

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: <u>Housing Authority of the City of Santa Barbara</u> PHA Code: <u>CA076</u> PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>04/01/2016</u>					
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>223</u> Number of HCV units: <u>2,459</u>					
3.0	Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" type="checkbox"/> Annual Plan Only (5 year goals included for information only) <input type="checkbox"/> 5-Year Plan Only					
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)					
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program	
					PH	HCV
	PHA 1:					
	PHA 2:					
	PHA 3:					
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.					
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: The Housing Authority of the City of Santa Barbara is a local public agency created under state law for the purpose of providing safe, decent, and quality affordable housing and support services to income eligible persons through a variety of federal, state, and private resources.					
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. GOAL I: Create and preserve quality affordable housing opportunities for the community. Action Steps 1. Continue to expand HACSB's low-rent housing inventory through new construction and/or acquisition of existing rental housing by utilizing Housing Authority's retained earnings, the Low-Income Housing Tax Credit and other state and federal funding programs as available. <ul style="list-style-type: none"> Plan developments with universal design that can serve changing demographics, from special needs housing for the homeless and the disabled, to the aging baby-boomer population. Identify and implement programs to create a continuum of care for those aging in place. Explore assisted living models for frail/low-income seniors. Plan for purchase of Garden Court between years 2014 and 2017 pursuant to the Housing Authority's Master Lease on the property with the possibility of recapitalization under the 4% Low-Income Housing Tax Credit Program. Continue to assist local non-profit agencies, especially those serving special needs populations, in developing affordable housing for their clients as well as assist with stabilizing their existing but aging housing stock. Continue to advocate for purchase of Presidio Park Apartments to retain as affordable housing pursuant to City's stated goal within the Housing Element. Locate under-utilized land, such as property owned by faith-based organizations or other non-profit organizations, to promote the development of affordable housing with donated land. 2. Preserve and expand HACSB's affordable housing programs <ul style="list-style-type: none"> Actively promote the participation of Santa Barbara's rental property owners in HACSB's rental assistance payment programs (e.g. Section 8, Shelter + Care, etc.) Continue to maximize full lease-up and program utilization to ensure HACSB is serving the maximum number of households. Recycle approximately 4% of the family tenancies in HACSB's existing rental housing stock per year through resident job training and educational programs so that others on the HACSB waiting list(s) can access our affordable housing inventory. Properly track and report the efficacy of this action on a quarterly basis. Promote homeownership and open market rental opportunities for current HACSB program participants that have obtained higher incomes through partnerships and community programs. Continue efforts to reposition and rehabilitate Public Housing through HUD's Rental Assistance Demonstration (RAD) or other similar programs. Complete major rehabilitation of the Monteria, Sycamore Gardens and Soledad apartment complexes. 3. Advocate for, and aggressively pursue, all federal, state and local funding sources available to HACSB for affordable housing <ul style="list-style-type: none"> Continue to encourage HUD and Congress to both grant and increase the Exception Fair Market Rents or define a new OMB (Office of Management and Budget) housing market for the South Coast of Santa Barbara County. This will help us to more effectively address the drastic differences in rental housing costs between North and South County, which comprise two distinct housing markets. 					

