

PHA Plans

Streamlined Annual Version

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

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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937 that introduced 5-year and annual PHA Plans. The full PHA plan provides a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form allows eligible PHAs to make a streamlined annual Plan submission to HUD consistent with HUD's efforts to provide regulatory relief for certain types of PHAs. Public reporting burden for this information collection is estimated to average 11.7 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Information in PHA plans is publicly available.

Streamlined Annual PHA Plan

for Fiscal Year: 2004

PHA Name: Smithfield Housing Authority
Smithfield, North Carolina

NOTE: This PHA Plan template (HUD-50075-SA) is to be completed in accordance with instructions contained in previous Notices PIH 99-33 (HA), 99-51 (HA), 2000-22 (HA), 2000-36 (HA), 2000-43 (HA), 2001-4 (HA), 2001-26 (HA), 2003-7 (HA), and any related notices HUD may subsequently issue.

Streamlined Annual PHA Plan Agency Identification

PHA Name: Smithfield Housing Authority

PHA Number: NC040

PHA Fiscal Year Beginning: (mm/yyyy) 07/2004

PHA Programs Administered:

- Public Housing and Section 8**
 Section 8 Only
 Public Housing Only
 Number of public housing units:
 Number of S8 units:
 Number of public housing units:
 Number of S8 units:

PHA Consortia: (check box if submitting a joint PHA Plan and complete table)

Participating PHAs	PHA Code	Program(s) Included in the Consortium	Programs Not in the Consortium	# of Units Each Program
Participating PHA 1:				
Participating PHA 2:				
Participating PHA 3:				

PHA Plan Contact Information:

Name: Warren Grimes Phone: 919-934-9491
 TDD: Email (if available): shagrimes@nc.rr.com

Public Access to Information

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

- PHA's main administrative office
 PHA's development management offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plan revised policies or program changes (including attachments) are available for public review and inspection.
 Yes
 No.

If yes, 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)

Streamlined Annual PHA Plan
Fiscal Year 2004
[24 CFR Part 903.12(c)]

Table of Contents
[24 CFR 903.7(r)]

Provide a table of contents for the Plan, including applicable additional requirements, and a list of supporting documents available for public inspection.

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<input type="checkbox"/> 1. Site-Based Waiting List Policies 903.7(b)(2) Policies on Eligibility, Selection, and Admissions	
<input checked="" type="checkbox"/> 2. Capital Improvement Needs 903.7(g) Statement of Capital Improvements Needed	6
<input type="checkbox"/> 3. Section 8(y) Homeownership 903.7(k)(1)(i) Statement of Homeownership Programs	
<input type="checkbox"/> 4. Project-Based Voucher Programs	
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B. SEPARATE HARD COPY SUBMISSIONS TO LOCAL HUD FIELD OFFICE	
<input checked="" type="checkbox"/> Form HUD-50076, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Streamlined Annual Plan</i> identifying policies or programs the PHA has revised since submission of its last Annual Plan, and including Civil Rights certifications and assurances the changed policies were presented to the Resident Advisory Board for review and comment, approved by the PHA governing board, and made available for review and inspection at the PHA's principal office;	

For PHAs Applying for Formula Capital Fund Program (CFP) Grants:

- Form HUD-50070, *Certification for a Drug-Free Workplace;***
- Form HUD-50071, *Certification of Payments to Influence Federal Transactions;*** and
- Form SF-LLL &SF-LLL, *Disclosure of Lobbying Activities.***

Attachments

Attachment **A**: Changes to ACOP Sections

Attachment **B**: Comments Received from Resident Advisory Board

Attachment **C**: Police Officers Residing in Public Housing

Attachment **D**: Statement of Progress on 5 Year Plan

1. Site-Based Waiting Lists (Eligibility, Selection, Admissions Policies)

[24 CFR Part 903.12(c), 903.7(b)(2)]

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

A. Site-Based Waiting Lists-Previous Year

1. Has the PHA operated one or more site-based waiting lists in the previous year? If yes, complete the following table; if not skip to B. **NO**

Site-Based Waiting Lists				
Development Information: (Name, number, location)	Date Initiated	Initial mix of Racial, Ethnic or Disability Demographics	Current mix of Racial, Ethnic or Disability Demographics since Initiation of SBWL	Percent change between initial and current mix of Racial, Ethnic, or Disability demographics

