

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

PHA Plans

Annual Plan for Fiscal Year 2002

**NOTE: THIS PHA PLAN TEMPLATE (HUD 50075) IS TO BE COMPLETED IN
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

PHA Plan Agency Identification

PHAName: Housing and Redevelopment Authority of Duluth, MN

PHANumber: MN003

PHAFiscalYearBeginning: 10/2002

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices
- Main administrative office of the local government
- Main administrative office of the County government
- Main administrative office of the State government
- Public library
- PHA website
- Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- Main business office of the PHA
- PHA development management offices
- Other (list below)

Annual PHA Plan

PHA Fiscal Year 2002

[24CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

Standard Plan

Streamlined Plan:

- High Performing PHA**
- Small Agency (<250 Public Housing Units)**
- Administering Section 8 Only**

Troubled Agency Plan

ii. Executive Summary of the Annual PHA Plan

[24CFR Part 903.79(r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

iii. Annual Plan Table of Contents

[24CFR Part 903.79(r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

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Attachments

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the filename in parentheses in the space to the right of the title.

Required Attachments:

- Admissions Policy for Deconcentration (in ACOP and separate attachment)
- FY2002 Capital Fund Program Annual Statement
- Resident membership of the PHA Governing Board
- Membership of Resident Advisory Board
- HRADuluth Pet Policy

Optional Attachments:

- PHA Management Organizational Chart
- FY2002 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- Other (List below, providing each attachment name)
Section 8 Homeownership Capacity Statement

Supporting Documents Available for Review

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which include the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board - approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with	Annual Plan: Eligibility, Selection, and Admissions

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Rent Determination
	Schedule of flat rents offered at each public housing development <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Rent Determination
	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Grievance Procedures
	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD -approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
X	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
X	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition	Annual Plan:

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	and/or disposition of public housing	Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
X	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24CFR Part 903.79(a)]

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type # of Households							
Family Type	Overall	Afford-ability	% with any Problems	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI	4581	76%	77%	N/A	N/A	N/A	N/A
Income > 30% but <= 50% of AMI	4728	68%	52%	N/A	N/A	N/A	N/A
Income > 50% but < 80% of AMI	5857	26%	25%	N/A	N/A	N/A	N/A
Elderly	3236	63%	53%	N/A	N/A	N/A	N/A
Families with Disabilities	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Race/Ethnicity-caucasian	14,362	N/A	N/A	N/A	N/A	N/A	N/A
Race/Ethnicity-afro-american	312	N/A	N/A	N/A	N/A	N/A	N/A
Race/Ethnicity-Hispanic	53	N/A	N/A	N/A	N/A	N/A	N/A
Race/Ethnicity-other: NatAm/Asian	439						

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction/s
Indicate year: 2002
- U.S. Census data: the Comprehensive Housing Affordability Strategy ("CHAS") dataset
- American Housing Survey data
Indicate year:
- Other housing market study

Indicate year: 2000 **Maxfield Study**

Other sources: (list and indicate year of information)

HRA of Duluth Waiting Lists

B. Housing Needs of Families on the Public Housing and Section 8 Tenant-Based Assistance Waiting Lists

State the housing needs of the families on the PHA's waiting list/s. **Complete one table for each type of PHA -wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input checked="" type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	1026		
Extremely low income (<=30% AMI)	735	72%	
Very low income (>30% but <=50% AMI)	282	28%	
Low income (>50% but <80% AMI)	8	1%	
Families with children	462	46%	
Elderly families	N/A		
Families with Disabilities	269	27%	

Housing Needs of Families on the Waiting List			
Race/ethnicity-Cauc	755	74%	
Race/ethnicity-Afro American	118	12%	
Race/ethnicity-Nat. American	140	14%	
Race/ethnicity-Asian	13	2%	
Characteristics by Bedroom Size (Public Housing Only)			
	Public Housing And Section 8		
1BR	557	55%	
2BR	327	32%	
3BR	115	12%	
4BR	18	1%	
5BR	0		
5+BR	0		
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input 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 type="checkbox"/> Yes			

C. Strategy for Addressing 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**, and the Agency's reasons for choosing this strategy.

Pursue a HOPE VI grant for 2002, revitalize a 200-unit public housing development with an end result of 535 units of new housing which would replace the 200 public housing units on a one-to-one basis. In addition, the HOPE VI revitalization strategy would create economic development and job/career opportunities to allow for many affordable homeownership opportunities for low and moderate income people in the Duluth area. The HRA's new Section 8 Homeownership Program will also create new means for low income family homeownership with or without successful HOPE VI funding.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- 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
- Maintain or increase section 8 lease rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

Strategy 2: Increase the number of affordable housing units by:

Select all that apply

- 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.
- Other: (list below)

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30% of AMI

Select all that apply

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- Employ admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below)

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special -purpose voucher targeted to the elderly, should they become available
- Other: (list below)

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special -purpose voucher targeted to families with disabilities, should they become available
- Affirmatively market to local non -profit agencies that assist families with disabilities
- Other: (list below)
Successfully apply for HOPEVI funds in 2002 and through this housing development initiative, build additional accessible units.

Need: Specific Family Types: Races or ethnicity's with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs

Other:(listbelow)

Strategy2:Conductactivitiesaffirmativelyfurtherfairhousing

Selectallthatapply

- Counselsection8tenantsastolocationofunitsoutsideofareasofpovertyor minorityconcentrationandassistthemtolocatethoseunits
- Marketthesection8programtoownersoutsideofareasofpoverty/minority concentrations
- Other:(listbelow)

OtherHousingNeeds&Strategies:(listneedsandstrategiesbelow)

(2)ReasonsforSelectingStrategies

Ofthefactorslistedbelow,selectallthatinfluencedthePHA'sselectionofthestrategies itwillpursue:

- Fundingconstraints
- Staffingconstraints
- Limitedavailabilityofsitesforassistedhousing
- Extenttowhichparticularhousingneedsaremetbyotherorganizationsinthe community
- EvidenceofhousingneedsasdemonstratedintheConsolidatedPlanandother informationavailabletothePHA
- InfluenceofthehousingmarketonPHAprograms
- Communityprioritiesregardinghousingassistance
- Resultsofconsultationwithlocalorstategovernment
- ResultsofconsultationwithresidentsandtheResidentAdvisoryBoard
- Resultsofconsultationwithadvocacygroups
- Other:(listbelow)

2. StatementofFinancialResources

[24CFRPart903.79(b)]

ListthefinancialresourcesthatareanticipatedtobeavailabletothePHAforthesupport ofFederalpublichousingandtenant-basedSection8assistanceprogramsadministered bythePHA duringthePlanyear.Note:thetableassumes thatFederalpublichousing ortenantbasedSection8assistancegrantfundsareexpendedoneligiblepurposes; therefore,usesofthesefundsneednotbestated.Forotherfunds,indicatetheusefor

those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportives services, Section 8 tenant -based assistance, Section 8 supportives services or other.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2002 grants)		
a) Public Housing Operating Fund	1,485,114	
b) Public Housing Capital Fund	2,003,781	
c) HOPEVI Revitalization		
d) HOPEVI Demolition		
e) Annual Contributions for Section 8 Tenant -Based Assistance	4,240,517	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	0	
g) Resident Opportunity and Self - Sufficiency Grants	44,196	
h) Community Development Block Grant	825,690	
i) HOME	369,384	
Other Federal Grants (list below)		
HOMETBRA & Shelter + Care	54,247	
2. Prior Year Federal Grants (unobligated funds only) (list below)		
CHSP	49,699	
Comp Grant	974,110	
3. Public Housing Dwelling Rental Income	2,701,352	
4. Other income (list below)		
Non-dwelling	143,650	
4. Non -federal sources (list below)		
Bridges/RAFS	196,920	
Total resources	13,088,660	

3.PHAPoliciesGoverningEligibility,Selection,andAdmissions

[24CFRPart903.79(c)]

A.PublicHousing

Exemptions:PHAsthatdonotadministerpublichousingarenotrequiredtocomplete subcomponent3A.

(1)Eligibility

a.WhendoessthePHAverifyeligibilityforadmissionto publichousing?(selectallthat apply)

- Whenfamiliesarewithinacertainnumberofbeingofferedaunit:(statenumber)
- Whenfamiliesarewithinacertaintimeofbeingofferedaunit:(6weeks)
- Other:(describe) *Atinitialapplication.*

b.Whichnon -income(screening)factorsdoesthePHAusetoestablisheligibilityfor admissiontopublichousing(selectallthatapply)?

- CriminalorDrug -relatedactivity
- Rentalhistory
- Housekeeping
- Other(describe) *Otherapplicablereferences.*

c. Yes No:DoesthePHArequestcriminalrecordsfromlocallawenforcement agenciesforscreeningpurposes?

d. Yes No:DoesthePHArequestcriminalrecordsfromStatelawenforcement agenciesforscreeningpurposes?

e. Yes No:DoesthePHAaccessFBIcriminalrecordsfromtheFBIfor screeningpurposes?(eitherdirectlyorthroughanNCIC - authorizedsource)

(2)WaitingListOrganization

a.WhichmethodsdoesthePHAplantousetoorganizeit'spublichousingwaitinglist (selectallthatapply)

- Community-widelist
- Sub-jurisdictionallists
- Site-basedwaitinglists
- Other(describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office
- PHA development site management office
- Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection

(3) Assignment

1. How many site-based waiting lists will the PHA operate in the coming year?

None

2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously approved site-based waiting list plan)? If yes, how many lists?

3. Yes No: May families be on more than one list simultaneously? If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- PHA main administrative office
- All PHA development management offices
- Management offices at developments with site-based waiting lists
- At the development to which they would like to apply
- Other (list below)

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- One
- Two
- Three or More

b. Yes No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

a. Incometargeting:

- Yes No: Does the PHA planto exceed the federal targeting requirements by targeting more than 40% of all new admissionsto public housingto families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfer take precedence over new admissions?(list below)

- Emergencies
 Overhoused
 Underhoused
 Medical justification
 Administrative reasons determined by the PHA (e.g., to permit modernization work)
 Resident choice: (state circumstances below)
In an effort to support customer satisfaction & choice, the HRA will process one convenience transfer per month.

Other: (list below)

c. Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If "no" is selected, skip to subsection **(5) Occupancy**)

2. Which of the following admission preferences does the PHA planto employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
 Victims of domestic violence
 Substandard housing
 Homelessness
 High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- Working families and those unable to work because of age or disability
 Veterans and veterans' families

- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisal or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a points system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Date and Time

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisal or hate crimes
- Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5)Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- The PHA -resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source (list) *By providing a Resident's Guide*

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- At an annual reexamination and lease renewal
- Anytime family composition changes
- At family request for revision
- Other (list)

(6)Deconcentration and Income Mixing

a. Yes No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. Yes No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

- Adoption of site based waiting lists
If selected, list targeted developments below:
- Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:
- Employing new admission preferences at targeted developments
If selected, list targeted developments below:
- Other (list policies and development targeted below)

d. Yes No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments
- Adoption of rent incentives to encourage deconcentration of poverty and income mixing
- Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher -income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower -income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete subcomponent 3B.

Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

- Criminal or drug -related activity only to the extent required by law or regulation
- Criminal and drug -related activity, more extensively than required by law or regulation
- More general screening than criminal and drug -related activity (list factors below)
- Other (list below)

b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

- Criminal or drug-related activity
 Other (describe below)

(2) Waiting List Organization

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- None
 Federal public housing
 Federal moderate rehabilitation
 Federal project-based certificate program
 Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- PHA main administrative office
 Other (list below) *Applications may be made through the mail.*

(3) Search Time

a. Yes No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

The HRA may grant one or more extensions of the term, but the initial term plus any extensions will never exceed 120 calendar days from the initial date of issuance. To obtain an extension the family must make a request in writing prior to the expiration date. A statement of the efforts the family has made to find a unit must accompany the request. A form for recording their search efforts and additional time can reasonably be expected to result in success the HRA will grant the length of requests sought by the family or 60 days, whichever is less.

(4) Admissions Preferences

a. Incometargeting

Yes No: Does the PHA planto exceed the federal targeting requirements by targeting more than 75% of all new admissionsto the section 8 program of families at or below 30% of median area income?

b. Preferences

1. Yes No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

2. Which of the following admission preferences does the PHA planto employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admission preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a points system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
Victims of domestic violence
Substandard housing
Homelessness
High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisal or hate crimes
- Other preference(s) (list below)

4. Among applicants on the waiting list with the equal preference status, how are applicants selected? (select one)

- Date and time of application
- Drawing (lottery) or other random choice technique

5. If the PHA plan to employ preferences for "residents who live and/or work in the jurisdiction" (select one)

- This preference has previously been reviewed and approved by HUD
- The PHA requests approval for this preference through this PHA Plan

6. Relationship of preference to income targeting requirements: (select one)

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing eligibility, selection, and admission to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- The Section 8 Administrative Plan

- Briefing sessions and written materials
- Other (list below)

b. How does the PHA announce the availability of any special -purpose section 8 program to the public?

- Through published notices
- Other (list below)

Through referrals and coordinated efforts with other housing providers.

