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| 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. | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 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): 07/2021 PHA Inventory (Based on Annual Contributions Contract (ACC) units at time of FY beginning, above) Number of Public Housing (PH) Units 1802 Number of Housing Choice Vouchers (HCVs) 2539 Total Combined 4341 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; margin-top: 10px;"> <thead> <tr> <th rowspan="2" style="width: 25%;">Participating PHAs</th> <th rowspan="2" style="width: 10%;">PHA Code</th> <th rowspan="2" style="width: 25%;">Program(s) in the Consortia</th> <th rowspan="2" style="width: 20%;">Program(s) not in the Consortia</th> <th colspan="2" style="width: 20%;">No. of Units in Each Program</th> </tr> <tr> <th style="width: 10%;">PH</th> <th style="width: 10%;">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: | | | | | | | | | | | | | | | | | |
| 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.</p> <p><input checked="" type="checkbox"/> <input 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 checked="" type="checkbox"/> <input type="checkbox"/> Rent Determination.</p> <p><input checked="" type="checkbox"/> <input 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 checked="" type="checkbox"/> <input type="checkbox"/> Substantial Deviation.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Significant Amendment/Modification</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 checked="" type="checkbox"/> <input 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 checked="" type="checkbox"/> <input 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. See Attached</p> |

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| 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 <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 | <p>Civil Rights Certification.</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.3 | <p>Resident Advisory Board (RAB) Comments.</p> <p>(a) Did the RAB(s) provide comments to the PHA Plan?</p> <p>Y N <input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>If yes, comments must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the RAB recommendations and the decisions made on these recommendations.</p> |
| C.4 | <p>Certification by State or Local Officials.</p> <p>Form HUD 50077-SL, <i>Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan</i>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p> |
| 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 | <p>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 6/09/2020</p> |

WORKING DRAFT

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.

WORKING DRAFT

The Albany Housing Authority (NY009)

PHA 5-Year and Annual Plan

5.1 Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years:

Our mission is to provide high quality, affordable and sustainable housing opportunities while continuing to promote economic independence and stability for our residents.

5.2 Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.

REASONABLE ACCOMMODATION REQUESTS -WITH RESPECT TO ANIMALS THAT TENANTS WITH DISABILITIES MAY REQUEST AS A REASONABLE ACCOMMODATION: AHA WILL ADOPT AND USE THE QUESTIONNAIRE ANALYSIS PROVIDED IN PHA NOTICE ISSUED ON JANUARY 28, 2020. THE SERIES OF QUESTIONS WILL SERVE AS A MODEL TO GAGE THE APPLICABILITY OF TENANTS REQUEST TO HAVE AN ANIMAL AS A REASONABLE ACCOMMODATION UNDER THE FAIR HOUSING ACT.

GRIEVANCES AND APPEALS: AHA WILL IMPROVE RESPONSE TO RESIDENT COMPLAINTS AND OR GRIEVANCE REQUESTS. REQUESTS WILL BE REVIEWED TO DETERMINE THE APPROPRIATENESS OF ALL TENANT RELATED COMPLAINTS WITHIN 3-5 BUSINESS DAYS OF TENANTS' WRITTEN NOTICE. IN EFFORT TO ENSURE THE NECESSITY OF SUCH GRIEVANCE AHA WILL ATTEMPT TO RESOLVE THROUGH EXCHANGE WITH ONSITE ASSET MANAGERS AND RELATED STAFF. THE AHA WILL SCHEDULE AND SEND WRITTEN NOTICE OF THE INFORMAL HEARING WITHIN 10 BUSINESS DAYS OF THE FAMILY'S REQUEST.

COLLECTION MATTERS- TO REDUCE AND/OR RESOLVE THE NUMBER OF DELINQUENT ACCOUNTS AHA WILL REFER FAMILIES FOR FINANCIAL MANAGEMENT COUNSELING FACILITATED BY THE ROSS COORDINATOR. AHA WILL EVALUATE ENFORCEMENT EFFORTS BASED ON TENANTS WILL AND COMPLIANCE IN ADDRESSING OUTSTANDING BALANCES OLDER THAN 6 MONTHS OLD. CONTINUED NONCOMPLIANCE AND NONPAYMENT OF TENANT RELATED CHARGES DUE TO EXCESS FEES WILL BE ENFORCED THROUGH THE COURTS.

