

# PHAPlans

5YearPlanforFiscalYears2000 -2004  
AnnualPlanforFiscalYear2001

**NOTE:THISPHAPLANSTEMPLATE(HUD50075)ISTOBE COMPLETEDIN  
ACCORDANCEWITHINSTRUCTIONSLOCATEDINAPPLICABLEPIHNOTICES**

**PHA Plan  
Agency Identification**

**PHAName:** Northwestern Regional Housing Authority

**PHANumber:** NC167

**PHAFiscalYearBeginning:(mm/yyyy)** 07/2002

**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)

**5-YEAR PLAN**  
**PHAF ISCAL YEARS 2001 -2004**  
[24CFRPart903.5]

**A.Mission**

State the PHA's mission for serving the needs of low -income, very low income, and extremely low -income families in the PHA's jurisdiction. (select one of the choices below)

- The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- The PHA's mission is: (state mission here)

**B.Goals**

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD -suggested objectives or their own, **PHAS ARE STRONGLY EN COURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THE OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include target sets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the space to the right of or below the stated objectives.

**HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.**

- PHA Goal: Expand the supply of assisted housing  
Objectives:
  - Apply for additional rental vouchers: @ 50 incremental units per year
  - Reduce public housing vacancies:
  - Leverage private or other public funds to create additional housing opportunities: grants, competitive loans and strategic banking relationships
  - Acquire or build units or developments @ one or two rental or homeownership developments per year
  - Other (list below)
- PHA Goal: Improve the quality of assisted housing  
Objectives:
  - Improve public housing management: (PHAS score)
  - Improve voucher management: (SEMAP score)
  - Increase customer satisfaction:
  - Concentrate one effort to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)

- continuedfinanceandaccountingimprovements
- specializeandrefocuseffortsofconstructiondivision
- Renovateormodernizepublichousingunits:
- Demolishordisposeofobsoletepublichousing:
- Providereplacementpublichousing:atleast18unitslongtermaffordable rentalto replaceValleyView.
- Providereplacementvouchers:
- Other:(listbelow)

- PHAGoal:Increaseassistedhousingchoices  
Objectives:
  - Providevoucher mobilitycounseling:
  - Conductoutreach effortstopotentialvoucherlandlords
  - Increasevoucherpaymentstandards
  - Implementvoucherhomeownershipprogram: @miniumum7unitsper year
  - Implementpublichousingorotherhomeownershipprograms: 18unitsat ValleyViewtobesoldascondominiums
  - Implementpublichousing site -basedwaitinglists:
  - Convertpublichousingtovouchers:
  - Other:(listbelow)

**HUDStrategicGoal:Improvecommunity qualityoflifeandeconomicvitality**

- PHAGoal:Provideanimprovedlivingenvironment  
Objectives:
  - Implementmeasurestodeconcentratepovertybybringinghigherincome publichousinghouseholdstolowerincomedevelopments:
  - Implementmeasurestopromoteincomemixinginpublichousingby assuringaccessforlowerincomefamiliesinto higherincome developments:particularlymixedincomehomeownership
  - Implementpublichousingsecurityimprovements:
  - Designateddevelopmentsorbuildingsforparticularresidentgroups (elderly, personswithdisabilities)
  - Other:(listbelow)FSSexpansion,improvedplaygroundandsecurity measures

**HUDStrategicGoal :Promoteself -sufficiencyandassetdevelopmentoffamilies andindividuals**

- PHAGoal:Promoteself -sufficiencyandassetdevelopmentofassisted households

Objectives:

- Increase the number and percentage of employed persons in assisted families: tracked via FSS existing reporting system
- Provide or attract supportive services to improve assistance recipients' employability: tracked via FSS existing reporting system
- Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- Other: (list below)

**HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans**

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing  
Objectives:
  - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion, national origin, sex, familial status, and disability: via affirmative fair housing marketing strategies for each development
  - Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion, national origin, sex, familial status, and disability:
  - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
  - Other: (list below)

**Other PHA Goals and Objectives: (list below)**

**Establish strategic banking relationships to effectively integrate:**

- enhanced commercial banking services**
- on-line and automated account reviews and transfers**
- competitive short and long term lending**
- investment management**
- investor partnership at preferred rates and terms**

**AnnualPHAPlan**  
**PHAFiscalYear2002**  
[24CFRPart903.7]

**i. AnnualPlanType:**

SelectwhichtypeofAnnualPlanthePHAwillsubmit.