	<ul style="list-style-type: none"> • Advocate for legislation that will create a new permanent source of funding for affordable housing as replacement for the RDA Housing set-aside dollars lost through the dissolution of redevelopment agencies in California. <p>4. Utilize HACSB's affiliate non-profit, 2nd Story Associates, and its instrumentality, Santa Barbara Affordable Housing Group, as well as local foundations to expand housing and revenue sources not generally available to, nor specifically designed for "public" housing authorities.</p> <p>5. Remain a critical force in the local efforts to end homelessness.</p> <ul style="list-style-type: none"> • Continue Central Coast Collaborative on Homelessness ("C3H") leadership and participation. • Partner with other community based organizations to create new affordable housing opportunities to serve the most vulnerable homeless (e.g. Housing First and master leasing models). <p>GOAL II: Utilize Housing Authority resources in an efficient, coordinated and results-oriented manner</p> <p>Action Steps</p> <p>1. Establish major agency wide and departmental goals with appropriate timelines.</p> <ul style="list-style-type: none"> • Adopt Annual Action Plan as part of HACSB's annual budget process and in alignment with this 5 Year Action Plan. • Integrate Annual Action Plan into specific and measurable individual goals and performance objectives within a performance management system. • Continue to assess day-to-day operational procedures for improved efficiencies and service delivery. <p>2. Develop a "green" operations policy which integrates with efficient operations.</p> <p>GOAL III: Strengthen the agency's financial position and its ability to respond to shifting economic conditions</p> <p>Action Steps</p> <p>1. Control expenditures and seek other revenue sources to sustain and develop new housing programs.</p> <p>2. Develop and/or improve existing long-term capital plan for all properties</p> <ul style="list-style-type: none"> • Upon completion of the repositioning of the HUD-assisted Public Housing inventory through the Rental Assistance Demonstration program (RAD), conduct a cost allocation study to establish baseline allocation plan for all agency cost centers. <p>3. Promote HACSB's fiscal stability by maintaining a healthy economic mix of lower income (and otherwise eligible) residents in our various housing programs.</p> <p>4. Periodically assess staffing and business needs and implement changes as necessary.</p> <p>GOAL IV: Promote and secure services for Housing Authority residents and participants</p> <p>Action Steps</p> <p>1. Actively research and access available federal, state, local and private foundation resources for the delivery and enhancement of resident services both through HACSB and 2nd Story Associates.</p> <p>2. Collaborate with partners who are able to expand our reach and effectiveness by providing services, education and economic opportunities that help residents advance out of poverty.</p> <p>3. Assess and identify the quality of life concerns for senior, disabled, and special needs residents.</p> <ul style="list-style-type: none"> • Expand service-enriched housing opportunities for senior and special needs residents in order to allow residents and participants to live independently as long as possible. Identify and implement programs to create a continuum of care for those aging in place. <p>4. Promote open and effective communication with HACSB residents to encourage their input and involvement; incorporate practices such as surveys to identify the need for additional services, including ways to improve, expand or develop new programs.</p> <p>5. Increase economic and self-sufficiency opportunities for residents.</p> <ul style="list-style-type: none"> • Promote an expectation of success among HACSB tenants and voucher holders. • Increase enrollment in the HA's Family Self-Sufficiency program and conduct an internal assessment of FSS program efficacy on an annual basis. • Develop and refine systems to track participant success, including statistics such as the number of residents who move to unsubsidized housing. • Expand current partnerships, resources and referrals, to create more education and job training programs tailored to the needs of participants. <p>6. Provide a variety of opportunities and pathways to success for youth.</p> <ul style="list-style-type: none"> • Ensure educational access and success for HA youth from pre-school through college: meet goal of 95% of our housing stock's youth graduating from high school; increase number of youth applying for scholarships and attending college. • Create a culture of high expectations in which completion of high school and entry into the workforce is the norm. • Partner with community organizations and businesses to connect youth with positive enrichment opportunities – internships, mentorships, skilled trade instruction, etc. <p>7. Maintain a Resident Council that includes senior, family and disabled residents and secure input from the Council on needed services for residents on an ongoing basis.</p>