VAWA- AHA IS ACTING IN FULL ACCORDANCE WITH THE VIOLENCE AGAINST WOMEN ACT (VAWA) AHA WILL REVISE THEIR WRITTEN VAWA PLAN TO ENSURE PHYSICAL SAFETY OF VICTIMS OF ACTUAL OR THREATENED DOMESTIC VIOLENCE, OR STALKING WHO ARE ASSISTED BY THE AHA. THIS WILL INCLUDE BROKERING AND/OR REFERRING FAMILIES TO EQUINOX, CRIME VICTIMS ASSISTANCE PROGRAMS, AND/OR NYS FAMILY COURT SYSTEM FOR FURTHER SUPPORT. AHA WILL PROVIDE AND MAINTAIN HOUSING OPPORTUNITIES FOR VICTIM THROUGH A COLLABORATIVE EFFORT WHICH MAY INCLUDE LAW ENFORCEMENT AUTHORITIES, VICTIM SERVICE PROVIDERS TO PROMOTE THE SAFETY AND WELL-BEING OF VICTIMS OF ACTUAL OR THREATENED DOMESTIC VIOLENCE, DATING VIOLENCE, AND STALKING. AHA STAFF HAS RECEIVED TRAINING ABOUT THE PROTECTIONS

AFFORDED TO VAWA AND ARE AWARE OF VARIOUS CIRCUMSTANCES IN WHICH TENANTS MAY NEED TO BE REMINDED OF THEIR PROTECTIONS. AHA ALSO PROVIDES ALL TENANTS WITH INFORMATION ABOUT VAWA AT THE TIME OF ADMISSION AND AT ANNUAL REVIEWS AND NOTICES OF DENIAL OF ASSISTANCE OR LEASE TERMINATION. TENANT SEEKING SUCH PROTECTIONS ARE ENCOURAGED TO COMPLETE FORM HUD 50056 AS WELL AS SEEK FURTHER REDRESS FROM LOCAL AGENCIES WITHIN SERVICE AREA AND/OR JURISDICTION

ANNUAL REEXAMINATION- AHA will make a concerted effort to conduct 100% Annual Recertifications for all PH and LIHTC housing programs. To include the training all department staff to ensure processing is handled in a more efficient and streamlined manner. This may include utilizing Community Service Liaison and other supportive service providers to ensure resident compliance and cooperation.

Program Efficiency and Fiscal Responsibility

AHA will conduct Public Housing Program Flat Rent Analysis and Annual Utility Allowance Review of All PH Programs in a timely manner.

OVER INCOME FAMILIES (PIH-2019-11) - AHA WILL TRACK FAMILIES OVER INCOME STATUS AT AND IF THE HOUSEHOLD INCOME EXCEEDS THE APPLICABLE OVER INCOME LIMIT, AHA WILL DOCUMENT THIS IN THE TENANTS FILE AND TRACK THEIR INCOME STATUS. IN ONE YEAR AFTER THE APPLICABLE ANNUAL OR INTERIM REEXAMINATION AND THEY CONTINUE TO EXCEED THE APPLICABLE OVER INCOME LIMIT, THE AHA WILL NOTIFY THE FAMILY IN WRITING THAT THEIR INCOME HAS EXCEEDED THE OVER INCOME LIMIT FOR ONE YEAR AND IF THEY CONTINUE TO BE OVER INCOME FOR ANOTHER 12 MONTHS, THEY WOULD BE SUBJECT TO AHA'S OVER INCOME POLICY. IF AFTER THE TWO YEARS AFTER THE APPLICABLE ANNUAL OR INTERIM REEXAMS THE HOUSEHOLD INCOME CONTINUES TO EXCEED THE APPLICABLE OVER INCOME LIMIT, AHA WILL CHARGE THE