**StandardPlan**

**StreamlinedPlan:**

- HighPerformingPHA**
- SmallAgency(<250PublicHousingUnits)**
- AdministeringSection8Only**

**TroubledAgencyPlan**

**ii. ExecutiveSummaryoftheAnnualPHAPlan**

[24CFRPart903.79(r)]

ProvideabriefoverviewoftheinformationintheAnnualPlan,includinghighlightsofmajorinitiativesanddiscretionarypoliciessthePHAhasincludedintheAnnualPlan.

**EXECUTIVE SUMMARY**

The Northwestern Regional Housing Authority (NRHA) is a public, non-profit corporation providing affordable housing development and services in seven counties of northwestern North Carolina. Its Board of Trustees is made up of local community leaders appointed to five-year terms by the County Commissioners of Alleghany, Ashe, Avery, Mitchell, Watauga, Wilkes and Yancey Counties. NRHA enjoys a strong financial condition and a sustained record of high and successful performance from its prime contractor, the U.S. Department of Housing and Urban Development.

Over the past six years, NRHA has sponsored seven (7) new affordable housing developments in addition to its consistent operation of core housing programs. These new developments representing homeownership/rental and family/elderly are of the highest quality and are funded on a mixed finance model. Private investments constitute the primary funding and supportive service programming enhances the local effectiveness of this new approach.

NRHA has, since its inception in 1979, employed a five-year planning and implementation strategy involving residents, the Board and local community officials. The attached annual plan codifies the findings, recommendations, and directed decisions of the latest five-year planning process completed in April 2001 as it relates to anticipated corporate performance for Fiscal Year Beginning 07/2002.

# Northwestern Regional Housing Authority

## Restatement of Mission

To promote adequate and affordable housing for those less fortunate in our communities providing economic opportunity and a suitable living environment free from discrimination.

### ANNUAL PLAN      FYE 6/30/2003

#### Administrative

- complete required policy updates
- initiate strategic banking relationships
- improve staffing patterns and assignments
- continue active correspondence and legislative issues
- initiate public relations in favor of affordable housing
- control the pace and value of asset building
- continue improvements in finance and accounting

#### Program

- market single family properties
- focus and streamline construction division
- maintain 98% leasing of assisted housing
- broaden homeownership efforts to all counties
- attract additional public and private funding
- stabilize short and long term debt

## FIVE YEAR PLAN 2001-2005

#### **Strategic Goal: Increase the availability and supply of quality affordable housing**

- Apply for additional rental vouchers @50 incremental units per year
- Leverage public and private competitive grants and loans
- Acquire and/or build one or two rental and/or homeownership developments per year

#### **Strategic Goal: Increase affordable housing choices**

- Expand homeownership efforts regionwide and assist at least 12 first time homebuyers per year

- Hold at least one private rental landlord briefing each year
- Implement public housing homeownership program with initial 18 dwellings
- Provide replacement housing with long term affordability for all public housing dwellings sold.

**Strategic Goal: Improve quality of life, economic vitality and self sufficiency**

- Promote mixed income communities
- Improve playgrounds, security and other school programming
- Increase the number and percentage of gainfully employed clients and track progress through FSS system
- Coordinate provision of supportive services as needed.

**Strategic Goal: Improve financial performance and establish strategic banking relationships**

- Enhanced commercial banking services
- On-line and automated account reviews and transfers
- Competitive short and long-term financing
- Timely and accurate development cost indicators and controls
- Investor partnerships at preferred rates and terms.

**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
- FY2002 Capital Fund Program Annual Statement
- Most recent board -approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

**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)
- Resident Advisory Board List
  - Progress Toward Goals of Five Year Plan
  - Pet Policy
  - Community Service
  - Resident Membership on HA Governing Board
  - Information of Deconcentration Policy
  - Information on Voluntary Conversion to Tenant Based Assistance

### 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 jurisdiction to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes 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 [TS AP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certification of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99	Annual Plan: Eligibility, Selection, and Admissions Policies

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
	<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	
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
X	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
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
	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
X	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Grievance Procedures
X	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
X	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
	Approved HOPEVI applications or, if more recent, approved or submitted HOPEVI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: 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
X	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
X	Policies governing any Section 8 Homeownership program <input checked="" type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
	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
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	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)
X	Professional Code of Conduct	Annual Plan: Integrity

## **1. Statement of Housing Needs**

[24 CFR 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.

