out their current ROSS-SC grants once their housing is converted under RAD. However, once the property is converted, it will no longer be eligible to be counted towards the unit count for future ROSS-SC grants, nor will its residents be eligible to be served by future ROSS-SC grants, which, by statute, can only serve public housing residents. At the completion of the ROSS-SC grant, PHAs should follow the normal closeout procedures outlined in the grant agreement. Please note that ROSS-SC grantees may be a non-profit or local Resident Association and this consequence of a RAD conversion may impact those entities.

- 6. Resident Participation and Funding.** In accordance with Attachment 1B, residents of Covered Projects with assistance converted to PBV will have the right to establish and operate a resident organization for the purpose of addressing issues related to their living environment and be eligible for resident participation funding.
- 7. Resident Procedural Rights.** The following items must be incorporated into both the Section 8 Administrative Plan and the Project Owner's lease, which includes the required tenancy addendum, as appropriate. Evidence of such incorporation may be requested by HUD for purposes of monitoring the program.
 - i. Termination Notification.** HUD is incorporating additional termination notification requirements to comply with section 6 of the Act for public housing projects that convert assistance under RAD. In addition to the regulations at 24 CFR § 983.257 related to Project Owner termination of tenancy and eviction (which MTW agencies may not alter) the termination procedure for RAD conversions to PBV will require that PHAs provide adequate written notice of termination of the lease which shall be :
 - a. A reasonable period of time, but not to exceed 30 days:
 - i. If the health or safety of other tenants, Project Owner employees, or persons residing in the immediate vicinity of the premises is threatened; or
 - ii. In the event of any drug-related or violent criminal activity or any felony conviction;
 - b. Not less than 14 days in the case of nonpayment of rent; and
 - c. Not less than 30 days in any other case, except that if a State or local law provides for a shorter period of time, such shorter period shall apply.

- ii. **Grievance Process.** Pursuant to requirements in the RAD Statute, HUD is establishing additional resident procedural rights to comply with section 6 of the Act.

For issues related to tenancy and termination of assistance, PBV program rules require the Project Owner to provide an opportunity for an informal hearing, as outlined in 24 CFR § 982.555. RAD will specify alternative requirements for 24 CFR § 982.555(b) in part, which outlines when informal hearings are not required, to require that:

- a. In addition to reasons that require an opportunity for an informal hearing given in 24 CFR § 982.555(a)(1)(i)-(vi),⁵ an opportunity for an informal hearing must be given to residents for any dispute that a resident may have with respect to a Project Owner action in accordance with the individual's lease **or** the contract administrator in accordance with RAD PBV requirements that adversely affect the resident's rights, obligations, welfare, or status.
 - i. For any hearing required under 24 CFR § 982.555(a)(1)(i)-(vi), the contract administrator will perform the hearing, as is the current standard in the program. The hearing officer must be selected in accordance with 24 CFR § 982.555(e)(4)(i).
 - ii. For any additional hearings required under RAD, the Project Owner will perform the hearing.
- b. There is no right to an informal hearing for class grievances or to disputes between residents not involving the Project Owner or contract administrator.
- c. The Project Owner gives residents notice of their ability to request an informal hearing as outlined in 24 CFR § 982.555(c)(1) for informal hearings that will address circumstances that fall outside of the scope of 24 CFR § 982.555(a)(1)(i)-(vi).
- d. The Project Owner provides opportunity for an informal hearing before an eviction.

Current PBV program rules require that hearing procedures must be outlined in the PHA's Section 8 Administrative Plan.

1. **Earned Income Disregard (EID).** Tenants who are employed and are currently receiving the EID exclusion at the time of conversion will continue to receive the EID after conversion, in accordance with regulations at 24 CFR § 5.617. Upon the expiration of the EID for such families, the rent adjustment shall not be subject to rent phase-in, as described in Section 1.6.C.4; instead, the rent will automatically rise to the appropriate rent level based upon tenant income at that time.