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	<p>GOAL V: Foster a culture of excellence and innovation in our work environment Action Steps:</p> <ol style="list-style-type: none"> 1. Continue to incorporate our core values or 5 C's--Compassion, Commitment, Cooperation, Competence and Communication in all aspects of our work. 2. Continue to review the method and manner in which we do our work in order to accomplish our mission, embrace our vision and be open to change. 3. Reward innovation, initiative and promote team building. <ul style="list-style-type: none"> • Provide a fair and equitable compensation and benefits package to attract and retain high performing employees. • Enhance employee training and educational opportunities for staff growth. • Require management staff to continually monitor and update their annual management performance evaluations to optimize their management function and value to the organization. • Continue to identify staff's talents and interests so that work is assigned in a manner that motivates staff and capitalizes on their strengths. 4. Maximize the use of technology for innovation and efficiencies. 5. Continue excellence in customer service. <ul style="list-style-type: none"> • Provide respectful, empathic, timely and effective service to all, regardless of race, nationality, physical or mental ability, age, gender, family status, sexual preference or language proficiency. <p>GOAL VI: Promote HACSB's role in a "Sustainable Community" Action Steps</p> <ol style="list-style-type: none"> 1. Pursue and utilize all proven/practical "Green Building" techniques and strategies with respect to all construction related activities. 2. Identify and implement sustainable practices throughout the agency to minimize impact on the environment. <ul style="list-style-type: none"> • As vehicle fleet replacement occurs, replace with fuel-efficient hybrids or zero emission vehicles when practical. 3. Promote and encourage conservation, recycling and use of recycled materials with contractors, residents and vendors. 4. Continue HACSB's high visibility and positive image through increased involvement by Commissioners, staff and residents in community issues and concerns and through service on boards, task forces and commissions related to the promotion of a sustainable community. 5. Encourage and participate in regional solutions to housing and transportation issues. <p>GOAL VII: Strengthen partnership with the City to develop and maintain affordable housing, furthering HACSB's mission Action Steps</p> <ol style="list-style-type: none"> 1. Institute joint meetings between HACSB's Commission, the City Planning Commission and the City Council to discuss affordable housing policy. <ul style="list-style-type: none"> • Enhance the communication and partnership HACSB staff has developed with City staff. • Evaluate and reassess City/HACSB function overlap. 2. Have HACSB Commissioners build strong relationships with the Housing Authority's City Council liaison so City Council remains well informed on the business of the Housing Authority as well as its future projects. 3. HACSB staff to continue to work closely with City staff on the City's annual Consolidated Plan and Housing Element updates to ensure affordable housing elements are in line with policy.
6.0	<p>PHA Plan Update</p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:</p> <ol style="list-style-type: none"> 1. Eligibility, Selection and Administration, Policies, including Deconcentration and Wait List Procedures: Both the Housing Choice Voucher (HCV) Administrative Plan and the Admissions and Continued Occupancy Policy (ACOP) the HUD-assisted Public Housing program are included with this Annual Plan submission as Attachments A & B respectively. However, only the Housing Choice Voucher (HCV) Administrative Plan has been revised since the last Annual Plan submission. <p>Specific HCV revisions approved by the Board of Commissioners on September 9, 2015 and included in this plan are:</p> <p>Pursuant to the U.S. Department of Housing and Urban Development's (HUD's) Rental Assistance Demonstration (RAD) Final Implementation, Revision 2 regulations and as a result of a review of the operations of the Authority's Section 8 HCV program, staff amended the Section 8 Housing Choice Voucher Program Administrative Plan as follows:</p> <p>Chapter 3 – Eligibility</p> <p>Income eligibility criteria has been increased from 50% of Area Median Income (AMI) to 80% AMI.</p> <p>The Authority has experienced increased difficulty in achieving full utilization (100% lease-up) of its Section 8 program. Despite the provision that eligible applicants may pay up to 40% of their income toward rent at initial move-in, many of our very low and extremely low income families with a Section 8 Voucher have been unable to lease-up due to extremely low vacancy rates and market rents that far exceed our HUD allowed payment standards. Additionally, the implementation of RAD and the ongoing conversion of the Authority's Public Housing to an HCV funding base would no longer allow the Authority to assist low income households that are above 50 percent</p>