<b>Housing Needs of Families in the Jurisdiction by Family Type</b>							
<b>Family Type</b>	<b>Overall</b>	<b>Afford-ability</b>	<b>Supply</b>	<b>Quality</b>	<b>Access-ibility</b>	<b>Size</b>	<b>Loca-tion</b>
Income ≤ 30% of AMI	2,856	5	5	5	5	5	4
Income > 30% but ≤ 50% of AMI	1,870	5	5	5	2	4	4
Income > 50% but < 80% of AMI	889	5	4	4	2	4	3
Elderly	848	5	5	5	5	2	4
Families with Disabilities	1,104	5	5	5	5	3	4
Race/Ethnicity (White)	96.7%						

Housing Need of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Race/Ethnicity (Black)	2.7%						
Race/Ethnicity (Other)	.6%						
Race/Ethnicity (Hispanic)	1.1%						

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:
- U.S. Census data: the Comprehensive Housing Affordability Strategy ("CHAS") dataset
- American Housing Survey data  
Indicate year:
- Other housing market study  
Indicate year:
- Other sources: (list and indicate year of information)  
County Development Information, Economic Development Administration University Center,  
Western Carolina University, Cullowhee, NC (April, 1999)

## B. Housing Need 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-widewaiting list administered by the PHA.** PHA may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Need 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	478		300
Extremely low income <= 30% AMI	313	65%	
Very low income (> 30% but <= 50% AMI)	165	35%	

Housing Needs of Families on the Waiting List			
Low income (>50% but <80% AMI)	0		
Families with children	288	60%	
Elderly families	47	10%	
Families with Disabilities	94	20%	
Race/ethnicity (White)	431	90%	
Race/ethnicity (Black)	45	9%	
Race/ethnicity (Other)	2	1%	
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2BR	59	12%	
3BR	36	8%	
4BR			
5BR			
5+BR			
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 **INTHEUPCOMINGYEAR**, and the Agency's reasons for choosing this strategy.

#### (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-up 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-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up 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)

**Need: Specific Family Types: Races or ethnicities 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: (list below)

**Strategy 2: Conduct activities to affirmatively further fair housing**

Select all that apply

- Counsel section 8 tenants to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- Market the section 8 program to owners outside of areas of poverty/minority concentrations
- Other: (list below)

**Other Housing Needs & Strategies: (list needs and strategies below)**

**(2) Reasons for Selecting Strategies**

Of the factors listed below, select all that influenced the PHA's election of the strategies it will pursue:

- Funding constraints
- Staffing constraints
- Limited availability of sites for assisted housing
- Extent to which particular housing needs are met by other organizations in the community
- Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- Influence of the housing market on PHA programs
- Community priorities regarding housing assistance
- Results of consultation with local or state government
- Results of consultation with residents and the Resident Advisory Board
- Results of consultation with advocacy groups
- Other: (list below)

**2. Statement of Financial Resources**

[24CFR Part 903.79(b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant-based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing support services, Section 8 tenant-based assistance, Section 8 support services or other.

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 2001 grants)</b>		
a) Public Housing Operating Fund	\$323,772	
b) Public Housing Capital Fund	\$ 190,296	
c) HOPEVI Revitalization		
d) HOPEVI Demolition		

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
e) Annual Contributions for Section 8 Tenant -Based Assistance	\$8,634,842	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		
g) Resident Opportunity and Self - Sufficiency Grants	\$47,305	
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
<b>Section 8 New Construction</b>	\$ 424,247	Section 8 ACC Admin
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		
<b>3. Public Housing Dwelling Rental Income</b>		
<b>Tenant Paid Rents</b>	\$40,784	Public Housing Operations
<b>Investment Income</b>	\$1,000	Public Housing Operations
<b>4. Other income (list below)</b>		
<b>4. Non -federal sources (list below)</b>		
<b>Private Property Management</b>	\$190,000	Other Property Management
<b>Private Development Fees</b>	\$138,029	Other Affordable Housing Development
<b>Private Construction Contracts</b>	\$969,600	Other Affordable Housing Construction
<b>Total resources</b>		
	\$ 10,959,875	

### **3. PHA Policies Governing Eligibility, Selection, and Admissions**

[24CFR Part 903.79(c)]

## A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete

esubcomponent 3A.