Under the Housing Choice Voucher program, the EID exclusion is limited only to persons with disabilities (24 CFR § 5.617(b)). In order to allow all tenants (including non-disabled persons) who are employed and currently receiving the EID at the time of conversion to continue to benefit from this exclusion in the PBV project, the provision in 24 CFR § 5.617(b) limiting EID to disabled persons is waived. The waiver, and resulting alternative requirement, apply only to tenants receiving the EID at the time of conversion. No other tenant (e.g., tenants that move into the property

⁵ § 982.555(a)(1)(iv) is not relevant to RAD as the tenant-based certificate program has been repealed.

following conversion or tenants who at one time received the EID but are not receiving the EID exclusion at the time of conversion due to loss of employment) is covered by this waiver.

2. **Jobs Plus.** Jobs Plus grantees awarded FY14 and future funds that convert the Jobs Plus target projects(s) under RAD will be able to finish out their Jobs Plus period of performance at that site unless significant relocation and/or change in building occupancy is planned. If either is planned at the Jobs Plus target project(s), HUD may allow for a modification of the Jobs Plus work plan or may, at the Secretary's discretion, choose to end the Jobs Plus program at that project.
3. **When Total Tenant Payment Exceeds Gross Rent.** Under normal PBV rules, the PHA may select an occupied unit to be included under the PBV HAP Contract only if the unit's occupants are eligible for housing assistance payments (24 CFR § 983.53(c)). Also, a PHA must remove a unit from the contract when no assistance has been paid for 180 days because the family's TTP has risen to a level that is equal to or greater than the contract rent, plus any utility allowance, for the unit (i.e., the Gross Rent)) (24 CFR § 983.258). Since the rent limitation under this Section of the Notice may result in a family's TTP equaling or exceeding the gross rent for the unit, for residents living in the Converting Project prior to conversion and who will return to the Covered Project after conversion, HUD is waiving both of these provisions and requiring that the unit for such families be placed on and/or remain under the HAP Contract when TTP equals or exceeds the Gross Rent. Further, HUD is establishing the alternative requirement that until such time that the family's TTP falls below the gross rent, the rent to the owner for the unit will equal the lesser of (a) the family's TTP, less the Utility Allowance, or (b) any applicable maximum rent under LIHTC regulations. When the family's TTP falls below the gross rent, normal PBV rules shall apply. As necessary to implement this alternative provision, HUD is waiving the provisions of Section 8(o)(13)(H) of the Act and the implementing regulations at 24 CFR § 983.301 as modified by Section 1.6.B.5 of this Notice.⁶ In such cases, the resident is considered a participant under the program and all of the family obligations and protections under RAD and PBV apply to the resident. Likewise, all requirements with respect to the unit, such as compliance with the HQS requirements, apply as long as the unit is under HAP Contract. The PHA is required to process these individuals through the Form 50058 submodule in PIC.

Following conversion, 24 CFR § 983.53(d) applies, and any new families referred to the RAD PBV project must be initially eligible for a HAP payment at admission to the program, which means their TTP may not exceed the gross rent for the unit at that time. Further, a PHA must remove a unit from the contract when no assistance has been paid for 180 days. If units are removed from the HAP contract because a new admission's TTP comes to equal or exceed the gross rent for the unit and if the project is fully assisted, HUD is imposing an alternative requirement that the PHA must reinstate the unit after the family has vacated the property. If the project is partially assisted, the PHA may

⁶ For example, a public housing family residing in a property converting under RAD has a TTP of \$600. The property has an initial Contract Rent of \$500, with a \$50 Utility Allowance. Following conversion, the residents is still responsible for paying \$600 in tenant rent and utilities.

substitute a different unit for the unit on the HAP contract in accordance with 24 CFR §983.207 or, where “floating” units have been permitted, Section 1.6.B.10 of this Notice.