AMI in the converted properties. The change to 80% AMI allows higher income earning households currently on the Public Housing waiting list to qualify for the program, ensuring that HACSB is able to assist a larger low income population and increase the utilization of the Section 8 program. Notwithstanding this change, the Authority will continue to work and attempt to meet HUD's requirement that at least 75% of new Section 8 admissions each year be extremely low income households defined as 30% of AMI or below.

Chapter 4 – Application, Waiting List and Tenant Selection

The Authority's Homeless Assistance Special Needs Preference has heretofore required a commitment from a referring agency and/or case manager to assist HACSB in addressing issues as needed.

Homeless Assistance: Referrals from C3H's Housing Placement Working Group will be accepted for those ranked in the top 150 of the VI and/or with a score of 10 or higher on the VI-SPDAT. VI referrals will now require a written agreement from the referring agency and/or case manager ensuring a minimum of one (1) year case/crisis management services from the date that the client is housed.

Chapter 5 – Briefings and Voucher Issuance

The voucher size issuance chart now indicates the minimum and maximum persons per bedroom size. The chart also accurately reflects HACSB policies of assigning one bedroom for each two persons, regardless of gender, age, or relationship.

Chapter 7 – Verification

The verification process for the Homeless Assistance preference in Chapter 4 is further modified in the Chapter to include the following language: "VI referrals will also require written agreement from the referring agency and/or case manager ensuring a minimum of one (1) year case/crisis management services from the date that the client is housed."

Chapter 8 – Occupancy Standards

An Occupancy Standards Chart is also included for this Chapter for reference and consistency in determining whether a household is over or under housed.

Chapter 17 – Project-Based Vouchers - Part X Rental Assistance Demonstration Program (RAD)

Language is added to further outline the requirements for those Housing Authority Public Housing properties converted under HUD's Rental Assistance Demonstration Program (RAD). The Chapter includes the requirements outlined in the most recent HUD notice for RAD, specifically that when the family's income increases and tenant rent equals or exceeds the allowed rent to owner (i.e. HACSB/SBAHG) the unit under RAD PBV will remain under the HAP contract and the household will pay 30% of their adjusted gross household income as rent with no subsidy.

It is important to note that the Housing Authority has received approval from HUD to convert its entire portfolio of HUD-Assisted Public Housing to a Project Based Section 8 Voucher funding platform under the Rental Assistance Demonstration program (RAD). As detailed in the Authority's previous two HUD approved Annual Plans, the Housing Authority will comply with all provisions of the RAD regulations pertaining to the conversion to of the units to Project Based Vouchers concerning eligibility, wait list selection processes, rent setting policies and resident relocation and right of return, grievance policies and other RAD requirements as outlined in the attachment.

2. Financial Resources:

The following table is updated to accurately reflect the statement of financial resources for FY 2017

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants		
a) Public Housing Operating Fund	\$50,000	
b) Public Housing Capital Fund: CFP-501-12	\$650,000	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	\$23,500,000	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		
g) Resident Opportunity and Self-Sufficiency Grants	\$148,000	
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income	\$2,590,000	Operations, Supportive Services & Capital Improvements
4. Other income (list below)		
SHIFCO Multi-family Complex	\$0	Operations, Supportive Services & Capital Improvements
Shelter Plus Care	\$575,000	Rental Assistance
Section 8 FSS Coordinator	\$132,000	Section 8 HCV Supportive Services
4. Non-federal sources (list below)		
Dwelling Rent local programs	\$10,250,00	Operations, Supportive Services & Capital Improvements
Total resources	\$37,895,000	

3. Rent Determination - No change from previous submission

4. Operations and Management: No change from previous submission.

5. Grievance Procedure: No change from previous submission.

6. Designated Housing for elderly and disabled families: No change from previous submission.

7. Community Service and Self-Sufficiency:
Please see Attachment C for an updated listing of programs offered by the Resident Services Department as well as the current Family Self-Sufficiency enrollment numbers.

8. Safety and Crime Prevention: No change from previous submission.

9. Pets: No change from previous submission.

10. Civil Rights Certification: No change from previous submission.

11. Fiscal Year Audit: See Attachment D for most recent audit results (FY2016)

12. Asset Management: As stated in the previous Annual Plan, HACSB intends to revert its operations to a true cost based allocation of costs now that the number of Public Housing units has dropped below 250 units and is no longer required to comply with the Project Based Asset Management (PBAM) rules.

13. Violence Against Women Act (VAWA): No change from previous submission – see specific provisions within Attachments A & B to the plan

(b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions.
Copies of the 5-Year and Annual Plans may be obtained at the Housing Authority's main office located at 808 Laguna Street, Santa Barbara CA 93101. Additionally, the Plan may be downloaded from the Agency's website: www.hacsb.org

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Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. *Include statements related to these programs as applicable.*

7a. Hope VI or Mixed Finance Modernization or Development: N/A

7b. Disposition Plan: N/A

7c. Conversion of Public Housing

RAD Conversion of Remaining Public Housing

As stated in the previous two Annual Plan submissions, funding under HUD's Capital Fund Program is not sufficient for the necessary rehabilitations needs of the properties. Over the next 20 years the Housing Authority projects a funding need of \$28.5 million to preserve the public housing units in its portfolio. Unfortunately HUD is projected to fund only half of this need over this period through CFP.