5.2 Goals and Objectives Continued

FAMILY RENT THAT IS HIGHER OF THE APPLICABLE FMR OR THE AMOUNT OF THE MONTHLY SUBSIDY FOR THE UNIT. THE TENANT WILL RECEIVE WRITTEN NOTICE OF THEIR NEW AMOUNT VIA A 30 DAY. IF THE HOUSEHOLD CIRCUMSTANCES CHANGE AND THEY EXPERIENCE AN INCOME DECREASE IN INCOME, THE FAMILY MAY REQUEST AN INTERIM REDETERMINATION OF RENT IN ACCORDANCE WITH AHA POLICY.

Definition of Over-Income: The new language in section 16(a)(5) of the 1937 Act sets the over-income limit at 120 percent of the AMI. However, HUD can adjust the over-income limit if the Secretary determines that it is necessary due to prevailing levels of construction costs or unusually high or low family incomes, vacancy rates, or rental costs. HUD exercised this discretion as described in the 2016 and 2018 FR Notices respectively. HUD currently calculates three declining ranges of income eligibility for the public housing program: low-, very low-, and extremely low-income limits. **The VLI limit was selected because it is calculated for every FMR area and, in certain areas, factors in several adjustments to better align income limits with program requirements.** Since VLI is preliminarily calculated as 50 percent of the estimated AMI for the family, in most cases, multiplying it by 2.4, would result in a figure matching 120 percent. For those areas without an adjustment, the result is an over-income limit of exactly 120 percent of AMI. For areas where HUD has made an adjustment to the VLI limit, the result of the multiplier will be higher or lower than 120 percent of AMI, depending on the adjustments made. (See appendix for examples) The final over-income limit should then be compared to the family's adjusted income and as with the existing ranges of income eligibility, the new over-income limits will also be tiered by family size. HUD's income limits were developed by HUD's Office of Policy Development and Research and are updated annually. Information about HUD's income limits and HUD's methodology for adjusting income limits as part of the income limit calculation can be found at <https://www.huduser.gov/portal/datasets/il.html>.

1- \$81,480 **5- \$125,760**
2- \$93,120 **6- \$135,120**
3- \$104,760 **7- \$144,360**
4- \$116,400 **8- \$153,720**

| Family Size Adjustments and Final VLIL for Albany-Schenectady-Troy, NY MSA | | | | | | | | |
|--|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| | 1-Person | 2-Person | 3-Person | 4-Person | 5-Person | 6-Person | 7-Person | 8-Person |
| Family Size Adjustment | \$48,500 | \$48,500 | \$48,500 | \$48,500 | \$48,500 | \$48,500 | \$48,500 | \$48,500 |
| | * | * | * | * | * | * | * | * |
| | 0.70 | 0.80 | 0.90 | 1 | 1.08 | 1.16 | 1.24 | 1.32 |
| Very Low Income Limit | \$33,950 | \$38,800 | \$43,650 | \$48,500 | \$52,380 | \$56,260 | \$60,140 | \$64,020 |
| FY 2020 FINAL VLIL | \$33,950 | \$38,800 | \$43,650 | \$48,500 | \$52,400 | \$56,300 | \$60,150 | \$64,050 |

COMMUNITY SERVICE AND ECONOMIC SELF-SUFFICIENCY REQUIREMENT (CSSR)- AHA WILL PROVIDE FAMILIES WITH A QUALIFIED LIST OF LOCAL COMMUNITY AGENCIES AS IT RELATES TO REQUIREMENT OF THE PROGRAM FOR EIGHT (8) HOURS PER MONTH MAY BE EITHER VOLUNTEER WORK OR SELF-SUFFICIENCY PROGRAM ACTIVITY, OR A COMBINATION OF THE TWO. AHA WILL UTILITIES THE ROSS COORDINATOR IN THE ESTABLISHMENT OF A LIST TO AID FAMILIES WITH THIS REQUIREMENT AS THIS IS ESSENTIAL FOR FAMILIES TO HAVE A LISTING OF POTENTIAL AGENCIES TO ASSIST THEM WITH MEETING THIS LEASE OBLIGATION.