2. What is the number of site based waiting list developments to which families may apply at one time?
3. How many unit offers may an applicant turn down before being removed from the site-based waiting list?
4. Yes No: Is the PHA the subject of any pending fair housing complaint by HUD or any court order or settlement agreement? If yes, describe the order, agreement or complaint and describe how use of a site-based waiting list will not violate or be inconsistent with the order, agreement or complaint below:

B. Site-Based Waiting Lists – Coming Year

If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to next component. **NO**

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

2. Capital Improvement Needs

[24 CFR Part 903.12 (c), 903.7 (g)]

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

A. Capital Fund Program

1. Yes No Does the PHA plan to participate in the Capital Fund Program in the upcoming year? If yes, complete items 7 and 8 of this template (Capital Fund Program tables). If no, skip to B.
2. Yes No: Does the PHA propose to use any portion of its CFP funds to repay debt incurred to finance capital improvements? If so, the PHA must identify in its annual and 5-year capital plans the development(s) where such improvements will be made and show both how the proceeds of the financing will be used and the amount of the annual payments required to service the debt. (Note that separate HUD approval is required for such financing activities.).

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

Applicability: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

1. Yes No: Has the PHA received a HOPE VI revitalization grant? (if no, skip to #3; if yes, provide responses to the items on the chart located on the next page, copying and completing as many times as necessary).
2. Status of HOPE VI revitalization grant(s):

HOPE VI Revitalization Grant Status

a. Development Name:

b. Development Number:

c. Status of Grant:

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

3. Yes No: Does the PHA expect to apply for a HOPE VI Revitalization grant in the Plan year?
If yes, list development name(s) below:

4. Yes No: Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year? If yes, list developments or activities below:

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

3. Section 8 Tenant Based Assistance--Section 8(y) Homeownership Program

(if applicable) [24 CFR Part 903.12(c), 903.7(k)(1)(i)]

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 the next component; if “yes”, complete each program description below (copy and complete questions for each program identified.)

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, what is the maximum number of participants this fiscal year?

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:

c. What actions will the PHA undertake to implement the program this year (list)?

3. 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 downpayment requirement of at least 3 percent of purchase price and requiring that at least 1 percent of the purchase price 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.
- Partnering with a qualified agency or agencies to administer the program (list name(s) and years of experience below):
- Demonstrating that it has other relevant experience (list experience below):

4. Use of the Project-Based Voucher Program

Intent to Use Project-Based Assistance

Yes No: Does the PHA plan to "project-base" any tenant-based Section 8 vouchers in the coming year? If the answer is "no," go to the next component. If yes, answer the following questions.

1. Yes No: Are there circumstances indicating that the project basing of the units, rather than tenant-basing of the same amount of assistance is an appropriate option? If yes, check which circumstances apply:

- low utilization rate for vouchers due to lack of suitable rental units
- access to neighborhoods outside of high poverty areas
- other (describe below):

2. Indicate the number of units and general location of units (e.g. eligible census tracts or smaller areas within eligible census tracts):

5. PHA Statement of Consistency with the Consolidated Plan

[24 CFR Part 903.15]

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary) only if the PHA has provided a certification listing program or policy changes from its last Annual Plan submission.

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 on its waiting lists 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)
 - **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. 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.**

6. Supporting Documents Available for Review for Streamlined Annual PHA Plans

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	<i>PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans;</i>	5 Year and Annual Plans
X	<i>PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Streamlined Annual Plan</i>	Streamlined Annual Plans
N/A	<i>Certification by State or Local Official of PHA Plan Consistency with Consolidated Plan.</i>	5 Year and standard 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 for families on the PHA’s public housing and Section 8 tenant-based waiting lists.	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] and the Site-Based Waiting List Procedure.	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Deconcentration Income Analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Any policy governing occupancy of Police Officers and Over-Income Tenants 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
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 at 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 (if included in plan, not necessary as a supporting document) and written analysis of Section 8 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 Public Housing Assessment System (PHAS) Assessment (or other applicable 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
N/A	Any policies governing any Section 8 special housing types	Annual Plan: Operations and

