

U.S.DepartmentofHousingandUrbanDevelopment
OfficeofPublicandIndianHousing

SmallPHAPlanUpdate
AnnualPlanforFiscalYear: **2003**

SmithfieldHousingAuthority
Smithfield,NorthCarolina

**NOTE:THISPH APLANSTEMPLATE(HUD50075)ISTOBECOMPLETEDIN
ACCORDANCEWITHINSTRUCTIONSLOCATEDINAPPLICABLEPIHNOTICES**

**PHAPlan
AgencyIdentification**

PHAName: SMITHFIELDHOUSINGAUTHORITY

PHANumber: NC040

PHAFiscalYearBeginning:(mm/yyyy) 07/2003

PHAPlanContactInformation:

Name: Mr.WarrenL.Grimes

Phone: 919/934-0491

TDD:

Email(ifavailable): shagrimes@nc.rr.com

PublicAccess 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

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
- Main administrative office of the local, county or 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)

PHA Programs Administered :

- Public Housing and Section 8 Section 8 Only Public Housing Only

Annual PHA Plan
Fiscal Year 20 03
 [24CFR Part 903.7]

i. Table of Contents

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

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Attachments

- Attachment **A**: Supporting Documents Available for Review
- Attachment **B**: Capital Fund Program Annual Statement (Fiscal Year 2003)
- Attachment **C**: Capital Fund Program 5 Year Action Plan
- Attachment **D**: Fiscal Year 2002 Capital Fund Program Performance and Evaluation Report
- Attachment **E**: Fiscal Year 2001 Capital Fund Program Performance and Evaluation Report
- Attachment **F**: Fiscal Year 2000 Capital Fund Program Performance and Evaluation Report
- Attachment: Capital Fund Program Replacement Housing Factor Annual Statement (**Not Applicable**)
- Attachment: Public Housing Drug Elimination Program (PHDEP) Plan (**Not Applicable**)
- Attachment **G**: Resident Membership on PHA Board or Governing Body
- Attachment **H**: Membership of Resident Advisory Board or Boards

- Attachment __: Comments of Resident Advisory Board or Boards & Explanation of PHA Response (must be attached if not included in PHA Plan text)
- Attachment **I**: Deconcentration & Income Mixing
- Attachment **J**: Voluntary Conversion of Developments from Public Housing Stock; Required Initial Assessments
- Other (List below, providing each attachment name)
 - Attachment **K** – Brief Statement of Progress in Meeting the 5 Year Mission and Goals
 - Attachment **L** – Police Officers Living in Public Housing

ii. Executive Summary

[24CFR Part 903.79(r)]

At PHA option, provide a brief overview of the information in the Annual Plan

This section is left blank because it is optional.

1. Summary of Policy or Program Changes for the Upcoming Year

In this section, briefly describe changes in policies or programs discussed in last year's PHA Plan that are not covered in other sections of this Update.

There have been no changes in policies or programs for fiscal year beginning July 1, 2003, other than those required by HUD regulations.

2. Capital Improvement Needs

[24CFR Part 903.79(g)]

Exemptions: Section 8 only PHAs are not required to complete this component.

- A. Yes No: Is the PHA eligible to participate in the CFP in the fiscal year covered by this PHA Plan?
- B. What is the amount of the PHA's estimated or actual (if known) Capital Fund Program grant for the upcoming year? \$ **339,015.00**
- C. Yes No Does the PHA plan to participate in the Capital Fund Program in the upcoming year? If yes, complete the rest of Component 7. If no, skip to next component.

D. Capital Fund Program Grant Submissions

(1) Capital Fund Program 5 - Year Action Plan

The Capital Fund Program 5 - Year Action Plan is provided as Attachment **C**

(2) Capital Fund Program Annual Statement

The Capital Fund Program Annual Statement is provided as Attachment **B**

3.D Demolition and Disposition

[24CFR Part 903.79(h)]

Applicability: 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 next component; if "yes", complete one activity description for each development.)