5.2 Goals and Objectives Continued

FRAUD AND/OR UNDERREPORTING OF HOUSEHOLD INCOME- AHA WILL STREAMLINE ITS PROCESS IN THE PREVENTION, DETECTION AND INVESTIGATION OF ERRORS AND POTENTIAL PROGRAM ABUSE. AHA WILL MAKE A MORE CONCERTED EFFORT TO USE EIV AND SUBSIDY REPORTS TO ACCOUNT FOR ACTIVITY PRIOR TO THE HOUSEHOLD'S ANNUAL REEXAMINATION.

Albany Housing Authority 5 year plan - MIS Department

Computers

Explore the possibility of upgrading AHA computers.

Computer Operating Systems

Research different versions of current Microsoft Windows computer operating systems to find which will meet AHA needs and is the best to upgrade.

Computer Software Office Products

AHA will explore the different versions of software office products available in the industry and decide if the new/different version will work with AHA's day to day processes.

Servers

Explore servers that are available to migrate from older units to newer units.

Server Operating Systems

Research different versions of current Microsoft Windows Server operating systems to find which will meet the needs for AHA and is the best to upgrade.

Server Software Email Products

Research different versions of current Microsoft Windows email server products to find which will meet the needs for AHA and is the best to upgrade.

ERP Software Upgrades

Continue to keep an open dialog with AHA's ERP package vendor about new software upgrades and opportunities that are available that will best fit AHA's technology direction and implement.

ERP Hardware Upgrades

Explore the hardware upgrade options and new technology available from AHA's ERP package vendor and find if they will benefit AHA's day to day processes and if they do, implement.

New Backup Solution

Continue doing research on new backup solutions and implement.

5.2 Goals and Objectives Continued

File Transfer Solution

Continue doing research on new file transfer solutions and implement

Redundant Exchange Server

AHA will research the possibility of installing a redundant exchange server off-site at AHA's disaster recovery location.

Network Security & Cyber Security Project

AHA will research and explore different options to increase network and cyber security for both the intranet and extranet and implement.

Phone System Upgrade

Continue to research new available options for AHA's IP phone system and if they meet AHA's need and implement

Security Grant – Camera Systems

Through a Security Grant, AHA will be expanding its camera presence at a four different locations.

Security Grant – Card Access Systems

Through a Security Grant, AHA will be migrating/upgrading its card access systems.

Security Alarms

AHA will be upgrading/migrating to one type of security alarm for single point of access.

Disaster Recovery Solution

Evaluate current disaster cover center location and solutions in place and make adjustments to improve redundancy.

Cameras Systems

Evaluate current camera coverage and research possible solutions to provide coverage continuity and install new camera locations to watch over problem areas.

Card Access

Continue evaluating current Card Access Systems and migrate to one platform.

Unified Power Supplies

Research new versions of power supplies and replace aging units.

Records Department

Evaluate current Records Room policies and procedures. Make adjustments as necessary

| 5 Year Goals | 2020 Updates and New Initiatives |
|--|--|
| <p>Capital South Plan</p> <ul style="list-style-type: none">▪ Collaborate with City of Albany Community Engagement Process for South End Plan Update▪ 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 and other neighborhood organizations within the community.▪ Seek partnerships with other stakeholders and/or sub-committees and provide leadership and assistance where possible▪ Support residents and reinforce previous housing investments | <p>Capital South Plan</p> <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▪ Explore opportunities for RAD and other funding sources.▪ Work with Community Organizations for economic development. |