4. **Under-Occupied Unit.** If a family is in an under-occupied unit under 24 CFR § 983.260 at the time of conversion, the family may remain in this unit until an appropriate-sized unit becomes available in the Covered Project. When an appropriate sized unit becomes available in the Covered Project, the family living in the under-occupied unit must move to the appropriate-sized unit within a reasonable period of time, as determined by the administering Voucher Agency. In order to allow the family to remain in the under-occupied unit until an appropriate-sized unit becomes available in the Covered Project, 24 CFR § 983.260 is waived. MTW agencies may not modify this requirement.

A. PBV: Other Miscellaneous Provisions

1. **Access to Records, Including Requests for Information Related to Evaluation of Demonstration.** PHAs and the Project Owner must cooperate with any reasonable HUD request for data to support program evaluation, including but not limited to project financial statements, operating data, Choice-Mobility utilization, and rehabilitation work. Please see Appendix IV for reporting units in Form HUD-50058.
2. **Additional Monitoring Requirement.** The Owner must submit to the administering PHA and the PHA’s Board must approve the operating budget for the Covered Project annually in accordance with HUD requirements.⁷
3. **Davis-Bacon Act and Section 3 of the Housing and Urban Development Act of 1968 (Section 3).** This section has been moved to 1.4.A.13 and 1.4.A.14.
4. **Establishment of Waiting List.** 24 CFR § 983.251 sets out PBV program requirements related to establishing and maintaining a voucher-wide, PBV program-wide, or site-based waiting list from which residents for the Covered Project will be admitted. These provisions will apply unless the project is covered by a remedial order or agreement that specifies the type of waiting list and other waiting list policies. The PHA shall consider the best means to transition applicants from the current public housing waiting list, including:
 - i. Transferring an existing site-based waiting list to a new site-based waiting list.
 - ii. Transferring an existing site-based waiting list to a PBV program-wide or HCV program-wide waiting list.
 - iii. Transferring an existing community-wide public housing waiting list to a PBV program-wide or HCV program-wide waiting list, an option particularly relevant for PHAs converting their entire portfolio under RAD.

⁷ For PBV conversions that are not FHA-insured, a future HUD notice will describe project financial data that may be required to be submitted by a PBV owner for purposes of monitoring and evaluation, given that PBV projects do not submit annual financial statements to HUD/REAC.

- iv.** Informing applicants on a community-wide public housing waiting list how to transfer their application to one or more newly created site-based waiting lists.

For any applicants on the public housing waiting list that are likely to be ineligible for admission to a Covered Project converting to PBV because the household's TTP is likely to exceed the RAD gross rent, the PHA shall consider transferring such household, consistent with program requirements for administration of waiting lists, to the PHA's remaining public housing waiting list(s) or to another voucher waiting list, in addition to transferring such household to the waiting list for the Covered Project.

To the extent any wait list relies on the date and time of application, the applicants shall have priority on the wait list(s) to which their application was transferred in accordance with the date and time of their application to the original waiting list.

If the PHA is transferring assistance to another neighborhood and, as a result of the transfer of the waiting list, the applicant would only be eligible for a unit in a location which is materially different from the location to which the applicant applied, the PHA must notify applicants on the wait-list of the transfer of assistance, and on how they can apply for residency at other sites.

If using a site-based waiting list, PHAs shall establish a waiting list in accordance with 24 CFR § 903.7(b)(2)(ii)-(iv) to ensure that applicants on the PHA's public housing community-wide waiting list have been offered placement on the Covered Project's initial waiting list. In all cases, PHAs have the discretion to determine the most appropriate means of informing applicants on the public housing community-wide waiting list given the number of applicants, PHA resources, and admissions requirements of the projects being converted under RAD. A PHA may consider contacting every applicant on the public housing waiting list via direct mailing; advertising the availability of housing to the population that is less likely to apply, both minority and non-minority groups, through various forms of media (e.g., radio stations, posters, newspapers) within the marketing area; informing local non-profit entities and advocacy groups (e.g., disability rights groups); and conducting other outreach as appropriate. Any activities to contact applicants on the public housing waiting list must be conducted in accordance with the requirements for effective communication with persons with disabilities at 24 CFR § 8.6 and with the obligation to provide meaningful access for persons with limited English proficiency (LEP).⁸

A PHA must maintain any site-based waiting list in accordance with all applicable civil rights and fair housing laws and regulations.