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
	<input type="checkbox"/> Check here if included in Section 8 Administrative Plan	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
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 Capital Fund/Comprehensive Grant Program Annual Statement /Performance and Evaluation Report for any active grant year.	Annual Plan: Capital Needs
N/A	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants.	Annual Plan: Capital Needs
N/A	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans, or any other approved proposal for development of public housing.	Annual Plan: Capital Needs
X	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing Section 504 of the Rehabilitation Act and the Americans with Disabilities Act. See PIH Notice 99-52 (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
X	Documentation for required Initial Assessment and any additional information required by HUD for Voluntary Conversion.	Annual Plan: Voluntary Conversion of Public Housing
N/A	Approved or submitted public housing homeownership programs/plans.	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program (Section _____ of the Section 8 Administrative Plan)	Annual Plan: Homeownership
X	Public Housing Community Service Policy/Programs <input checked="" type="checkbox"/> Check here if included in Public Housing A & O Policy	Annual Plan: Community Service & Self-Sufficiency
X	Cooperative 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 for public housing.	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 for public housing.	Annual Plan: Community Service & Self-Sufficiency
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Pet Policy
X	The results of the most recent fiscal year audit of the PHA conducted under the Single Audit Act as implemented by OMB Circular A-133, the results of that audit and the PHA's response to any findings.	Annual Plan: Annual Audit
N/A	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)
N/A	Consortium agreement(s) and for Consortium Joint PHA Plans <u>Only</u> : Certification that consortium agreement is in compliance with 24 CFR Part 943 pursuant to an opinion of counsel on file and available for inspection.	Joint Annual PHA Plan for Consortia: Agency Identification and Annual Management and Operations

7. Capital Fund Program Annual Statement/Performance and Evaluation Report and Replacement Housing Factor

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary					
PHA Name: Smithfield Housing Authority		Grant Type and Number Capital Fund Program Grant No: NC19P04050104 Replacement Housing Factor Grant No:			Federal FY of Grant: 2004
<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	24,000			
10	1460 Dwelling Structures	285,529			
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling 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 Collaterization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	334,529			
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				

7. Capital Fund Program Annual Statement/Performance and Evaluation Report and Replacement Housing Factor

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Smithfield Housing Authority			Grant Type and Number Capital Fund Program Grant No: NC19P04050104 Replacement Housing Factor Grant No:			Federal FY of Grant: 2004		
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 (Continue re-mod)	DWELLING STRUCTURES	1460	36 Units	210,529				
	Replace doors and windows							
	Replace heating system							
	Upgrade plumbing and electrical							
	Add central air conditioning							
	Install grab bars and handrails							
	Cover exterior wood construction and overhangs with vinyl							
	Provide storage sheds							
	SITE IMPROVEMENT	1450		5,000				
	Add parking spaces							
NC040-001 Brooklyn Cr	DWELLING STRUCTURES	1460	25 Units	75,000				
	Add central air							
	SITE IMPROVEMENT	1450	12 Units	15,000				
	Add concrete driveways							
	Add parking 2 spaces at office							
NC040-001 Woodall Heights	SITE IMPROVEMENT	1450		4,000				
	Tile drainage ditch on MLK							

7. Capital Fund Program Annual Statement/Performance and Evaluation Report and Replacement Housing Factor

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part III: Implementation Schedule							
PHA Name: Smithfield Housing Authority		Grant Type and Number Capital Fund Program No: NC19P04050104 Replacement Housing Factor No:				Federal FY of Grant: 2004	
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 Ct	6/30/06			6/30/08			
NC040-001, Brooklyn Cr	6/30/06			6/30/08			
NC040-001, Woodall Heights	6/30/06			6/30/08			

7. Capital Fund Program Annual Statement/Performance and Evaluation Report and Replacement Housing Factor

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary						
PHA Name: Smithfield Housing Authority		Grant Type and Number Capital Fund Program Grant No: NC19P04050103 Replacement Housing Factor Grant No:			Federal FY of Grant: <div style="text-align: center; font-weight: bold;">2003</div>	
<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: 12/31/03 <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		22,000	0	
8	1440 Site Acquisition					
9	1450 Site Improvement					
10	1460 Dwelling Structures	253,938		0	0	
11	1465.1 Dwelling Equipment—Nonexpendable					
12	1470 Nondwelling Structures					
13	1475 Nondwelling 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)	278,938		22,000	0	
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					

7. Capital Fund Program Annual Statement/Performance and Evaluation Report and Replacement Housing Factor

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

PHA Name: 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		22,000	0	Design phase
NC040-002 Edgerton Court	DWELLING STRUCTURES:	1460	36 Units	208,938		0	0	
	Replace 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	15 Units	45,000		0	0	
	Add Central Air							