4.PH A Rent Determination Policies

[24CFR Part 903.79(d)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

(1) Income Based Rent Policies

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- The PHA will not employ any discretionary rent -setting policies for income based rent in public housing. Income -based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub -component (2))

---or---

- The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- \$0
- \$1-\$25
- \$26-\$50

2. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below :

c. Rents set at less than 30% than adjusted income

1. Yes No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

For the earned income of a previously unemployed household member

For increases in earned income

Fixed amount (other than general rent -setting policy)

If yes, state amount/s and circumstances below:

Fixed percentage (other than general rent -setting policy)

If yes, state percentage/s and circumstances below:

For household heads

For other family members

For transportation expenses

For the non-reimbursed medical expenses of non-disabled or non-elderly families

Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

Yes for all developments

Yes but only for some developments

No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- For all developments
- For all general occupancy developments (not elderly or disabled or elderly only)
- For specified general occupancy developments
- For certain parts of developments; e.g., the high-rise portion
- For certain size units; e.g., larger bedroom sizes
- Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- Market comparability study
- Fair market rents (FMR)
- 95th percentile rents
- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The "rental value" of the unit
- Other (list below)

f. Rent determination:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- Never
- At family option
- Anytime the family experiences an income increase
- Anytime a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold) _____
- Other (list below) *Only when family composition changes or if granted a rent decrease within the certification year.*

g. Yes No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12-month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- These section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood
- Other (list/describe below) *Section 8 FMR's.*

B. Section 8 Tenant -Based Assistance

Exemptions: PHA that do not administer Section 8 tenant -based assistance are not required to complete sub -component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant -based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies .

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)
- 110% of the 50th percentile of FMR

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)

d. How often are repayment standards reevaluated for adequacy? (select one)

- Annually
 Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- Success rates of assisted families
 Rent burdens of assisted families
 Other (list below)

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- \$0
 \$1-\$25
 \$26-\$50

b. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

5. Operations and Management

[24CFR Part 903.79(e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

- An organization chart showing the PHA's management structure and organization is attached.
 A brief description of the management structure and organization of the PHA follows:

The governing board is made up of 7 commissioners who are appointed by the Mayor of Duluth. The Board of Commissioners hires the Executive Director and makes policy decisions. The Executive

Director hires and supervises all other staff. The HRA of Duluth is made up of 5

Departments:

Administration, Housing Rehab, Facility Operations, Finance and Tenant Services.

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	1235	241
Section 8 Vouchers	1138	253
Section 8 Certificates	50	15
Section 8 Mod Rehab	75 (SRO)	55
Special Purpose Section 8 Certificates/Vouchers (list individually)	92	50
Public Housing Drug Elimination Program (PHDEP)	486	
Other Federal Programs (list individually)		
Service Coordinator	983	
CHSP	55	

C. Management and Maintenance Policies

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

- Admissions and Continued Occupancy Policy
- Facility Operations Policy
- Facility Operations Procedure Manual

(2) Section 8 Management: (list below)

-Section 8 Administrative Plan

6. PHA Grievance Procedures

[24 CFR Part 903.79(f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8 - Only PHAs are exempt from sub - component 6A.

A. Public Housing

1. Yes No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA offices should residents or applicant stop public housing contact to initiate the PHA grievance process? (select all that apply)

- PHA main administrative office
 PHA development management offices
 Other (list below)

B. Section 8 Tenant -Based Assistance

1. Yes No: Has the PHA established informal review procedures for applicants to the Section 8 tenant -based assistance program and informal hearing procedures for families assisted by the Section 8 tenant -based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA offices should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office
 Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.79(g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

A. Capital Fund Activities

Exemptions from sub -component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

(1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long -term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD -52837.

Select one:

- The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment - **Table Library**.

-or-

- The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert there)

(2) Optional 5 -Year Action Plan

Agencies are encouraged to include a 5 -Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD -52834.

- a. Yes No: Is the PHA providing an optional 5 -Year Action Plan for the Capital Fund? (if no, skip to sub -component 7B)

b. If yes to question a, select one:

The Capital Fund Program 5 -Year Action Plan is provided as an attachment to the PHA Plan at Attachment

-or-

The Capital Fund Program 5 -Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert there)

B. HOPEVI and Public Housing Development and Replacement Activities (Non -Capital Fund)

Applicability of sub -component 7B: All PHAs administering public housing. Identify any approved HOPEVI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

Yes No: a) Has the PHA received a HOPEVI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
b) Status of HOPEVI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- Revitalization Plan under development
- Revitalization Plans submitted, pending approval
- Revitalization Plan approved
- Activities pursuant to an approved Revitalization Plan underway

Yes No: c) Does the PHA plan to apply for a HOPEVI revitalization grant in the Plan year?

If yes, list development name/s below: **Harbor View Homes 3 -01**

Yes No: d) Will the PHA be engaging in any mixed -financed development activities for public housing in the Plan year?

If yes, list developments or activities below: **If Harbor View Homes HOPEVI grant is awarded.**

Yes No: Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement? If yes, list developments or activities below: **See C&D above.**

8. Demolition and Disposition

[24CFR Part 903.79(h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If "No", skip to component 9; if "yes", complete one activity description for each development.)

2. Activity Description

Yes No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If "yes", skip to component 9. If "No", complete the Activity Description table below.)

Demolition/Disposition Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>	
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>	
4. Date application approved, submitted, or planned for submission: <u> (DD/MM/YY)</u>	
5. Number of units affected:	
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development	
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:	

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24CFR Part 903.79(i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1. Yes No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

Designation of Public Housing Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. Designation type:	
Occupancy by only the elderly	<input type="checkbox"/>
Occupancy by families with disabilities	<input type="checkbox"/>
Occupancy by only elderly families and families with disabilities	<input type="checkbox"/>
3. Application status (select one)	
Approved; included in the PHA’s Designation Plan	<input type="checkbox"/>
Submitted, pending approval	<input type="checkbox"/>
Planned application	<input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: (DD/MM/YY)	
5. If approved, will this designation constitute a (select one)	
<input type="checkbox"/> New Designation Plan	
<input type="checkbox"/> Revision of a previously -approved Designation Plan?	
6. Number of units affected:	
7. Coverage of action (select one)	
<input type="checkbox"/> Part of the development	
<input type="checkbox"/> Total development	

10. Conversion of Public Housing to Tenant -Based Assistance

[24CFR Part 903.79(j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

A. Assessment of Reasonable Revitalization Pursuant to Section 202 of the HUD FY 1996 HUD Appropriations Act

1. Yes No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

Conversion of Public Housing Activity Description
1a. Development name: 1b. Development (project) number: MN3 -01, MN3 -02, MN3 -04, MN3 -05, MN3 -06, MN3 -07, MN3 -08, MN3 -10, MN3 -11, MN3 -12, MN3 -14, MN3 -17, MN3 -18, MN3 -20, MN3 -22, MN3 -23
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input checked="" type="checkbox"/> Other (explain below) Completed and submitted with this plan
3. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD -approved Conversion Plan underway

5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)

- Units addressed in a pending or approved demolition application (date submitted or approved:)
- Units addressed in a pending or approved HOPEVI demolition application (date submitted or approved:)
- Units addressed in a pending or approved HOPEVI Revitalization Plan (date submitted or approved:)
- Requirements no longer applicable: vacancy rates are less than 10 percent
- Requirements no longer applicable: site now has less than 300 units
- Other: (describe below) This is a "Required Initial Voluntary Assessment of Conversion from PH stock to Tenant Based Assistance."

Required Initial Assessment of Voluntary Conversion from Public Housing Stock to Tenant Based Assistance

As Required by 24CFR972
Completed on: August 13, 2002

1. How many developments are covered by the Initial Assessment Requirement?
Answer: 16 of 16
2. How many assessments were made of the covered developments? **Answer:** 16
3. How many developments are considered appropriate for conversion?
Answer: none

Rationale

The assessments of the 16 covered developments in Duluth indicate that all 16 developments if converted to Tenant Based Assistance would adversely affect the availability of affordable housing in the community. This rationale meets test #c.3 of 24CFR972.200., page 544.

B.ReservedforConversionspursuanttoSection22oftheU.S.HousingActof1937

C.ReservedforConversionspursuanttoSection33oftheU.S.HousingActof1937

11.HomeownershipProgramsAdministeredbythePHA

[24CFRPart903.79(k)]

A.PublicHousing

ExemptionsfromComponent11A:Section8onlyPHAsarenotrequiredtocomplete11A.

1. Yes No: DoesthePHAadm inisteranyhomeownershipprograms administeredbythePHAunderanapprovedsection5(h) homeownershipprogram(42U.S.C.1437c(h)),oranapproved HOPE Iprogram(42U.S.C.1437aaa)orhasthePHAappliedor plantoapplytoadministeranyhomeownership programsunder section5(h),theHOPEIprogram,orsection32oftheU.S. HousingActof1937(42U.S.C.1437z -4).(If“No”,skipto component11B;if“yes”,completeoneactivitydescriptionfor eachapplicableprogram/plan,unlesseligibletocomplete a streamlinedsubmissiondueto **smallPHA** or **highperforming PHA**status.PHAscompletingstreamlinedsubmissionsmayskip tocomponent11B.)

2.ActivityDescription

- Yes No: HasthePHAprovidedallrequiredactiv itydescriptioninformation forthiscomponentinthe **optional**PublicHousingAsset ManagementTable?(If“yes”,skiptocomponent12.If“No”, completetheActivityDescriptiontablebelow.)

**PublicHousingHomeownershipActivityDescription
(Completeoneforeachdevelopmentaffected)**

1a.Developmentname:ScatteredSites

1b.Development(project)number:Unitsyettobedetermined

2.FederalProgramauthority:

HOPEI

<input checked="" type="checkbox"/> 5(h) Attached with this Agency Plan <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99) X Section 8 Homeownership Program attached with this Agency Plan
3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA's Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (05/31/2002)
5. Number of units affected: 10 6. Coverage of action: (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development

B. Section 8 Tenant Based Assistance

1. Yes No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982? (If "No", skip to component 12; if "yes", describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

Yes No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- 25 or fewer participants
 26- 50 participants
 51 to 100 participants
 more than 100 participants

b. PHA established eligibility criteria

Yes No: Will the PHA's program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

12. PHA Community Service and Self-Sufficiency Programs

[24CFR Part 903.79(1)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8 - Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

Yes No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? N/A

2. Other coordination efforts between the PHA and TANF Agency (select all that apply)

- Client referrals
- Information sharing regarding mutual clients (for rent determinations and otherwise)
- Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- Jointly administer programs
- Partner to administer a HUD Welfare-to-Work voucher program
- Joint administration of other demonstration program
- Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- Public housing rent determination policies
- Public housing admissions policies
- Section 8 admissions policies
- Preference in admission to section 8 for certain public housing families
- Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- Preference/eligibility for public housing homeownership option participation
- Preference/eligibility for section 8 homeownership option participation

Other policies (list below)

b. Economic and Social Self-Sufficiency Programs

Yes No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If "yes", complete the following table; if "no" skip to sub-component 2, Family Self-Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office/PHA main office/other provider name)	Eligibility (public housing or section 8 participants or both)
<i>Family Self-Sufficiency Program</i>	80	Waiting list	Main HRA office	both

(2) Family Self-Sufficiency Program/s

a. Participation Description

Family Self-Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2001 Estimate)	Actual Number of Participants (As of: 05 /01/01)
Public Housing	8	11

Section 8	112	69

- b. Yes No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plan to take to achieve at least the minimum program size?
If no, list steps the PHA will take below:

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.79(m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- High incidence of violent and/or drug -related crime in some or all of the PHA's developments
- High incidence of violent and/or drug -related crime in the area surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower -level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug -related crime
- Other (describe below)

2. What information or data did the PHA use to determine the need for PHA action to improve safety of residents (select all that apply).

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anti-crime/anti-drug programs
- Other (describe below)

1. Which developments are most affected? (list below)

Harbor View Homes and Tri - Towers

B. Crime and Drug Prevention activities the PHA has undertaken or plan to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plan to undertake: (select all that apply)

- Contracting with outside and/or resident organizations for the provision of crime - and/or drug -prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at -risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other (describe below)

2. Which developments are most affected?(list below)

Harbor View Homes and Tri - Towers

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug -elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- Other activities (list below)

1. Which developments are most affected?(list below)

Harbor View Homes and Tri - Towers

D. Additional information as required by PHDEP/PHDEP Plan

PHA eligible for FY2001 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes No: Has the PHA included the PHDEP Plan for FY2001 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment. (Attachment Filename: ____)

14. RESERVED FOR PET POLICY

[24 CFR Part 903.79(n)]

See Attachment

15. Civil Rights Certifications

[24CFRPart903.79(o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

[24CFRPart903.79(p)]

1. Yes No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
(If no, skip to component 17.)
2. Yes No: Was the most recent fiscal audit submitted to HUD?
3. Yes No: Were there any findings as the result of that audit?
4. Yes No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____
5. Yes No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

17. PHA Asset Management

[24CFRPart903.79(q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)
 - Not applicable
 - Private management
 - Development-based accounting
 - Comprehensive stock assessment
 - Other: (list below)
3. Yes No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24CFR Part 90 3.79(r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)

Attached as Attachment (Filename)

Provided below:

The Resident Advisory Board (locally called the Presidents Club), indicated the following concerns:

- 1. The Presidents Council is supportive of the newly proposed Pet Policy. There are strong feelings that dogs are inappropriate in high rise buildings and that the new Pet Policy is appropriately restrictive regarding this issue.*
- 2. The Presidents Council is very disappointed and concerned about the proposed cuts in Drug Elimination Grant and Capital Funds. Further physical deterioration of public housing facilities is deemed unacceptable. Cuts in DEGF funds will directly affect an increase in crime rates in the Tri Towers and Harbor View Homes neighborhoods.*
- 3. The RAB is very supportive of both new Homeownership programs being sponsored by the HRA for implementation in 2002. See attached Plans.*

3. In what manner did the PHA address those comments? (select all that apply)

Considered comments, but determined that no changes to the PHA Plan were necessary.

The PHA changed portions of the PHA Plan in response to comments
List changes below:

Other: (list below)

The HRA will support through NAHRO and other public housing advocacy agencies, full refunding of both the DEGF and Capital Fund programs.