To implement this provision, HUD is specifying alternative requirements for 24 CFR § 983.251(c)(2). However, after the initial waiting list has been established, the PHA shall administer its waiting list for the Covered Project in accordance with 24 CFR § 983.251(c).

⁸ For more information on serving persons with LEP, please see HUD's Final guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons (72 FR 2732), published on January 22, 2007.

5. **Mandatory Insurance Coverage.** The Covered Project shall maintain at all times commercially available property and liability insurance to protect the project from financial loss and, to the extent insurance proceeds permit, promptly restore, reconstruct, and/or repair any damaged or destroyed project property.
6. **Agreement Waiver.** This section has been moved to 1.6.B.8.
7. **Future Refinancing.** Project Owners must receive HUD approval for any refinancing or restructuring of secured debt during the HAP Contract term to ensure the financing is consistent with long-term preservation of the Covered Project. With respect to any financing contemplated at the time of conversion (including any permanent financing which is a conversion or take-out of construction financing), such consent may be evidenced through the RCC.
8. **Administrative Fees for Public Housing Conversions During the Year of Conversion.** For the remainder of the Calendar Year in which the HAP Contract becomes effective (i.e., the “year of conversion”), RAD PBV projects will be funded with public housing funds. For example, if the project’s assistance converts effective July 1, 2015, the public housing ACC between the PHA and HUD will be amended to reflect the number of units under HAP Contract, but will be for zero dollars, and the RAD PBV HAP Contract will be funded with public housing money for July through December 2015. Since TBRA is not the source of funds, PHAs should not report leasing and expenses into VMS during this period, and PHAs will not receive section 8 administrative fee funding for converted units during this time.

PHAs operating HCV program typically receive administrative fees for units under a HAP Contract, consistent with recent appropriation act references to “section 8(q) of the [United States Housing Act of 1937] and related appropriations act provisions in effect immediately before the Quality Housing and Work Responsibility Act of 1998” and 24 CFR § 982.152(b). During the year of conversion mentioned in the preceding paragraph, these provisions are waived. PHAs will not receive Section 8 administrative fees for PBV RAD units during the year of conversion.

After the year of conversion, the Section 8 ACC will be amended to include Section 8 funding that corresponds to the units covered by the Section 8 ACC. At that time, the regular Section 8 administrative fee funding provisions will apply.

9. **Choice-Mobility.** One of the key features of the PBV program is the mobility component, which provides that if the family has elected to terminate the assisted lease at any time after the first year of occupancy in accordance with program requirements, the PHA must offer the family the opportunity for continued tenant-based rental assistance, in the form of either assistance under the voucher program or other comparable tenant-based rental assistance.

If as a result of participation in RAD a significant percentage of the PHA’s HCV program becomes PBV assistance, it is possible for most or all of a PHA’s turnover vouchers to be used to assist those

RAD PBV families who wish to exercise mobility. While HUD is committed to ensuring mobility remains a cornerstone of RAD policy, HUD recognizes that it remains important for the PHA to still be able to use tenant-based vouchers to address the specific housing needs and priorities of the community. Therefore, HUD is establishing an alternative requirement for PHAs where, as a result of RAD, the total number of PBV units (including RAD PBV units) under HAP Contract administered by the PHA exceeds 20 percent of the PHA's authorized units under its HCV ACC with HUD.