### (1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- When families are within a certain number of being offered a unit: (state number)
- When families are within a certain time of being offered a unit: (state time) 30 days
- Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- Criminal or Drug-related activity
- Rental history
- Housekeeping
- Other (describe)

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

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

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

### (2) Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- Community-wide list
- Sub-jurisdictional lists
- Site-based waiting lists
- 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 plan 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? 3

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 -HUD-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? 3

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 a list 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 an 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. Income targeting:

Yes  No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to 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)
- 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 plan to 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.

3 Date and Time

Former Federal preferences:

- 2 Involuntary Displacement ( (1) Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- 2 Victims of domestic violence
- 2 Substandard housing
- 1 Homelessness
- 2 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
- (2) Victims of reprisals 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)

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) developmentsto 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 result of the required analysis, in which developments will the PHA make special effort 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: PHA that do not administer section 8 are not required to complete sub -component 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 assistance? (select all that apply) -based

PHA main administrative office

Other (list below) PHA Site -Based Management Offices

### (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:

Difficult Market Areas and health conditions.

### (4) Admissions Preferences

a. Income targeting

Yes  No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of a new admission to 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 plan to 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

- Residentswholiveand/orworkinyourjurisdiction
- Thoseenrolledcurrentlyineducational,training,orupwardmobilityprograms
- Householdsthatcontributetomeetingincomegoals(broadrangeofincomes)
- Householdsthatcontributetomeetingincomerequirements(targeting)
- Thosepreviouslyenrolledineducational,training,orupwardmobilityprogram s
- Victimsofreprisalsorhatecrimes
- Otherpreference(s)(listbelow) **DireEmergencies**

3.IfthePHAwillemployadmissionspreferences,pleaseprioritizebyplacinga“1”in the space that represents your first priority,a“2”intheboxrepresentingyour second priority,andsoon.Ifyougiveequalweighttooneormoreofthese choices(either throughanabsolutehierarchyorthroughapointsystem),placethe samenumbertothe each.Thatmeansyoucan use“1”morethanonce,“2”more thanonce,etc.

3 DateandTime

FormerFederalpreferences

- 2 InvoluntaryDisplacement( **(1)** Disaster,GovernmentAction,ActionofHousing Owner,Inaccessibility,PropertyDisposition)
- 2 Victimsofdomesticviolence
- 2 Substandardhousing
- 1 Homelessness
- 2 Highrentburden

Otherpreferences(selectallthatapply)

- Workingfamiliesandthoseunabletoworkbecauseofageordisability
- Veteransandveterans’families
- Residentswholiveand/orworkinyou rjurisdiction
- Thoseenrolledcurrentlyineducational,training,orupwardmobilityprograms
- Householdsthatcontributetomeetingincomegoals(broadrangeofincomes)
- Householdsthatcontributetomeetingincomerequirements(targeting)
- Thosepreviouslyenrolledineducational,training,orupwardmobility programs
- (2)** Victimsofreprisalsorhatecrimes
- (1)** Otherpreference(s)(listbelow) **DireEmergencies**

4.Amongapplicantsonthewaitinglistwiththequalpreferencestatus,howare applicantsselected?(selectone)

- Dateandtimeofapplication
- Drawing(lottery)orotherrandomchoicetechnique

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 preferences to income targeting requirements: (select one)

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensure 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)

## **4. PHA 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 medians 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---

- ThePHAempl oysdiscretionarypoliciesfordeterminingincomebasedrent(If selected,continuetquestionb.)

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 increase 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)
- 95<sup>th</sup> 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 redetermination:

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 a monthly 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)

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.)

- Thesection 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)

## **B. Section 8 Tenant -Based Assistance**

Exemptions: PHAs 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)

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)  
HUD mandatory hardship exemption policies

## **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:

**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		
Section 8 Vouchers		
Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs (list individually)		

**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)

(2) Section 8 Management: (list below)

## **6. PHA Grievance Procedures**

[24CFR 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 24CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA offices should residents or applicants to 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)  
PHA development management offices

## **7. Capital Improvement Needs**

[24CFR 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: PHA 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 as Attachment (state name)

-or-

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

**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**

**REVISED April 17, 2001**

Capital Fund Grant Number NC19P16750101 FFY of Grant Approval: (2001)

Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non -CGP Funds	
2	1406 Operations	80,000
3	1408 Management Improvements	
4	1410 Administration	7,000
5	1411 Audit	
6	1415 Liquidated Damages	
7	1430 Fee and Costs	19,000