2. Activity Description

Demolition/Disposition Activity Description (Not including Activities Associated with HOPE VI or Conversion Activities)	
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. Relocation resources (select all that apply) <input type="checkbox"/> Section 8 for _____ units <input type="checkbox"/> Public housing for _____ units <input type="checkbox"/> Preference for admission to other public housing or section 8 <input type="checkbox"/> Other housing for _____ units (describe below)	
8. Timeline for activity: a. Actual or projected start date of activity: b. Actual or projected start date of relocation activities: c. Projected end date of activity:	

4. Voucher Homeownership Program

[24CFRPart903.79(k)]

- A. 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 next component; if "yes", describe program using the table below (copy and complete questions for each program identified.)

B. Capacity of the PHA to Administer a Section 8 Homeownership Program

The PHA has demonstrated its capacity to administer the program by (select all that apply):

- Establishing a minimum homeowner down payment requirement of at least 3 percent and requiring that at least 1 percent of the down payment comes from the family's resources
- Requiring that financing for purchase of a home under its section 8 homeownership will be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards
- Demonstrating that it has or will acquire other relevant experience (list PHA experience, or any other organization to be involved and its experience, below):

5. Safety and Crime Prevention: PHDEP Plan

[24CFRPart903.7(m)]

Exemptions Section 8 Only PHAs may skip to the next component PHAs eligible for PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- A. Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?

B. What is the amount of the PHA's estimated or actual (if known) PHDEP grant for the upcoming year?

- C. Yes No Does the PHA plan to participate in the PHDEP in the upcoming year? If yes, answer question D. If no, skip to next component.

- D. Yes No: The PHDEP Plan is attached at Attachment ____

(Per HUD regulations, PHDEP is no longer applicable)

6. Other Information

[24CFRPart903.79(r)]

A. Resident Advisory Board (RAB) Recommendations and PHA Response

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 attached at Attachment (Filename)

Comments are provided below.

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

- The PHA changed portions of the PHA Plan in response to comments. A list of these changes is included.
 - Yes No: below
 - Yes No: at the end of the RAB Comments in Attachment ____.
 - Considered comments, but determined that no changes to the PHA Plan were necessary. An explanation of the PHA's consideration is included at the end of the RAB Comments in Attachment ____.
- Comments and responses are provided below:**

Comments Received from Resident Advisory Board

The Resident Advisory Board discussed the 2003 Agency Plan, the 2002 CFP grant and the Authority's proposed plans for modernization work in the Edgerton Court (NC040002) development. The Advisory Board was in favor of the Agency Plan and of the proposed modernization items, especially the addition of fair conditioning. They offered the suggestion that the Authority appropriate monies from the CFP fund each year over the next three years to add air conditioning to the 84 units in development NC040001 that had previously been modernized with central heat but no A/C.

Authority's Response to Advisory Board Comments

The Authority agreed with the Advisory Board that adding air conditioning to the previously modernized units was a good idea. Air conditioning will make the units more attractive to prospective applicants especially in the competitive voucher market. The Authority plans to appropriate \$75,000 each year over the next three years and \$27,000 in the fourth year to add A/C to those units as per our architect's cost estimate. This is not a change to the actual Plan Template, but constitutes a change to the Capital Fund Program.

Other: (list below)

B. 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: (**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 specific initiatives contained in the Consolidated Plan. (list such initiatives below)

To provide safe, sanitary and decent housing to prospective residents. To work with other housing agencies to provide economic opportunities for prospective residents, and to work with other housing agencies within the jurisdiction.

Other: (list below)

3. PHA Requests for support from the Consolidated Plan Agency

Yes No: Does the PHA request financial or other support from the State or local government agency in order to meet the needs of its public housing residents or inventory? If yes, please list the 5 most important requests below:

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

To provide safe, sanitary and decent housing. To assist the PHA in providing economic opportunities to its residents and to work with other housing agencies to provide housing to prospective, eligible residents.

C. Criteria for Substantial Deviation and Significant Amendments

1. Amendment and Deviation Definitions

24 CFR Part 903.7(r)

PHAs are required to define and adopt their own standards of substantial deviation from the 5-year Plan and Significant Amendment to the Annual Plan. The definition of significant amendment is important because it defines

when the PHA will subject a change to the policies or activities described in the Annual Plan to full public hearing and HUD review before implementation.