The alternative mobility policy provides that an eligible voucher agency would not be required to provide more than three-quarters of its turnover vouchers in any single year to the residents of Covered Projects. While a voucher agency is not required to establish a voucher inventory turnover cap, if such a cap is implemented, the voucher agency must create and maintain a waiting list in the order in which the requests from eligible households were received. In order to adopt this provision, this alternative mobility policy must be included in an eligible PHA's administrative plan.

To effectuate this provision, HUD is providing an alternative requirement to Section 8(o)(13)(E) of the Act and 24 CFR § 983.261(c). Please note that this alternative requirement does not apply to PBVs entered into outside of the context of RAD. MTW agencies may not alter this requirement.

- 10. Reserve for Replacement.** The Project Owner shall establish and maintain a replacement reserve in an interest-bearing account to aid in funding extraordinary maintenance and repair and replacement of capital items in accordance with applicable regulations. The reserve must be built up to and maintained at a level determined by HUD to be sufficient to meet projected requirements. For FHA transactions, Replacement Reserves shall be maintained in accordance with the FHA Regulatory Agreement. For all other transactions, Replacement Reserves shall be maintained in a bank account or similar instrument, as approved by HUD, where funds will be held by the Project Owner or mortgagee and may be drawn from the reserve account and used subject to HUD guidelines.

Reference HUD Notice PIH 2014-17

<https://www.hud.gov/sites/documents/PIH2014-17.PDF>

Progress report

Continue to improve the quality of assisted housing

- Assess management factors affecting AHA's PHAS score and develop an action plan to continue to achieve "high performer" status.
- Improve customer satisfaction:
 - a. Capture information from resident survey data compiled by HUD when administered; consider working through local college/university to conduct additional surveys.
 - b. Encourage culture of mutual civility and respect between AHA staff and clientele through training and by example.

Continue to explore efforts to Increase assisted housing choices

- **Continue homeownership opportunities for voucher holders, Family Self-Sufficiency (FSS) participants, and public housing residents.**
 - a. Pursue funding to restore homeownership counseling services.
 - b. Encourage and assist public housing residents paying flat rents to pursue homeownership.
 - c. Consider and explore options to limit occupancy to five years at flat rents so as to free up units for families on the waiting list.
- **Ensure that new building and modernization work can be sustained efficiently and economically.**
 - a. Include maintenance and AMP management staff in planning and design process for construction and modernization.
 - b. Involve occupancy staff in evaluating development budget assumptions about likely tenant incomes.
 - c. Improve inspections follow-through to ensure consistency between design specifications and construction and to hold developers accountable for meeting specifications.

Improve community quality of life and economic vitality.

Provide an improved living environment

- **Implement public housing security improvements.**
 - Continue to improve security using Crime Prevention through Environmental Design (CPTED) principles.
 - Continue to de-densify public housing developments when feasible.
- **Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments and helping residents achieve higher incomes.**
- **Continue measures to promote income mixing in public housing by assuring access for lower income families into higher income developments. Attract more moderate-income residents to the waiting list.**
- **Continue to explore options that will continue to improve applicant screening, including higher standards for home checks.**
- **Implement public housing security improvements.**
 - a. Continue to improve security using CPTED principles.
 - b. Continue to upgrade security camera systems.
 - c. De-densify public housing developments when feasible and fungible.
 - d. Continue targeted police patrols to promote crime reduction
 - e. Continue to communicate with residents regarding security and safety issues in the sites using the AHA newsletter, rent bills, tenant groups and meetings.
 - f. Continue to collaborate with the Resident Advisory Board to develop strategies for youth that result in partnerships and contracts with experienced youth service programs/agencies to promote self-esteem, self-sufficiency, etc. when possible and if financially feasible.
 - g. Establish police satellite offices on AHA high rise properties which house vulnerable populations. (Elderly and disabled).
 - h. Continue relationship with the Capital Region Crime Analysis Center using crime mapping technology to deploy police assets.
 - i. Offer personal and home safety training to residents

Continue working as a positive force for change in the community, broadly defined, consistent with stated mission and long-term sustainability.