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| <p>Lincoln Square Homes</p> <ul style="list-style-type: none"> ▪ Continue to support initiatives that lead to attainment of the goals of the Plan ▪ Dispose and demolish 192 units, 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 ▪ 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 | <p>Lincoln Square Homes</p> <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 and Lincoln Square Homes. ▪ Explore decommissioning through obsolescence and Section 18 to include tenant protection law. ▪ Explore funding opportunities for demolition of obsolete buildings |
| <p>Steamboat Square Amps (9-3, 9-11, 9-12)</p> <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 ▪ Explore and possibly dispose of 2- and 3-unit buildings to owner occupants. ▪ Dispose of multi-unit historic low rise buildings to non-profits or private landlords. ▪ Use profit and ACC operating subsidy to develop new units. | <p>Steamboat Square Homes</p> <ul style="list-style-type: none"> ▪ Create and implement a master development plan for high rise and low rise property. ▪ Complete market study ▪ Submitted application for a 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 ▪ Work on multiyear plan to convert to homeownership ▪ Explore and continue to work with consultants |
| <p>Nutgrove Garden Apartments</p> <ul style="list-style-type: none"> ▪ Refinance and modernize | <p>Nutgrove Garden Apartments</p> <ul style="list-style-type: none"> - Continue to develop multiyear plan to replace kitchens, HVAC, lighting, sprinkler and life safety items through operating replacement reserves and/or other funding opportunities. - Explore 9% and 4% LIHTC projects with RAD to provide major rehab. |
| <p>South End Underused Building and vacant land</p> <ul style="list-style-type: none"> ▪ Envisioning a mixed-use wellness campus serving the housing and healthcare needs of South Enders. | <p>South End Underused Building and vacant land</p> <ul style="list-style-type: none"> ▪ Create community consensus on site ▪ Create a master development plan ▪ Begin developing partnerships ▪ Begin building community consensus |

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| <ul style="list-style-type: none"> ▪ Explore options to replace 3 Lincoln Collaboratory- possible two stories with commercial space. | |
| <p>Arbor Hill Neighborhood Plan</p> <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 <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 | <p>Arbor Hill Neighborhood Plan</p> <ul style="list-style-type: none"> ▪ Continue to convene the Arbor Hill Workgroup and supporting their initiatives ▪ Continue to assemble land and seek partnership opportunities for developing a food market on Swan Street ▪ Continue reinventing and marketing Arbor Hill as an arts district ▪ Continue to work with various community organizations towards their initiatives. |
| <p>Ida Yarbrough Low-Rise Homes</p> <ul style="list-style-type: none"> ▪ Include owner-occupied units in the onsite redevelopment plan ▪ Continue to support the goals of the Arbor Hill Neighborhood Plan | <p>Ida Yarbrough Low-Rise Homes</p> <ul style="list-style-type: none"> ▪ Continue to support Phase 3 Homeownership partners Affordable Housing Partnership and Habitat for Humanity for their purchase through section 18 disposition of the former AHA public housing building site; assist their securing of final funding for 6 Habitat Homeownership units <ul style="list-style-type: none"> ▪ Explore development of market rate rental and homeownership on- and off-site ▪ Explore RAD for Ida Redevelopment Phase I and II |
| <p>NY9-5 Ida Yarbrough Hi-Rise Homes Explore disposition and substantial rehabilitation with possibility of renting to mixed income clientele.</p> <ul style="list-style-type: none"> ▪ Apply for any grants that become available to rehabilitate and perform deep energy retrofit of the buildings | <p>NY9-5 Ida Yarbrough Hi-Rise Homes</p> <ul style="list-style-type: none"> ▪ Execute Phase 1 of a 2-year plan to renovate apartments under RAD Development. Goal for 2021 is 112 apartments. |
| <p>NY9-1 Whalen Homes</p> <ul style="list-style-type: none"> ▪ Dispose or redevelop Whalen Homes | <p>NY9-1 Whalen Homes</p> <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 |
| <p>West Hill Neighborhood Plan</p> <ul style="list-style-type: none"> ▪ Work with the City of Albany and stakeholder groups to create a neighborhood revitalization plan. | <p>West Hill Neighborhood Plan</p> <ul style="list-style-type: none"> ▪ Continue to convene the West Hill Workgroup and support their initiatives |

