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| <b>PHA 5-Year and Annual Plan</b> | U.S. Department of Housing and Urban Development<br>Office of Public and Indian Housing | OMB No. 2577-0226<br>Expires 4/30/2011 |
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**1.0 PHA Information**  
 PHA Name: Housing & Redevelopment Authority of Duluth, MN PHA Code: MN003  
 PHA Type:  Small  High Performing  Standard  
 HCV (Section 8)  
 PHA Fiscal Year Beginning: (MM/YYYY): 10/01/2010

**2.0 Inventory** (based on ACC units at time of FY beginning in 1.0 above)  
 Number of PH units: 1,131 Number of HCV units: 1,466

**3.0 Submission Type**  
 5-Year and Annual Plan  Annual Plan Only  5-Year Plan Only

**4.0 PHA Consortia** *N/A*  PHA Consortia: (Check box if submitting a joint Plan and complete table below.)

| Participating PHAs | PHA Code | Program(s) Included in the Consortia | Programs Not in the Consortia | No. of Units in Each Program |     |
|--------------------|----------|--------------------------------------|-------------------------------|------------------------------|-----|
|                    |          |                                      |                               | PH                           | HCV |
| PHA 1:             |          |                                      |                               |                              |     |
| PHA 2:             |          |                                      |                               |                              |     |
| PHA 3:             |          |                                      |                               |                              |     |

**5.0 5-Year Plan.** Complete items 5.1 and 5.2 only at 5-Year Plan update.

**5.1 Mission.** State the PHA’s Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA’s jurisdiction for the next five years:  
*The Duluth HRA’s mission remains as follows:*

*“The Housing and Redevelopment Authority (HRA) of Duluth will strive to ensure that decent, safe, and affordable housing conditions are available to all resident of the community. The HRA will work to achieve excellence in the property we own and manage, and the programs and services we provide. Through the efforts of its Board, staff and clients, the HRA will take pride in being among the best and highest performing housing agencies in the Nation.”.*

**5.2 Goals and Objectives.** Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. **Goals for Fiscal Years 2010-2014:**

*The HRA will increase the availability of decent, safe and affordable housing by applying for additional rental vouchers and public housing development funding should such funding become available and in adequate amounts; will continue to sustain a public housing occupancy rate of at least 97%; will continue to sustain a full Section 8 Voucher utilization rate; will sustain its Public Housing High Performer status under PHAS; will sustain its Section 8 HCV High Performer status under SEMAP; will take an estimated 100 Section 8 HCV applications per month; will take an estimated 80 public housing applications per month; will efficiently and effectively fill an estimated 290 public housing unit turnovers each year, with households on the public housing waiting list; will efficiently and effectively issue an estimated 300 Housing Choice Voucher turnovers each year to households on the Section 8 waiting list; will complete Phase IV of construction at its HOPE VI revitalization site (Harbor Highlands) which will add 38 rental units, including 15 public housing units, in the 2010 fiscal year and will embark on the planned, final two final phases of mixed income homeownership housing in subsequent fiscal years in the five year period (adding a total of 104 mixed income units), the timing and completion of which will be subject to sufficient program income generation (through loan repayments) and other funding, along with improved market conditions; will complete the acquisition or construction of additional scattered site public housing properties if adequate HUD Replacement Housing Funds are made available through the Capital Fund Program; will continue to participate in the HRA/Duluth Building & Construction Trades Council Step-Up Apprenticeship Program to provide contractors a vehicle for meeting their Section 3 requirements and to provide employment and training opportunities for low and moderate income households; will continue to apply for available HOME funds from the City of Duluth to provide tenant-based rental assistance for homeless households; will continue to apply for HUD ROSS Program funds and Self-Sufficiency Coordinator funding as available; and will continue to provide adequate monitoring and oversight of its property management contract with Bowman Companies for management of the HRA's three HOPE VI mixed-income developments (Harbor Highlands, The Village at Matterhorn, and Village Place). The HRA may also consider assuming the property management functions at the Harbor Highlands development during this five year period.*

**Progress made on goals from previous 5 Year Plan:**

*Reduced public housing vacancies by obtaining and sustaining a public housing occupancy rate of at least 97% and in calendar year 2009, achieved an exceptional occupancy rate of a 98.7%; expended all HOPE VI grant funds with the Sept. 30, 2008 deadline, which included the completion and occupancy of Phases I, II, and III on the revitalized site (which also included the construction of both a child care center and a community center) and the construction of two mixed income multi-family housing developments at two different off-site locations, all for a grand total of 278 mixed income rental units, 89 of which are public housing units; acquired and/or constructed six replacement scattered site public housing units; regained and sustained its public housing High Performer status under PHAS; sustained its Section 8 Housing Choice Voucher High Performer status under SEMAP; successfully transitioned to the new HUD public housing asset management model of operations; increased the number of project-based Section 8 vouchers to 78, to assist non-profits partners/owners of supportive housing; reopened the Section 8 Homeownership Program; and continued to annually apply for, and receive, HOME funds from the City of Duluth for tenant-based rental assistance for homeless households. The HRA also fully implemented the requirements of the Violence Against Women Act in all required areas.*

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| 6.0 | <p><b>PHA Plan Update</b></p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: <i>Modified both the Section 8 Administrative Plan and the Public Housing Admissions and Continued Occupancy Policy to allow for a public housing resident to receive a preference to be issued a Section 8 Housing Choice Voucher when necessary to adequately address a reasonable accommodation need. Also amended the public housing leases of all six high rises to incorporate smoke-free housing designations for these properties effective May 1, 1010 for King Manor, Grandview Manor, Midtowne Manor I and Midtowne Manor II, and effective May 1, 2011 for TriTowers and Ramsey Manor.</i></p> <p>(b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. <i>The HRA’s Administrative Office at 222 East Second Street, Duluth, MN 55805 and at all the AMP Offices. These locations are AMP 1: 1502 East First Street, Duluth, MN 55812; AMP 2: 301 East Second Street, Duluth, MN 55805; AMP 3: 222 N. 2<sup>nd</sup> Avenue East, Duluth, MN 55805; and AMP 4: 2021 West Second Street, Duluth, MN 55806.</i></p>  |
| 7.0 | <p><b>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers.</b><br/> <i>Include statements related to these programs as applicable.</i></p> <p><i>Construction on Phase IV of Harbor Highlands (the development on our HOPE VI revitalized site) commenced in March of the current Plan Year and is expected to be in the marketing and occupancy stages during the upcoming Plan Year. When completed by next Spring, Phase IV will provide an additional 38 rental units (15 public housing units, 15 tax credit units, and 8 market rent units.) HOPE VI Homeownership development is currently on hold until market conditions improve and additional program income (through repayments) is available. Consequently, no HOPE VI Homeownership development is expected to occur during the upcoming Plan Year. In addition, no disposition or demolitions of public housing properties are expected for the upcoming Plan Year. The HRA does anticipate developing two scattered site public housing units during the current Plan Year by the acquisition development method, to be funded by CF/Replacement Housing Fund – consequently we expect the units to become occupied by the upcoming Plan Year and become a part of the operating budget for AMP 1. Additional scattered-site public housing development by the acquisition development method is possible during the upcoming Plan Year if sufficient, additional CF/Replacement Housing Funds are received. No conversions of any Public Housing will be undertaken. The HRA will continue to offer its Section 8 Homeownership Program at the levels indicated in the 2008 Agency Plan – no changes anticipated (i.e., 10 participant maximum) but the HRA will consider an increase if warranted by homebuyer demand and adequacy of Section 8 Voucher funding. The HRA also anticipates no changes in its Project-based Section 8 program from its current level of 78 (16 were added in the current Plan Year from the previous level of 62). Any further increases will be dependent upon a number of factors, including the needs of the existing tenant based Section 8 Housing Choice Voucher program waiting list and demand. Generally, requests for project-based vouchers stem from needs of supportive-type housing being developed or preserved for special populations. All applicable HUD regulations at 24 CFR 983 will be followed if any solicitations for proposals are sought.</i></p> |
| 8.0 | <p><b>Capital Improvements.</b> Please complete Parts 8.1 through 8.3, as applicable.</p>   |