- Promote and support reinvestment in AHA neighborhoods.
 - a. Publicize neighborhood improvements.
 - b. Partner with the City of Albany in developing plans and pursuing reinvestment in AHA neighborhoods.
- Develop affordable market rate rental and homeownership housing whenever possible in conjunction with the development of low-income assisted affordable housing.
- Develop affordable commercial and office space whenever possible, as a means to bringing needed goods and services into disinvested communities and help change them into neighborhoods of choice.
- Seek to develop affordable housing in non-impacted neighborhoods within the City of Albany, especially those more easily accessible to employment opportunities
- Support development and implementation of neighborhood plans
- Continue to support and grow the educational programming and employment opportunities of the Capital South Campus Center.
- Continue to support neighborhood revitalization efforts by working collaboratively with stakeholders.

Promote self-sufficiency and asset development of families and individuals.

Promote self-sufficiency and asset development of assisted households.

- Increase the number and percentage of employed persons in assisted families.
 - a. Improve promotion and utilization of THE Center & CTI programs leveraging ROSS Family Service Coordination and PH and Section 8 FSS funding
- Provide or attract supportive services to improve assistance recipients' employability.
 - a. Promote GED classes to encourage higher education and increased wage earnings potential.
- Provide or attract supportive services to increase independence for the elderly or families with disabilities.
 - a. Continue to provide the Service Coordinator program.
 - b. Explore partnerships that could bring a fuller range of assisted living services to elderly residents.
- Continue to partner and to assist in the progress of the Capital South Campus Center (CSCC) using HUD grant funds, continue partnering with CSCC Advisory Council and the Managing Partner as facility operator and a wide variety of service providers, educational institutions, government and private sector employers in an effort to educate and train residents of Albany's South End, its similarly disadvantaged neighborhoods, as well as its higher income neighborhoods for employment, improved employment opportunities and general self-sufficiency and health.

- Continue to apply for and, if awarded, administer grant programs that benefit resident self-sufficiency, provide training on computer skills and software programs, and promote overall individual and family employability.