7. Capital Fund Program Annual Statement/Performance and Evaluation Report and Replacement Housing Factor

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary						
PHA Name: Smithfield Housing Authority		Grant Type and Number Capital Fund Program Grant No: NC19P04050102 Replacement Housing Factor Grant No:			Federal FY of Grant: <div style="text-align: center; font-weight: bold;">2002</div>	
<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: 12/31/03 <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	25,800	25,800.00	21,300.00	
8	1440 Site Acquisition					
9	1450 Site Improvement					
10	1460 Dwelling Structures	314,015	313,215	118,998.44	66,998.44	
11	1465.1 Dwelling Equipment—Nonexpendable					
12	1470 Nondwelling Structures					
13	1475 Nondwelling 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)	339,015	339,015	144,798.44	88,298.44	
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					

7. Capital Fund Program Annual Statement/Performance and Evaluation Report and Replacement Housing Factor

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

Part II: Supporting Pages

PHA Name: 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	24,000	24,000.00	19,500.00	
	DWELLING STRUCTURES:	1460	36 Units	263,306.44	194,216.56	-0-	-0-	
	Replace 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	FEES & COSTS	1430		0	1,800	1,800	1,800	Completed
	DWELLING STRUCTURES	1460	16 Units	0	59,326.88	59,326.88	7,326.88	
	Replace floor tiles							Completed
	Central Air – 25 Units							AC in process
NC040-003 Wilkins Court	DWELLING STRUCTURES	1460	22 Units	50,708.56	59,671.56	59,671.56	59,671.56	Completed
	Replace kitchen cabinets							
	GRAND TOTAL			339,015.00	339,015.00	144,798.44	88,298.44	

7. Capital Fund Program Annual Statement/Performance and Evaluation Report and Replacement Housing Factor

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part III: Implementation Schedule							
PHA Name: 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		9/30/02	
NC040-001, Woodall Heights	6/30/04			6/30/06			

8. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan					
Part I: Summary					
PHA Name Smithfield Housing Authority				<input type="checkbox"/> Original 5-Year Plan <input checked="" type="checkbox"/> Revision No: 1	
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2	Work Statement for Year 3	Work Statement for Year 4	Work Statement for Year 5
		FFY Grant: 2005 PHA FY: 7/1/05	FFY Grant: 2006 PHA FY: 7/1/06	FFY Grant: 2007 PHA FY: 7/1/07	FFY Grant: 2008 PHA FY: 7/1/08
NC040-002 Edgerton Ct	Annual Statement	297,529			
NC040-001 Brooklyn Circle		37,000			
NC040-003A Wilkins Ct. – 16 units			334,529	165,000	
NC040-003 Marrow Ct. – 16 units				169,529	334,529
CFP Funds Listed for 5-year planning		334,529	334,529	334,529	334,529
Replacement Housing Factor Funds					

8. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan					
Part II: Supporting Pages—Work Activities					
Activities for Year : 4 FFY Grant: 2007 PHA FY: 7/1/07			Activities for Year: 5 FFY Grant: 2008 PHA FY: 7/1/08		
Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
NC040-003A Wilkins Ct.	Replace & add:	165,000	NC040-003B Marrow Ct.	Replace & add:	334,529
(Continue re-mod)	Heating system		(Continue re-mod)	Exterior doors	
	Add central air			Security storm doors	
	Exterior doors			Kitchen cabinets	
	Security storm doors			Heating system	
	Dryer connections			Add central air	
	Replace floor tile			Replace floor tile	
	Wood baseboard			Closet doors	
	Cover exterior wood with vinyl			Cover exterior wood with vinyl	
	Re-landscape			Dryer connections	
				Grab bars, handrails	
NC040-003B Marrow Ct. – 16 Units	Replace & add:	169,529		Storage sheds – 12 units	
(Begin re-mod)	Exterior doors			Replace floor tile	
	Security storm doors			Wood baseboard	
	Kitchen cabinets				
	Heating system				
	Add central air				
	Closet doors				
	Dryer connections				
	Grab bars & handrails				
	Replace floor tile				
	Wood baseboard				
	Cover exterior wood with vinyl				
Total CFP Estimated Cost		\$334,529			\$334,529

Attachment A

CHANGES TO ACOP SECTIONS

13.8 *PAYING RENT*

Rent and other charges are due and payable in advance on or before the first calendar day of the month. All rents should be paid at **801 South Fifth Street, Smithfield, NC**. Reasonable accommodations for this requirement will be made for persons with disabilities. ~~As a safety measure, no cash shall be accepted as a rent payment.~~ As a general rule and safety measure, cash amounts exceeding \$25 will not be accepted as a payment on a resident's account. When cash in the cash drawer reaches \$50 aggregate the cash will be moved to the safe until the bank deposit is prepared.