A. Substantial Deviation from the 5 -year Plan:

B. Significant Amendment or Modification to the Annual Plan:

**Smithfield Housing Authority
Definition of “Substantial Deviation” and
“Significant Amendment or Modification”**

The Smithfield Housing Authority, to meet the requirement of Final Rule 903.7(r) and PIH99-51, pertaining to “Substantial Deviation” and “Significant Amendment or Modification,” offers the following:

- A. A substantial deviation from its Five -Year Plan; and a significant amendment or modification to its Five -Year Plan and Annual Plan.
- B. Change to rent or admissions policies or organization of the waiting list.
- C. Addition of non-emergency work items (items not included in the current Annual Statement or 5 -Year Action Plan) or change in use of replacement reserve funds under the Capital Fund.
- D. Any change with regard to demolition or disposition, designation, home ownership programs or conversion activities.

Any substantial deviation from the Mission Statement and/or Goals and Objectives presented in the Five -Year Plan that cause changes in the services provided to residents or significant changes to the Agency’s financial situation will be documented in subsequent Agency Plans.

An exception to this definition will be made for any of the above that are adopted to reflect changes in HUD regulatory requirements offered by HUD.

Smithfield Housing Authority

Attachment A

Fiscal Year 2003 Agency Plan

Supporting Documents Available for Review

PHAs are to 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	Related Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
N/A	State/Local Government Certification of Consistency with the Consolidated Plan (not required for this update)	5 Year and Annual Plans
X	Fair Housing Documentation Supporting Fair Housing Certifications: 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	Housing Needs Statement of the Consolidated Plan for the jurisdiction/s in which the PHA is located 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/ACOP), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
	Any policy governing occupancy of Police Officers in Public Housing <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Eligibility, Selection, and Admissions Policies

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
N/A	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the method 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 each public housing development <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Rent Determination
N/A	Section 8 rent determination (payment standard) policies <input 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
X	Results of latest binding Public Housing Assessment System (PHAS) Assessment	Annual Plan: Management and Operations
N/A	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary) Results of RASS do not indicate a need for a Follow Up Plan	Annual Plan: Operations and Maintenance and Community Service & Self-Sufficiency
N/A	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
NA	Any required policies governing any Section 8 special housing types <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Grievance Procedures
N/A	Section 8 informal review and hearing procedures <input 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 any active grant year	Annual Plan: Capital Needs

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
N/A	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants	Annual Plan: Capital Needs
N/A	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
X	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing §504 of the Rehabilitation Act and the Americans with Disabilities Act. See, PIH99 -52 (HA).	Annual Plan: Capital Needs
N/A	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
N/A	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
N/A	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, Section 22 of the US Housing Act of 1937, or Section 33 of the US Housing Act of 1937	Annual Plan: Conversion of Public Housing
N/A	Approved or submitted public housing home ownership programs/plans	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program (section _____ of the Section 8 Administrative Plan)	Annual Plan: Homeownership
N/A	Cooperation agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies	Annual Plan: Community Service & Self-Sufficiency
N/A	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Section 3 documentation required by 24 CFR Part 135, Subpart E	Annual Plan: Community Service & Self-Sufficiency
N/A	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
X	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report	Annual Plan: Safety and Crime Prevention
X	PHDEP-related documentation: <ul style="list-style-type: none"> · Baseline law enforcement services for public housing developments assisted under the PHDEP plan; · Consortium agreement/s between the PHAs participating in the consortium and a copy of the payment agreement between the consortium and HUD (applicable only to PHAs participating in a consortium as specified under 24CFR 761.15); · Partnership agreements (indicating specific leveraged support) with agencies/organizations providing funding, services or other in-kind resources for PHDEP-funded activities; · Coordination with other law enforcement efforts; · Written agreement(s) with local law enforcement agencies (receiving any PHDEP funds); and · All crime statistics and other relevant data (including Part I and specified Part II crimes) that establish need for the public housing sites assisted under the PHDEP Plan. 	Annual Plan: Safety and Crime Prevention
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24CFR Part 960, Subpart G) <input checked="" type="checkbox"/> check here if included in the public housing A&O Policy	Pet Policy
X	The result of 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 result of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
N/A	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
X	Others supporting documents (optional)	(specify as needed)
X	Deconcentration Calculations	
X	Voluntary Conversion Analysis	

