

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: 2007

PHA Name: Smithfield Housing Authority

NC040

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 Fiscal Year Beginning: 07/2007

PHA Number: NC040

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: **205**
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: 919-934-9491 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 2007
[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.

A. PHA PLAN COMPONENTS

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903.7(b)(2) Policies on Eligibility, Selection, and Admissions

2. Capital Improvement Needs **5**

903.7(g) Statement of Capital Improvements Needed

3. Section 8(y) Homeownership

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4. Project-Based Voucher Programs

5. PHA Statement of Consistency with Consolidated Plan. Complete only if PHA has changed any policies, programs, or plan components from its last Annual Plan.

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B. SEPARATE HARD COPY SUBMISSIONS TO LOCAL HUD FIELD OFFICE

Form HUD-50076, *PHA Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Streamlined Annual Plan* 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-LLLa, *Disclosure of Lobbying Activities.*

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:

<input type="checkbox"/> Revitalization Plan under development
<input type="checkbox"/> Revitalization Plan submitted, pending approval
<input type="checkbox"/> Revitalization Plan approved
<input type="checkbox"/> 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: (provide name here) **North Carolina Consolidated Plan**
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)
 1. 40% of all new admissions will be extremely low income families with household incomes 30% or lower of the median income
 2. Employ effective maintenance and management policies to minimize the number of public housing units off-line
 3. Maintain acceptable turnover time for vacated units
 - Other: (list below)
3. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

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
	<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 type="checkbox"/> Check here if included in the public housing A&O Policy.	Annual Plan: Eligibility, Selection, and Admissions Policies
	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
	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
X	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary)	Annual Plan: Operations and Maintenance and Community Service & Self-Sufficiency
	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
	Any 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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
X	Public housing grievance procedures <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
	Section 8 informal review and hearing procedures. <input 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
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants.	Annual Plan: Capital Needs
	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
	Approved or submitted applications for demolition and/or disposition of public housing.	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans).	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act, 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
	Approved or submitted public housing homeownership programs/plans.	Annual Plan: Homeownership
	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
	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
	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
	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
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)
	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: NC19P04050107 Replacement Housing Factor Grant No:			Federal FY of Grant: 2007
<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	25,000			
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	225,597			
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)	275,597			
22	Amount of line 21 Related to LBP Activities	0			
23	Amount of line 21 Related to Section 504 compliance	0			
24	Amount of line 21 Related to Security – Soft Costs	0			
25	Amount of Line 21 Related to Security – Hard Costs	0			
26	Amount of line 21 Related to Energy Conservation Measures	0			

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: NC19P04050107 Replacement Housing Factor Grant No:			Federal FY of Grant: 2007			
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	
	FEE & COSTS	1430		25,000				
NC040-004 Forbes Manor (Continue Re-mod)	DWELLING STRUCTURES	1460	32 Units	225,597				
	Vinyl siding & window shutters							
	Add storage sheds							
	Dryer connections							
	Central heat & A/C							
	Upgrade plumbing & electrical							
	New light fixtures							
	Replace kitchen cabinets & counters							
	Replace vinyl floors							
	Solid wood interior doors							
	Storm security doors							
	Re-pave parking areas							
	Landscaping							
	Privacy trees along railroad track							
	OPERATING BUDGET	1406		25,000				
	GRAND TOTAL			275,597				

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: NC19P04050107 Replacement Housing Factor No:				Federal FY of Grant: 2007
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	
NC040-004, Forbes Manor	8/18/09			8/18/11			

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: NC19P04050106 Replacement Housing Factor Grant No:			Federal FY of Grant: 2006
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no: <u>1</u>) <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	25,000	25,000	0	0
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	25,000	25,000	12,025	5,500
8	1440 Site Acquisition				
9	1450 Site Improvement	10,000	20,000	0	0
10	1460 Dwelling Structures	215,597	203,597	0	0
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures	0	2,000	0	0
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)	275,597	275,597	12,025	5,500
22	Amount of line 21 Related to LBP Activities	0	0		
23	Amount of line 21 Related to Section 504 compliance	0	0		
24	Amount of line 21 Related to Security – Soft Costs	0	0		
25	Amount of Line 21 Related to Security – Hard Costs	15,000	15,000		
26	Amount of line 21 Related to Energy Conservation Measures	0			