B. Description of Election process for Residents on the PHA Board

1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- Candidates were nominated by resident and assisted family organizations
- Candidates could be nominated by any adult recipient of PHA assistance
- Self-nomination: Candidates registered with the PHA and requested a place on ballot
- Other: (describe)

b. Eligible candidates: (select one)

- Any recipient of PHA assistance
- Any head of household receiving PHA assistance
- Any adult recipient of PHA assistance
- Any adult member of a resident or assisted family organization
- Other (list)

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (public housing and section 8 tenant assistance) -based
- Representatives of all PHA resident and assisted family organizations
- Other (list)

The Mayor of Duluth appoints all Board members.

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: **City of Duluth, MN**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- The PHA has based its statement of needs on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
 - **Apply for HOPE VI grant for revitalization of Harbor View Homes in 2002**
 - **Provide housing rehabilitation assistance**
 - **Provide down payment assistance**
 - **Create homeownership opportunities for low and moderate income people**

Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: **Working jointly to resolve impediments to Fair Housing and in partnership related to Five -Year Plan involving HOPE VI activities.**

B. Other Information Required by HUD

Substantial Deviation Definition

The HRA of Duluth defines substantial deviations or significant amendments or modifications to these plans as discretionary changes in the plans or policies of the HRA that fundamentally change the mission, goals, objectives, or plans of the agency by requiring formal approval of the Board of Commissioners when necessary.

Community Service Administration

***Note: The Community Service Requirement was suspended at the December 2001 Board of Commissioners meeting.**

General: In order to be eligible for continued occupancy, each adult family member must either; 1) contribute 8 hours per month of community service (not including political activities) within the community in which the public housing development is located, or 2) participate in an economic self-sufficiency program unless they are exempt from this requirement.

Exemptions: The following family members are exempted from this requirement; -family members who are 62 or older, -family members who are blind or disabled, -family members who are the primary caregiver for someone who is blind or disabled, -family members engaged in work activity, -family members who are exempt from work activity under part A title IV of the SSA or under any state welfare program including the welfare to work program, -family members receiving assistance under a state program funded under part A title IV of the SSA or under any other state welfare program, including welfare to work and who are in compliance with that program.

Notification: The HRA will identify and contact all family members who are required to perform community service. The notification will advise families that their community service obligation will begin upon the effective date of their first annual reexamination on or after 7/1/01. It will also advise them that failure to comply with the community service requirement will result in ineligibility for continued occupancy at the time of any subsequent annual reexamination.

Community Service Opportunities: Community service includes performing work or duties in the public benefit that serve to improve the quality of life and/or enhance resident self-sufficiency, and/or increase the self-responsibility of the resident within the community. The HRA will coordinate with social service agencies, local schools and the Human Resources Office in identifying a list of volunteer community positions.

The Process: At the first annual reexamination on or after 7/1/01, and each annual reexamination thereafter, the HRA will do the following: a) provide a list of volunteer activities and how to obtain them, b) supply documentation instruction, c) assign family a volunteer coordinator, d) receive volunteer coordinator reports prior to each annual reexamination.

Notification of Non-compliance and Opportunity for Cure: The HRA will notify each family when in non-compliance, what possible consequences can take place and what actions to take to become compliant.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

- Deconcentration Analysis
- Resident Advisory Board List
- Section 8 Homeownership Capacity Statement
- Pet Policy
- Section 8 Homeownership Program
- Public Housing (5H) Homeownership Program

Section 4: Certifications

Component 3, (6) Deconcentration and Income Mixing

- a. Yes No: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete. If yes, continue to the next question.
- b. Yes No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If no, this section is complete.

If yes, list these developments as follows:

Deconcentration Policy for Covered Developments			
Development Name:	Number of Units	Explanation (if any) [see step 4 at §903.2(c)(1)(iv)]	Deconcentration policy (if no explanation) [see step 5 at §903.2(c)(1)(v)]

Resident Membership on the HRA Duluth Governing Board

Required Attachment to the 2001 Agency Plan

All HRA Board members are appointed by the Mayor of Duluth with approval of the Duluth City Council for five-year terms. Commissioners can be appointed for a second five-year term. The current resident Board member is Glenn Fitzgerald.

Membership of the Resident Advisory Board

The HRA of Duluth Resident Advisory Board draws its membership from the Resident Councils of various HRA developments throughout the City. Each Resident Council elects its own membership and the President or Chairperson from each council is appointed to the Resident Advisory Board, called the Presidents Council. The Presidents Council is the official resident advisory group related to the Annual and Five-Year Agency Plans as well as other HRA initiatives.

2002 Resident Advisory Board/Presidents Council Membership List

Linda Ankrum
Shirley Record
Theresa Simiyu
Kathy Stevens
Dorine Tyler
Glenn Fitzgerald
Lois Frink

Comments of Resident Advisory Board (President's Board)

The President's Council met 5 times to discuss various components of the Agency Plan. There was no dissent about any particular component of the plan. However, there was considerable discussion about the newly proposed Pet Policy. Strong sentiment was expressed by Council members that the Pet Policy's prohibition of dogs in High-rise facilities is appropriate and strongly supported. The energy performance initiative is also strongly supported by the Council. It was clear by comments at meetings that quality window replacements should be priority in energy conservation activities particularly in light of the very long and cold winters here in Duluth. The new Section 8 Council participant thoroughly reviewed the Section 8 Administrative Plan. She described the plan as thorough, understandable and fair. This person also commented that the plan is very lengthy and it is probably unlikely that many Section 8 participants have or would read such a large document even though it is in their own best interest to do so.

Agency Plan Revisions

The Resident Advisory Board/President's Council met on 10/31/01. At that time the RAB was presented the required changes made by the Regional HUD Office. An overview of the CF program was presented and its relationship to the Agency Plan. The specific details needing revision/completion was reviewed. The group unanimously supported the changes to be submitted to HUD.

Revisions of the Capital Fund Plan and the Voluntary Conversion Assessment were solicited from the RAB during the week of 8/14/02 - 8/21/02. No comments or concerns were offered to the HRA about these plan revisions.

Section 8 Homeownership Capacity Statement

The HRA of Duluth has been a successful developer, owner and manager of affordable housing since 1948. Since 1963, the HRA has pursued a successful deconcentration policy by developing 300 scattered site public housing units throughout Duluth. Since 1993 the HRA has developed 42 new units of scattered site housing, on time and on budget with a total redevelopment cost of \$3,886,356.

The HRA receives a Capital Funds Program allocation of approximately \$2.3 million annually. The HRA has successfully utilized its Public Housing Drug Elimination Grant funding through careful grant administration and successful partnerships representing over 1.8 million dollars (100% obligated) over a six year period.

The HRA administers a Housing Rehabilitation Program funded with CDBG, HOME and state funds. A Homebuyer Assistance Program has been operated for the past several years that has assisted 17 Public Housing and Section 8 households in achieving the dream of homeownership. The HRA operates the following programs: Family Self-Sufficiency; Service Coordinator; Assisted Living; and Congregate Meals.

The HRA has earned seven National Awards of Merit from NAHRO in the past five years. The HRA was also nominated for a National Award of Excellence for the design of its Townhouse development in 1995 and was recognized by HUD with a Best Practice Award for its Assisted Living Program. The HRA has been a national leader in administering its Lead Abatement Program and has received state recognition for its progressive infill housing strategies. The HRA is annually the City's largest sub-grantee for the Community Development Block Grant program, providing housing rehab services to over 200 households each year and leveraging approximately \$4 of funding for each \$1 of CDBG funding.

The HRA endeavors to create the necessary partnerships and additional staff capacity during the 2001 fiscal year to implement a Section 8 Homeownership Program in 2002.

The HRA has been meeting with LISC, Neighborhood Housing Services, the City of Duluth and financial institutions to begin the education process regarding HUD guidelines for the implementation process. If the HRA is successful with its 2001 HOPE VI application, the Section 8 Homeownership Program will fit the vision of neighborhood revitalization that is articulated in the HOPE VI application. If not funded by HOPE VI in 2001, a new Section 8 Homeownership strategy will fit with an alternative affordable housing vision that includes the overall re-engineering of HRA's portfolio.

**PHA Plan
Table Library**

**Component 7
Capital Fund Program Annual Statement
Parts I, II, and III**

**Annual Statement
Capital Fund Program (CFP) Part I: Summary**

Capital Fund Grant Number 50102 FFY of Grant Approval: 2002

X Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non -CGP Funds	
2	1406 Operations	223,592.70
3	1408 Management Improvements	25,000.00
4	1410 Administration	223,592.70
5	1411 Audit	0
6	1415 Liquidated Damages	0
7	1430 Fees and Costs	100,000.00
8	1440 Site Acquisition	0
9	1450 Site Improvement	0
10	1460 Dwelling Structures	1,599,100.68
11	1465.1 Dwelling Equipment -Nonexpendable	0
12	1470 Nondwelling Structures	0
13	1475 Nondwelling Equipment	15,000.00
14	1485 Demolition	100,746.92
15	1490 Replacement Reserve	0

16	1492MovingtoWorkDemonstration	0
17	1495.1RelocationCosts	0
18	1498ModUsedforDevelopment	0
19	1502Contingency	0
20	AmountofAnnualGrant(Sumoflines2 -19)	\$2,287,033.00
21	Amountoffline20RelatedtoLBPActivities	400,000.00
22	Amountoffline20RelatedtoSection504Compliance	0
23	Amountoffline20RelatedtoSecurity	0
24	Amountoffline20RelatedtoEnergyConservation Measures	100,746.92

**AnnualStatement
CapitalFundProgram(CFP)PartII:SupportingTable**

Development Number/Name HA-WideActivities	GeneralDescriptionofMajorWork Categories	Development Account Number	Total Estimated Cost
MN46P003001 HarborViewHomes	ExteriorRenovations	1460	400,000.00
MN46P003002 FairmontHomes	ExteriorUpgrades(Continued)	1460	372,994.68
MN46P003006 Tri-Tower	ReplaceWindows	1460	426,106.00
MN46P003007-Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	1460	100,000.00
MN46P003011 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	1460	100,000.00
MN46P003012 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	1460	100,000.00
MN46P003018 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	1460	100,000.00
MN46P003002 Grandview Manor	Energy Performance Contract	1485	100,746.92
MN46P003 ET AL Agency Wide	Repayment/Demolition/Disposal Costs		
	Operations	1406	223,592.70
	Management Improvements/Staff	1408	25,000.00
	Training	1410	223,592.70
	Non-Technical Salaries and Fringe	1430	100,000.00
	Benefits	1475	15,000.00
	Architectural/Engineering Fees		
	Computer Hardware		

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**Annual Statement
Capital Fund Program (CFP) Part III: Implementation Schedule**

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)
MN46P003001 Harbor View Homes	3-31-04	9-31-05
MN46P003002 Fairmont Homes	3-31-04	9-31-05
MN46P003002 Grandview Manor	3-31-04	9-31-05
MN46P003006 Tri-Towers	3-31-04	9-31-05
MN46P003007 Scattered Sites	3-31-04	9-31-05
MN46P003011 Scattered Sites	3-31-04	9-31-05
MN46P003012 Scattered Sites	3-31-04	9-31-05
<i>MN46P003012 Scattered Sites</i>	<i>3-31-04</i>	<i>9-31-05</i>
MN46P003018 Scattered Sites	3-31-04	9-31-05
MN46 P003 Agency Wide Activities	3-31-04	9-31-05

Optional Table for 5 - Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5 - Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5 - Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
See Below	See Below			
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Harbor View Homes: MN46P003001				
Hope VI Activities and/or Exterior Upgrades			400,000.00	2002
Hope VI Activities and/or Exterior Upgrades			400,000.00	2003
Hope VI Activities and/or Exterior Upgrades			400,000.00	2004
Hope VI Activities and/or Exterior Upgrades			400,000.00	2005
Hope VI Activities and/or Exterior Upgrades			400,000.00	2006
Fairmont Homes: MN46P003002				
Exterior Upgrades (Continued)			372,994.68	2002
Install Floor Tile			150,000.00	2005
Grandview Manor: MN46P003002				
Energy Performance Contract Payback/Demolition/Disposal			100,746.92	2002
Energy Performance Contract Payback/Demolition/Disposal			74.63	2003
High Efficiency Hot Water Heaters			37,437.00	2004
Install Glycol Loop			36,912.00	2004
Mailbox Upgrades/Parcel Boxes			5,000.00	2005
Replace Apartment/Corridor Doors and Locks			75,000.00	2005

HazardousMaterialAbatement/Modernization	42,994.68	2005
HazardousMaterialAbatement/Modernization	50,000.00	2006
ScatteredSites:MN46P003008		
KitchenUpgrades	340,000.00	2006
KingManor:MN46P003010		
EnergyPerformanceContractPayback/Demolition/Disposal	12,397.59	2004
UpgradestoSkywalkSystem	125,000.00	2005
EnergyPerformanceContractPayback/Demolition/Disposal	100,746.92	2005
EnergyPerformanceContractPayback/Demolition/Disposal	12,911.34	2006
ScatteredSites:MN46P003011		
HazardousMaterialAbatementandModernization	100,000.00	2002
HazardousMaterialAbatementandModernization	100,000.00	2003
HazardousMaterialAbatementandModernization	100,000.00	2004
HazardousMaterialAbatementandModernization	100,000.00	2005
HazardousMaterialAbatementandModernization	50,000.00	2006
ScatteredSites:MN46P003012		
HazardousMaterialAbatementandModernization	100,000.00	2002
HazardousMaterialAbatementandModernization	50,000.00	2003
HazardousMaterialAbatementandModernization	100,000.00	2004
HazardousMaterialAbatementandModernization	100,000.00	2005
HazardousMaterialAbatementandModernization	57,994.68	2006
MidtowneManorII:MN46P003014		
ElevatorUpgrades	250,000.00	2004
ReplaceFurnitureinDiningPod	50,000.00	2004
EnergyPerformanceContractPayback/Demolition/Disposal	24,590.63	2003