AttachmentB

Annual Statement/Performance and Evaluation Report						
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary						
PHAName: Smithfield Housing Authority		Grant Type and Number Capital Fund Program Grant No: NC19P04050103 Replacement Housing Factor Grant No:			Federal FY of Grant: 2003	
<input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> 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					
3	1408 Management Improvements					
4	1410 Administration					
5	1411 Audit					
6	1415 Liquidated Damages					
7	1430 Fees and Costs	25,000				
8	1440 Site Acquisition					
9	1450 Site Improvement					
10	1460 Dwelling Structures	314,000				
11	1465.1 Dwelling Equipment — Nonexpendable					
12	1470 Non dwelling Structures					
13	1475 Non dwelling Equipment					
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					
21	Amount of Annual Grant: (sum of lines 2 – 20)	339,000				
22	Amount of line 21 Related to LBP Activities					

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

PHAName: Smithfield Housing Authority	Grant Type and Number Capital Fund Program Grant No: NC19P04050103 Replacement Housing Factor Grant No:	Federal FY of Grant: 2003
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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
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				

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

PHAName: Smithfield Housing Authority		Grant Type and Number Capital Fund Program Grant No: NC19P04050103 Replacement Housing Factor Grant No:			Federal FY of Grant: 2003			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
	FEES & COSTS	1430		25,000				
NC040-002 Edgerton Court	DWELLING STRUCTURES:	1460		239,000				
	Replaced doors and windows.							
	Replace heating system.							
	Upgrade plumbing and electrical systems.							
	Add Central Air							
	Provide storage sheds.							
	Install grab bars and handrails.							
	Cover exterior wood construction and overhangs with vinyl.							
NC040-001 Woodall Heights	DWELLING STRUCTURES	1460		75,000				
	Add Central Air -25 Units							

Attachment C

Capital Fund Program Five - Year Action Plan

Part I: Summary

PHAName: Smithfield Housing Authority		<input checked="" type="checkbox"/> Original 5 - Year Plan <input type="checkbox"/> Revision No:			
Development Number/Name/HA-Wide	Year1	WorkStatementforYear2 FFYGrant: 2004 PHAFY: 7/1/04	WorkStatementforYear3 FFYGrant: 2005 PHAFY: 7/1/05	WorkStatementforYear4 FFYGrant: 2006 PHAFY: 7/1/06	WorkStatementforYear5 FFYGrant: 2007 PHAFY: 7/1/07
NC040-002,Edgerton Court	Annual Statement	368,900	368,900	356,159	339,015
NC040-001 WoodallHeights		75,000	75,000	27,000	
CFPFundsListedfor 5-yearplanning		443,900	443,900	383,159	339,015
ReplacementHousing FactorFunds					

CapitalFundProgramFive -YearActionPlan
PartII:SupportingPages —WorkActivities

ActivitiesforYear: 4 FFYGrant: 2006 PHAFY: 7/1/06			ActivitiesforYear: 5 FFYGrant: 2007 PHAFY: 7/1/07		
Development Name/Number	MajorWork Categories	EstimatedC ost	Development Name/Number	MajorWork Categories	EstimatedCost
NC040-003, MarrowCourtand WilkinsCourt	Replace&add:	356,159	NC040-003, MarrowCourtand WilkinsCourt		339,015
	Heatingsystem			Heatingsystem	
	KitchenCabinets			KitchenCabinets	
	Replacefloortile			Replacefloortile	
	Coverwoodexterior withvinyl			Coverwoodexterior withvinyl	
	AddCentralAir			AddCentralAir	
	DryerConnections			DryerConnections	
	Landscaping			Landscaping	
NC040-0001 WoodallHeights	Add:	27,000			
	CentralAir -9Units				
TotalCFPEstimatedCost		\$383,159			\$339,015