8	1440SiteAcquisition	
9	1450SiteImprovement	20,000
10	1460DwellingStructures	39,000
11	1465.1DwellingEquipment -Nonexpendable	9,296
12	1470NondwellingStructures	
13	1475NondwellingEquipment	16,000
14	1485Demolition	
15	1490ReplacementReserve	
16	1492MovingtoWorkDemonstration	
17	1495.1RelocationCosts	
18	1498ModUsedforDevelopment	
19	1502Contingency	
20	<b>AmountofAnnualGrant(Sumoflines2 -19)</b>	<b>190,296</b>
21	Amountofline20RelatedtoLBPActivities	
22	Amountofline20RelatedtoSection504Compliance	
23	Amountofline20RelatedtoSecurity	4,000
24	Amountofline20RelatedtoEnergyConservation Measures	

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

Development Number/Name HA-WideActivities	GeneralDescriptionofMajorWork Categories	Development Account Number	Total Estimated Cost
NC16701 WoodlandApartments	DwellingEquipment –Replacementof Appliances	1465.1	5,000
NC 167 01 Woodland Apartments	Dwelling Structures – repainting and replacement of flooring	1460	19,000
NC 167 03 Cub Creek Apartments	Dwelling Equipment – Replacement of Appliances	1465.1	4,296
NC 167 03 Cub Creek Apartments	Dwelling Structures – repainting and replacement of flooring	1460	20,000
NC 167 03 Cub Creek Apartments	Site Improvements – stabilization of embankments, walkway repairs, exterior lighting	1450	20,000
NC 167 HA-Wide	Operations	1406	80,000

Administration – Administrative salaries and fringe benefits	1410	7,000
Fees and Costs – A & E fees and cost of sales	1430	19,000
Non-Dwelling Equipment – computer hardware upgrades	1475	16,000

**AnnualStatement  
CapitalFundProgram(CFP)PartIII:ImplementationSchedule**

Development Number/Name HA-WideActivities	AllFundsObligated (QuarterEndingDate)	AllFundsExpended (QuarterEndingDate)
NC 167 01 Woodland Apartments	03/31/2003	06/30/2003
NC 167 03 Cub Creek Apartments	03/31/2003	06/30/2003
NC 167 07 Valley View	03/31/2003	06/30/2003
NC 167 HA-Wide	03/31/2003	06/30/2003

**(2)Optional5 -YearActionPlan**

Agenciesareencouragedtoincludea5 -YearActionPlancoveringcapitalworkitems.Thisstatementcan becompletedbyusingthe5YearActionPlantableprovidedinthetablelibraryattheendofth ePHAPlan template **OR**bycompletingandattachingaproperlyupdatedHUD -52834.

a.  Yes  No: IsthePHAprovidinganoptional5 -YearActionPlanfortheCapital Fund?(ifno,skiptosub -component7B)

b.Ifysto questiona,selectone:

TheCapitalFundProgram5 -YearActionPlanisprovidedasanattachmenttothe PHAPlanatAttachment(statenameCapitalFundProgram5YearActionPlan)

-or-

TheCapitalFundProgram5 -YearAc tionPlanisprovidedbelow:(ifselected, copytheCFPOptional5YearActionPlanfromtheTableLibraryandinsertthere)

**B.HOPEVIandPublicHousingDevelopmentandReplacement Activities(Non -CapitalFund)**

Applicabilityofsub -component7B:All PHAsadministeringpublichousing.IdentifyanyapprovedHOPE VIand/orpublichousingdevelopmentorreplacementactivitiesnotdescribedintheCapitalFundProgram AnnualStatement.

Yes  No:a)HasthePHAre ceivedaHOPEVIrevitalizationgrant?(ifno,skip toquestionc;ifyes,provideresponsestoquestionbforeachgrant, copyingandcompletingasmanytimesasnecessary)

b)StatusofHOPEVIrevitalizationgrant(completeonesetof questionsforeach grant)

1.Developmentname:

2.Development(project)number:

3.Statusofgrant:(selectthestatementthatbestdescribesthecurrent status)

- RevitalizationPlanunderdevelopment
- RevitalizationPlansubmitted,pendi ngapproval
- RevitalizationPlanapproved
- ActivitiespursuanttoanapprovedRevitalizationPlan underway

Yes  No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year? If yes, list development name/s below:

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:

Yes  No: e) 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: Sale of Valley View Apartments (Public Housing Development)

**8. Demolition and Disposition**

[24CFR Part 903.79(h)]

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

Public Housing Homeownership  
 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.)