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: NC19P04050106 Replacement Housing Factor Grant No:			Federal FY of Grant: 2006			
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	
	FEE & COSTS	1430		25,000	25,000	12,025	5,500	
NC040-002 Edgerton Court (Continue re-mod)	DWELLING STRUCTURES	1460	11 Units	136,000	136,000	0	0	
	Replace doors & windows							
	Replace heating system							
	Add Central A/C							
	Upgrade plumbing & electrical							
	Install grab bars & handrails							
	Upgrade bathroom sink & tub							
	Add washer/dryer area							
	Vinyl siding & window shutters							
	Replace vinyl floors							
	NON-DWELLING STRUCTURE			2,000	2,000	0	0	
	Vinyl trim on community center							
NC040-001 Brooklyn Circle	DWELLING STRUCTURES			0	2,500	0	0	
	Complete replace roofing shingles							
NC040-003 Wilkins Court	DWELLING STRUCTURES	1460		20,000	25,500	0	0	
	Storm security doors							

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

	Security window screens							
	SITE IMPROVEMENT	1450		0	20,000	0	0	
	Landscaping							
	Re-pave parking lots							
NC040-004 Forbes Manor (Begin Re-mod)	DWELLING STRUCTURES	1460		57,597	39,0597	0	0	
	Vinyl siding & window shutters							
	Add storage sheds							
	Dryer connections							
	Central heat & A/C							
	Upgrade plumbing & electrical							
	New light fixtures							
	Replace kitchen cabinets & counters							
	Replace vinyl floors							
	Solid wood interior doors							
	Storm security doors							
	Re-pave parking areas							
	Landscaping							
	OPERATING BUDGET	1406		25,000	25,000	0	0	
	GRAND TOTAL			275,597	275,597	12,025	5,500	

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: NC19P04050106 Replacement Housing Factor No:				Federal FY of Grant: 2006
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	8/18/08			8/18/10			
NC040-003, Wilkins Ct	8/18/08			8/18/10			

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: NC19P04050105 Replacement Housing Factor Grant No:			Federal FY of Grant: 2005
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no: <u>1</u>) <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	15,000	15,000	15,000	15,000
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	22,000	22,000	22,000	11,370
8	1440 Site Acquisition				
9	1450 Site Improvement	15,000	20,000	0	0
10	1460 Dwelling Structures	209,561	239,000	0	0
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures	50,000	15,561	0	0
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)	311,561	311,561	37,000	26,370
22	Amount of line 21 Related to LBP Activities	0	0		
23	Amount of line 21 Related to Section 504 compliance	0	0		
24	Amount of line 21 Related to Security – Soft Costs	0	0		
25	Amount of Line 21 Related to Security – Hard Costs	0	0		
26	Amount of line 21 Related to Energy Conservation Measures	25,000	25,000		

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: NC19P04050105 Replacement Housing Factor Grant No:				Federal FY of Grant: 2005		
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	
	FEE & COSTS	1430		22,000	22,000	22,000	11,370	
NC040-002 Edgerton Court (Continue re-mod)	DWELLING STRUCTURES	1460	11 Units	209,561	239,000	0	0	
	Replace doors & windows							
	Replace heating system							
	Add Central A/C							
	Upgrade plumbing & electrical							
	Install grab bars & handrails							
	Upgrade bathroom sink & tub							
	Add washer/dryer area							
	Vinyl siding & window shutters							
	Replace vinyl floors							
	SITE IMPROVEMENT	1450		15,000	20,000	0	0	
	Re-landscape whole development							
NC040 Community Bldg	NON DWELLING STRUCTURES	1470		50,000	15,561	0	0	
	Convert for maintenance storage							
	OPERATING BUDGET	1406		15,000	15,000	15,000	15,000	
	GRAND TOTAL			311,561	311,561	37,000	26,370	

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: NC19P04050105 Replacement Housing Factor No:				Federal FY of Grant: 2005
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	8/18/07			8/18/09			
NC040-001, Brooklyn Cr	8/18/07			8/18/09			