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| <p>Explore partnerships that lead to the development of housing and other initiatives that support the neighborhood plan.</p> | <ul style="list-style-type: none"> ▪ 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 |
| <p>NY9-21 Scattered Sites (3rd Street) NY 9-22 (Ontario and Sherman Streets) NY 9-29 (Pieter Schuyler Court)</p> <ul style="list-style-type: none"> ▪ Explore disposition of units to qualified owner occupants; attempt to qualify and sell to existing occupants. | <p>NY9-21 Scattered Sites (3rd and Sherman Streets)</p> <ul style="list-style-type: none"> ▪ Gauge residents’ interest in participating in homeownership programs and purchasing their unit. |
| <p>North Albany Homes</p> <ul style="list-style-type: none"> ▪ Refinance and modernize North Albany Homes ▪ Exploring option to carve out units after the compliance period for homeownership. | <p>North Albany Homes</p> <ul style="list-style-type: none"> ▪ Continue to prepare for end of initial compliance period and readiness for refinancing ▪ Execute Phase 1 of a 2-year plan to renovate duplex apartments under RAD Development. Goal for 2021 is 80 apartments. ▪ Continue to explore disposition of units for Homeownership |
| <p>Westview Homes</p> <ul style="list-style-type: none"> ▪ Explore and possibly consolidate additional units into one bedroom units. ▪ Explore disposition and possibly partner with other organizations to develop a continuum of care campus on and around the Westview property | <p>Westview Homes</p> <ul style="list-style-type: none"> ▪ Apply for any grants that become available to rehabilitate the building. ▪ Explore Phased 9% and 4% LIHTC projects with RAD including exterior makeover and retrofit designs of the tower, and renovations including renewable energy. |
| <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 ▪ Facilitate adaptive reuse of 15 Warren Street through “Creative Economy” strategy and community and industry experts to serve on an advisory board. | <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 ▪ Continue to work with our Developer Partner for the next 4 years on strategies for LIHTC projects along with RAD at the public housing sites |

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| <p>Seek funding sources to implement the plan.</p> | <ul style="list-style-type: none"> 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 community solar sourced electricity and other renewables for the Authority and tenant paid utilities. |
| <p>Ezra Prentice Apartments</p> <ul style="list-style-type: none"> Continue planned site improvements to waterline and parking lots. | <p>Ezra Prentice Apartments</p> <ul style="list-style-type: none"> AHA will proceed with waterline replacement and parking lot paving at a cost of \$313,023.54. \$200,000 will be paid for out of the property reserves and the remaining \$113,023.54 will be funded by CFP funds subject to an April 2021 public meeting. |

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.”

KIDD – continue relationship with city, AHA provides the three season facility on city park work annually with city leaders to provide programming.

Capital South Campus Center – to work with program management to maximize potential for the benefit of the neighborhood.

Homeownership:

Currently Albany Housing Authority has 30 Homeownership vouchers, 15 of which are active and 7 families are searching for homes to purchase.

Housing Needs:

Currently AHA has a total of 5444 families on the Section 8 waiting list. AHA updated its Admin Plan in regards to its housing preference to include families who have been employed 9 out the last 12 months and who may not be currently employed in an effort to assist more families. Of the families currently on the Section 8 Waiting list, 7.9% are elderly, and 19.8% are families with disabilities. After being closed for 4 years, our Section 8 waiting list was reopened for applications in March 2019. AHA's Section 8 waiting list has been closed since March 27, 2019. The Section 8 waiting lists show a majority of the persons on the waiting lists (69%) are extremely low income (under 30% of AMI).

We currently have 22 active Homeownership vouchers issued and 15 of them are currently in use. We continue to provide information in our Section 8 briefings on the benefits of homeownership along with the path on how to achieve that goal. We continue to partner with local agencies to educate participants on the benefits of homeownership.

Albany Housing Authority continues to participate in new landlord workshops and provide information as it pertains to partnering with AHA, thus increasing opportunities for our participant families to obtain adequate, affordable housing. Many of these landlords are purchasing property in zip codes with lower poverty levels. We encourage voucher holders to secure housing in these areas and provide a higher Voucher Payment Standard in areas with a lower poverty level.