<b>Demolition/Disposition Activity Description</b>	
1a. Development name: Valley View	
1b. Development (project) number: NCP167007	
2. Activity type: Demolition <input type="checkbox"/>	Disposition <input checked="" type="checkbox"/>
3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>	
4. Date application approved, submitted, or planned for submission: (01/29/2001)	
5. Number of units affected: 18	
6. Coverage of action (select one) <input type="checkbox"/> Part of the development	

<input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 02/01/2001 b. Projected end date of activity: 06/30/2003

**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.

<b>Designation of Public Housing Activity Description</b>	
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:	<u>(DD/MM/YY)</u>
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.

<b>Conversion of Public Housing Activity Description</b>
1a. Development name:
1b. Development (project) number :
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 type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input 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 Plans 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 under way
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) <input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)

**B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937**

**C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937**

**11. Homeownership Programs Administered by the PHA**

[24CFR Part 903.79(k)]

**A. Public Housing**

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1.  Yes  No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z -4). (If "No", skip to component 11B; if "yes", complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

Yes  No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing As set Management Table? (If "yes", skip to component 12. If "No", complete the Activity Description table below.)

<b>Public Housing Homeownership Activity Description (Complete one for each development affected)</b>	
1a. Development name:	Valley View Homeownersh ip
1b. Development (project) number:	NC19P167007
2. Federal Program authority:	<input type="checkbox"/> HOPEI <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input checked="" type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one)	<input checked="" type="checkbox"/> Approved; included in the PHA's Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission:	(DD/MM/YYYY) 01/29/2001
5. Number of units affected:	18
6. Coverage of action: (select one)	<input type="checkbox"/> Part of the development <input checked="" 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 support services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? DD/MM/YY

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

- Client referrals
- Information sharing regarding mutual clients (for rent determination and otherwise)
- Coordinate the provision of specific social and self -sufficiency services and program 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



a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY2000 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing		
Section 8		

- 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 training 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 actions 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)

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

**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)

### 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)

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

### D. Additional information as required by PHDEP/PHDEP Plan

PHA eligible for FY2000 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 FY2000 in this PHA Plan?
- Yes  No: This PHDEP Plan is an Attachment. (Attachment Filename: \_\_\_\_\_)

## **14. RESERVED FOR PET POLICY**

[24CFR Part 903.79(n)]

## **15. Civil Rights Certifications**

[24CFR Part 903.79(o)]

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

## **16. Fiscal Audit**

[24CFR Part 903.79(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**

[24CFR Part 903.79(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 903.79(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:

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)

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

- 1.  Yes  No: Does the PHA meet the exemption criteria provided in 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 there a 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-based assistance)
- Representatives of all PHA resident and assisted family organizations
- Other (list)

### 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: (provide name here) State of North Carolina

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 of families in the jurisdiction 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)
  
- Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)  
Increase the Exempt Policy Plans

**D. Other Information Required by HUD**

Use this section to provide any additional information requested by HUD.

## Attachments

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

CAPITAL FUND PROGRAM TABLES START HERE

<b>Annual Statement/Performance and Evaluation Report</b>					
<b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
PHA Name: Northwestern Regional Housing Authority		Grant Type and Number Capital Fund Program Grant No: NC19P16750102 Replacement Housing Factor Grant No:			Federal FY of Grant: 2002
<input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:      ) Performance and Evaluation Report for Period Ending: <input type="checkbox"/> 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				
2	1406 Operations	80,000			
3	1408 Management Improvements				
4	1410 Administration	7,000			
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	19,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	20,000			
10	1460 Dwelling Structures	39,000			
11	1465.1 Dwelling Equipment — Nonexpendable	9,296			
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment	16,000			
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				

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

PHAName: Northwestern Regional Housing Authority	Grant Type and Number Capital Fund Program Grant No: NC19P16750102 Replacement Housing Factor Grant No:	Federal FY of Grant: 2002
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Original Annual Statement     Reserve for Disasters/Emergencies     Revised Annual Statement (revision no:    )  
Performance and Evaluation Report for Period Ending:     Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
21	Amount of Annual Grant: (sum of lines 2 - 20)	190,296			
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security - Soft Costs				
25	Amount of Line 21 Related to Security - Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				