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 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: 12/31/2006 <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	19,500		19,500.00	19,500.00
8	1440 Site Acquisition				
9	1450 Site Improvement	12,200		12,200.00	12,200.00
10	1460 Dwelling Structures	291,336		284,462.44	284,462.44
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)	323,036		316,162.44	316,162.44
22	Amount of line 21 Related to LBP Activities	0			
23	Amount of line 21 Related to Section 504 compliance	0			
24	Amount of line 21 Related to Security – Soft Costs	0			
25	Amount of Line 21 Related to Security – Hard Costs	51,000		51,000	51,000
26	Amount of line 21 Related to Energy Conservation Measures	81,000		81,000	81,000

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	
	FEE & COSTS	1430		19,500		19,500.00	19,500.00	Complete
NC040-002 Edgerton Court (Continue re-mod)	DWELLING STRUCTURES	1460	36 Units	155,527.44		155,527.44	155,527.44	Completed 1 st Phase
	Replace doors and windows							
	Replace heating system							
	Upgrade plumbing & electrical							
	Add central A/C							
	Install grab bars and handrails							
	Cover exterior wood construction and overhangs with vinyl							
	Add washer & dryer area							
	SITE IMPROVEMENT	1450		3,600		3,600.00	3,600.00	Complete
	Add parking spaces							
NC040-001 Brooklyn Cr	DWELLING STRUCTURES	1460		112,308.56	110,108.56	103,235.00	103,235.00	
	Add central air		38 Units					Complete
	Replace roofing shingles		2 Bldgs					
	SITE IMPROVEMENT		12 Units	8,600		8,600.00	8,600.00	Complete
	Add concrete driveways							
	Add 2 parking spaces at office							
NC040-003 Wilkins Court								

8. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan					
Part I: Summary					
PHA Name Smithfield Housing Authority				<input checked="" type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:	
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: 2008 PHA FY: 7/1/09	FFY Grant: 2009 PHA FY: 7/1/10	FFY Grant: 2010 PHA FY: 7/1/11	FFY Grant: 2011 PHA FY: 7/1/12
	Annual Statement				
NC040-004 Forbes Manor – 32 Units		275,597			
NC040-003 Marrow Court – 16 Units			275,597		
NC040-003 Wilkins Court – 22 Units				275,597	125,597
NC040-001 Woodall Heights – 62 Units Brooklyn Circle – 38 Units					50,000
CFP Funds Listed for 5-year planning		275,597	275,597	275,597	275,597
Replacement Housing Factor Funds					

Attachment A

Police Officers Residing in Public Housing

Smithfield Housing Authority Fiscal Year 2007 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 two developments are NC040001 – Woodall Heights, 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 \$50).

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 B

STATEMENT OF PROGRESS ON 5 YEAR PLAN

Our 5 year plan adopted the mission statement: “Smithfield Housing Authority is committed to enhancing the quality of life for those we serve by offering affordable housing opportunities in well maintained positive neighborhoods and practicing sound property management.”

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 reducing public housing vacancies.
 - a. We work hard to reduce the time between move outs and having a unit ready to re-rent. We have experienced a high turnover rate for the past year due to stricter lease enforcement and residents receiving a tenant based voucher from the County HAPP program. We often had 5 vacancies at once. To help in these situations, we signed an indefinite quantity contract with a local janitorial company to clean and paint vacated units as needed. We maintain a sufficient waiting list such that the units are rented quickly after they are ready. Our average lease-up time was 5 days. We consistently maintain a 97% to 98% leased up rate.
2. Improve the quality of assisted housing by improving housing management, increasing customer satisfaction, improving specific management functions 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 strive to relate to potential and current residents as customers by communicating in a supportive and respectful manor.
 - c. As mentioned above, we have improved on our lease enforcement over the past year by being firmer on rent and excess utility collections, enforcement of litter control, and tighter enforcement of unauthorized household members. These actions have led to a higher than normal turnover rate but we are hopeful that as the neighborhood environment improves, the turnover rate will decrease.
 - d. We continue to use the declining CFP funds we receive each year to do major modernization on our developments. As funds permit, we add new heating systems with A/C, new energy efficient windows, new kitchen cabinets, new tile floor, dryer hookups, and storage sheds to our units.
3. Provide an improved living environment by implementing measures to deconcentrate poverty by bringing in higher income households, maintain security, and try to establish a day care center in one of our developments.
 - 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 Housing Authority has recently entered into an agreement with the Town to assign a police officer to the Authority for a minimum of 25 hours per week. This agreement is contingent upon the Authority having funds available each year. We were unable to have such an agreement last year due to budget limitations. We have also taken two units off-line as police units in an effort to have more police presence in our developments. We hope that HUD will provide a new source of protective service funds to small HA's to insure that we can continue our police agreement with the Town each year.