Due to consistent under-funding of the Public Housing program by Congress, HACSB has been seeking to reposition its HUD-assisted Public Housing to a more sustainable funding platform for the last several years. In October 2011, HACSB submitted a Section 18 Disposition application for its entire inventory of 496 units of Public Housing (492 ACC units and 4 non-ACC units). The application was partially approved in April 2013, allowing for the disposition of 180 senior units (aka AMP 3 portfolio). As part of this disposition, HACSB applied for and received Tenant Protection Vouchers for each of the 180 units. Disposing of the remaining 316 units was pursued under HUD's new Rental Assistance Demonstration program and was approved on June 24, 2014.

RAD allows public housing authorities (PHAs) to convert public housing subsidies into a long-term Project Based Section 8 rental assistance subsidy. The Project-Based Section 8 HCV subsidy will provide a more stable and predictable annual subsidy and RAD will permit the use Low-Income Housing Tax Credits and other financing sources to fund needed capital improvements and renovations on the properties. By converting the Public Housing stock, HACSB will be able to generate much needed funds both for rehabilitation of current properties and the development of more units thereby ensuring the long term viability of the existing affordable housing units. Of the original 496 Public Housing units, 273 have been removed from the HUD Public Housing Program to-date through actions described above. The remaining 223 units are planned to be removed through RAD within the 2017 fiscal year. These remaining 223 units are comprised of the following properties:

RAD Transaction 4 Properties	AMP	# of Units
Sycamore Gardens (211-221 Sycamore Lane)	1	20
Pearl Gardens (13-21 S. Soledad)	1	15
Totals		35
RAD Transaction 5 Properties	AMP	# of Units
1507 San Pascual/606 Micheltorena	1	3
233 West Ortega	1	4
630 Bath Street	1	2
323-327 South Voluntario (Paseo Voluntario)	1	9
219-231 Miegs Road	1	18
809-811 Olive/810 Vine	2	4
1934-1938 Elise Way	1	16
Presidio Gardens	1	46
610-616 West Carrillo (Casa Carrillo)	2	7
Wilson Cottages (1203-1215 Castillo Street)	2	24
Hoit Gardens (1114 E. Mason Street)	1	10
La Casa Castillo (620-652 Castillo)	2	17
Totals		160
RAD Transaction 6 Property	AMP	# of Units
Monteria Village (512-524 W. Montecito Street/305 Rancheria)	1	28
Total		28

7d. Homeownership: N/A

7e. Project-Based Vouchers:

HACSB has converted 20% of its tenant based vouchers into a Project Based Voucher program. The Project Based Voucher policies and procedures are included in Chapter 19 of the Section 8 Housing Choice Voucher Administrative Plan. This is consistent with our 5-Year Plan as the Housing Authority has stated as a goal of the 5-Year Plan to maintain and preserve affordable housing in the Santa Barbara community. Utilizing Project-Based Vouchers ensures affordability levels are maintained in projects serving very low income individuals and families. Note that if legislation is passed subsequent to adoption of this Plan allowing greater than 20% limit on annual budget authority, HACSB will take advantage of this legislation.