# Capital Fund Program Five - Year Action Plan

## Part I: Summary

PHAName:Northwestern RegionalHousingAuthority		<b>XOriginal5 -YearPlan</b> <input type="checkbox"/> RevisionNo:			
Development Number/Name/HA- Wide	Year1	WorkStatementforYear2 FFYGrant:2001 PHAFY:FYE6/30/2002	WorkStatementforYear3 FFYGrant:2002 PHAFY:FYE6/30/2003	WorkStatementforYear4 FFYGrant:2003 PHAFY:FYE6/30/2004	WorkStatementforYear5 FFYGrant:2004 PHAFY:FYE6/30/2005
	Annual Statement				
001Woodland		\$3,200	\$70,000	\$3,200	\$65,000
003CubCreek		\$3,200	\$3,200	\$62,000	\$10,000
007ValleyView		\$62,000	-0-	-0-	-0-
HA -wide		\$131,544	\$126,744	\$134,744	\$124,944
CFPFundsListedf or 5-yearplanning		\$199,944	\$199,944	\$199,944	\$199,944
ReplacementHousing FactorFunds					





**Northwestern Regional Housing Authority  
Resident Advisory Board**

**Diane Carlton - President  
Cub Creek Rental Council  
1201 Industrial Park Road  
Wilkesboro, NC 28679  
Public Housing Resident**

**Pauline B. Hughes - President  
Woodland Resident Council  
25 Woodland Drive  
Burnsville, NC 28714  
Public Housing Resident**

**Whitney Leonard - President  
White Laurel Resident Council  
176-B Laurel Reach Lane  
Boone, NC 28607  
Section 8 Resident**

**Vanessa Church - Staff Liaison  
632 Hunter Road  
N. Wilkesboro, NC 28659**

**NORTHWESTERN REGIONAL HOUSING AUTHORITY  
FIVE YEAR PLAN  
2001-2005**

**Progress FYE 6/30/2002**

**Strategic Goal: Increase the availability and supply of quality affordable housing**

- Apply for additional rental vouchers @50 incremental units per year - *been awarded 100, applied for 200*
- Leverage public and private competitive grants and loans - *closed \$½ million loan at 2% Fannie Mae Foundation*
- Acquire and/or build one or two rental and/or homeownership developments per year - *completing one 24 dwelling units affordable rental and one 18 dwelling units homeownership*

**Strategic Goal: Increase affordable housing choices**

- Expand homeownership efforts regionwide and assist at least 12 first time homebuyers per year - *closed 9, counseled 235*
- Hold at least one private rental landlord briefing each year - *scheduled in June 2002*
- Implement public housing homeownership program with initial 18 dwellings - *HUD approved - sales will commence at end of Fiscal Year*
- Provide replacement housing with long term affordability for all public housing dwellings sold - *24 affordable rental development, 18 public housing sold*

**Strategic Goal: Improve quality of life, economic vitality and self sufficiency**

- Promote mixed income communities - *through self-sufficiency*
- Improve playgrounds, security and other school programming - *built 2 new playgrounds*
- Increase the number and percentage of gainfully employed clients and track progress through FSS system - *FSS enrollment increased from 202 to 240 - gainful employment increased from 92 to 131*
- Coordinate provision of supportive services as needed - *good human service agency participation*

**Strategic Goal: Improve financial performance and establish strategic banking relationships**

- Enhanced commercial banking services - *strategic alliance with Bank of America initiated*
- On-line and automated account reviews and transfers - *scheduled with Bank of America for May 2002*
- Competitive short and long-term financing - *Wachovia - Fannie Mae Foundation*
- Timely and accurate development cost indicators and controls - *improving timeliness and accuracy through modular construction*
- Investor partnerships at preferred rates and terms - *CAHEC good rates plus donations and scholarships*

Northwestern Regional Housing Authority  
ANNUAL PLAN  
FYE 06/30/2002  
(second required annual plan)  
dated submitted April 12, 2001

Required Attachment: **Pet Policy**

The Northwestern Regional Housing Authority Board of Trustees has adopted a Policy on Pet Ownership in Public Housing effective January 1, 2001. The policy was adopted with notice and consultation of the Regional Housing Authority's three public housing Resident Councils. Its principal features allow public housing residents to own and keep pets subject to:

- a \$300 pet ownership deposit against possible damage to the dwelling unit and common areas;
- no more than one animal of 45 pounds or less per dwelling unit;
- no animals allowed who may reasonably be seen to pose a threat to the health and/or safety of residents, employees or the public.