If rent is not paid on or before the tenth day of each month a penalty of \$5.00 will be charged. If rent is still not paid by the fifteenth of the month an additional \$5.00 will be charged and an additional \$5.00 will be charged if rent is still not paid by the twentieth day of the month. An extension of the rental due date may be granted by Smithfield Housing Authority, if Tenant applies on or before the tenth day of the month in which payment is due, showing good cause why it is necessary to pay rent late. This extension of the rent due date shall be in writing, signed by Management and Tenant, setting forth the extended due date and the reason therefore. Should Tenant fail to pay rent on the extended due date, all late charges that have been waived will be assessed against Tenant. This extension is a privilege, not a right, and shall be used sparingly by Management. If rent is paid by a personal check and the check is returned for insufficient funds, this shall be considered a non-payment of rent and will incur the late charges plus an additional charge of \$10 for processing costs.

19.0 **REPAYMENT AGREEMENTS**

~~When retroactive charges are placed on a resident's account for that resident's failure to report their total family income in a timely manner, the Smithfield Housing Authority will not enter into a Repayment Agreement. Payment of retroactive charges are to be paid within thirty (30) days of notification of retroactive charges.~~

When a resident owes the Smithfield Housing Authority back charges in excess of \$100 and is unable to pay the balance by the due date, the resident may request that the Smithfield Housing Authority allow them to enter into a Repayment Agreement. The Smithfield Housing Authority has the sole discretion of whether to accept such an agreement. All Repayment Agreements must assure that the full payment is made within a period not to exceed nine (9) months. All Repayment Agreements must be in writing and signed by both parties. Failure to comply with the Repayment Agreement terms may subject the Resident to eviction procedures.

Attachment B

Comments Received from Resident Advisory Board

The Resident Advisory Board discussed the 2003 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 proposed modernization items, especially the addition of air conditioning. They continued to support the Authority appropriating monies from the CFP funds each year over the next two years to add air conditioning to the 58 remaining units in development NC040001 that had previously been modernized with central heat but no A/C.

The RAB also studied the proposed changes to Sections 13.8 and 19 of the Authority's ACOP Policy. They approved of the changes and thanked the HA for instituting measures to help the residents.

Authority's Response to Advisory Board Comments

The Authority agreed with the Advisory Board to continue adding air conditioning to the previously modernized units. Air conditioning will make the units more attractive to perspective applicants especially in the competitive voucher market. The Authority plans to appropriate between \$25,000 & \$30,000 each year over the next two years to add A/C to those units as per our architect's cost estimate.

Since the RAB was in favor of the ACOP changes, the Executive Director will present the ACOP changes to the Board for approval at its March meeting with an effective date of July 1, 2004.

Attachment C

Police Officers Residing in Public Housing

Smithfield Housing Authority Fiscal Year 2004 Annual Plan

The Smithfield Housing Authority (SHA), with permission from HUD, has taken 2 units, each in a separate development, off line 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 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.

Attachment D

STATEMENT OF PROGRESS ON 5 YEAR PLAN

Our 5 year plan adopted the mission statement “to ensure safe, decent and affordable housing; create opportunities for resident’s 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 remaining 2002 & 2003 CFP funds into one modernization project and begin modernization efforts in our Edgerton Court (NC040002) development during 2004. We plan to add new heating systems with A/C, new energy efficient windows, new kitchen cabinets, and storage sheds to these units. The project is currently being advertised and bids are scheduled to be opened March 10, 2004.

3. Provide an improved living environment by assuring income mixing and maintaining security measures.
 - a. The income mix at all of our sites is within HUD established parameters; however the overall income of our 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. We proposed to contract with the Town for ½ an officer’s annual salary with the Town assuming the other half. Since the Town had their own budget problems, they could not provide half of an officer’s salary. We are currently contracting with off-duty Town police officers 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.