Strategy for Addressing Housing Needs:

AHA recognizes the shortage of affordable housing for all eligible populations and plans to maximize the number of affordable units available to AHA within our current resources by taking the following measures:

- Minimizing the number of public housing units off-line through effective maintenance and management policies.
- Reduce turnover time for vacated public housing units.
- Reduce time to renovate public housing units.
- Seek replacement of public housing units lost to the inventory through mixed finance development.
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources.

AHA will continue to increase the number of affordable housing units by performing the following:

- Apply for additional section 8 units should they become available.
- Leverage affordable housing resources in the community through the creation of mixed-finance housing.
- Pursue housing resources other than public housing or Section 8 tenant-based assistance.

AHA will target available assistance to families at or below 50% of AMI by utilizing admissions preferences aimed at families who are working.

AHA will target available assistance to Families with Disabilities by carrying out the modification needed in public housing based on the section 504 Needs Assessment for Public Housing and affirmatively market to local non-profit agencies that assist families with disabilities.

AHA will conduct activities to affirmatively further fair housing by counseling section 8 tenants as to location of units outside of areas of poverty or minority concentration. We have implemented higher VPS in areas with low poverty rates to encourage this. This will also be done by marketing the Section 8 program to owners with property outside of areas of poverty/minority concentration.

Progress in Meeting Mission and Goals:

- AHA continues to work towards expanding the supply of assisted housing through various initiatives.
- AHA continues to improve the quality of assisted housing. AHA would dispose of entire development at Amp 5, Ida Yarbrough to a wholly owned subsidiary of the Albany Housing Authority in order to make eligible for financing not otherwise available under current ownership structure and funding sources.

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.

Effective June 2020 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 previously amended 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 and any successor notices. 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.

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

Development #1 combines most of NY009000005 and all of NY009000002 into one new RAD/Section 18 blend development, Ida Yarbrough Redevelopment Phase IV, LLC. This deal closed on 12/17/2020.

| | | | |
|---|--|--|---|
| <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 <u>Units*</u> | <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 2020 CFP award for NY009000005 (including 2 King Building units) was \$703,323, which included DDTF funding of \$188,918. CFP funds of 467,365 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 | 140 | Market studies indicated there was a trend toward studio apartments so the number was increased. |
| 1 Bedroom | 124 | 84 | Market studies caused us to change some units to studios. |

*Note there are two 1 Bedroom units the are not part of the RAD conversion. These units (27-29 North Swan Street) will be moved to Amp 1 in PIC as soon as it become possible to do so.

| | | | |
|---|---|--|---|
| <u>Name of Public Housing Project:</u> Ida IV | <u>PIC Development ID:</u> NY009000002 | <u>Conversion type (PBV or PBRA):</u> PBV | <u>Transfer of Assistance:</u> |
| <u>Total Units:</u> 134 Units* | <u>Pre-RAD Unit Type:</u> Family/General Occupancy | <u>Post-RAD Unit Type if different: (same)</u> | <u>Capital Fund allocation of Development:</u> 2.The 2020 CFP award for NY009000002 was \$213,341. CFP funds of 39,404 available in the conversion year (2021)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 |
| 1 Bedroom | 8 | 8 | Existing Bedroom sizing fits community needs at this location |
| 2 Bedroom | 62 | 62 | Existing Bedroom sizing fits community needs at this location |
| 3 Bedroom | 52 | 52 | Existing Bedroom sizing fits community needs at this location |

| | | | |
|-----------|----|----|---|
| 4 Bedroom | 12 | 12 | Existing Bedroom sizing fits community needs at this location |
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Development #2

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| <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> 1. The 2020 CFP award for NY009000003 was \$887,636, 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: \$713,362. 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. NY009000008

- ii. NY009000009
- iii. NY009000010
- iv. NY009000013
- v. NY009000016
- vi. 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. The Housing Authority may dispose of up to 25% of any project's units (and de minimis portions) through Section 18 and replace them with Project-Based Vouchers.

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 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.

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.

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.

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 recertification's – Full Calculated PBV TTP³

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 recertification's – 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),

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.

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 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

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 remains in the applicable appropriations act. For PHAs that had managed both programs separately and now have a merged program, a conversion to PBV should not impact their FSS participants.