5 Year Goals	2019 Updates and New Initiatives
Capital South Plan <ul style="list-style-type: none"> ▪ Continue to support initiatives that lead to attainment of the goals of the Plan. ▪ Continue to participate in and encourage AHA residents to participate in the South End Neighborhood Association ▪ Seek partnerships with other stakeholders and provide leadership and assistance where possible ▪ Support residents and reinforce previous housing investments 	Capital South Plan <ul style="list-style-type: none"> ▪ Explore developing market rental in and around the South End to accommodate existing AHA residents who may be affected by the 5 year limitation on flat rents. ▪ Explore developing subsidized and unsubsidized homeownership in and around the South End ▪ Explore redevelopment of the “DMV Block” as mixed-finance, mixed-use commercial hub of the South End
Lincoln Square Homes <ul style="list-style-type: none"> ▪ Dispose and demolish 192 units, Head Start Center and management office at 1, 2, and 3 Lincoln; explore adaptive reuse of 2 Lincoln Square ▪ Continue to apply for state and federal funding, including Choice Neighborhoods, to develop off-site replacement housing and Head Start Center ▪ Support the Capital South Campus Center and continue to redevelop the Lincoln site and surrounding area into a campus for workforce development and higher education 	Lincoln Square Homes <ul style="list-style-type: none"> ▪ Explore adaptive reuse of underutilized buildings and vacant land for private sector business and workforce development associated with the Capital South Campus Center. ▪ Explore repositioning strategies using 9%/4% tax credit applications
Steamboat Square Homes <ul style="list-style-type: none"> ▪ Explore converting hi-rise towers into mixed-income, mixed-use housing as part of a vibrant market-rate redevelopment plan for the South Waterfront District 	Steamboat Square Homes <ul style="list-style-type: none"> ▪ Create a master development plan ▪ Complete market study ▪ Explore Phased 9% and 4% LIHTC projects with RAD including exterior makeover and retrofit designs of towers, renovating vacant and occupied space ▪ Build city support and assistance
Nutgrove Garden Apartments <ul style="list-style-type: none"> ▪ Refinance and modernize 	Nutgrove Garden Apartments <ul style="list-style-type: none"> ▪ Multiyear plan has been developed to replace kitchens through operating replacement reserves –roofs completed Jan 2019. ▪ Explore financing opportunity to install sprinklers ▪ Explore Phased 9% and 4% LIHTC projects with RAD including exterior makeover and renovating vacant and occupied space
Steamboat Square Historic Rehabs <ul style="list-style-type: none"> ▪ Explore and possibly dispose 2- and 3-unit buildings to owner occupants. ▪ Dispose of multi-unit buildings to non-profits or private landlords. ▪ Use profit and ACC operating subsidy to develop new units. 	Steamboat Square Historic Rehabs <ul style="list-style-type: none"> ▪ Work on multiyear plan to convert to homeownership ▪ Explore Phased 9% and 4% LIHTC projects with RAD including exterior makeover and renovating vacant and occupied space
Underused Building and vacant land <ul style="list-style-type: none"> ▪ Envisioning a mixed-use wellness campus serving the housing and healthcare needs of South Enders. 	Underused Building and vacant land <ul style="list-style-type: none"> ▪ Create community consensus on site ▪ Create a master development plan ▪ Begin developing partnerships ▪ Begin building community consensus
Arbor Hill Neighborhood Plan <ul style="list-style-type: none"> ▪ Continue to support initiatives that lead to attaining the goals of the Plan ▪ Continue to participate in and encourage AHA residents to participate in the Arbor Hill Neighborhood Association 	Arbor Hill Neighborhood Plan <ul style="list-style-type: none"> ▪ Continue to convene the Swan Street Workgroup and supporting their initiatives ▪ Continue to assemble land and seek partnership opportunities for developing a food market on Swan Street

Arbor Hill Neighborhood Plan <ul style="list-style-type: none"> Seek partnerships with other stakeholders and provide leadership and assistance where possible Continue to lead and support planning and development of North Swan Street Support residents and reinforce prior housing investments 	Arbor Hill Neighborhood Plan <ul style="list-style-type: none"> Work with NYSHCR to foreclose on non-compliant properties Explore reinventing and marketing Arbor Hill as an arts district
Ida Yarbrough Low-Rise Homes <ul style="list-style-type: none"> Dispose of and demolish 53 units of residential housing Apply for funding and develop fewer units on-site Include owner-occupied units in the onsite redevelopment plan Apply for funding and develop off-site replacement units Relocate residents to replacement units to the extent feasible and with Section 8 vouchers; existing residents shall receive preference for replacement housing. Continue to support the goals of the Arbor Hill Neighborhood Plan 	Ida Yarbrough Low-Rise Homes <ul style="list-style-type: none"> Closed on mixed-financing in mid-March; demolition of Ida Low-Rise former units complete; Phase II occupancy expected around July 2019. Seek funding to develop Phase 3, onsite 10 unit homeownership Explore development of market rate rental and homeownership on- and off-site Explore RAD for Ida Redevelopment Phase I and II
NY9-5 Ida Yarbrough Hi-Rise Homes <ul style="list-style-type: none"> Explore disposition and substantial rehabilitation with possibility of renting to mixed income clientele. Apply for any grants that become available to rehabilitate and perform deep energy retrofit of the buildings 	NY9-5 Ida Yarbrough Hi-Rise Homes <ul style="list-style-type: none"> Conduct a planning charrette that includes the development objectives for this site. Pursue 4% LIHTC applications with RAD, study possible unit reconfiguration and energy retrofits including renewable energy options
NY9-1 Whalen Homes <ul style="list-style-type: none"> Dispose or redevelop Whalen Homes 	NY9-1 Whalen Homes <ul style="list-style-type: none"> Determine next major modernization milestone as way of setting course and timeline for disposition or redevelopment including RAD analysis Begin planning for replacement housing
West Hill Neighborhood Plan <ul style="list-style-type: none"> Work with the City of Albany and stakeholder groups to create a neighborhood revitalization plan. Explore partnerships that lead to the development of housing and other initiatives that support the neighborhood plan. 	West Hill Neighborhood Plan <ul style="list-style-type: none"> Continue to convene the Lexington Avenue Workgroup and support their initiatives Participate in City of Albany planning activities in West Hill, including West Hill plan done by City planning consultant; report is now available. Explore sites and partnerships for the development of replacement, mixed-finance and mixed-use housing Explore acquisition and redevelopment of Bleecker Terrace
NY9-21 Scattered Sites (3rd Street) NY 9-22 (Ontario and Sherman Streets) NY 9-29 (Pieter Schuyler Court) <ul style="list-style-type: none"> Explore disposition of units to qualified owner occupants; attempt to qualify and sell to existing occupants. 	NY9-21 Scattered Sites (3rd and Sherman Streets) <ul style="list-style-type: none"> Gauge residents' interest in participating in homeownership programs and purchasing their unit.
North Albany Homes <ul style="list-style-type: none"> Refinance and modernize North Albany Homes Close out HOPE VI Grant Exploring option to carve out units after the compliance period for homeownership. 	North Albany Homes <ul style="list-style-type: none"> Continue to prepare for end of compliance period and readiness for refinancing Explore RAD including Needs Assessment. Explore disposition of units for Homeownership
Westview Homes <ul style="list-style-type: none"> Explore and possibly consolidate additional units into one bedroom units. Explore disposition and possibly partner with other 	Westview Homes <ul style="list-style-type: none"> Apply for any grants that become available to rehabilitate the building.