- 4. Promote self-sufficiency and asset development 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. We have established a close working relationship with our local Community Action agency. This agency has individual case management programs to provide clients with education and job skills. The biggest challenge is to convince the tenants to take advantage of these programs rather than just look for a handout.
 - b. We provide a local job sheet at the main office and a public computer terminal where residents can search the NC Employment Security web site for local jobs.

Overall we have made progress meeting the goals of our 5 year plan. Our continued success may be jeopardized by HUD's continued deep pro-ration in funding of the Operating Subsidy, the continued decrease of Capital Funds and failure to appropriate sources of funds for protective services.

Attachment C

STATEMENT OF AUTHORITY'S COMPLIANCE WITH VAWA

The Smithfield Housing Authority recognizes its responsibility to comply with the guidelines as printed in the March 16, 2007 Federal Register and titled "The Violence Against Women and Department of Justice Reauthorization Act of 2005. We are taking steps to implement changes in the Authority's Admissions and Continued Occupancy Policy and its Lease adapting the suggested guidelines. The Authority recently worked with a consultant to review and update its ACOP and Lease. A rough draft of the changes has been received and is being reviewed for any final changes before submitting to the residents for a 30-day comment period. The rough draft changes are listed below:

ACOP Section Changes

Chapter 2 - Eligibility for Admission

"In determining the criminal background for admission, the SHA will not deny the family if the member is a "victim" of domestic violence as stated and protected under the Violence Against Women Act."

Chapter 19 - Eviction Policy & Procedures Section

"G. TERMINATIONS PROTECTED BY VAWA Criminal Activity directly relating to domestic violence, dating or stalking engaged in by a member of a tenant's household or any guest or other person under the tenant's control shall not be cause for termination of the tenancy or occupancy rights, if the tenant or an immediate member of the tenant's family is the victim or threatened victim of that domestic violence, or stalking. The SHA may bifurcate the lease to terminate assistance to remove a lawful occupant or tenant who engages in criminal acts of violence to a family member or others without terminating assistance/evicting victimized lawful occupants."

Lease Change

Public Housing Lease Provision – VAWA Smithfield Housing Authority (SHA)

Sec. ____ Domestic Violence, Dating Violence, Stalking. The following provisions are applicable to situations involving incidents involving actual or threatened domestic violence, dating violence, or stalking, as those terms are defined in Section 6(u)(3) of the United States Housing Act of 1937, as amended, (42 U.S.C. §1437d(u)(3)) and in SHA's Violence Against Women Act (VAWA) Policy. To the extent any provision of this section shall vary from or contradict any other provision of this lease, the provisions of this section shall prevail.

A. Termination of tenancy.

1. An incident or incidents of actual or threatened domestic violence, dating violence, or stalking shall not constitute a serious or repeated violation of the lease by the victim of such violence; and
2. Criminal activity directly relating to domestic violence, dating violence or stalking, engaged in by a member of the tenant's household, a guest, or other person under the tenant's control, shall not be cause for termination of tenancy or occupancy rights, if the Tenant or any member of the Tenant's family is a victim of that domestic violence, dating violence, or stalking.
3. Notwithstanding anything to the contrary contained in paragraphs A.1. and A.2. above, SHA may terminate Tenant's tenancy under this lease if it can demonstrate an actual and imminent threat to other tenants or to those employed at or providing service to the development in which the unit is located, if the tenant's tenancy is not terminated.
4. Further, nothing in this section shall prohibit SHA from terminating tenancy under this lease based on a violation of this lease not premised on an act or acts of domestic violence, dating violence, or stalking against the tenant or a member of the tenant's household for which protection against termination of tenancy is given in paragraphs A.1. and A.2. above. However, in taking any such action to terminate tenancy, SHA shall not apply a more demanding standard to you than to other tenants.