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

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

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 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

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.

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 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

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.

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.
- 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).

- 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.

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.

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>

AHA Housing Choice Voucher & Public Housing Waiver Authorization during COVID-19 per Notice PIH-2020-05

HCV-2: Information When Family is Selected - PHA Oral Briefing

AHA will conduct briefings using an extended briefing packet. All briefing material will allow for equal participation for all participants.

PH -2 Family Income and Composition Delayed Annual Reexaminations

During the allowable period set to expire December 31, 2020 AHA seeks to delay the annual reexamination of income and family composition however, AHA to the extent practicable will make a concerted effort in completing annual reexaminations prior to the tenants anniversary date.

PH and HCV-3: Annual Reexamination Income Verification

During the allowable period set to expire July 31, 2020, AHA will allow and accept certification by the tenant as highest form of income certification to process annual examinations. AHA will use phone, email and postal service to allow tenants to certify income. Caseworkers will note all actions completed utilizing the tenant certification of income.

All tenants will receive notice of their obligation to provide complete and true information if their annual examination is completed using their certification.

HCV-3: Term of Voucher – Extensions of Term

AHA will extend the vouchers of all families searching for units in the event that the current pandemic has affected their ability to secure adequate housing.

HCV-4: PHA Approval of Assisted Tenancy – When HAP Contract is Executed

AHA will make every effort to execute a contract within the 60 day allotted time period however when the need arises, we will extend that period to 120 days as allowed.

PH-4: ACOP: Adoption of Tenant Selection Policies

AHA will adopt and implement changes to the ACOP on an expedited basis, without formal board approval. As an alternative requirement, any informally adopted revisions under this waiver authority must be formally adopted as soon as practicable following June 30, 2020, but no later than July 31, 2020.

HCV-5: Absence from Unit

AHA will not terminate the contract for families absent from their units for more than 180 consecutive days due to extenuating circumstances.

PH and HCV-5: Enterprise Income Verification (EIV) Monitoring

AHA will waive the mandatory EIV monitoring requirements during the allowable period set to expire on July 31, 2020.

PH- 5 CSSR (Community Service Self Sufficiency Requirement)

AHA will waive the Community Service Self Sufficiency Requirement therefore tenants will not be subject to this requirement until their next annual reexamination on after March 31, 2021.

PH-7 Over- Income families

AHA seeks to suspend activity related to over income households as we don't seek to terminate or charge an alternative rent to families whose income exceed program maximum income levels for two consecutive anniversary periods. By waiving this requirement, AHA will be permitting families to remain in their units and to continue to pay the same rental amount. The expiration period for this waiver item will expire on December 31, 2020.

HCV-6: Automatic Termination of HAP contract

AHA will extend the \$0 HAP period for families beyond 180 days for those families affected by the instability of income presented by the pandemic.

HCV-8: Utility allowance schedule – required review and revision

AHA will make every effort to update the utility allowance prior to July 1, 2020 however in the event that our vendor is unable to provide these updates in a timely manner, we may need to extend that update.

PH- 9 Utility Allowance-- required review and revision

AHA will make every effort to update the utility allowance prior to July 1, 2020 however in the event that our vendor is unable to provide these updates in a timely manner, we may need to extend that update.

HCV-9: Homeownership Counseling –

AHA will not require that voucher holders interested in homeownership complete homeownership counseling.

PH-10 Tenant Notifications-

AHA's website will be updated to summarize the adopted procedures of both Public Housing and Housing Choice Voucher Program as per HUD Statutory and Regulatory Waiver requirement. Notices will also be posted conspicuously at each housing development site.

PH 11a – PHAS

AHA will accept the most recent score on record to be carried over to the next submission period.

HCV – SEMAP

AHA will accept the most recent score on record to be carried over to the next submission period.

HQS-5: HQS Inspection Requirement – Biennial Inspections

Annual and Non-Emergency Public Housing and Section 8 Inspections- Have been changed to bi-annual until further notice. We will continue to perform inspections for new unit/move-ins and inspections to release abatements.

WORKING DRAFT