Northwestern Regional Housing Authority  
ANNUAL PLAN  
FYE 06/30/2002  
(second required annual plan)  
dated submitted April 12, 2001

Required Attachment: **Community Service**

Northwestern Regional Housing Authority is complying with the community service requirement of QHWRA Section 512 by enrolling all adults residing in its public housing dwellings, except those exempted by law, in its economic self sufficiency program with required participation of at least 8 hours per month. Participant progress toward educational and employment goals is tracked at least quarterly by individuals, families and groups of families under Northwestern Regional Housing Authority's award winning Family Self Sufficiency Initiative.

**Northwestern Regional Housing Authority  
ANNUAL PLAN  
FYE 06/30/2002**

**(second required annual plan)**

**date submitted: April 12, 2001**

Required Attachments: Resident Membership of HA Governing Board

Northwestern Regional Housing Authority is a public housing agency which has met the exemption to resident membership on its governing board as established in Section 2 of the U. S. Housing Act of 1937 as amended by QHWRA Section 505(b)(2)(B) by:

- having only 101 public housing units;
- having given reasonable notice to all three of its public housing resident advisory board on August 15, 2000 of the opportunity to one resident receiving assistance from the Regional Housing Authority to serve on its governing body; and
- having not received by December 31, 2000 from its resident councils nor from its duly established resident advisory board notification of the intention of any resident to participate in service on the Regional Housing Authority's governing board.

(second required annual plan)  
plans submitted 4/12/2001  
supplemental to correct deficiencies submitted 5/11/2001

**Required Attachment: Substantial Deviation and Significant Amendment**

The Northwestern Regional Housing Authority (NRHA) has identified the basic criteria that it will use for determining a substantial deviation from its 5 Year Plan and a significant amendment or modification to its 5 Year Plan and its Annual Plan. They are as follows:

- “substantial deviation” from the 5 Year Plan will be any action by NRHA or by its affiliates, contractors or subcontractors which will affect more than 330 client households in a manner other than those indicated in the approved 5 Year Plan; and,
- “significant amendment or modification” to the 5 Year Plan and/or the Annual Plan will be any addition, deletion or transfer of NRHA resources which can be reasonably expected to result in actions affecting more than 330 client households in any annual period or more than 1,000 client households in any 5 year period.

**Northwestern Regional Housing Authority  
Annual Plan  
FYE 6/30/2003  
(third required annual plan)**

*daterequiredattachmentsubmitted  
June12,2002*

**RequiredAttachment:InformationonDeconcentrationPolicy**

NorthwesternRegionalHousingAuthority(NRHA)hasreviewedtheaverageincomerangeforresidentsateachof itsconventionalpublichousingdevelopments.WeavedeterminedthroughthereviewthatNRHAhasnogeneral occupancy(family)publichousingdevelopmentscoveredbythedeconcentrationrule.Nodevelopmentswerefound tobeoutsidetheEstablishedIncomeRange(EIR).

NRHAhasdeterminednottoadoptadmissionspolicies to promoteincomemixingfordevelopmentsoutsidetheEIR because:

- NRHAhasnopublichousingdevelopmentsoutsidetheEIR;and
- AllNRHApublishousingdevelopmentsareandwilllikelyremain(givencurrentadmissionspolicies, waitinglistsandturnover rates)below30%ofthearmedianincome(AMI).

NRHApromotesincomemixinganddocumentationofpovertyinitsmixedfinancepublic/privatehousing developmentactivitiesforbothaffordablerentalandaffordablehomeownershipactivities.NRHA'ssuccessful FamilySelfSufficiency(FSS)initiativeisthebestevidenceoftheseefforts.

**NorthwesternRegionalHousingAuthority  
AnnualPlan  
FYE6/30/2003  
(thirdrequiredannualplan)**

*daterequiredattachmentsubmitted  
June12,200 2*

**Required Attachment: Voluntary Conversion of Public Housing to Tenant Based Assistance**

Northwestern Regional Housing Authority (NRHA) has completed the required initial assessments for each of its public housing developments with respect to voluntary conversion. Note the following:

1. All three of NRHA's developments were subject to initial assessment requirements;
2. None of NRHA's developments were exempt from these requirements;
3. All three of NRHA's developments had initial assessments conducted; and
4. None of NRHA's developments were found to be appropriate for conversion to tenant-based assistance.

None of NRHA's public housing developments were found to meet the necessary conditions for voluntary conversion.

Supporting documentation regarding these required initial assessments is available for public inspection at NRHA's central office at 869 Highway 105 Extension, Addison Offices, Boone, North Carolina 28607.