AttachmentD

AnnualStatement/PerformanceandEvaluationReport					
CapitalFundProgramandCapitalFundProgramReplacementHousingFactor(CFP/CFPRHF)PartI:Summary					
PHAName: SmithfieldHousingAuthority		GrantTypeandNumber CapitalFundProgramGrantNo: NC19P04050102 ReplacementHousingFactorGrantNo:			FederalFYofGrant: 2002
<input type="checkbox"/> OriginalAnnualStatement <input type="checkbox"/> ReserveforDisasters/Emergencies <input type="checkbox"/> RevisedAnnualStatement(revisionno:) <input checked="" type="checkbox"/> PerformanceandEvaluationReportforPeriodEnding: 12/31/02 <input type="checkbox"/> FinalPerformanceandEvaluationReport					
Line No.	SummarybyDevelopmentAccount	TotalEstimatedCost		TotalActualCost	
		Original	Revised	Obligated	Expended
1	Totalnon -CFPFunds				
2	1406Operations				
3	1408ManagementImprovements				
4	1410Administration				
5	1411Audit				
6	1415LiquidatedDamages				
7	1430FeesandCosts	25,000		1,800.00	1,800.00
8	1440SiteAcquisition				
9	1450SiteImprovement				
10	1460DwellingStructures	314,015		58,035.44	32,772.52
11	1465.1DwellingEquipment —Nonexpendable				
12	1470NondwellingStructures				
13	1475Nondwelli ngEquipment				
14	1485Demolition				
15	1490ReplacementReserve				
16	1492MovingtoWorkDemonstration				
17	1495.1RelocationCosts				
18	1499DevelopmentActivities				
19	1501CollaterizationorDebtService				
20	1502Contingency				
21	AmountofAnnualGrant:(sumoflines2 –20)	339,015		59,835.44	34,572.52

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

PHAName: Smithfield Housing Authority	Grant Type and Number Capital Fund Program Grant No: NC19P04050102 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: **12/31/02**
 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
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				

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

PHAName: Smithfield Housing Authority		Grant Type and Number Capital Fund Program Grant No: NC19P04050102 Replacement Housing Factor Grant No:				Federal FY of Grant: 2002		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
NC040-002, Edgerton Court	FEES & COSTS	1430		25,000	25,000	1,800.00	1,800.00	
	DWELLING STRUCTURES:	1460		263,306.44	180,979.56	-0-	-0-	
	Replaced doors and windows.							
	Replace heating system.							
	Upgrade plumbing and electrical systems.							
	Add central air							
	Provide storage sheds.							
	Install grab bars and handrails.							
	Cover exterior wood construction and overhangs with vinyl.							
Nc040-001 Woodall Heights	DWELLING STRUCTURES	1460	16 Units	-0-	82,326.88	7,326.88	-0-	Under contract
	Replace floor tiles							
	Central Air -25 Units							
NC040-003 Wilkins Court	DWELLING STRUCTURES	1460	22 Units	50,708.56	50,708.56	50,708.56	32,772.52	Under contract
	Replace kitchen cabinets							Moved from 2001 CFP
GRAND TOTAL				339,015.00	339,015.00	59,835.44	34,572.52	

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

PHAName: Smithfield Housing Authority		Grant Type and Number Capital Fund Program No: NC19P04050102 Replacement Housing Factor No:				Federal FY of Grant: 2002	
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	
NC040-002, Edgerton Court	6/30/04			6/30/06			
NC040-003, Wilkins Court	6/30/04		9/30/02	6/30/06			
NC040-001, Woodall Heights	6/30/04			6/30/06			