ScatteredSites:MN46P003017 ExteriorUpgrades	150,000.00	2006
ScatteredSites:MN46P003018 HazardousMaterialAbatementandModernization	100,000.00	2002
HazardousMaterialAbatementandModernization	50,000.00	2003
HazardousMaterialAbatementandModernization	100,000.00	2004
HazardousMaterialAbatement andModernization	150,000.00	2005
HazardousMaterialAbatementandModernization	50,000.00	2006
HousingAuthorityWideActivities:MN46P003ETAL Operations	223,592.70	2002
Operations	223,592.70	2003
Operations	223,592.70	2004
Operations	223,592.70	2005
Operations	223,592.70	2006
ManagementImprovements	25,000.00	2002
ManagementImprovements	25,000.00	2003
ManagementImprovements	25,000.00	2004
ManagementImprovements	25,000.00	2005
ManagementImprovements	25,000.00	2006
Administration	223,592.70	2002
Administration	223,592.70	2003
Administration	223,592.70	2004
Administration	223,592.70	2005
Administration	223,592.70	2006
Architectural/EngineeringFees	100,000.00	2002
Architectural/EngineeringFees	100,000.00	2003
Architectural/EngineeringFees	100,000.00	2004
Architectural/EngineeringFees	100,000.00	2005

Architectural/EngineeringFees	100,000.00	2006
ComputerHardware	15,000.00	2002
ComputerHardware	15,000.00	2003
ComputerHardware	15,000.00	2004
ComputerHardware	15,000.00	2005
ComputerHardware	15,000.00	2006
EnergyPerformanceContractPayback/EnergyAuditFees	87,835.58	2006
Totalestimatedcostovernext5years	11,435,165	

**Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary**

PHAName: Housing and Redevelopment Authority of Duluth, Minnesota	Grant Type and Number Capital Fund Program: MN46P003070899 Capital Fund Program Replacement Housing Factor Grant No:	Federal FY of Grant: 1999
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Original Annual Statement (revision no: 1) Reserve for Disasters/Emerg encies X Revised Annual Statement
 Performance and Evaluation Report for Period Ending: 3 -31-02 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non -CFP Funds	0	0	0	0
2	1406 Operations	0	0	0	0
3	1408 Management Improvements	151,000.00	133,067.37	133,067.37	133,067.37
4	1410 Administration	207,952.00	207,952.00	207,952.00	207,952.00
5	1411 Audit	0	0	0	0
6	1415 Liquidated Damages	0	0	0	0
7	1430 Fees and Costs	122,937.00	229,525.26	229,525.26	227,515.26
8	1440 Site Acquisition	0	0	0	0
9	1450 Site Improvement	0	11,775.00	11,775.00	11,775.00
10	1460 Dwelling Structures	1,395,630.00	1,297,101.91	1,297,101.91	1,297,101.91
11	1465.1 Dwelling Equipment — Nonexpendable	125,000.00	106,904.12	106,904.12	106,904.12
12	1470 Non Dwelling Structures	65,000.00	64,700.00	64,700.00	64,700.00
13	1475 Non Dwelling Equipment	12,000.00	28,493.34	28,493.34	28,493.34
14	1485 Demolition	0	0	0	0
15	1490 Replacement Reserve	0	0	0	0
16	1492 Moving to Work Demonstration	0	0	0	0
17	1495.1 Relocation Costs	0	0	0	0
18	1498 Mod Used for Development	0	0	0	0

**Annual Statement/Performance and Evaluation Report
 Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary**

PHAN Name: Housing and Redevelopment Authority of Duluth, Minnesota	Grant Type and Number Capital Fund Program: MN46P003070899 Capital Fund Program Replacement Housing Factor Grant No:	Federal FY of Grant: 1999
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Original Annual Statement (revision no: 1) Reserve for Disasters/Emerg encies X Revised Annual Statement
 Performance and Evaluation Report for Period Ending: 3 -31-02 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
19	1502 Contingency	0	0	0	0
20	Amount of Annual Grant: (sum of lines 2-19)	\$2,079,519.00	\$2,079,519.00	\$2,079,519.00	\$2,077,509.00
21	Amount of line 20 Related to LBP Activities	\$400,000.00	\$387,728.00	\$387,728.00	\$387,728.00
22	Amount of line 20 Related to Section 504 Compliance				
23	Amount of line 20 Related to Security				
24	Amount of line 20 Related to Energy Conservation Measures				

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 1999			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:				Federal FY of Grant: 1999		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46P003001 Harbor View Homes	Resident Training	1408	Lump Sum	26,000.00	25,993.49	25,993.49	25,993.49	Complete
	Stain/Repair Exterior Siding	1460	47 Bldgs.	205,630.00	0	0	0	Transferring \$ Due to HOPE VI Application
	TOTAL MN.3 -1 Harbor View Homes				\$231,630.00	\$25,993.49	\$25,993.49	\$25,993.49

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:				Federal FY of Grant: 1999		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46P003002 Fairmont Homes	Landscaping – Install Large Rocks Along Alley To Prevent Parking on Lawns	1450	All	0	11,775.00	11,775.00	11,775.00	Complete
	Paint/Trim Exterior Panels	1460	20 Buildings	\$65,000.00	0	0	0	Transferred to 50100
	<hr/>							
TOTAL MN.3 -2 Fairmont Homes				\$65,000.00	0	\$11,775.00	\$11,775.00	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 1999			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
46P003004 Midtowne Manor I	Upgrade Corridors	1460	14 Floors	30,000.00	30,000.00	30,000.00	30,000.00	Complete
	Replace Kitchen Cabinets/Countertops and Sinks	1460	108	325,000.00	192,791.79	192,791.79	192,791.79	Complete
	Install Intercom System	1460	Bldg.	25,000.00	25,000.00	25,000.00	25,000.00	Complete
	TOTAL MN.3 -4 Midtowne Manor I				\$380,000.00	-\$247,791.79	-\$247,791.79	-\$247,791.79

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 1999			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
46P003005 Ramsey Manor	Replace Boiler and Domestic Hot Water Tank	1460	1 Ea.	150,000.00	8,726.03	8,726.03	8,726.03	Complete
	Recaulk Exterior of Building	1460	1 Side	75,000.00	36,700.00	36,700.00	36,700.00	Complete
	<u>TOTAL MN.3 -5 Ramsey Manor</u>			<u>\$225,000.00</u>	<u>\$45,426.03</u>	<u>\$45,426.03</u>	<u>\$45,426.03</u>	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:				Federal FY of Grant: 1999		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46P003006Tri - Towers	Replace Entry Canopy	1460	2Ea.	45,000.00	78,800.00	78,800.00	78,800.00	Complete
	Replace Kitchen Cabinets, Countertops and Sinks	1460	173Ea.	0	442,393.09	442,393.09	442,393.09	Complete
	<hr/> TOTAL MN.3 -6Tri - Towers				<hr/> \$45,000.00	<hr/> \$521,193.09	<hr/> \$521,193.09	<hr/> \$521,193.09

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 1999			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
N46P003007 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization @: 619 N. 23 rd Ave. W. (\$62,800) 1018 N. 8 th Ave. E. (\$26,128) ----- TOTAL MN. 3 -7 Scattered Sites	1460	2 Ea.	100,000.00	88,928.00	88,928.00	88,928.00	Complete
				----- \$100,000.00	----- \$88,928.00	----- \$88,928.00	----- \$88,928.00	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 1999			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46P003008 Scattered Sites	Replace Stoves and Refrigerators	1465	65 Stoves 65 Refrig.	50,000.00	41,623.38	41,623.38	41,623.38	Complete
	<hr/> TOTAL MN.3 -8 Scattered Sites			<hr/> \$50,000 .00	<hr/> \$41,623 .38	<hr/> \$41,623 .38	<hr/> \$41,623 .38	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:				Federal FY of Grant: 1999		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
46P003010 Manor	Replace Stoves and Refrigerators	1465	98 Stoves 98 Refrig.	75,000.00	65,280.74	65,280.74	65,280.74	Complete
	Upgrade Elevators	1460	2 Ea.	0	0	0	0	Transfer to 50100
	Replace Carpet in Administrative Offices	1460	1 Ea.	0	3,963.00	3,963.00	3,963.00	Complete
	TOTAL MN.3 -10 KING MANOR				<u>\$75,000.00</u>	<u>\$69,243.74</u>	<u>\$69,243.74</u>	<u>\$69,243.74</u>

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:				Federal FY of Grant: 1999		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
N46P003011S cattered Sites	Lead Paint/Hazardous Material Abatement@: 518 Arlington (\$5,303.65) 619 Winnipeg (\$5,730.05) Modernization@: 2967 Devonshire (\$38,400.00) 518 Arlington (\$64,848.40) 619 Winnip eg (\$103,500)	1460	3Ea.	100,000.0 0	217,782.1 0	217,782.1 0	217,782.1 0	Complete
	<hr/> TOTAL MN.3 -11 Scattered Sites			<hr/> \$100,000.00	<hr/> \$217,782.10	<hr/> \$217,782.10	<hr/> \$217,782.10	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 1999			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
46P003012 Scattered Sites	Lead Paint/Hazardous Material Abatement @ 901 N. 27 th Ave. W. (\$7,017.90) Modernization @ 901 N. 27 th Ave. West (\$74,000.00)	1460	1 Ea.	100,000.00	81,017.90	81,017.90	81,017.90	Complete
	TOTAL MN.3 -12 Scattered Sites			\$100,000.00	\$81,017.90	\$81,017.90	\$81,017.90	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:				Federal FY of Grant: 1999		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46P003014 Midtowne Manor II	Replace Roof on Building	1460	1 Ea.	75,000.00	91,000.00	91,000.00	91,000.00	Complete
	Replace Roof on Dining Pod	1470	1 Ea.	65,000.00	64,700.00	64,700.00	64,700.00	
	<hr/> TOTAL MN.3 -14 Midtowne Manor II				<hr/> \$140,000.00	<hr/> \$155,700.00	<hr/> \$155,700.00	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:				Federal FY of Grant: 1999		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46P003018 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	1460		\$100,000.00	0	0	0	Work transferred to 50100
	<u> TOTAL MN.3 -18 Scattered Sites</u>			<u> \$100,000.00</u>	<u> 0</u>	<u> 0</u>	<u> 0</u>	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 1999			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46P003 ETAL	Management Improvements: a. Ergonomics \$17,349.12 b. Financial Operations Supervisor \$55,244.39 c. Housing Operations Supervisor \$28,902.67 d. Customer Service Training \$200.00 e. Management Training \$950.00 f. Internet Access \$4,427.70	1408	All	125,000.00	107,073.88	107,073.88	107,073.88	Complete
	Non-Technical Salaries and Fringe Benefits	1410	All	207,952.00	207,952.00	207,952.00	207,952.00	Complete

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 1999			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
N46P003ETAL Continued	Architectural/Engineering/Consultant Fees	1430	All	122,937.00	229,525.26	229,525.26	227,515.26	Ongoing
	a. Fairmont Upgrades \$35,555.00 b. Ramsey Boilers \$27,813.00 c. Ramsey Recaulk \$2,000.00 d. Tri-Towers Upgrades \$38,803.00 e. Lead Paint/Hazardous Material Abatement and Modernization Packet 9 \$10,028.01 Packet 10 \$36,700.00 Packet 11 \$40,246.25							
	a. King Manor Elevators \$20,880.00 b. Midtowne II Reroofing \$17,500	1475	All	12,000.00	28,493.34	28,493.34	28,493.34	Complete
	Computer Hardware			\$467,889.00	\$573,044.48	\$573,044.48	\$571,034.48	
Small PHA Plan Update Page 77 Table Library								
TOTAL MN46P003ET								

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 1999			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part III: Implementation Schedule

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:					1999
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
MN46P003001 Harbor View Homes	12-31- 2000		12-31- 99	9-30-2002		10-31-00	
MN46P003002 Fairmont Homes	12-31- 2000		12-31- 00	9-30-2002		12-31-00	
MN46P0030004 Midtowne Manor I	12-31- 2000		10-31- 00	9-30-2002		10-31-00	
MN46P003005 Ramsey Manor	12-31- 2000		12-31- 00	9-30-2002		7-31-01	
MN46P003006 Tri - Towers	12-31- 2000		12-31- 00	9-30-2002		4-30-01	
MN46P003007 Scattered Sites	12-31- 2000		12-31- 00	9-30-2002		4-30-01	
MN46P003008 Scattered Sites	12-31- 2000		10-31- 00	9-30-2002		10-31-00	
MN46P003010 King Manor	12-31- 2000		12-31- 00	9-30-2002		10-31-00	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part III: Implementation Schedule

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 708 Capital Fund Program Replacement Housing Factor#:					1999
Development Number Name/HA-Wide Activities	All Fund Obligated (Quart Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
MN46P003011 Scattered Sites	12-31- 2000		12-31- 00	9-30-2002		2-28-02	
MN46P003012 Scattered Sites	12-31- 2000		12-31- 00	9-30-2002		10-31-01	
MN46P003014 Midtowne Manor Ii	12-31- 2000		12-31- 00	9-30-2002		1-31-01	
MN46P003018 Scattered Sites	12-31- 2000		12-31- 00	9-30-2002			

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary

PHAName: **Housing and redevelopment Authority of Duluth, Minnesota** Mn46P00350100 2000