<p>Westview Homes continues..... organizations to develop a continuum of care campus on and around the Westview property</p> <ul style="list-style-type: none"> ▪ Apply for any grants that become available to rehabilitate the building. 	<ul style="list-style-type: none"> ▪ Explore Phased 9% and 4% LIHTC projects with RAD including exterior makeover and retrofit designs of the tower, renovating vacant and occupied space
<p>General Planning and Development Initiatives</p> <ul style="list-style-type: none"> ▪ Explore development opportunities and partnerships for market rate rental and homeownership, workforce housing, and supportive housing in the City of Albany and elsewhere ▪ Participate in the City of Albany’s rezoning effort ▪ Study AHA’s energy needs and create a comprehensive sustainability plan including renewable energy 	<p>General Planning and Development Initiatives</p> <ul style="list-style-type: none"> ▪ Conduct market studies, meet with prospective partners and watch for funding availability ▪ Meet with the City zoning staff as necessary ▪ AHA picked a developer Partner to work with for the next 5 years on strategies for LIHTC projects along with RAD at the public housing sites ▪ AHA is working on ways to increase the use of renewable energy and work with the 2019 Governor’s renewable energy goals which includes exploring solar for the Authority and tenant paid utilities.

Demolition and/or Disposition

Lincoln Park Homes

Following the Capital South Plan: SEGway to the Future neighborhood plan developed by the City of Albany, the AHA intends to demolish the three high rise towers at Lincoln Square Homes (NY009000004). The three towers are “universally viewed as a priority for demolition, not just because they have become of age, but also because they loom over both the South End and Mansion neighborhoods, their central park, and Morton Avenue spine (where drug dealing is said to be prevalent).” Based on AHA’s past experience, the total demolition costs are estimated to be \$4.5 million. The State of New York has expressed a willingness to incentivize our demolition process provided we secure a letter of interest from a commercial developer to diversify this location site. If the AHA is unable to secure funding for the demolition, then we will explore repositioning strategies using 9%/4% tax credit applications, subject to community input. Lincoln Square Homes is also undergoing the application process for RAD though no commitments have been made to date.”