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| 8.1 | <p><b>Capital Fund Program Annual Statement/Performance and Evaluation Report.</b> As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i>, form HUD-50075.1, for each current and open CFP grant and CFFP financing. <i>See attachment.</i></p>   |
| 8.2 | <p><b>Capital Fund Program Five-Year Action Plan.</b> As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i>, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. <i>See attachment.</i></p>   |
| 8.3 | <p><b>Capital Fund Financing Program (CFFP).</b><br/> <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements. <i>N/A</i></p>   |
| 9.0 | <p><b>Housing Needs.</b> Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. <i>According to information in the City of Duluth Consolidated Plan, nearly 41% of all renter households are experiencing housing problems (approximately 5,000 out of 11,960), and the majority of such households' incomes are under 80% of area media income. The percentage of households experiencing housing problems increases as household income decreases, and is at nearly three out of every four very-low income renters (those households whose incomes are under 30% of area median income). In addition, roughly 39% of renters households (4,630) are cost burdened and 19% (4,630) are severely cost burdened. Again, the lower the income category of the household, the greater the cost burden is. In like manner, the majority of households on the HRA's Section 8 and Public Housing waiting lists are also very low income (i.e. income below 30% of area median). The households on these waiting lists also represent a variety of populations, including elderly households, disabled (physical or mental) households, families with children, families with disabled children) and other individuals and families in need of decent, safe and affordable housing. Through anticipated turnover for both programs, the HRA expects to serve an additional 590 new households on the waiting lists in the Plan Year, the vast majority of which will be very low income (under 30% of median area income). The HRA also provides rental assistance to other special populations through programs such as Shelter Plus Care and the HOME-funded tenant-based rental assistance program for homeless households.</i></p> |
| 9.1 | <p><b>Strategy for Addressing Housing Needs.</b> Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. <b>Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</b><br/> <i>See Section 5.2 and 7.0, above.</i></p>   |

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| <b>10.</b> | <p><b>Additional Information.</b> Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA’s progress in meeting the mission and goals described in the 5-Year Plan. <i>See Section 5.2, above.</i></p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification” <i>The Duluth HRA defines a significant amendment and Substantial Deviation/Modification both as changes of a substantial and significant nature to its Section 8 or Public Housing Programs that would also require Board approval.</i></p> |
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| <b>11.</b> | <p><b>Required Submission for HUD Field Office Review.</b> In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. <b>Note:</b> Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p> |
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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, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide 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 is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 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 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. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

## Instructions form HUD-50075

**Applicability.** This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

### 1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

### 2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

### 3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

### 4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

### 5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

**5.1 Mission.** A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

**5.2 Goals and Objectives.** Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

**6.0 PHA Plan Update.** In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

#### PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.
3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.
4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.
5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.
6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: **1)** development name and number; **2)** designation type; **3)** application status; **4)** date the designation was approved, submitted, or planned for submission, and; **5)** the number of units affected.
7. **Community Service and Self-Sufficiency.** A description of: **(1)** Any programs relating to services and amenities provided or offered to assisted families; **(2)** Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; **(3)** How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. **(Note: applies to only public housing).**
8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.
10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.
11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.
12. **Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.
13. **Violence Against Women Act (VAWA).** A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

**7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers**

- (a) **Hope VI or Mixed Finance Modernization or Development.** 1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: [http://www.hud.gov/offices/pih/centers/sac/demo\\_dispo/index.cfm](http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm)  
**Note:** This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed.
- (c) **Conversion of Public Housing.** With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or

that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>

- (d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

**8.0 Capital Improvements.** This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

**8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report.** PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

- 1. At the end of the program year; until the program is completed or all funds are expended;
- 2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
- 3. Upon completion or termination of the activities funded in a specific capital fund program year.

**8.2 Capital Fund Program Five-Year Action Plan**

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

**8.3 Capital Fund Financing Program (CFFP).** Separate, written HUD approval is required if the PHA proposes to pledge any

portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

**9.0 Housing Needs.** Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

**9.1 Strategy for Addressing Housing Needs.** Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

**10.0 Additional Information.** Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)**

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. **(Note: Standard and Troubled PHAs complete annually).**

**11.0 Required Submission for HUD Field Office Review.** In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.

**Capital Fund Program—Five-Year Action Plan**

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
Expires 4/30/20011

**Part I: Summary**

| PHA Name/Number: Housing & Redevelopment Authority |                                    | Locality : Duluth, MN              |                                    |                                    | <input checked="" type="checkbox"/> Original 5-Year Plan |                | <input type="checkbox"/> Revision No: |  |
|--|------------------------------------|------------------------------------|------------------------------------|------------------------------------|--|----------------|---------------------------------------|--|
| Development Number and Name                        | Work Statement for Year 1 FFY 2010 | Work Statement for Year 2 FFY 2011 | Work Statement for Year 3 FFY 2012 | Work Statement for Year 4 FFY 2013 | Work Statement for Year 5 FFY 2014                       |                |                                       |  |
| B. Physical Improvements Subtotal                  | Annual Statement                   | \$1,250,424.00                     | \$1,250,424.00                     | \$1,250,424.00                     | \$1,250,424.00   | \$1,250,424.00 |                                       |  |
| C. Management Improvements                         |                                    | 20,000.00                          | 20,000.00                          | 20,000.00                          | 20,000.00  | 20,000.00      |                                       |  |
| D. PHA-Wide Non-dwelling Structures and Equipment  |                                    |                                    |                                    |                                    |  |                |                                       |  |
| E. Administration                                  |                                    | 178,803.00                         | 178,803.00                         | 178,803.00                         | 178,803.00   | 178,803.00     |                                       |  |
| F. Other A&E                                       |                                    | 160,000.00                         | 160,000.00                         | 160,000.00                         | 160,000.00   | 160,000.00     |                                       |  |
| G. Operations                                      |                                    | 178,803.00                         | 178,803.00                         | 178,803.00                         | 178,803.00   | 178,803.00     |                                       |  |
| H. Demolition                                      |                                    |                                    |                                    |                                    |  |                |                                       |  |
| I. Development                                     |                                    |                                    |                                    |                                    |  |                |                                       |  |
| J. Capital Fund Financing – Debt Service           |                                    |                                    |                                    |                                    |  |                |                                       |  |
| K. Total CFP Funds                                 |                                    | \$1,788,030.00                     | \$1,788,030.00                     | \$1,788,030.00                     | \$1,788,030.00   | \$1,788,030.00 |                                       |  |
| L. Total Non-CFP Funds                             |                                    | 0                                  | 0                                  | 0                                  | 0  | 0              |                                       |  |
| M. Grand Total                                     |                                    | \$1,788,030.00                     | \$1,788,030.00                     | \$1,788,030.00                     | \$1,788,030.00   | \$1,788,030.00 |                                       |  |