Original Annual Statement (revision no: 1) Reserve for Disasters/Emergencies Revised Annual Statement
 Performance and Evaluation Report for Period Ending: 3 -31-02 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non -CFP Funds	0	0	0	0
2	1406 Operations	191,315.75	191,315.75	191,315.75	191,315.75
3	1408 Management Improvements	126,433.18	126,433.18	126,433.18	122,599.09
4	1410 Administration	194,783.55	194,783.55	194,783.55	194,783.55
5	1411 Audit	0	0	0	0
6	1415 Liquidated Damages	0	0	0	0
7	1430 Fees and Costs	150,000.00	150,000.00	150,000.00	81,111.64
8	1440 Site Acquisition	0	0	0	0
9	1450 Site Improvement	35,000.00	20,920.00	20,920.00	19,420.00
10	1460 Dwelling Structures	1,566,481.52	1,580,561.52	1,568,663.16	944,700.53
11	1465.1 Dwelling Equipment — Nonexpendable	28,000.00	28,000.00	0	0
12	1470 Non Dwelling Structures	0	0	0	0
13	1475 Non Dwelling Equipment	15,000.00	15,000.00	14,526.69	14,526.69
14	1485 Demolition	0	0	0	0
15	1490 Replacement Reserve	0	0	0	0
16	1492 Moving to Work Demonstration	0	0	0	0
17	1495.1 Relocation Costs	0	0	0	0
18	1498 Mod Used for Development	0	0	0	0
19	1502 Contingency	0	0	0	0
20	Amount of Annual Grant: (sum of lines 2 -19)	\$2,307,014.00	\$2,307,014.00	\$2,266,642.33	\$1,568,457.25

**Annual Statement/Performance and Evaluation Report
 Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary**

PHAName: Housing and redevelopment Authority of Duluth, Minnesota Mn46P00350100 2000

Original Annual Statement (revisionno: 1) Reserve for Disasters/Emergencies Revised Annual Statement
 Performance and Evaluation Report for Period Ending: 3 -31-02 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
21	Amount of line 20 Related to LBP Activities	\$572,692.56	\$734,680.16	\$724,003.20	\$205,996.92
22	Amount of line 20 Related to Section 504 Compliance	0	0	0	0
23	Amount of line 20 Related to Security	0	0	0	0
24	Amount of line 20 Related to Energy Conservation Measures	0	0	0	0

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 2000			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2000
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -2 Fairmont Homes	Replace Floor Tile	1460	22 Units	140,000.0 0	0	0	0	Work to future Capital Fund Year Complete
	Exterior Renovations to Include reroofing, window replacement, front and rear porch install, reside exterior panels	1460	To Be Determined	300,000.0 0	520,194.6 4	520,194.6 4	520,194.6 4	
	Replace Stoves and Refrigerators	1465	22 Stoves 22 Refrig.	28,000.00	28,000.00	0	0	
	<u>TOTAL MN.3 -2 Fairmont Homes</u>			<u>\$468,000.00</u>	<u>\$548,194.64</u>	<u>\$520,194.64</u>	<u>\$520,194.64</u>	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2000
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	

MN3-4 Midtowne Manor I	Install Hallway Carpeting	1460	14 Floors	50,000.00	30,616.40	29,395.00	0	Contract Awarded
	_____ TOTAL MN.3 -4 Midtowne Manor I			____\$50,000 .00	____\$30,616 .40	____\$29,395 .00	____\$0	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 2000			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -5 Ramsey Manor	Install Hallway Carpeting	1460	13 Floors	50,000.00	28,059.00	28,059.00	0	Contract Awarded
	Complete Boiler Installation	1460	1 Ea.	0	14,364.26	14,364.26	14,364.26	Complete
	_____ TOTAL MN.3 -5 Ramsey Manor				____\$50,000 .00	____\$42,423 .26	____\$42,423 .26	____\$14,364 .26

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 2000			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -6Tri - Towers	Install Kitchen Cabinets, Countertops and Sinks	1460	29 Ea.	351,481.52	36,121.06	36,121.06	36,121.06	Complete
	<hr/> TOTAL MN.3 -6Tri - Towers			<hr/> \$351,481.52	<hr/> \$36,121.06	<hr/> \$36,121.06	<hr/> \$36,121.06	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2000
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -7 Scattered Sites	<i>Lead Paint/Hazardous Material Abatement@:</i> 2114 W.6 th Street (\$10,020.00) <i>Modernization@:</i> 2114 W.6 th Street (\$116,405.00) 1018 N.8 th Avenue East (\$2,358.00) 619 N.23 rd Avenue West (\$1,096.00)	1460	3	0	129,879.00	129,879.00	129,609.00	Contract Awarded
	<hr/> TOTAL MN.3 -7 Scattered Sites			<hr/> \$0	<hr/> \$129,879.00	<hr/> \$129,879.00	<hr/> \$129,609.00	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2000
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -10 King Manor	Remove/Replace Carpet in Administrative Offices	1460	1	75,000.00	0	0	0	Transferred to Future
	Upgrade Elevators	1460	2	0	216,526.00	216,526.00	168,023.65	Contract Awarded
	<hr/> TOTAL MN.3 -10 King Manor				<hr/> \$75,000.00	<hr/> \$216,526.00	<hr/> \$216,526.00	<hr/> \$168,023.65

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 2000			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -11 Scattered Sites	<i>Lead Paint/Hazardous Material Abatement@:</i> 1125 Maple Grove Road (\$8,720.00) 1025 Brainerd Avenue (\$3,426.40) 619 N.22 nd Avenue West (\$10,850.00) <i>Modernization@:</i> 619 Winnipeg (\$18,853.00) 1125 Maple Grove Road (\$73,075.00) 1025 Brainerd Avenue (\$65,775.00) 619 N.22 nd Avenue West (\$75,020.00) 518 Arlington (\$8,180.60) <hr/> TOTAL MN.3 -11 Scattered Sites	1460	5	240,170.0 0	263,900.0 0	263,900.0 0	29,828.00	Contract Awarded
				\$240,170.00	\$263,900.00	\$263,900.00	\$29,828.00	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 2000			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -12 Scattered Sites	<i>Lead Paint/Hazardous Material Abatement@:</i> 506 Spear (\$19,937.20) 1422 N. 7 th Avenue East (\$5,200.00) <i>Modernization@:</i> 506 Spear (\$ 104,415.00) 1422 N. 22 nd Ave. East (\$55,080.00) 303 N. 22 nd Avenue West (\$850.00) 925 East 8 th Street (\$666.00) 901 N. 27 th Avenue West (\$4,992.00) <hr/> _____ TOTAL MN.3 -12 Scattered Sites	1460	5	195,758.56	201,817.16	191,140.20	24,977.00	Contracts Awarded
				\$195,758.56	\$201,817.16	\$191,140.20	\$24,977.00	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 2000			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -18 Scattered Sites	<i>Lead Paint/Hazardous material Abatement@:</i> 2239 Livingston (\$7,920.00) 2723 West 8 th Street (\$15,300.00) <i>Modernization@:</i> 2239 Livingston (\$39,575.00) 2723 W. 8 th Street (\$69,355.00) 7110 Waseca (\$6,934.00) <hr/> TOTAL MN.3 -18 Scattered Sites	1460	3	136,764.0 0	139,084.0 0	139,084.0 0	21,582.92	Contract Awarded
				\$136,76 4.00	\$139,08 4.00	\$139,08 4.00	\$21,582 .92	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2000
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -14 Midtowne Manor II	Remove In -Ground Oil Tank	1450	1	35,000.00	20,920.00	20,920.00	19,420.00	Contract Awarded
	<hr/> TOTAL MN.3 -14 Midtowne Manor II			<hr/> \$35,000 .00	<hr/> \$20,920 .00	<hr/> \$20,920 .00	<hr/> \$19,420 .00	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 2000				
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work	
				Original	Revised	Funds Obligated	Funds Expended		
MN46P003ET AL	Operations	1406	All	191,315.7 5	191,315.7 5	191,315.7 5	191,315.7 5	Complete	
	<u>Management Improvements</u>	1408	All					Ongoing	
	a. Financial Operations Supervisor (\$57,043.44)			126,433.1 8	126,433.1 8	126,433.1 8	122,599.0 9		
	b. Housing Operations Supervisor (\$56,435.65)								
	c. Supervisory Training (\$12,954.09)								
	<i>Non Technical Salaries and Fringe Benefits</i>	1410	All					Complete	
					194,783.5 5	194,783.5 5	194,783.5 5	194,783.5 5	Ongoing
	<u>Architectural/Engineering Fees</u>	1430	All						Ongoing
a. Lead Paint/Hazardous Material Abatement and Modernization				150,000.0 0	150,000.0 0	150,000.0 0	81,111.64		
b. Removal In Ground Oil Tank									
c. 3-8 Window Replacement									
d. Fairmont upgrades	1475	All						Ongoing	
Computer Hardware									
<hr/> TOTAL: MN46P003ET AL				15,000.00	15,000.00	14,526.69	14,526.69		
				\$677.53 2.48	\$677.53 2.48	\$657.05 9.17	\$604.33 6.72		

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHAName: HRA of Duluth, Minnesota			Grant Type and Number Capital Fund Program#: 50100 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 2000		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part III: Implementation Schedule

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: MN46P00350100 Capital Fund Program Replacement Housing Factor#:					Federal FY of Grant: 2000	
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates	
	Original	Revised	Actual	Original	Revised	Actual		
MN.3 -2 Fairmont Homes	12-31-02	9-30-02	9-30-01	12-31-05	9-30-05		Revised to Meet PIH Notice 2001 -26	
MN.3 -4 Midtowne Manor I	12-31-02	9-30-02	3-31-02	12-31-05	9-30-05		“““	
MN.3 -5 Ramsey Manor	12-31-02	9-30-02	3-31-02	12-31-05	9-30-05		“““	
MN.3 -6 Tri -Towers	12-31-02	9-30-02	9-30-01	12-31-05	9-30-05	9-30-01	“““	
MN.3 -7 Scattered Sites	12-31-02	9-30-02	11-30-01	12-31-05	9-30-05		“““	
MN.3 -10 King Manor	12-31-02	9-30-02	11-30-01	12-31-05	9-30-05		“““	
MN.3 -11 Scattered Sites	12-31-02	9-30-02	11-30-01	12-31-05	9-30-05		“““	
MN.3 -12 Scattered Sites	12-31-02	9-30-02	11-30-01	12-31-05	9-30-05		“““	
MN.3 -14 Midtowne Manor II	12-31-02	9-30-02	10-31-01	12-31-05	9-30-05		“““	
MN.3 -18 Scattered Sites	12-31-02	9-30-02	11-30-01	12-31-05	9-30-05		“““	

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part III: Implementation Schedule							
PHAName: HRA of Duluth, Minnesota			Grant Type and Number Capital Fund Program#: MN46P00350100 Capital Fund Program Replacement Housing Factor#:				Federal FY of Grant: 2000
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
MNETAL Agency Wide	12-31-02	9-30-02		12-31-05	9-30-05		“““

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary

PHAName: Housing and Redevelopment Authority of Duluth, Minnesota	Grant Type and Number Capital Fund Program: MN46P00350101 Capital Fund Program Replacement Housing Factor Grant No:	Federal FY of Grant: 2001
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Original Annual Statement (revision no: 1) Reserve for Disasters/Emergencies Revised Annual Statement
 Performance and Evaluation Report for Period Ending: 3 -31-02 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total Non -CFP Funds	0	0	0	0
2	1406 Operations	235,360.70	235,360.70	235,360.70	235,360.70
3	1408 Management Improvements	35,000.00	35,000.00	34,360.65	32,314.70
4	1410 Administration	235,360.70	235,360.70	98,074.84	98,074.84
5	1411 Audit	0	0	0	0
6	1415 Liquidated Damages	0	0	0	0
7	1430 Fees and Costs	75,000.00	75,000.00	48,106.48	0
8	1440 Site Acquisition	0	0	0	0
9	1450 Site Improvement	50,000.00	50,000.00	27,500.00	0
10	1460 Dwelling Structures	1,272,885.60	1,672,885.60	531,347.48	180,823.67
11	1465.1 Dwelling Equipment — Nonexpendable	0	0	0	0
12	1470 Non Dwelling Structures	0	0	0	0
13	1475 Non Dwelling Equipment	40,000.00	40,000.00	21,714.53	21,714.53
14	1485 Demolition	10,000.00	10,000.00	0	0
15	1490 Replacement Reserve	0	0	0	0
16	1492 Moving to Work Demonstration	0	0	0	0
17	1495.1 Relocation Costs	0	0	0	0
18	1498 Mod Used for Development	400,000.00	0	0	0

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary

PHAName: Housing and Redevelopment Authority of Duluth, Minnesota	Grant Type and Number Capital Fund Program: MN46P00350101 Capital Fund Program Replacement Housing Factor Grant No:	Federal FY of Grant: 2001
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Original Annual Statement (revision no: 1) Reserve for Disasters/Emergencies Revised Annual Statement
 Performance and Evaluation Report for Period Ending: 3 -31-02 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
19	1502 Contingency	0	0	0	0
20	Amount of Annual Grant: (sum of lines 2 -19)	\$2,353,607.00	\$2,353,607.00	996,464.48	568,288.48
21	Amount of line 20 Related to LBP Activities	\$300,000.00	\$300,000.00	0	0
22	Amount of line 20 Related to Section 504 Compliance	0	0	0	0
23	Amount of line 20 Related to Security	0	0	0	0
24	Amount of line 20 Related to Energy Conservation Measures	0	0	0	0