AttachmentE

AnnualStatement/PerformanceandEvaluationReport						
CapitalFundProgramandCapitalFundProgramReplacementHousingFactor(CFP/CFPRHF)PartI:Summary						
PHAName: SmithfieldHousingAuthority		GrantTypeandNumber CapitalFundProgramGrantNo: NC19P04050101 ReplacementHousingFactorGrantNo:			FederalFYofGrant: 2001	
<input type="checkbox"/> OriginalAnnualStatement <input type="checkbox"/> ReserveforDisasters/Emergencies <input type="checkbox"/> RevisedAnnualStatement(revisionno:) <input checked="" type="checkbox"/> PerformanceandEvaluationReportforPeriodEnding: 12/31/02 <input type="checkbox"/> FinalPerformanceandEvaluationReport						
Line No.	SummarybyDevelopmentAccount	TotalEstimatedCost		TotalActualCost		
		Original	Revised	Obligated	Expended	
1	Totalnon -CFPFunds					
2	1406Operations					
3	1408ManagementImprovements					
4	1410Administration					
5	1411Audit					
6	1415LiquidatedDamages					
7	1430FeesandCosts	25,000	26,067.56	26,067.56	21,000.00	
8	1440SiteAcquisition					
9	1450SiteImprovement	50,000	51,001.00	51,001.00	31,453.50	
10	1460DwellingStructures	256,159	251,326.44	251,326.44	239,157.18	
11	1465.1DwellingEquipment —Nonexpendable					
12	1470NondwellingStructures	25,000	27,764.00	27,764.00	24,857.90	
13	1475NondwellingEquipment					
14	1485Demolition					
15	1490ReplacementReserve					
16	1492MovingtoWorkDemonstration					
17	1495.1RelocationCosts					
18	1499DevelopmentActivities					
19	1501CollaterizationorDebtService					
20	1502Contingency					
21	AmountofAnnualGrant:(sumoflines2 –20)	356,159	356,159	356,159	316,468.58	

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

PHAName: Smithfield Housing Authority	Grant Type and Number Capital Fund Program Grant No: NC19P04050101 Replacement Housing Factor Grant No:	Federal FY of Grant: 2001
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Original Annual Statement
 Reserve for Disasters/Emergencies
 Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: **12/31/02**
 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
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				

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

PHAName: Smithfield Housing Authority		Grant Type and Number Capital Fund Program Grant No: NC19P04050101 Replacement Housing Factor Grant No:				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 Work
				Original	Revised	Funds Obligated	Funds Expended	
PHAWIDE	FEES & COSTS	1430		25,000	26,067.56	26,067.56	21,000	
	SITE IMPROVEMENTS:							
NC040-002	Replace water distribution system.	1450		50,000	51,001.00	51,001.00	31,453.50	Under Contract
	DWELLING STRUCTURES:	1460		256,159	251,326.44	251,326.44	239,157.18	Under Contract
NC040-001	Replace roofing system		66 units					
NC040-002	Replace bi-fold closet doors		35 units					
NC040-003	Replace kitchen cabinets at Wilkins Ct.		22 units					Moved part to 2002 CFP
PHAWIDE	NON-DWELLING STRUCTURES:	1470		25,000	27,764.00	27,764.00	24,857.90	Under Contract
	Remodel Community Room & Office Space for Administration							
	GRAND TOTAL			356,159.	256,159	356,159	316,468.58	

AttachmentF

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary					
PHAName: Smithfield Housing Authority		Grant Type and Number Capital Fund Program Grant No: NC19P04050100 Replacement Housing Factor Grant No:		Federal FY of Grant: 2000	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/02 <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				
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	14,766	32,200	32,200	31,917.56
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	335,695	318,261	318,261	318,261.00
11	1465.1 Dwelling Equipment — Nonexpendable				
12	1470 Non dwelling Structures				
13	1475 Non dwelling Equipment				
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				
21	Amount of Annual Grant: (sum of lines 2 -20)	350,461	350,461	350,461	350,178.56
22	Amount of line 21 Related to LBP Activities				

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

PHAName: Smithfield Housing Authority	Grant Type and Number Capital Fund Program Grant No: NC19P04050100 Replacement Housing Factor Grant No:	Federal FY of Grant: 2000
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Original Annual Statement
 Reserve for Disasters/Emergencies
 Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: 12/31/02
 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
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				

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

PHAName: Smithfield Housing Authority		Grant Type and Number Capital Fund Program Grant No: NC19P04050100 Replacement Housing Factor Grant No:				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 Work
				Original	Revised	Funds Obligated	Funds Expended	
PHAWIDE	FEES & COSTS	1430		14,766	32,200	32,200	31,917.56	
NC040-001	DWELLING STRUCTURES:	1460	16 units	335,695	318,261	318,261	318,261.00	
	Continueremodelingofunits that began in 1992, which includes:							
	Install gas fired hydro niche heating system							
	Replace entrance and screen doors							
	Replace hardware							
	Replace interior doors							
	Patch & repaint interior walls							
	Upgrade electrical system							
	Replace kitchen cabinets							
	Etc.							