|   |  |  |                             |   |                          |
|---|--|--|-----------------------------|---|--------------------------|
| <b>PHA Name:</b><br>Housing & Redevelopment<br>Authority of Duluth, Minnesota   |  | <b>Grant Type and Number</b><br>Capital Fund Program Grant No. MN46P00350110 |                             | <b>FY of Grant: 2010</b><br>FY of Grant Approval: |                          |
| <b>Type of Grant</b><br><input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies<br><input type="checkbox"/> Performance and Evaluation Report for Period Ending: |  |  |                             |   |                          |
| <b>Revised Annual Statement</b><br><input type="checkbox"/> Final Performance and Evaluation Report   |  |  |                             |   |                          |
| <b>Line</b>   | <b>Summary by Development Account</b>                                    | <b>Original</b>  | <b>Total Estimated Cost</b> | <b>Obligated</b>                                  | <b>Total Actual Cost</b> |
| 1   | Total non-CFP Funds  |  |                             |   | Expended                 |
| 2   | 1406 Operations (may not exceed 20% of line 21) <sup>3</sup>             | \$ 178,803.00  |                             |   |                          |
| 3   | 1408 Management Improvements   | \$ 20,000.00   |                             |   |                          |
| 4   | 1410 Administration (may not exceed 10% of line 21)                      | \$ 178,803.00  |                             |   |                          |
| 5   | 1411 Audit   |  |                             |   |                          |
| 6   | 1415 Liquidated Damages  |  |                             |   |                          |
| 7   | 1430 Fees and Costs  |  |                             |   |                          |
| 8   | 1440 Site Acquisition  | \$ 125,000.00  |                             |   |                          |
| 9   | 1450 Site Improvement  |  |                             |   |                          |
| 10  | 1460 Dwelling Structures   |  |                             |   |                          |
| 11  | 1465.1 Dwelling Equipment—Nonexpendable                                  | \$ 1,285,848.00  |                             |   |                          |
| 12  | 1470 Non-dwelling Structures   |  |                             |   |                          |
| 13  | 1475 Non-dwelling Equipment  |  |                             |   |                          |
| 14  | 1485 Demolition  |  |                             |   |                          |
| 15  | 1492 Moving to Work Demonstration  |  |                             |   |                          |
| 16  | 1495.1 Relocation Costs  |  |                             |   |                          |
| 17  | 1499 Development Activities <sup>4</sup>                                 |  |                             |   |                          |
| 18a   | 1501 Collateralization or Debt Service paid by the PHA                   |  |                             |   |                          |
| 18ba  | 9000 Collateralization or Debt Service paid Via System of Direct Payment |  |                             |   |                          |
| 19  | 1502 Contingency (may not exceed 8% of line 20)                          |  |                             |   |                          |
| 20  | Amount of Annual Grant: (sum of lines 2 - 19)                            | \$ 1,788,030.00  |                             |   |                          |
| 21  | Amount of line 20 Related to LBP Activities                              |  |                             |   |                          |
| 22  | Amount of line 20 Related to Section 504 Activities                      |  |                             |   |                          |
| 23  | Amount of line 20 Related to Security - Soft Costs                       |  |                             |   |                          |
| 24  | Amount of line 20 Related to Security - Hard Costs                       |  |                             |   |                          |
| 25  | Amount of line 20 Related to Energy Conservation Measures                |  |                             |   |                          |
| Signature of Executive Director    |  | Date   | 10/14/10                    | Signature of Public Housing Director              |                          |
|   |  | Date   |                             |   |                          |

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

| Part II: Supporting Pages   |   | Grant Type and Number   |          | Federal FY of Grant: 2010 |                   | Status of Work                  |                                |
|---|---|---|----------|---------------------------|-------------------|---------------------------------|--------------------------------|
| PHA Name: Housing & Redevelopment Authority of<br>Duluth, Minnesota                       |   | Capital Fund Program Grant No: MN46P00350110<br>CFPP (Yes/ No):<br>Replacement Housing Factor Grant No: |          |                           |                   |                                 |                                |
| Development Number<br>Name/PHA-Wide<br>Activities   | General Description of Major Work<br>Categories   | Development<br>Account No.  | Quantity | Total Estimated Cost      | Total Actual Cost | Funds<br>Obligated <sup>2</sup> | Funds<br>Expended <sup>2</sup> |
| <b>AMP 1 Scattered Sites</b>  |   |   |          |                           |                   |                                 |                                |
| AMP 1   | Operations  | 1406  | Lump sum | 163,803.00                |                   |                                 |                                |
| AMP 1   | Management Improvements                           | 1408  | Lump sum | 5,000.00                  |                   |                                 |                                |
| AMP 1   | Administration fee to COCC                        | 1410  | Lump sum | 50,065.00                 |                   |                                 |                                |
| AMP 1   | Architect/Engineer fees                           | 1430  | Lump sum | 40,000.00                 |                   |                                 |                                |
| AMP 1   | Repair/Replace Leaking foundations                | 1460  | 6 Units  | \$170,000.00              |                   |                                 |                                |
| <b>AMP 2 - 248 Hi-rise<br/>Units:<br/>Grandview Manor<br/>Ramsey Manor<br/>King Manor</b> |   |   |          |                           |                   |                                 |                                |
| AMP 2   | Operations  | 1406  |          | 5,000.00                  |                   |                                 |                                |
| AMP 2   | Management Improvements                           | 1408  |          | 5,000.00                  |                   |                                 |                                |
| AMP 2   | Administration fee to COCC                        | 1410  |          | 42,376.00                 |                   |                                 |                                |
| AMP 2   | Architect/Engineer fees                           | 1430  | Lump sum | 25,000.00                 |                   |                                 |                                |
| AMP 2   | Replace Storage room concrete roof-<br>King Manor | 1460  | Lump sum | 85,000.00                 |                   |                                 |                                |
| AMP 2   |   |   |          |                           |                   |                                 |                                |

<sup>1</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

<sup>2</sup> To be completed for the Performance and Evaluation Report.