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 2001			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2001
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -1 Harbor View Homes	Modernization For Development/ Hope VI Activities and/or Exterior Renovations	1498		400,000.00	0	0	0	Grant Not Received in 2001
	<hr/> TOTAL MN.3 -1 Harbor View Homes			<hr/> \$400,000.00	<hr/> \$0	<hr/> \$0	<hr/> \$0	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2001
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -2 Fairmont Homes	Landscaping	1450	All	50,000.00	50,000.00	27,500.00	0	Contract Awarded Work Progressing
	Exterior Renovations (Continued)	1460		360,685.60	760,685.60	0	180,823.67	
	<hr style="width: 80%; margin: 0 auto;"/> TOTAL MN. 3 -2 Fairmont Homes			<hr style="width: 80%; margin: 0 auto;"/> \$410,685.60	<hr style="width: 80%; margin: 0 auto;"/> \$760,685.60	<hr style="width: 80%; margin: 0 auto;"/> 531,347.48	<hr style="width: 80%; margin: 0 auto;"/> -	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2001
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -2 Grandview Manor	Duct Cleaning	1460	Building	25,000.00	25,000.00	0	0	
	_____TOTAL MN.3 -2 Grandview Manor			_____\$25,000.00	_____\$25,000.00	_____\$0	_____\$0	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2001
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -4 Midtowne Manor I	Duct Cleaning	1460	Building	35,000.00	35,000.00	0	0	
	<hr style="width: 80%; margin: 0 auto;"/> TOTAL Mn.3 -4 Midtowne Manor I			<hr style="width: 80%; margin: 0 auto;"/> \$35,000.00	<hr style="width: 80%; margin: 0 auto;"/> \$35,000.00	<hr style="width: 80%; margin: 0 auto;"/> \$0	<hr style="width: 80%; margin: 0 auto;"/> \$0	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2001
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -5 Ramsey Manor	Duct Cleaning	1460	Building	35,000.00	35,000.00	0	0	
	<hr style="width: 80%; margin: 0 auto;"/> TOTAL MN.3 -5 Ramsey Manor			<hr style="width: 80%; margin: 0 auto;"/> \$35,000.00	<hr style="width: 80%; margin: 0 auto;"/> \$35,000.00	<hr style="width: 80%; margin: 0 auto;"/> \$0	<hr style="width: 80%; margin: 0 auto;"/> \$0	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2001
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -8 Scattered Sites	Window Replacement	1460	62 Buildings	517,200.0 0	517,200.0 0	0	0	Construction Design Phase
	<hr style="width: 80%; margin: 0 auto;"/> TOTAL MN.3 -8 Scattered Sites			<hr style="width: 80%; margin: 0 auto;"/> \$517,200.00	<hr style="width: 80%; margin: 0 auto;"/> \$517,200.00	<hr style="width: 80%; margin: 0 auto;"/> \$0	<hr style="width: 80%; margin: 0 auto;"/> \$0	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2001
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -10 King Manor	Carpet Administrative Offices	1460	All	0	75,000.00	0	0	Transferred from 50100
	<hr style="width: 80%; margin: 0 auto;"/> _____ TOTAL MN.3 -10 King Manor			<hr style="width: 80%; margin: 0 auto;"/> ___\$0	<hr style="width: 80%; margin: 0 auto;"/> \$75,000.00	<hr style="width: 80%; margin: 0 auto;"/> ___\$0	<hr style="width: 80%; margin: 0 auto;"/> ___\$0	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2001
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -11 Scattered Sites	<u>Lead Paint/Hazardous Material Abatement@:</u>	1460		100,000.00	100,000.00	0	0	Construction Design Phase
	<u>Modernization@:</u> a. 1025 Brainerd b. 1125 Maple Grove Road c. 619 N. 22 nd Avenue West	1485	1	10,000.00	10,000.00	0	0	
	<u>Demolition of 216 South Basswood</u>			<u> </u> \$110,000.00	<u> </u> \$110,000.00	<u> </u> \$0	<u> </u> \$0	
<u> </u> TOTAL MN.3 -11 Scattered Sites								

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2001
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -12 Scattered Sites	Lead Paint/Hazardous Material Abatement@: <u>Modernization@</u> a. 506 Spear b. 1422 N. 7 th Avenue East	1460	2	100,000.0 0	100,000.0 0	0	0	Construction Design Phase
	<hr style="width: 80%; margin: auto;"/> TOTAL MN.3 -12 Scattered Sites			<hr style="width: 80%; margin: auto;"/> \$100,000.00	<hr style="width: 80%; margin: auto;"/> \$100,000.00	<hr style="width: 80%; margin: auto;"/> \$0	<hr style="width: 80%; margin: auto;"/> \$0	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota	Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:	Federal FY of Grant: 2001
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Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN.3 -18 Scattered Sites	Lead Paint/Hazardous Material Abatement@ a. 2723 W. 8 th Street b. 2239 Livingston <u>Modernization@</u>	1460	2	100,000.00	25,000.00	0	0	Construction Design Phase
	<hr/> TOTAL MN.3 -18 Scattered Sites			<hr/> \$100,000.00	<hr/> \$25,000.00	<hr/> \$0	<hr/> \$0	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:				Federal FY of Grant: 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46P003 ETALHA - Wide Activities	Operations	1406	HA-Wide	235,360.70	235,360.70	235,360.70	235,360.70	Complete
	<u>Management Improvements</u>	1408	HA-Wide				32,314.74	Ongoing
	a. Housing Operations Supervisor			35,000.00	35,000.00	34,360.65		
	b. Staff Training \$2,045.91							
	<i>Non-Technical Salaries and Fringe Benefits</i>	1410	HA-Wide				98,074.84	Ongoing
				235,360.70	235,360.70	98,074.84		
	<u>Architectural/Engineering Fees</u>	1430	All				0	Ongoing
	a. 3-8 Windows (\$17,940.48)			75,000.00	75,000.00			
	b. Lead Paint/Hazardous Material Abatement and Modernization (\$30,166.00)					48,106.48		
	c. Fairmont Homes Upgrades							
	Computer Hardware	1475	HA-Wide				0	Ongoing
	<u>Maintenance Vehicle</u>	1475	1 Ea.	15,000.00	15,000.00		21,714.53	Complete
				25,000.00	25,000.00	0		
	_____ TOTAL MN46P003 ET			<u>111,620.72</u>	<u>111,620.72</u>	21,714.53	<u>387,464.81</u>	
	ALHA - Wide			1.40	1.40			
						<u>437.61</u>		

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:			Federal FY of Grant: 2001			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part III: Implementation Schedule

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:					Federal FY of Grant: 2001
Development Number Name/HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
MN.3 -1 Harbor View Homes	3-31-03	12-31-02		9-30-04	6-30-04		Revised Per Notice PIH2001 -26
MN.3 -2 Fairmont Homes	3-31-03	12-31-02		9-30-04	6-30-04		“““
MN.3 -2 Grandview Manor	3-31-03	12-31-02		9-30-04	6-30-04		“““
MN.3 -4 Midtowne Manor I	3-31-03	12-31-02		9-30-04	6-30-04		“““
MN.3 -5 Ramsey Manor	3-31-03	12-31-02		9-30-04	6-30-04		“““
MN.3 -8 Scattered Sites	3-31-03	12-31-02		9-30-04	6-30-04		“““
MN.3 -10 King Manor	3-31-03	12-31-02		9-30-04	6-30-04		“““
MN.3 -11 Scattered Sites	3-31-03	12-31-02		9-30-04	6-30-04		“““
MN.3 -12 Scattered Sites	3-31-03	12-31-02		9-30-04	6-30-04		“““
MN.3 -18 Scattered Sites	3-31-03	12-31-02		9-30-04	6-30-04		“ “

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part III: Implementation Schedule

PHAName: HRA of Duluth, Minnesota		Grant Type and Number Capital Fund Program#: MN46P00350501 Capital Fund Program Replacement Housing Factor#:					Federal FY of Grant: 2001
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
MN46P003 ETAL HA-Wide Activities	3-31-03	12-31-02		9-30-04	6-30-04		""

HRADuluthPetPolicy

Adopted June 26, 2001

INTRODUCTION

The purpose of this Policy is to establish the HRA's policy and procedures for ownership of pets and to establish reasonable rules governing the keeping of pets. The rules adopted are related to the legitimate interest of the HRA to provide a decent, safe and sanitary living environment for all tenants, to protecting and preserving the physical condition of the property and the financial interest of the HRA.

Pet owners will be required to adhere to all State and local laws, city ordinances, and this Pet Policy regarding their pets.

ASSISTIVE ANIMALS

This policy and the dwelling lease does not limit or impair the right of persons with disabilities to own an animal that are used to assist them. Appropriate documentation of the following must be submitted to the HRA:

That there is a person in the household who has a disability which requires such an animal;

That the animal has been professionally trained to assist with the specified disability.

For an animal that assist the disabled, the HRA will waive the pet policy (such as size of animal) once the resident or applicant has submitted appropriate documentation.

A. MANAGEMENT APPROVAL OF PETS

The pet owner must enter into a Pet Agreement, which will be a lease addendum, with the HRA.

Pets will not be kept in the unit prior to approval of the pet by HRA management.

Registration of Pets

Pets must be registered with the HRA before they are brought onto the premises. Registration includes a certificate signed by a licensed veterinarian or State/local authority that the pet has received all inoculations required by State or local law and/or the HRA, and that the pet has no communicable disease(s) and is pest-free.

Proof of updated inoculations must be submitted each year at the time of the owner's annual recertification.

Dogs and cats must be spayed or neutered by the age of 6 months.

Execution of a Pet Agreement with the HRA stating that the tenant acknowledges complete responsibility for the care and cleaning of the pet will be required.

The HRA will take a photo of cats and dogs for registration, as well as require the pet to wear an identification tag to show the pet has been registered with the HRA.

If an approved pet that is not required to be spayed or neutered (e.g., gerbil, bird, etc.) gives birth to a litter, the resident must remove the litter from the premises.

Refusal To Register Pets

If the HRA refuses to register a pet, a written notification will be sent to the pet owner stating the reason for denial. The reasons the HRA will refuse to register include, but are not limited to:

The pet is not a *common household pet* as defined in this policy;

Keeping the pet would violate any part of the Pet Policy;

The pet owner fails to provide complete pet registration information, or fails to update the registration annually;

The HRA reasonably determines that the resident was unable to fulfill their past obligations as a pet owner;

The HRA reasonably determines that the pet owner is unable to keep the pet in compliance with the pet rules and other lease obligations. The pet's temperament and behavior may be considered as a factor in determining the pet owner's ability to comply with provisions of the lease.

The notice of refusal may be combined with a notice of a pet violation.

B. STANDARDS FOR PETS

Types of Pets Allowed

No more than a TOTAL of three non-aquatic animals may be kept in the unit at one time. One dog or one cat may be kept in the unit, but not one of each. The HRA will allow NO exotic, non-domesticated, dangerous, wild, poisonous, farm or breeding animal to occupy an apartment or home. Allowing such an animal to occupy the unit will be a violation of the lease agreement.

Types of pets allowed:

1. Dogs

Maximum number: one

Maximum adult weight: 30 pounds

Must be house broken

Must be spayed or neutered

Must have all required inoculations

Must be licensed as specified now or in the future by State law, local ordinance and/or the HRA. The HRA must be provided with a copy of the license.

. Cats

Maximum number: one

Must be spayed or neutered

Must have all required inoculations

Must be trained to use a litter box or other waste receptacle

Must be licensed as specified now or in the future by State law, local ordinance and/or the HRA. The HRA must be provided with a copy of the license.

3. Small Birds (Canaries, parakeets, lovebirds, or others as approved by Management)

Maximum number: 2 TOTAL

Must be enclosed in a cage at all times

4. Fish

Maximum aquarium size: **10 gallons**

Must be maintained on an approved stand

5. Rodents (Guinea pig, hamster, or gerbil ONLY)

Maximum number: 2 TOTAL

Must be enclosed in an acceptable cage at all times

Must have all inoculations as specified now or in the future by State law, local ordinance and/or the HRA.

6. SmallTurtles

Maximumnumber:2

Mustbeenclosedinanacceptablecageorcontaineratalltimes.

7. Ferrets

Maximumnumber:1

MusthaveanyorallinoculationsasspecifiednoworinthefuturebyStatelaw,localordinanceand/orthe HRA.

C. PETSTEMPORARILYONTHEPREMISES

Pets that are not registered with a tenant may not visit the complex/buildings.

Residents are prohibited from feeding or harboring stray animals or pests (including squirrels, seagulls, etc.)

D. DESIGNATION OF PET/NO -PET AREAS

For the benefit of families who are allergic, frightened, or for other reasons, do not want to reside in a complex which allows cats, dogs and rodent type pets, in addition to the density and lack of pet exercise area in accordance with Federal law, the following areas are designated as no -pet areas:

ALL PROPERTY AND UNITS AT HARBOR VIEW HOMES –NO DOGS OR CATS

**TRI-TOWERS, KINGMANOR, GRANDVIEW MANOR, MIDTOWNE I AND II AND RAMSEY MANOR
NO DOGS, OR RODENT TYPE PETS**

Any resident who lives in one of these designated areas who has a pet already registered with the HRA as of 7/1/01 which would otherwise be prohibited, will have that pet grandfathered in under this policy. Once the “grandfathered in” registered pet is removed from the unit, the resident will fall under the terms and conditions of the current pet policy.

E. PET FEES AND DEPOSITS

The resident/pet owners shall be required to pay a \$200.00 refundable deposit (for the purpose of defraying all reasonable costs directly attributable to the presence of the pet in the unit). Pet deposits apply to dogs and cats only.

Payment will be as follows: the deposit of \$200.00 will be paid on or prior to the date the pet is properly registered and brought into the apartment. **NO EXCEPTIONS.**

The HRA reserves the right to change or increase the required deposit.

The HRA will refund the Pet Deposit to the tenant, less any damage caused by the pet to the dwelling unit, within 21 days upon removal of the pet or the owner from the unit. If the tenant moves as well, excess charges will be taken from the regular unit security deposit. The resident will be billed for any charges remaining after these deposits have been applied. If the tenant remains, excess charges will be billed to the tenant's account and payment of these charges will be due and payable upon receipt of the billing.

The HRA will return the Pet Deposit to the person designated by the former tenant in the event of the former tenant's incapacitation or death.