8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.																																																	
8.1	<p>Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i>, form HUD-50075.1, for each current and open CFP grant and CFFP financing.</p> <p>Note that the CFP reporting and approval requirements have been de-coupled from this Annual Agency Plan per HUD guidance. The following CFP is included for informational purposes only:</p> <p>Attachment E – CFP-501-16 – Annual Statement</p>																																																	
8.2	<p>Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i>, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.</p> <p>Although the Capital Fund Program approval processes has been “de-coupled” from this Annual Plan approval process, the five year rolling CFP Plan is provided under attached H for informational purposes</p> <p>Attachment F – CFP-501-16 – Five Year Action Plan</p>																																																	
8.3	<p>Capital Fund Financing Program (CFFP).</p> <p><input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p>																																																	
9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p> <p>The City of Santa Barbara has a growing need for affordable housing solutions across all income ranges. The need is particularly acute for the income range which HACSB serves – Households at 80% of AMI and below. Given our review of the City’s Consolidated Plan, the 2010 Census data and the UCSB 2014 Economic forecast and our own waiting list data, we updated the table below with a needs assessed – 5 being this most need and 1 the lowest.</p> <table border="1" data-bbox="310 1010 1360 1335"> <thead> <tr> <th colspan="7">Housing Needs of Families in the Jurisdiction by Family Type</th></tr> <tr> <th>Family Type</th><th>Afford- ability</th><th>Supply</th><th>Quality</th><th>Accessibility</th><th>Size</th><th>Location</th></tr> </thead> <tbody> <tr> <td>Income <= 30% of AMI</td><td>5</td><td>5</td><td>4</td><td>4</td><td>2</td><td>1</td></tr> <tr> <td>Income >30% but <=50% of AMI</td><td>5</td><td>5</td><td>3</td><td>3</td><td>2</td><td>1</td></tr> <tr> <td>Income >50% but <80% of AMI</td><td>5</td><td>5</td><td>2</td><td>2</td><td>2</td><td>1</td></tr> <tr> <td>Elderly</td><td>5</td><td>5</td><td>4</td><td>4</td><td>3</td><td>1</td></tr> <tr> <td>Families with Disabilities</td><td>5</td><td>5</td><td>4</td><td>5</td><td>3</td><td>1</td></tr> </tbody> </table>	Housing Needs of Families in the Jurisdiction by Family Type							Family Type	Afford- ability	Supply	Quality	Accessibility	Size	Location	Income <= 30% of AMI	5	5	4	4	2	1	Income >30% but <=50% of AMI	5	5	3	3	2	1	Income >50% but <80% of AMI	5	5	2	2	2	1	Elderly	5	5	4	4	3	1	Families with Disabilities	5	5	4	5	3	1
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Wait List Data:

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input checked="" type="checkbox"/> Section 8 tenant-based assistance			
	# of families	% of total families	Annual Turnover
Waiting list total	6,873		Approx. 9%
Extremely low income (<=30% AMI)	5,500	80.02%	
Very low income (>30% but <=50% AMI)	1,187	27.22%	
Low income (>50% but <80% AMI)	186	2.71	
Families with children	2,512	36.55%	
Elderly families	1,322	19.23%	
Families with Disabilities	2,051	29%	
White	4,007	58.30%	
Hispanic	2,426	35.30%	
Black	1,021	14.86%	
American Indian	347	5.05%	
Asian or Pac. Islander	314	4.57%	
Other or Declined	5		
Characteristics by Bedroom Size			
1BR	4,579	66.62%	
2 BR	1,758	25.58	
3 BR	454	6.61%	
4 BR	70	1.02%	
5+ BR	12	0.17%	
Is the waiting list closed (select one)? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)? SINCE APRIL 2014			
Does the PHA expect to reopen the list in the PHA Plan year? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input checked="" type="checkbox"/> Public Housing			
	# of families	% of total families	Annual Turnover
Waiting list total	6,340		5% to 10%
Extremely low income (<=30% AMI)	4,688	73.94	
Very low income (>30% but <=50% AMI)	1,238	19.53	
Low income (>50% but <80% AMI)	414	6.53%	
Families with children	2,318	36.56	
Elderly families	1,520	23.97%	
Families with Disabilities	2,039	32.16	
White	4,178	65.90%	
Hispanic	2,518	49.72	
Black	510	8.04%	
American Indian	211	3.33%	
Asian or Pac. Islander	148	2.33	
Other or Declined	13	0.21%	
Characteristics by Bedroom Size (Public Housing Only)			
1BR	4,264	67.26%	
2 BR	1,547	24.40%	
3 BR	471	7.43	
4 BR	53	0.84%	
5 BR	5	0.08%	
Is the waiting list closed (select one)? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)? SINCE APRIL 2013			
Does the PHA expect to reopen the list in the PHA Plan year? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			