**Part II: Supporting Pages**

PHA Name: HRA of Duluth, Minnesota  
 222 E. 2nd St., PO Box 16900  
 Duluth MN 55816

**Grant Type and Number**  
 Capital Fund Program Grant No: MN46F00350110  
 CFFP (Yes/No):  
 Replacement Housing Factor Grant No:

**Federal FFY of Grant: 2010**

| Development Number<br>Name/PHA-Wide<br>Activities                 | General Description of Major Work<br>Categories       | Development<br>Account No. | Quantity  | Total Estimated Cost |                      | Total Actual Cost               |                                | Status of Work |
|---|---|----------------------------|-----------|----------------------|----------------------|---------------------------------|--------------------------------|----------------|
|   |   |                            |           | Original             | Revised <sup>1</sup> | Funds<br>Obligated <sup>2</sup> | Funds<br>Expended <sup>2</sup> |                |
| <b>AMP 3 289 Hi-rise<br/>units:<br/>Tri-Towers</b>                |   |                            |           |                      |                      |                                 |                                |                |
| AMP 3   | Operations  | 1406                       | Lump sum  | 5,000.00             |                      |                                 |                                |                |
| AMP 3   | Management Improvements                               | 1408                       | Lump sum  | 5,000.00             |                      |                                 |                                |                |
| AMP 3   | Administration Fee                                    | 1410                       | Lump sum  | 49,529.00            |                      |                                 |                                |                |
|   |   |                            |           |                      |                      |                                 |                                |                |
|   |   |                            |           |                      |                      |                                 |                                |                |
|   |   |                            |           |                      |                      |                                 |                                |                |
|   |   |                            |           |                      |                      |                                 |                                |                |
|   |   |                            |           |                      |                      |                                 |                                |                |
| <b>AMP 4 215 Hi-rise<br/>Units:Midtowne<br/>Manors I &amp; II</b> |   |                            |           |                      |                      |                                 |                                |                |
| AMP 4   | Operations  | 1406                       | Lump sum  | 5,000.00             |                      |                                 |                                |                |
| AMP 4   | Management Improvements                               | 1408                       | Lump sum  | 5,000.00             |                      |                                 |                                |                |
| AMP 4   | Administration Fee                                    | 1410                       | Lump sum  | 36,833.00            |                      |                                 |                                |                |
| AMP 4   | Architect/Engineer Fees                               | 1430                       | Lump sum  | 95,000.00            |                      |                                 |                                |                |
| AMP 4   | Replace Brick on one elevation -<br>Midtowne Manor II | 1460                       | Lump sum  | 570,000.00           |                      |                                 |                                |                |
| AMP 4   | Replace Apt. & Closet Doors                           | 1460                       | 248 units | 425,424.00           |                      |                                 |                                |                |
|   |   |                            |           |                      |                      |                                 |                                |                |
|   |   |                            |           |                      |                      |                                 |                                |                |
|   |   |                            |           |                      |                      |                                 |                                |                |
|   |   |                            |           |                      |                      |                                 |                                |                |

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011



# Annual Statement/Performance and Evaluation Report

## Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

PHA Name: Housing and Redevelopment Authority of Duluth, Minnesota  
 Grant Type and Number: Capital Fund Program: MN46P00350107  
 Federal FY of Grant: 2007

Original Annual Statement  
 Performance and Evaluation Report for Period Ending: 5/31/10  
 Reserve for Disasters/ Emergencies Revised Annual Statement (revision no)  
 Final Performance and Evaluation Report

| Line No. | Summary by Development Account                            | Rev. #1              | Rev. #2      | Obligated         | Expended     |
|----------|---|----------------------|--------------|-------------------|--------------|
|          |   | Total Estimated Cost |              | Total Actual Cost |              |
| 1        | Total non-CFP Funds MHFA GRANT                            | 0                    | 300,000.00   | 300,000.00        | 270,000.00   |
| 2        | 1406 Operations   | \$157,336.00         | 157,336.00   | 157,336.00        | 157,336.00   |
| 3        | 1408 Management Improvements                              | \$ 5,000.00          | 1,459.22     | 1,459.22          | 1,459.22     |
| 4        | 1410 Administration                                       | \$157,336.00         | 157,336.00   | 157,336.00        | 157,336.00   |
| 5        | 1411 Audit  | 0                    | 0            | 0                 | 0            |
| 6        | 1415 liquidated Damages                                   | 0                    | 0            | 0                 | 0            |
| 7        | 1430 Fees and Costs                                       | \$115,285.00         | 167,351.000  | 167,351.00        | 156,583.44   |
| 8        | 1440 Site Acquisition                                     | 0                    | 0            | 0                 | 0            |
| 9        | 1450 Site Improvement                                     | 170,000.00           | -0-          | 0                 | 0            |
| 10       | 1460 Dwelling Structures                                  | 783,406.00           | 848,911.80   | 848,911.80        | 848,911.80   |
| 11       | 1465.1 Dwelling Equipment—Nonependable                    | 0                    | 0            | 0                 | 0            |
| 12       | 1470 Nondwelling Structures                               | 0                    | 0            | 0                 | 0            |
| 13       | 1475 Nondwelling Equipment                                | \$115,000.00         | 237,690.32   | 237,690.32        | 207,738.14   |
| 14       | 1485 Demolition   | 0                    | 0            | 0                 | 0            |
| 15       | 1490 Replacement Reserve                                  | 0                    | 0            | 0                 | 0            |
| 16       | 1492 Moving to Work Demonstration                         | 0                    | 0            | 0                 | 0            |
| 17       | 1495.1 Relocation Costs                                   | 0                    | 0            | 0                 | 0            |
| 18       | 1498 Mod Used for Development                             | 70,000.00            | 3,278.66     | 3,278.66          | 3,278.66     |
| 19       | 1502 Contingency  | 0                    | 0            | 0                 | 0            |
| 20       | Amount of Annual Grant: (sum of lines 2-19)               | 1,573,363.00         | 1,573,363.00 | 1,573,363.00      | 1,532,643.26 |
| 21       | Amount of line 20 Related to LBP Activities               | 200,000.00           | 101,807.10   | 0                 | 0            |
| 22       | Amount of line 20 Related to Section 504 Compliance       | 0                    | 0            | 0                 | 0            |
| 23       | Amount of line 20 Related to Security                     | 93,406.00            | 56,924.87    | 0                 | 0            |
| 24       | Amount of line 20 Related to Energy Conservation Measures | 0                    | 0            | 0                 | 0            |