All reasonable expenses incurred by the HRA as a result of damages directly attributable to the presence of the resident's pet in the unit and/or project will be the responsibility of the resident.

F. ALTERATION TO UNIT

Residents/pet owners shall not alter their unit, patio, premises or common areas to create an enclosure for any animal. Installation of pet doors is prohibited.

G. CLEANLINESS REQUIREMENTS

The pet and its living quarters must be maintained in a manner to prevent odors and any other unsanitary conditions in the owner's unit and surrounding areas.

Litter Box Requirements. Residents owning cats shall maintain waterproof litter boxes for cat waste. All animal waste from litter boxes shall be picked up daily by the pet owner and the waste and/or litter from the litter box must be disposed of in sealed plastic trash bags, and placed in a trash bin or dumpster. Under no circumstances should litter be placed in a trash chute in the high rise buildings.

Litter shall not be disposed of by being flushed through a toilet or in a sink.

Litter boxes shall be stored inside the resident's dwelling unit.

Removal of Waste From Other Locations. The Resident/Pet Owners shall be responsible for the removal of waste, both indoors and outdoors, by placing it in a sealed plastic bag and disposing of it.

The resident/pet owners shall take adequate precautions to eliminate any pet odors within or around the unit and to maintain the unit in a sanitary condition at all times.

H. PET WASTE REMOVAL CHARGE

Action to be taken if the family responsible for the pet fails to remove waste created by their animal:

First offense: a pet waste removal charge of \$25.00 and/or report of the incident to the proper authorities

Second offense: a pet waste removal charge of \$50.00 and/or a report of the incident to the proper authorities

Third offense: eviction and/or a report of the incident to the proper authorities.

Pet deposit and pet waste removal charges are not part of rent payable by the resident.

If the tenant is in occupancy when damage, repair, removal of waste, etc. occurs, the tenant shall be billed for such costs as a current charge.

If such expenses occur as the result of a move-out inspection, they will be deducted from the pet deposit. Excess charges will be taken from the regular security deposit. The resident will be billed for any charges remaining after these deposits have been applied.

The expense of flea/pest treatment for the dwelling, shall be the responsibility of the resident.

I. PET ARE RESTRICTIONS

Pets must be maintained within the resident's unit. When outside of the unit (within the building or on the grounds) dogs and cats must be kept on a leash and under the control of the resident or other responsible individual at all times.

Pets are not allowed to roam free outside the unit. Pets may not be left tied, chained or tethered outside or left in a vehicle unattended.

Pets are not permitted in common areas such as community rooms and laundry areas. Pet bedding shall not be washed in any common laundry facilities.

A pet owner shall physically control or confine his/her pet during the times when HRA employees, agents of the HRA, or others must enter the pet owner's apartment to conduct business, provide services, enforce lease terms, etc.

J. NOISE

Pet owners must agree to control the noise of pets so that such noise does not constitute a nuisance to other residents or interrupt their peaceful enjoyment of their housing unit or premises. This includes, but is not limited to loud, continuous, or incessant barking, howling, whining, biting, scratching, chirping, meowing, or other such activities.

Pets whom a noise continuously and/or incessantly for a period of 10 minutes or intermittently for 30 minutes or more, which disturbs any person at any time during the day or night will be considered a nuisance.

Repeated substantiated complaints regarding the pet disturbing the peace of a neighbor through noise, odor, animal waste, or other nuisance may result in the owner having to remove the pet and/or him/herself from the unit.

K. PET CARE

Cats may not be left unattended in any apartment for a period of more than two days. Dogs may not be left unattended in any apartment for a period of more than 9 hours. Other pets (excluding fish) may not be left unattended in any apartment for an excessive period of time.

All resident pet owners must provide adequate care, nutrition, exercise and medical attention for his/her pet. Resident pet owners must maintain the pet in accordance with State, local, public health, animal control, and/or anti-cruelty laws.

Upon request, the HRA must be provided with a copy of a veterinarian statement/diagnosis in the case of an animal suffering from an illness.

Resident pet owners must recognize that other residents may have chemical sensitivities or allergies related to pets, or may be easily frightened or disoriented by animals. Pet owners must agree to exercise courtesy with respect to other residents.

L. RESPONSIBLE PARTIES

The resident pet owner will be required to designate a responsible party for the care of the pet if the health or safety of the pet is threatened by the death or incapacity of the pet owner, or by other factors that render the pet owner unable to care for the pet.

The resident pet owner is fully responsible and liable for their pet in regard to any liability, judgments, expense (including attorney's fees), or claims by third parties for any injury to any person or damage to property of any kind whatsoever caused by the resident's pet and/or their guest's pet, and agree to hold the HRA harmless from any claims caused by any action or inaction of the pet. The HRA will assume no responsibility for any damages or injuries to person or property caused by pets.

M. PET RULE VIOLATION NOTICE

If a determination is made that a resident pet owner has violated the Pet Rule Policy, the HRA will attempt to resolve the issue, depending on the severity of the violation. The HRA may speak with the resident/pet owner verbally, and/or give written notice.

A written notice will contain a brief statement of the basis for the determination and the pet rule(s) which were violated. The notice will also state the time period the resident has to correct the violation and that the resident/pet owner's failure to correct the violation or appear at any requested meeting will result in initiation of procedures to terminate the pet owner's tenancy.

N. NOTICE FOR PET REMOVAL

If the resident/pet owner and the HRA are unable to resolve the violation at the meeting or the pet owner fails to correct the violation in the time period allotted by the HRA, the HRA may serve notice to remove the pet.

The notice shall contain:

A brief statement of the factual basis for the HRA's determination of the Pet Rule that has been violated;

The requirement that the resident/pet owner must remove the pet within a specified time (determined by the HRA based on the severity of the situation), and

A statement that failure to remove the pet will result in the initiation of termination of tenancy procedures.

O. TERMINATION OF TENANCY

The HRA may initiate procedures for termination of tenancy based on a pet rule violation including, but not limited to:

The pet owner has failed to remove the pet or correct a Pet Policy/Agreement violation within the time period specified,

The pet owner has had repeated Pet Policy/Agreement violations, or

The pet rule violation is sufficient to begin procedures to terminate tenancy under terms of the lease.

The HRA grievance policy shall be applicable to all individual grievances arising out of violations of this Pet Policy.

P. PET REMOVAL

If the death or incapacity of the pet owner threatens the health or safety of the pet, or other factors occur that render the owner unable to care for the pet, the situation will be reported to the Responsible Party designated by the resident/pet owner. This includes pets that are poorly cared for or have been left unattended as stated in Section J of this Pet Policy.

If the responsible party is unwilling or unable to care for the pet, or if the HRA after reasonable efforts cannot contact the responsible party, the HRA may contact the appropriate State or local agency and request the removal of the pet.

If the pet is removed as a result of any aggressive act on the part of the pet, the pet will not be allowed back on the premises. No pet that bites or attacks will be permitted, nor will any animal deemed to be potentially harmful to the health or safety of others.

If the owner has not been responsible in caring for the pet or in other matters concerning the Pet Policy or Pet Agreement, the HRA will have discretion as to whether other pets will be allowed in the household in the future. This will be determined on a case-by-case basis.

Q. EMERGENCIES

The HRA will take all necessary steps to insure that pets which become vicious, display symptoms of severe illness or abuse, or demonstrate behavior that constitutes an immediate threat to the health or safety of others, are referred to the appropriate State or local entity authorized to remove such animals. When deemed necessary, the HRA, in conjunction with an appropriate agency, may enter the apartment on an emergency basis to remove the pet and place it with an appropriate agency.

If it is necessary for the HRA to place the pet in a shelter facility, the cost will be the responsibility of the tenant/pet owner.

R. INOCULATIONS

Animals who are kept in a unit must be inoculated by a licensed veterinarian as required by State law, local ordinance, and/or the HRA.

Dogs must be inoculated for rabies, canine distemper, hepatitis, parainfluenza, and parvovirus.

Cats must be inoculated for rabies, feline distemper, rhinotracheitis, calicivirus, and panleukopenia virus.

Ferrets must be inoculated for canine distemper.

Residents must take appropriate action to protect their pets from fleas and ticks to prevent fleas and ticks from becoming commonplace. Verification of this will be required from a veterinarian or other professional. Residents will be required to update these inoculations annually, and submit proof at each annual reexamination.

**Housing and Redevelopment
Authority of Duluth**



Section 8 Homeownership Program



Equal Opportunity Housing

Purpose&Goal

The homeownership option of the Housing and Redevelopment Authority of Duluth (HRA) is designed to promote and support homeownership by a "first-time" homeowner family that meets the definition in this plan. The goal is to offer Section 8 Homeownership opportunities for ten (10) eligible, qualified applicant households in 2002-2003 who are currently receiving Section 8 or are eligible to receive Section 8 assistance and want to purchase homes. The Section 8 payments supplement the family's own income to facilitate the transition from rental to homeownership. The time in which to accomplish this goal is two years, however assistance will be provided to the applicant households up to the maximum period allowed by HUD.

WhosEligiblefortheProgram

1. Applicant households must be first-time homebuyers as defined by HUD.
2. Applicant households must be Duluth Section 8 Housing Choice Voucher participants including new admissions and those applicant households that "ported in" from another jurisdiction. A preference will be given to current FSS participants and recent FSS program graduates.
3. Applicant households demonstrate that the annual income (gross income), of the adult Applicant household members who will own the home at commencement of homeownership assistance is not less than the Federal minimum wage multiplied by 2,000 hours (currently \$10,500). HRA will not count any welfare assistance

received by the Applicant household in determining annual income, except in the case of an elderly Applicant household or a disabled Applicant household.

4. Applicant households must demonstrate that one or more adult members of the Applicant household are recurrently employed on a full-time basis, (not less than an average of 30 hours per week) and have been continuously employed for at least one year prior to the date the HRA determines Applicant household eligibility for homeownership assistance. The employment requirement does not apply to an elderly Applicant household or a disabled Applicant household.

Purchase Options

Options available to applicant households may include:

- Acquisition of existing Section 8 units, assuming the owner is interested in selling.
- Existing single family housing in any area of the City of Duluth or a unit that is already under construction at the time a applicant household becomes eligible for assistance. Acquisition of HRA Public Housing scattered sites when they become available.

Homeownership Counseling

Before the commencement of a homeownership assistance for an applicant household, the family must attend and successfully complete a pre-assistance homeownership and housing counseling program which is required by the HRA. Counseling, training and technical assistance will be provided through various local entities such as Neighborhood Housing Services of Duluth, the Salvation Army, and Lutheran Social Services. Other partners in the Homeownership Program may be attained as needed. Amongst topics to be covered in the pre-assistance counseling program are:

1. home and ground maintenance;
2. budgeting and money management;
3. credit counseling if needed;
4. how to negotiate the purchase price of a home;
5. how to obtain financing and loan pre-approvals;
6. various types of financing including pros and cons;
7. how to find a home that fits the families needs;
8. identification of neighborhoods in the Duluth area including those areas that do not have high concentrations of low-income families;
9. information on Fair Housing laws and local Fair Housing enforcement agencies;
10. receive information about federal and state truth-in-lending laws and how to avoid predatory lending contracts.

Inspections

Housing units must meet HUD Housing Quality Standards (HQS). HQS would insure consistency in all areas. Participants must also have an independent homebuyer's

inspection completed. All work orders generated from inspections must be completed prior to closing.

Continued Assistance Requirements

The following are requirements for continued assistance:

1. Attend counseling as needed such as creditor home maintenance. Home buyers who require major credit repair to become eligible buyers prior to purchasing the home may be required to attend post-purchase counseling for up to three years to prevent potential foreclosure.
2. Comply with mortgage terms.
3. Notify the HRA when refinancing or change of more than 10% in Applicant household's home ownership expenses.
4. Notify the HRA if the Applicant household defaults on a mortgage securing any debt incurred to purchase the home.
5. During the time the Applicant household receives Section 8 home ownership assistance, no Applicant household member may have any ownership interest in any other residential property.
6. Maintain the property, performing ordinary and extraordinary maintenance.
7. Pay bills, primarily mortgage and utility bills, on time.
8. Reside in the home and maintain it as a Applicant household residence only.
9. Notify the HRA before moving out of the home.
10. Maintain insurance on the property and provide verification to HRA annually.
11. Notify the HRA with change in household income or Applicant household composition.
12. Contribute at least \$50.00 monthly to repair/replacement Escrow Account.

Calculation of Monthly Assistance Payment

Monthly housing assistance to the Applicant household is equal to the lesser of:

- existing fair market rent payment standard (by size) less 30% of Applicant household's monthly adjusted income, OR
- Applicant household's monthly homeownership expense less 10% of Applicant household's monthly income.

Program Participation Process

1. The HRA notifies Section 8 applicant households of program availability.
2. The HRA determines initial eligibility of interested applicant households.
3. Applicant households successfully complete pre-assistance homeownership and housing counseling and work to resolve any credit obstacles.
4. Applicant household is ready to purchase a home. Applicant household submits a Request for Authorization to Purchase a Homeownership Unit.
5. Applicant household finds a house and notifies the HRA. The Applicant household has nine months from the date of issuance of the homeownership Voucher in which to secure mortgage-financing, sign the Applicant household Responsibilities Agreement, bring unit into HQS compliance, obtain title to the unit. Monthly assistance is not made before these requirements are met. The HRA inspects house to determine if it meets HQS. Applicant household hires independent home buyer inspection. Applicant household may negotiate purchase agreement before the HRA authorizes. Any repairs needed must be made prior to closing with FSS funds being used prior to closing. The HRA would prefer to see seller make repairs, which would then have to be completed prior to closing. (Extensive repairs may be added to the mortgage if the buyer qualifies for a FHA 203k loan).

The HRA can disapprove a unit if many costly repairs are required or the structure is unsound.