B. Bifurcation of Lease. Under the authority provided in Section 6(l)(6)(B) of the United States Housing Act of 1937, as amended (42 U.S.C. §1437d(1)(6)(B)), SHA may bifurcate this lease in order to evict, remove, or terminate assistance to any individual who is a Tenant or a lawful occupant under this lease and who engages in criminal acts of physical violence against family members or others. SHA may take such action without evicting, removing, terminating assistance to, or otherwise penalizing a victim of such violence who is the Tenant or a lawful occupant under this lease. Such eviction or removal of occupancy rights shall be effected in accordance with procedures prescribed by Federal, State and local law.

C. Certification. If the Tenant or a lawful occupant, as a defense to termination of tenancy or an action to evict, claims protection under this section against such action, SHA may (but is not required to) request the individual to deliver to SHA a certification. The certification may be delivered in one of the following forms:

1. A HUD-approved form (supplied by SHA) attesting that the individual is a victim of domestic violence, dating violence, or stalking and that the incident or incidents in question are bona fide incidents of such actual or threatened abuse and meet the requirements of this section, or

2. Documentation signed by an employee, agent or volunteer of a victim service provider, an attorney, or a medical professional, from whom the victim has sought assistance in addressing domestic violence, dating violence, or stalking or the effects of the abuse, in which the professional attests under penalty of perjury to the professional's belief that the incident or incidents in question are bona fide incidents of abuse, and the victim has signed or attested to the documentation, or
3. A federal, State, tribal, or local police report or court record, describing the incident or incidents in question.

The certification must be delivered to SHA within 14 days after the request for certification is received from SHA. If the certification is not delivered to SHA within the 14-day period allowed, the provisions of this section will not apply and SHA may elect to terminate tenancy and evict without regard to the protections provided in this section.

D. Confidentiality. Information provided to SHA concerning an incident or incidents of domestic violence, dating violence, or stalking shall be retained by SHA in confidence and disclosed only as permitted by applicable law.

E. Definitions. For the purposes of this Section and this lease, the following definitions apply:

1. *Domestic Violence* – The term ‘domestic violence’ includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabiting with or has cohabited with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction.”
2. *Dating Violence* –The term ‘dating violence’ means violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim; and where the existence of such a relationship shall be determined based on a consideration of the following factors:
 - (i) The length of the relationship.
 - (ii) The type of relationship.
 - (iii) The frequency of interaction between the persons involved in the relationship.”
3. *Stalking* is defined as following, pursuing, or repeatedly committing acts with the intent to kill, injure, harass, or intimidate another person; or placing under surveillance with the intent to kill, injure, harass or intimidate another person; and in the course of, or as a result of, such following, pursuit, surveillance or

repeatedly committed acts, to place a person in reasonable fear of the death of, or serious bodily injury to, or to cause substantial emotional harm to:

- (i) that person;
- (ii) a member of the immediate family of that person; or
- (iii) the spouse or intimate partner of that person.”

4. *Immediate Family Member*, with respect to a person is identified as a spouse, parent, brother, sister, or child of that person, or an individual to whom that person stands in loco parentis; or any other person living in the household of that person and related to that person by blood or marriage.”

Attachment D

STATEMENT OF PLANNED POLICY REVIEWS & UPDATING

The Smithfield Housing Authority has recently retained the services of a consultant to review and update its Admissions and Continued Occupancy Policy and its Lease. It is the Authority's intent to have the consultant also review other critical Authority policies and update them as needed to reflect current HUD regulations and daily operating procedures. Where policies are updated that effect residents, notice will be given to the residents and a 30-day period will be open to receive any resident comments concerning the policy changes. All comments will be considered before submitting the policies to the Board for approval.