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

| Development Number<br>Name/HA-Wide Activities                        | General Description of Major Work Categories     | Dev. Acct No. | Quantity | Total Estimated Cost |            | Total Actual Cost |                | Status of Proposed Work |
|--|--|---------------|----------|----------------------|------------|-------------------|----------------|-------------------------|
|  |  |               |          | Original             | Revised    | Funds Obligated   | Funds Expended |                         |
| Hope VI Activities   | Hope VI Activities – Purchase 631 Swan Lake Road | 1498          | 1        | \$70,000.00          | \$3,278.66 | 3,278.66          | 3,278.66       | Complete                |
| <p align="center">Small PHA Plan Update Page 3<br/>Table Library</p> |  |               |          |                      |            |                   |                |                         |

PHA Name: HRA of Duluth, Minnesota

Grant Type and Number  
 Capital Fund Program MN46P00350107  
 Capital Fund Program  
 Replacement Housing Factor #:

Federal FY of Grant: 2007

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

| Development Number<br>Name/HA-Wide Activities | General Description of Major Work Categories | Dev. Acct No. | Quantity | Total Estimated Cost |             | Total Actual Cost |                | Status of Proposed Work |
|---|--|---------------|----------|----------------------|-------------|-------------------|----------------|-------------------------|
|   |  |               |          | Original             | Revised     | Funds Obligated   | Funds Expended |                         |
| MN. 3-2<br>Grandview Manor                    | Upgrade Public Space Furniture               | 1475          | All      | \$24,552.00          | 21,180.36   | 21,180.36         | 21,180.36      | Complete                |
|   | Upgrade Security System                      | 1460          | All      | \$10,000.00          | 8,747.62    | 8,747.62          | 8,747.62       | Awarded                 |
|   | TOTAL MN. 3-2 Grandview Manor                |               |          | \$34,552.00          | \$29,927.98 | \$29,927.98       | \$29,927.98    |                         |

PHA Name: HRA of Duluth, Minnesota

Grant Type and Number  
 Capital Fund Program MN46P00350107  
 Capital Fund Program  
 Replacement Housing Factor #:

Federal FY of Grant: 2007

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

| Development Number<br>Name/HA-Wide Activities | General Description of Major Work Categories           | Dev. Acct No. | Quantity | Total Estimated Cost |            | Total Actual Cost |   | Status of Proposed Work |
|---|--|---------------|----------|----------------------|------------|-------------------|---|-------------------------|
|   |  |               |          | Original             | Revised    | Funds Obligated   | Funds Expended                              |                         |
| MN. 3-4<br>Midtowne Manor I                   | Replace domestic Hot Water Heater                      | 1460          | 1        | 23,186.29            | 14,738.51  | 14,738.51         | 14,738.51                                   | Complete                |
|   | Public Space Upgrades                                  | 1460          | All      | 100,000.00           | 98,397.50  | 98,397.50         | 98,397.50                                   | Complete                |
|   | Upgrade Elevators MMII (MHFA \$300,000 + CF \$294,800) | 1460          | 2        | 0                    | 594,800.00 | 594,800.00        | 564,800.00                                  | Awarded                 |
|   | Replace Public Space Furniture                         | 1475          | All      | 18,116.80            | 18,116.80  | 18,116.80         | 18,116.80                                   | Complete                |
|   | Upgrade Security Systems                               | 1460          | All      | 19,203.00            | 9,947.25   | 9,947.25          | 9,947.25                                    | Complete                |
|   | Resurface Parking Lot                                  | 1450          | 1        | <u>35,000.00</u>     | <u>-0-</u> | <u>0</u>          | <u>0</u>                                    |                         |
| TOTAL MN. 3-4 Midtowne Manor I                |  |               |          | 195,506.09           | 736,000.06 | 736,000.06        | 270,000.00<br>MHFA<br>436,000.06<br>CAP FND |                         |

PHA Name: HRA of Duluth, Minnesota

Grant Type and Number  
 Capital Fund Program MN46P00350107  
 Capital Fund Program  
 Replacement Housing Factor #:

Federal FY of Grant: 2007

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

| Development Number<br>Name/HA-Wide Activities | General Description of Major Work Categories | Dev. Acct No. | Quantity | Total Estimated Cost |                 | Total Actual Cost |                 | Status of Proposed Work |
|---|--|---------------|----------|----------------------|-----------------|-------------------|-----------------|-------------------------|
|   |  |               |          | Original             | Revised         | Funds Obligated   | Funds Expended  |                         |
| MN. 3-5 Ramsey Manor                          | Upgrade Public Spaces                        | 1460          | All      | \$55,000.00          | 38,973.17       | 38,973.17         | 38,973.17       | Complete                |
|   | Upgrade Public Space Furniture               | 1475          | All      | 20,000.00            | 10,739.00       | 10,739.00         | 10,739.00       | Complete                |
|   | Upgrade Security Systems                     | 1460          | 1        | <u>\$10,000.00</u>   | <u>8,555.00</u> | <u>8,555.00</u>   | <u>8,555.00</u> | Complete                |
|   | TOTAL MN. 3-5 Ramsey Manor                   |               |          | \$85,000.00          | \$58,267.17     | 58,267.17         | 58,267.17       |                         |

PHA Name: HRA of Duluth, Minnesota

Grant Type and Number  
 Capital Fund Program MN46P00350107  
 Capital Fund Program  
 Replacement Housing Factor #:

Federal FY of Grant: 2007

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

**Part II: Supporting Pages**

| Development Number<br>Name/HA-Wide Activities | General Description of Major Work Categories | Dev. Acct No. | Quantity | Total Estimated Cost |                 | Total Actual Cost |                 | Status of Proposed Work |
|---|--|---------------|----------|----------------------|-----------------|-------------------|-----------------|-------------------------|
|   |  |               |          | Original             | Revised         | Funds Obligated   | Funds Expended  |                         |
| MN. 3-6 Tri-Towers                            | Resurface Parking Lot                        | 1450          | 1        | 100,000.00           | -0-             | 0                 | 0               |                         |
|   | Elevator Upgrades (Continued)                | 1460          | 3        | 1,813.71             | 1,813.71        | 1,813.71          | 1,813.71        | Complete                |
|   | Upgrade Security System                      | 1460          | All      | <u>25,000.00</u>     | <u>9,630.00</u> | <u>9,630.00</u>   | <u>9,630.00</u> | Complete                |
|   | TOTAL MN. 3-6 Tri-Towers                     |               |          | 126,813.71           | 11,443.71       | 11,443.71         | 11,443.71       |                         |

PHA Name: HRA of Duluth, Minnesota

Grant Type and Number  
 Capital Fund Program MN46P00350107  
 Capital Fund Program  
 Replacement Housing Factor #:

Federal FY of Grant: 2007

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

PHA Name: HRA of Duluth, Minnesota

Grant Type and Number  
 Capital Fund Program MN46P00350107  
 Capital Fund Program  
 Replacement Housing Factor #:

Federal FY of Grant: 2007

| Development Number/HA-Wide Activities | General Description of Major Work Categories | Dev. Acct No. | Quantity | Total Estimated Cost |                   | Total Actual Cost |                   | Status of Proposed Work |
|---------------------------------------|--|---------------|----------|----------------------|-------------------|-------------------|-------------------|-------------------------|
|                                       |  |               |          | Original             | Revised           | Funds Obligated   | Funds Expended    |                         |
| MN. 3-10 King Manor                   | Upgrade Security Systems                     | 1460          | All      | 10,000.00            | 12,380.00         | 12,380.00         | 12,380.00         | Complete                |
|                                       | Repair Second Street Entry/Skywalk           | 1460          | 1        | <u>24,679.07</u>     | <u>125,326.94</u> | <u>125,326.94</u> | <u>125,326.94</u> | Complete                |
|                                       | TOTAL MN. 3-10 King Manor                    |               |          | 34,679.07            | 137,706.94        | 137,706.94        | 137,706.94        |                         |

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

**Part II: Supporting Pages**

| PHA Name: HRA of Duluth, Minnesota            |   | Grant Type and Number<br>Capital Fund Program MN46P00350107<br>Capital Fund Program |                     | Federal FY of Grant: 2007     |          |                   |                 |                         |
|---|---|---|---------------------|-------------------------------|----------|-------------------|-----------------|-------------------------|
| Development Number<br>Name/HA-Wide Activities | General Description of Major Work Categories      | Dev. Acct No.   | Quantity            | Total Estimated Cost          |          | Total Actual Cost |                 | Status of Proposed Work |
|   |   |   |                     | Replacement Housing Factor #: | Original | Revised           | Funds Obligated |                         |
| MN. 3-11<br>Scattered Sites                   | Hazardous Material Abatement and<br>Modernization | 1460  | To be<br>determined | 100,000.00                    | -0-      | 0                 | 0               | complete                |
|   | TOTAL MN. 3-11 Scattered Sites                    |   |                     | 100,000.00                    | -0-      |                   |                 |                         |

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

| Development Number<br>Name/HA-Wide Activities | General Description of Major Work Categories   | Dev. Acct No. | Quantity         | Total Estimated Cost |                | Total Actual Cost |                 | Status of Proposed Work |
|---|--|---------------|------------------|----------------------|----------------|-------------------|-----------------|-------------------------|
|   |  |               |                  | Original             | Revised        | Funds Obligated   | Funds Expended  |                         |
| MN. 3-12 Scattered Sites                      | Hazardous Material Abatement and Modernization<br>3807 W. 5 <sup>th</sup> Street – Exterior Mod.<br>\$8,400.00 | 1460          | To be Determined | 100,000.00           | 8400.00        | 8,400.00          | 8,400.00        | complete                |
|   | TOTAL MN. 3-12 Scattered Sites   |               |                  | <u>100,000.00</u>    | <u>8400.00</u> | <u>8,400.00</u>   | <u>8,400.00</u> |                         |

PHA Name: HRA of Duluth, Minnesota

Grant Type and Number  
 Capital Fund Program MN46P00350107  
 Capital Fund Program  
 Replacement Housing Factor #:

Federal FY of Grant: 2007

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

| Development Number<br>Name/HA-Wide Activities | General Description of Major Work Categories | Dev. Acct No. | Quantity  | Total Estimated Cost |              | Total Actual Cost |                | Status of Proposed Work     |
|---|--|---------------|-----------|----------------------|--------------|-------------------|----------------|-----------------------------|
|   |  |               |           | Original             | Revised      | Funds Obligated   | Funds Expended |                             |
| MN, 3-14<br>Midtowne Manor II                 | Upgrade Hallways/Public Spaces               | 1460          | 14 floors | 285,320.93           | 15,213.26    | 15,213.26         | 15,213.26      | Complete                    |
|   | Upgrade Public Space Furniture               | 1475          | All       | 27,331.20            | 17,210.38    | 17,210.38         | 17,210.38      | Complete                    |
|   | Upgrade Security Systems                     | 1460          | All       | 19,203.00            | 7,665.00     | 7,665.00          | 7,665.00       | Complete                    |
|   | Resurface Parking Lot                        | 1450          | 1         | <u>35,000.00</u>     | <u>-0-</u>   | <u>0</u>          | <u>0</u>       |                             |
|   | TOTAL MN, 3-14 Midtowne Manor II             |               |           | 366,855.13           | 40,088.64    | 40,088.64         | 40,088.64      |                             |
| MN 3-17<br>Scattered Sites                    | Exterior Upgrades                            | 1460          | 26 units  | -0-                  | \$194,323.84 | \$194,323.84      | \$194,323.84   | Awarded<br>(move from 2008) |

PHA Name: HRA of Duluth, Minnesota

Grant Type and Number  
 Capital Fund Program MN46P00350107  
 Capital Fund Program  
 Replacement Housing Factor #:

Federal FY of Grant: 2007

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

| Development Number<br>Name/HA-Wide Agency Wide Activities | General Description of Major Work Categories   | Dev. Acct No. | Quantity | Total Estimated Cost |            | Total Actual Cost |                | Status of Proposed Work |
|---|--|---------------|----------|----------------------|------------|-------------------|----------------|-------------------------|
|   |  |               |          | Original             | Revised    | Funds Obligated   | Funds Expended |                         |
| MN. ET AL.<br>Agency Wide Activities                      | Operations   | 1406          | All      | 157,336.00           | 157,336.00 | 157,336.00        | 157,336.00     | Complete                |
|   | Management Improvements (Training)   | 1408          | All      | 5,000.00             | 1,459.22   | 1,459.22          | 1,459.22       | complete                |
|   | Administration (Non-Technical Salaries/Fringe Benefits For Administration of this Program)       | 1410          | All      | 157,336.00           | 157,336.00 | 157,336.00        | 157,336.00     | Complete                |
|   | Architectural/Engineering Fees For Work Items Contained in Year 2 Etc of the 5 Year Action Plan) | 1430          | All      | 115,285.00           | 167,351.00 | 167,351.00        | 156,583.44     | Ongoing                 |
|   | 3-4 Elevators \$292,83   |               |          |                      |            |                   |                |                         |
|   | 3-4 Testing for Abatement/Hot Water Heaters \$1,276.00   |               |          |                      |            |                   |                |                         |
|   | 3-5 Testing for Abatement Floor Tile \$888.25  |               |          |                      |            |                   |                |                         |
|   | 3-4 Elevators \$94,392.00  |               |          |                      |            |                   |                |                         |
|   | 3-10 Skywalk \$1,344.75  |               |          |                      |            |                   |                |                         |
|   | 3-14 Elevators \$17,091.17   |               |          |                      |            |                   |                |                         |
|   | Parking Lots 1/3 to each 3-4,3-14,3-6 \$51,946   |               |          |                      |            |                   |                |                         |
|   | Fee for Variance request 3-17 \$120  |               |          |                      |            |                   |                |                         |
|   | Computers  | 1475          | All      | 25,000.00            | 170,443.78 | 170,443.78        | 140,491.60     | Ongoing                 |
|   | TOTAL MN. ET AL Agency Wide  |               |          | \$459,957.00         | 653,926.00 | \$653,926.00      | \$613,206.26   |                         |