9.1	<p>Strategy for Addressing Housing Needs. Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p> <ul style="list-style-type: none"> • Apply for all available NOFAs for additional vouchers that match the need in our community. • Construct additional affordable housing units utilizing the Low-Income Housing Tax Credit Program, Bond financing and other available funds. • Leverage existing Public Housing units through HUD’s disposition programs and take advantage of possible “vouchering” out of Public Housing. • Recycle existing affordable housing units through the Family Self-Sufficiency Program (e.g. increasing incomes whereby existing residents can move out of assisted housing units) • Partner with other local non-profit organizations to increase the supply of affordable housing • Continue to work closely with the Santa Barbara County Continuum of Care and the Central Coast Collaborative on Homelessness (C3H) to provide housing and supportive services to the vulnerable homeless individuals and families identified through the Vulnerability Index Survey.
10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA’s progress in meeting the mission and goals described in the 5-Year Plan.</p> <ul style="list-style-type: none"> • Successfully closed three separate RAD transactions, repositioning 93 units of Public Housing to a Section 8 Project Based Voucher funding platform • Submitted entitlement applications with the City to develop 90 units serving frail seniors at 251 South Hope Avenue. The Authority intends to receive entitlement approval for the development within the 2016 fiscal year and to submit funding applications with the same time and begin construction. • Obtained entitlement approvals from the City of Santa Barbara to develop 57 affordable senior units at 3869 State Street. The Authority expects to receive funding commitments for this development and begin construction within the 2016 fiscal year. <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p> <p>Definition of Substantial Deviations and Significant Amendments:</p> <p>As mandated by the U.S. Department of Housing and Urban Development, the Housing Authority must define “What is a substantial change to the Agency plan.” If a proposed change to the Agency Plan is considered a “substantial change”, it must undergo a public process that includes consultation with the Resident Advisory Board, a public comment period, public notification of where and how the proposed change can be reviewed and approved by the Housing Authority Board of Commissioners. Therefore, the Housing Authority defines significant changes to the Agency Plan to be:</p> <ul style="list-style-type: none"> • Changes to tenant/resident admissions policies; • Changes to the Housing Choice Voucher and Public Housing Termination Policy; • Changes to the tenant/resident screening policy; • Changes to public housing rent policies; • Changes to the organization of the waiting list; • Changes in regard to demolition, disposition, designation, or conversion activities. <p>An exception to this definition will be made for changes in the use of Capital Fund dollars as a result of conversions under the Rental Assistance Demonstration Program, or any of the above that are adopted to reflect changes in HUD regulatory requirements, such changes will not be considered significant amendments by HUD.</p>
11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>Attachment G – Certification Forms (a) through (d) above</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>Attachment H – Resident Council Comments</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>Attachment E – CFP-501-16-Annual Plan</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p> <p>Attachment F– CFP-501-16 Five Year Action Plan</p>

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated 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

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

5.1 Mission. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

5.2 Goals and Objectives. Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

6.0 PHA Plan Update. In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.

3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.

4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.

5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.

6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: **1)** development name and number; **2)** designation type; **3)** application status; **4)** date the designation was approved, submitted, or planned for submission, and; **5)** the number of units affected.

7. **Community Service and Self-Sufficiency.** A description of: **(1)** Any programs relating to services and amenities provided or offered to assisted families; **(2)** Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; **(3)** How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. **(Note: applies to only public housing).**

8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: **(i)** A description of the need for measures to ensure the safety of public housing residents; **(ii)** A description of any crime prevention activities conducted or to be conducted by the PHA; and **(iii)** A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.

10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.

11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.

12. **Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.

13. **Violence Against Women Act (VAWA).** A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers

(a) Hope VI or Mixed Finance Modernization or Development.

1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>

(b) Demolition and/or Disposition.

With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at:

http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm

Note: This statement must be submitted to the extent that **approved and/or pending** demolition and/or disposition has changed.

(c) Conversion of Public Housing.

With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or

that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>

(d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.

(e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 **Capital Improvements.** This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 **Capital Fund Program Annual Statement/Performance and Evaluation Report.** PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

- 1. At the end of the program year; until the program is completed or all funds are expended;
- 2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
- 3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 **Capital Fund Financing Program (CFFP).** Separate, written HUD approval is required if the PHA proposes to pledge any

portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:
<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

9.1 Strategy for Addressing Housing Needs. Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)**

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. **(Note: Standard and Troubled PHAs complete annually).**

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.