6. Issuance of Voucher. Once Applicant household finds a house they want to purchase and the offer is accepted, the house meets HQS and the mortgage is approved, the HRA issues a new Voucher.
7. Applicant household must secure mortgage financing and obtain title to the property. Minimum down payment is 3% of the purchase price of the home, and the Applicant household must pay at least 1% of the purchase price from their personal resources.
8. Applicant household's home ownership expenses may only include: principal and interest on initial mortgage debt, any refinancing of such debt, and any mortgage insurance premium incurred to finance purchase of the home; real estate taxes and public assessments on the home; home insurance; HRA allowance for maintenance expenses; HRA allowance for costs of major repairs and replacements; HRA utility allowance; and principal and interest on mortgage debt incurred to finance costs for major repairs, replacements or improvements for the home.
9. Applicant household must enter into a Statement of Applicant Household Responsibilities (SFR) in a form prescribed by HUD. HAP may not commence until Applicant household executes the SFR.

Applicant household agrees to make monthly payments into an Escrow Account to be used for repair/replacements plus the monthly portion of property taxes unless included in mortgage payment as needed. (5% of monthly mortgage payment proposed).

Before commencement of home ownership assistance, an applicant household must enter into a contract of sale with the seller of the unit to be acquired by the family. The proposed buyer must give the Duluth HRA a copy of the contract of sale. Approval of the sale cannot be made prior to the HRA inspecting the sale contract. The contract of sale must:

1. Specify the price and other terms of the sale by the seller to the purchaser.
2. Provide that the purchaser will arrange for a pre-purchase inspection of the dwelling unit by an independent inspector selected by the purchaser.
3. Provide that the purchaser is not obligated to purchase the unit unless the inspection is satisfactory to the purchaser.
4. Provide that the purchaser is not obligated to pay for any necessary repairs.
5. Contain a certification from the seller that the seller has not been debarred, suspended, or subject to a limited denial of participation.

In Event of Default

In the event the homeowner defaults on their mortgage payments:

1. The bank notifies the HRA *within 30 days*.
2. Mortgagee must advise the HRA as to eligibility and willingness of Applicant household to participate in Mortgage Foreclosure Prevention Program.
3. The HRA terminates homeownership assistance promptly.
4. The HRA sends notice to Applicant household with options for correcting default.

The Applicant household may be able to switch back to Section 8 rental assistance if they comply with the HRA requirements:

- a. Leave the property in good condition.
- b. Property transfer to mortgagee or HRA marketable title to the homeownership unit in lieu of foreclosure within the period established or approved by the HRA.
- c. Move out promptly.

Recapture

The Duluth HRA shall recapture a percentage of the homeownership assistance provided to the Applicant household upon the Applicant household's sale or refinancing of the home.

- A. Upon purchase of the home, a Applicant household receiving homeownership assistance shall execute documentation as required by HUD, and consistent with State and local law, that secures the Duluth HRA's right to recapture the homeownership assistance in accordance with this section. The lien securing the recapture of homeownership subsidy may be subordinated to a refinanced mortgage at the discretion of the housing authority.
- B. In the case of the sale of the home, the recapture shall be in an amount equaling the lesser of:

1. The amount of homeownership assistance provided to the Applicant household, adjusted as described in Paragraph F of this section; or the difference between the sales price and purchase price of the home, minus:
 - a. The costs of any capital expenditures;
 - b. The costs incurred by the Applicant household in the sale of the home (such as sales commission and closing costs);
 - c. The amount of the difference between the sales price and purchase price that is being used, upon sale, towards the purchase of a new home under the Section 8 homeownership option; and
 - d. Any amounts that have been previously recaptured, in accordance with this section.

In the case of a refinancing of the home, the recapture shall be in an amount equaling the lesser of:

1. The amount of homeownership assistance provided to the Applicant household, adjusted as described in Paragraph F of this section; or
2. The difference between the current mortgage debt and the new mortgage debt; minus:
 - a. The costs of any capital expenditures;
 - b. The costs incurred by the Applicant household in the refinancing of the home (such as closing costs); and
 - c. Any amounts that have been previously recaptured as a result of refinancing.

The recapture amount shall be determined using the actual sales price of the home, unless the sale is to an identity-of-interest entity. In the case of identity-of-interest transactions, the housing authority shall establish a sale price based on fair market value.

- B. The amount of homeownership assistance subject to recapture will automatically be reduced over a 10 -year period, beginning one year from the purchase date, in annual increments of 10 percent. At the end of the 10 year period, the amount of homeownership assistance subject to recapture will be zero.

Data Collection ,Program Monitoring and Evaluation

1. *The HRA will monitor the program and complete evaluation reports annually. The report will include:*

Number of applicant households potentially eligible.
 Number of applicant households expressing interest.
 Number of applicant households applying for program.
 Number of applicant households accepted into program.
 Progress reporting on participating applicant households.
 Major obstacles for Applicant household non -participation.

2. The HRA will evaluate the program on an annual basis, and;

- a. Determines success of the program;
- b. Identify obstacles, which warrant program change; and
- c. Determine financial efficiency and feasibility of the program.

3. What accomplishments will define success?

- a. 80% of Section 8 buyers successfully complying with mortgage requirements.
- b. Section 8 buyers no longer on assistance after five years.
- c. Properties maintained according to HQS.
- d. 25% of FSS applicant households in process of working toward homeownership goal (future participants)
 An additional 25% of FSS applicant households referred to HOME Program, the Northern Communities Land Trust or other first time homeowner program.

**Housing and Redevelopment
Authority of Duluth**



Housing and Redevelopment Authority of Duluth

Public Housing Home Ownership Program

February, 2002



Equal Housing Opportunity

Executive Summary

The Housing and Redevelopment Authority of Duluth, Minnesota (HRA) plans to sell up to 80 units of its public housing scattered sites during the next 5 years commencing 2002. The scattered site units would be sold in fee simple or on a lease to buy basis. The following preferences would reflect program priorities of families served: families living in public housing; families with Section 8 certificates or vouchers; families receiving MFIP; families with incomes within 30 - 80% of Area Median Income (AMI). The units sold will be in good condition and meet code requirements. Appraisals will be made to ascertain long term structural wears such as roofs, windows and safety features to avoid causing the family to become responsible for unattainable repair costs in the first five years of ownership.

Financing will be provided by local lending institutions with down payment assistance and/or soft second mortgage assistance as needed from federal, state and local agencies. The HRA will identify up to 25 families during 2002 who are potential home buyers with an interest in home ownership. During the same time, the HRA will identify the 80 scattered site units it will put on the market and develop a plan for upgrading the units as they become vacant and prepared for sale. Whenever possible, the HRA will sell units as they become vacant. However, if turnover is too slow to realistically move the program forward, the HRA will provide relocation assistance according to HUD regulations in order to free up units for sale.

All home buyers will be first time buyers and be required to successfully complete an approved home buyer education program and attain a minimum of \$1000 toward the down payment. A monthly contribution to an escrow account will be required to be

available for major maintenance or other family emergencies to decrease the potential of foreclosure.

Rehabilitation Plan

The HRA will selectively identify 80 scatter site units for sale to public housing residents or families who qualify for public housing. Units will be selected in as wide a possible array of neighborhoods to avoid concentrating low income families in low income neighborhoods.

Once units are identified, they will be appraised for fair market value and to ascertain what kind of repairs will be needed to bring the unit up to code. In addition, the appraisal will as best as possible stipulate long range maintenance issues that might arise and suggest rehabilitation activities that may be needed in the first five years of homeownership. A plan could then be developed by the HRA to engage in any preventative maintenance activities necessary so allow for a 3 year warranty on the properties major maintenance items such as, the heating system, roof, and other mechanical systems.

Funding of rehabilitation work will be from a variety of sources including HRA modernization funds, proceeds from sales of houses, federal, state and local grants and other sources as they become available.

Purchaser Eligibility and Selection

If residents of selected units to be sold are interested in owning the units and pass all other qualification standards, they will be given first preference for purchasing the unit.

Minimum standard program participation requirements include:

- The ability to finance a first mortgage of at least 50% of the sale price.
- A stable source of wage income
- Income at or below 80% of AMI adjusted for family size.
- Good payment rental history with the HRA.
- Acceptable credit history.
- Successful completion of an HRA authorized home ownership counseling program.

Secondary home buyer priorities are:

- Other Duluth public housing residents
- Duluth Section 8 residents enrolled in the HRA Self-Sufficiency Program
- Other Section 8 residents
- Eligible participants on the HRA waiting list
- The general public in Duluth whose incomes are at or below 80% of AMI adjusted for family size.

All Fair Housing laws will become a part of the HRA Homeownership policy. The HRA will not discriminate according to race, color, creed, gender, disability or national origin, or any other state or federal protected class in the administration of this program.

In general, in order to be eligible, a participant must be capable of assuming the financial obligations of homeownership, under minimum income standards of affordability, as noted above. Final determination of eligibility shall rest with the HRA and any lender that provides permanent financing to the buyers.

In order to be selected as a participant in the Homeownership program, participants shall meet the following selection criteria:

1. Applicants must be first time home buyers.
2. Each applicant will complete a Homeownership Program application.]
3. At least one family member must be gainfully employed or have an established source of continuing, appropriate income.
4. Applicants will be screened on factors related to the determination of their suitability as homeowners. Factors to be considered may include but are not limited to:
 - An applicant's past performance in meeting financial obligations, including rent and credit reports.
 - An applicant's record of being a good neighbor related to disturbances, property care and housekeeping habits.
 - Criminal history background if any, especially when related to physical violence and illegal drug activity.

- In the event of the receipt of unfavorable information with respect to an applicant, consideration will be given to the time, nature and extent of the applicant's conduct and to factors which might indicate a reasonable probability of favorable future conduct or financial prospects.
5. Participants must have a good rental history for a period of at least two years.
 6. Participants must be able to afford monthly mortgage payments, including taxes and insurance which that least 30% of adjusted income and not to exceed 35% of adjusted income, where justified.
 7. Successful completion of Homebuyer Counseling course.

Notification and Screening Process

Notice of purchase opportunities will be mailed to each group of eligible buyers according to the priority assignment above. Each group will be mailed opportunity notices in descending order until an ample waiting list of potential buyers is established.

Applications will be requested from and submitted to the HRA Administrative Offices, at 222 East Second Street, Duluth, MN 55805 to the attention of: Public Housing Homeownership Coordinator. Information can also be retrieved through the HRA website at www.duluthhousing.com. (Currently under construction) All applications will be dated and timestamped when received and processed in the order received. The HRA will administer the homeownership program but will have cooperative agreements with various local agencies to assist with financing and homeownership education activities. The HRA will conduct the screening of all applicants and determine basic eligibility according to the Homeownership Plan.

Public Housing Resident and Public Review of the Homeownership Plan

The Homeownership Plan has been reviewed by the public and the HRA Jurisdiction wide Resident Advisory Board during the development of the 2002 HRA Agency Plan. This plan may be adjusted over time to better meet the needs of potential homebuyers

and program goals. All changes will be reviewed on an annual basis through the Agency Plan process.

Sale and Financing

- **Purchase Prices:** Units will be sold at their appraised market value.
- **Down Payment, Closing Costs and Homebuyer Assistance:** Purchasers will be required to pay a minimum of \$ 1000 down and start a restricted escrow account of \$500 for repair and replacement costs. The homebuyer will be responsible for closing costs. However, these costs can be rolled into the monthly mortgage payment when feasible.
- **First Mortgages:** Homebuyers can finance their purchase through any local bank. However, the HRA has established finance agreements with several local lending institutions where financing may be more easily attainable. The application process will assist with making these connections.
- **Silent Second Mortgages:** When feasible and necessary to enable an applicant to qualify, the HRA will provide a silent subordinated mortgage for the difference between what the families can afford and the market sale price. These silent mortgages may be forgiven over time, provided that the units remain owner occupied and there is no mortgage default.
- **Resale Restrictions and Recapture Provisions:** There will not be any restrictions in terms of second buyers of the units. However, the HRA will retain the first right to buy back the unit at market value. Also, recapture provisions, tied to deed restrictions, will assure that HRA subordinated mortgage investments are recaptured during the restricted period of the first ten years.

Counseling, Training and Technical Assistance

Counseling, training and technical assistance will be provided through various local entities such as Neighborhood Housing Services of Duluth, the Salvation Army, and Lutheran Social Services. Other partners in the Homeownership Program may be attained as needed. Pre-purchase counseling and training will be required of all homebuyers. Topics will include at least the following: responsibilities of homeowners; operation of the lease to buy or purchase program; credit issues and credit repair; maintenance procedures; family budgeting and finance; maintenance reserves; special issues such as what happens when a divorce occurs.

Sales Proceeds

The HRA plan to use the proceeds of sale to support this homeownership program and to leverage the development of additional affordable housing. Uses of proceeds will include, but not be limited to:

- A guaranty fund to the lender if needed;
- Development of affordable housing in connection with a HOPE VI program for Harbor View Homes;
- Management improvements;
- Additional scattered site developments.

Transfer of ACC. HRA requests that HUD approve the transfer of HRA's existing ACC authority to affordable housing, in order to provide for continued housing opportunities for the extremely low income families.

Record, Accounts and Reports

The HRA will be responsible for the maintaining of all records, including sale and financial records for all activities related to the implementation of this Plan once it is approved by HUD. Racial and ethnic characteristics of purchasers will also be recorded. Until all planned sales of individual dwellings have been completed, the HRA will submit to HUD annual sales reports as prescribed by HUD. The receipt, retention and expenditure of the sales proceeds will be covered in the regular independent audits of the HRA public housing operations and supplementary audits that HUD may find necessary for monitoring purposes. All books and records shall be subject to inspection and audit by HUD and the General Accounting Office.