PHA Name: HRA of Duluth, Minnesota

Grant Type and Number  
Capital Fund Program MN46P00350107  
Capital Fund Program  
Replacement Housing Factor #:

Federal FY of Grant: 2007



# Annual Statement/Performance and Evaluation Report

## Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

PHA Name: **Housing and Redevelopment Authority of Duluth, Minnesota** Grant Type and Number: **Capital Fund Program: MN46P00350108** Federal FY of Grant: **2008**

Original Annual Statement Performance and Evaluation Report for Period Ending: **5/31/10** X Revised Annual Statement #2

Final Performance and Evaluation Report

| Line No.                                  | Summary by Development Account                            | Original (Rev. #1)   | Revised #2     | Obligated         | Expended        |
|---|---|----------------------|----------------|-------------------|-----------------|
|   |   | Total Estimated Cost |                | Total Actual Cost |                 |
| 1   | Total non-CFP Funds (Sales tax refund & City Grant)       | \$ 63,830.86         | \$ 63,830.86   | \$ 63,830.86      | \$ 16,000.00    |
| 2   | 1406 Operations   | \$ 170,438.00        | 170,438.00     | \$ 170,438.00     | \$ 170,438.00   |
| 3   | 1408 Management Improvements                              | 9,685.00             | 9,685.00       | \$ 9,685.00       | \$ 9,685.00     |
| 4   | 1410 Administration – Fee to COCC                         | 170,438.00           | 170,438.00     | \$ 170,438.00     | \$ 170,438.00   |
| 5   | 1411 Audit  | 0                    |                |                   |                 |
| 6   | 1415 liquidated Damages                                   | 0                    |                |                   |                 |
| 7   | 1430 Fees and Costs                                       | 230,956.82           | 230,956.82     | \$ 230,956.82     | \$ 215,342.87   |
| 8   | 1440 Site Acquisition                                     | 0                    |                |                   |                 |
| 9   | 1450 Site Improvement                                     | -0-                  | 195,193.22     | \$ 195,193.22     |                 |
| 10  | 1460 Dwelling Structures                                  | 1,218,504.00         | 927,668.96     | \$ 927,668.96     | \$ 536,614.51   |
| 11  | 1465.1 Dwelling Equipment—Nonexpendable                   | 0                    |                |                   |                 |
| 12  | 1470 Nondwelling Structures                               | 0                    |                |                   |                 |
| 13  | 1475 Nondwelling Equipment                                | 0q                   |                |                   |                 |
| 14  | 1485 Demolition   | 0                    |                |                   |                 |
| 15  | 1490 Replacement Reserve                                  | 0                    |                |                   |                 |
| 16  | 1492 Moving to Work Demonstration                         | 0                    |                |                   |                 |
| 17  | 1495.1 Relocation Costs                                   | 0                    |                |                   |                 |
| 18  | 1498 Mod Used for Development                             | 0                    |                |                   |                 |
| 19  | 1502 Contingency  | 0                    |                |                   |                 |
| 20  | Amount of Annual Grant: (sum of lines 2-19)               | \$1,704,380.00       | \$1,704,380.00 | \$ 1,704,380.00   | \$ 1,102,518.38 |
| 21  | Amount of line 20 Related to LBP Activities               | 0                    |                |                   |                 |
| 22  | Amount of line 20 Related to Section 504 Compliance       | 0                    |                |                   |                 |
| 23  | Amount of line 20 Related to Security                     | 0                    |                |                   |                 |
| 24  | Amount of line 20 Related to Energy Conservation Measures | 0                    |                |                   |                 |
| Note: TOTAL FUNDS OBLIGATED – Non-CF & CF |   | \$1,768,210.86       | 1,768,210.86   | 1,768,210.86      |                 |

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

**Part II: Supporting Pages**

|   |   |   |          |                           |                   |                               |
|---|---|---|----------|---------------------------|-------------------|-------------------------------|
| PHA Name: HRA of Duluth, Minnesota                  |   | Grant Type and Number<br>Capital Fund Program MN46P00350108 |          | Federal FY of Grant: 2008 |                   |                               |
|   |   | Replacement Housing Factor #:                               |          |                           |                   |                               |
| Development<br>Number<br>Name/HA-Wide<br>Activities | General Description of Major Work<br>Categories | Dev. Acct No.   | Quantity | Total Estimated Cost      |                   | Status of<br>Proposed<br>Work |
|   |   |   |          | Original                  | Revised           |                               |
|   |   |   |          | Funds<br>Obligated        | Funds<br>Expended |                               |



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

| Development Number<br>Name/HA-Wide Activities                            | General Description of Major Work Categories                                   | Grant Type and Number<br>Capital Fund Program MN46P00350108<br>Replacement Housing Factor #: | Dev. Acct No.        | Quantity                         | Total Estimated Cost              |                                   | Total Actual Cost                 |                                   | Status of Proposed Work          |
|--|--|--|----------------------|----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|----------------------------------|
|  |  |  |                      |                                  | Original                          | Revised                           | Funds Obligated                   | Funds Expended                    |                                  |
| AMP 2 – 248 Hi-Rise Units – Grandview Manor, Ramsey manor and King Manor | Operations<br>Management Improvements (Training)<br>Fee to COCC                |  | 1406<br>1408<br>1410 | Lump Sum<br>Lump Sum<br>Lump Sum | 5,000.00<br>2,500.00<br>40,393.80 | 5,000.00<br>2,500.00<br>40,393.80 | 5,000.00<br>2,500.00<br>40,393.80 | 5,000.00<br>2,500.00<br>40,393.80 | Complete<br>Complete<br>Complete |
|  | Replace damaged equip. due to Ramsey Manor Brick project from ARRA 50109 grant |  | 1460                 | Lump Sum                         | 430.42                            | 430.42                            | 430.42                            | 430.42                            | awarded                          |
| <b>TOTALS:</b>   |  |  |                      |                                  |                                   | <b>48,324.22</b>                  |                                   | <b>47,893.80</b>                  |                                  |