**Required Attachment G: Resident Member on the PHA Governing Board
Smithfield Housing Authority
Fiscal Year 2003 Annual Plan**

1. Yes No: Does the PHA governing board include at least one member who is directly assisted by the PHA this year? (if no, skip to #2)

A. Name of resident member(s) on the governing board:

Laura S. Harvey

B. How was the resident board member selected: (select one)?

Elected

Appointed

C. The term of appointment is (include the date term expires): **10/20/99 to 10/20/04**

2. A. If the PHA governing board does not have at least one member who is directly assisted by the PHA, why not?

the PHA is located in a State that requires the members of a governing board to be salaried and serve on a full-time basis

the PHA has less than 300 public housing units, has provided reasonable notice to the resident advisory board of the opportunity to serve on the governing board, and has not been notified by any resident of their interest to participate in the Board.

Other (explain):

B. Date of next term expiration of governing board member: **10/20/03**

C. Name and title of appointing official(s) for governing board (indicate appointing official for the next position):

William H. Jordan, Jr., Mayor City of Smithfield

Required Attachment H: Membership of the Resident Advisory Board or Boards

Smithfield Housing Authority Fiscal Year 2003 Annual Plan

List members of the Resident Advisory Board or Boards: (If the list would be unreasonably long, list organizations represented or otherwise provide a description sufficient to identify how members are chosen.)

Resident Advisory Board

**Laura Harvey
Margaret Lassiter
Brenda Reddick
Annie Richardson
Marie Rouse
Ronald Price
Pennie Garner
Bobby Smith
Jerry Hinton
Shana Lavender**

Board of Commissioners

**Claud L. Dunn, Chairman
John N. Causey, Vice -Chairman
Sarah W. Sellers
Alberta F. Sanders
Laura S. Harvey**

Required Attachment I: Deconcentration and Income Mixing

Smithfield Housing Authority
Fiscal Year 2003 Annual Plan

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)]
NC-040-003	38	See Below	

Smithfield Housing Authority has three (3) general occupancy developments (170 units) subject to the December 22, 2000 Federal Register (Rule to Deconcentrate Poverty and Promote Integration in Public Housing, Final Rule).

One of these developments (NC 040 -003) has an average income below 85% of the average incomes of all general occupancy developments.

However, per HUD instructions (August 15, 2001 Proposed Rule, and the Public Housing Agency Plan Desk Guide dated September 2001), this development is not considered as having income above or below the Established Income Range because the average income is and will remain below 30% of the Area Median Income.

Documentation of the required deconcentration and income mixing analysis is a Supporting Document to the Annual Plan.

**Required Attachment J: Voluntary Conversion Initial Assessments
Component 10(B)**

**Smithfield Housing Authority
Fiscal Year 2003 Annual Plan**

Component 10(B) Voluntary Conversion Initial Assessments

a. How many of the PHA's developments are subject to the Required Initial Assessments?

3

b. How many of the PHA's developments are not subject to the Required Initial Assessments based on exemptions (e.g., elderly and/or disabled developments not general occupancy projects)?

1

c. How many Assessments were conducted for the PHA's covered developments?

3

d. Identify PHA developments that may be appropriate for conversion based on the Required Initial Assessments:

Development Name	Number of Units
None*	

***None of the developments owned and operated by the Smithfield Housing Authority have been determined to be appropriate for conversion.**

The Required Initial Assessment is a Supporting Document to this Annual Plan and was previously submitted to HUD.

e. If the PHA has not completed the Required Initial Assessments, describe the status of these assessments: **Not Applicable**

Required Attachment K: Brief Statement of Progress in Meeting the 5 -Year Mission and Goals

Smithfield Housing Authority Fiscal Year 2003 Annual Plan

Our 5 year plan adopted the mission statement “to ensure safe, decent and affordable housing; create opportunities for resident self-sufficiency and economic independence; and assure fiscal integrity in all programs administered.”

Listed below are a few of the goals we established to help us fulfill our mission statement and our progress in accomplishing those goals:

1. Expand the supply of assisted housing by applying for additional rental vouchers and reducing public housing vacancies.
 - a. We have not applied for any rental vouchers as of this date. We refer applicants wanting vouchers to the Section 8 programs managed by Johnston County and the Selma Housing Authority, both of which are in our immediate geographic area.
 - b. We have worked hard to reduce the time between move outs and having a unit ready to re-rent. Our average time for smaller units (1 – 2 bedrooms) is 2 days and for larger units (3 – 4 bedrooms) 4 days. We maintain a sufficient waiting list such that the units are rented as soon as they are ready. We consistently maintain a 98% to 99% leased up rate.

2. Improve the quality of assisted housing by improving housing management and renovating older units.
 - a. Our management scores (PHAS) are consistently high and we are rated a “High Performing Housing Authority”. We enroll in many of the housing management training seminars and workshops offered throughout the year for all levels of our staff – administrative and maintenance.
 - b. We plan to combine our 2002 & 2003 CFP funds into one modernization project and begin modernization efforts in our Edgerton Court (NC040002) development during 2003. We plan to add new heating systems with A/C, new energy efficient windows, new kitchen cabinets, and storage sheds to these units.

3. Provide an improved living environment by assuring income mixing and maintaining security measures.
 - a. The income mix at all four sites is within HUD established parameters; however the overall income of four developments falls below 30% of the median income for our area. We continue to seek applicants whose incomes are above 30% of the median income but have not been as successful as we would like to be. Hopefully we can attract higher income applicants as our units are modernized.
 - b. The discontinuance of the PHDEP Grants has hampered our ability as a small housing authority to provide adequate security. There was not enough money in our operating budget to continue the contract with the Town of Smithfield for a full time police officer. Since the Town had their own budget problems, they could not provide for a part-time officer. We signed a contract with a private police force for 20 hours per week of on-site patrolling. We have seen an increase in the number of crimes reported on Housing Authority property this past year as a result of the reduced security coverage. We are discouraged by these statistics and hope that HUD will provide a new source of protective service funds to small HA's.

4. Promote self-sufficiency of assisted households by providing programs to improve the employability of residents and increasing the percentage of employed persons in assisted families.
 - a. There are many organizations in the community that offer educational and job training opportunities. Rather than duplicating their efforts, we refer our under educated and unemployed tenants to these organizations. The biggest challenge is to convince the tenants to take advantage of these programs rather than just look for a handout.

Overall we have done a good job following and meeting the goals of our 5 year plan. Our continued success may be jeopardized by HUD's announced decrease in funding of the Operating Subsidy and failure to appropriate sources of funds for protective services.

Required Attachment L: Police Officers Residing in Public Housing

Smithfield Housing Authority Fiscal Year 2003 Annual Plan

The Smithfield Housing Authority (SHA), with permission from HUD, has taken 3 units, each in a separate development, offline and made them available to house police officers as permitted by CFR 960.505(b). This was done to increase security for the residents living in those developments. The three developments are NC040001 – Woodall Heights area, NC040002 – Edgerton Court, and NC040003 – Wilkins Court area.

Only duly certified police officers living in Johnston County and employed on a full-time basis by a federal, state, or local government or by a private police company licensed by the North Carolina Attorney General are allowed to live in these units. The police officers sign a SHA lease and must abide by the same lease, rules, and regulations as other public housing residents. These officers must provide the SHA four (4) hours of volunteer service per week (patrolling or working at the community center after school program) rather than paying a minimum rent (SHA minimum rent is set at \$0).

If the police officer separates from his employment as a law officer while living in one of these units, the lease will be terminated and the law officer given thirty (30) days to vacate the unit.