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

| Development Number<br>Name/HA-Wide Activities | General Description of Major Work Categories                   | Dev. Acct No. | Quantity             | Total Estimated Cost |                          | Total Actual Cost |                | Status of Proposed Work |
|---|--|---------------|----------------------|----------------------|--------------------------|-------------------|----------------|-------------------------|
|   |  |               |                      | Original             | Revised                  | Funds Obligated   | Funds Expended |                         |
| AMP 3 289 Hi-Rise Units – Tri-Towers          | Operations   | 1406          | Lump Sum             | 50,146.00            | 50,146.00                | 50,146.00         | 50,146.00      | complete                |
|   | Management Improvements (Training)                             | 1408          | Lump Sum             | 2,410.00             | 2,410.00                 | 2,410.00          | 2,410.00       | complete                |
|   | Fee to COCC  | 1410          | Lump Sum             | 47,211.33            | 47,211.33                | 47,211.33         | 47,211.33      | complete                |
|   | Public Space Upgrades (see 50109S – continued from this grant) | 1460          | Lump Sum             | 26,311.19            | 26,311.19                | 26,311.19         | 3,591.77       | awarded                 |
|   | Parking Lot Upgrades   | 1460<br>1450  | Lump Sum<br>Lump Sum | 124,489.90<br>-0-    | -0-<br><b>124,489.90</b> | 124,489.90        |                | awarded                 |
| <b>TOTALS:</b>                                |  |               |                      | <b>250,568.42</b>    | <b>103,359.10</b>        |                   |                |                         |

Grant Type and Number  
Capital Fund Program MN46P00350108  
Replacement Housing Factor #:

Federal FY of Grant: 2008

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

| Development Number<br>Name/HA-Wide Activities      | General Description of Major Work Categories  | Dev. Acct No.                                | Quantity   | Total Estimated Cost          |                               | Total Actual Cost             |  | Status of Proposed Work   |
|--|---|--|--|-------------------------------|-------------------------------|-------------------------------|--|---|
|  |   |  |  | Original                      | Revised                       | Funds Obligated               | Funds Expended   |   |
| PHA Name: HRA of Duluth, Minnesota                 | Grant Type and Number<br>Capital Fund Program MN46P00350108<br>Replacement Housing Factor #:  |  |  |                               |                               |                               |  |   |
| Federal FY of Grant: 2008                          |   |  |  |                               |                               |                               |  |   |
| AMP 4 -215 Hi-Rise Units - Midtowne Manor I and II | Upgrade Elevators Midtowne Manor II<br><br>Upgrade Elevators Midtowne Manor I (final work moved from 2007 budget)<br><br>Parking Lot Upgrades<br><br>Operations<br><br>Management Improvements (Training)<br><br>Fee to COCC<br><br>Architectural/Engineering Fees (3-14 Elevators \$69,129.83)<br>(3-4 Elev. Haz. Sub. Test \$358.29)<br>(3-4 Boiler test study \$435.00)<br>Total Oblg. \$69,923.12 | 1460<br><br>1460                             | 2<br><br>2   | \$497,308.00<br><br>36,327.84 | \$497,308.00<br><br>36,327.84 | \$497,308.00<br><br>36,327.84 | \$358,338.00<br><br>28,324.24  | Awarded<br><br>Awarded  |
|  |   | 1460<br>1450<br>1406<br>1408<br>1410<br>1430 | Lump Sum<br>Lump sum<br>Lump Sum<br>Lump Sum<br>Lump Sum<br>Lump Sum | 70,703.32<br>-0-              | -0-<br>70,703.32              | 70,703.32                     | 50,146.00<br>2,050.00<br>50,146.00<br>2,050.00<br>35,110.23<br>69,923.12 | Awarded<br>Awarded<br>Complete<br>Complete<br>Complete<br>ongoing |
|  |   |  |  |                               | <b>TOTALS:</b>                | <b>\$761,568.51</b>           | <b>\$ 540,442.79</b>   |   |



Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226 Expires 4/30/2011

|  |  |  |                             |   |                                       |
|--|--|--|-----------------------------|---|---------------------------------------|
| <b>PHA Name:</b><br>Housing & Redevelopment<br>Authority of Duluth, Minnesota  |  | <b>Grant Type and Number</b><br>Capital Fund Program Grant No: MN46P00350109 |                             | <b>FFY of Grant: 2009</b><br>FFY of Grant Approval: |                                       |
| Type of Grant: <input checked="" type="checkbox"/> Original Annual Statement and Evaluation Report for Period Ending: 5/31/10 <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement and Evaluation Report |  |  |                             |   |                                       |
| <b>Line</b>  | <b>Summary by Development Account</b>                                    | <b>Original</b>  | <b>Total Estimated Cost</b> | <b>Obligated</b>                                    | <b>Total Actual Cost <sup>1</sup></b> |
| 1  | Total non-CFP Funds  |  |                             |   |                                       |
| 2  | 1406 Operations (may not exceed 20% of line 21) <sup>3</sup>             | \$ 178,855.00  | 178,855.00                  |   |                                       |
| 3  | 1408 Management Improvements   | \$ 20,000.00   | 20,000.00                   |   |                                       |
| 4  | 1410 Administration (may not exceed 10% of line 21)                      | \$ 178,855.00  | 178,855.00                  |   |                                       |
| 5  | 1411 Audit   |  |                             |   |                                       |
| 6  | 1415 Liquidated Damages  |  |                             |   |                                       |
| 7  | 1430 Fees and Costs  | \$ 125,000.00  | 125,000.00                  |   |                                       |
| 8  | 1440 Site Acquisition  |  |                             |   |                                       |
| 9  | 1450 Site Improvement  |  |                             |   |                                       |
| 10   | 1460 Dwelling Structures   | \$ 1,285,848.00  | 1,285,848.00                |   |                                       |
| 11   | 1465.1 Dwelling Equipment—Nonependable                                   |  |                             |   |                                       |
| 12   | 1470 Non-dwelling Structures   |  |                             |   |                                       |
| 13   | 1475 Non-dwelling Equipment  |  |                             |   |                                       |
| 14   | 1485 Demolition  |  |                             |   |                                       |
| 15   | 1492 Moving to Work Demonstration  |  |                             |   |                                       |
| 16   | 1495.1 Relocation Costs  |  |                             |   |                                       |
| 17   | 1499 Development Activities <sup>4</sup>                                 |  |                             |   |                                       |
| 18a  | 1501 Collateralization or Debt Service paid by the PHA                   |  |                             |   |                                       |
| 18ba   | 9000 Collateralization or Debt Service paid Via System of Direct Payment |  |                             |   |                                       |
| 19   | 1502 Contingency (may not exceed 8% of line 20)                          |  |                             |   |                                       |
| 20   | Amount of Annual Grant:: (sum of lines 2 - 19)                           | \$ 1,788,558.00  | 1,788,558.00                |   |                                       |
| 21   | Amount of line 20 Related to LBP Activities                              |  |                             |   |                                       |
| 22   | Amount of line 20 Related to Section 504 Activities                      |  |                             |   |                                       |
| 23   | Amount of line 20 Related to Security - Soft Costs                       |  |                             |   |                                       |
| 24   | Amount of line 20 Related to Security - Hard Costs                       |  |                             |   |                                       |
| 25   | Amount of line 20 Related to Energy Conservation Measures                |  |                             |   |                                       |
| <b>Signature of Executive Director</b>   |  | <b>Date</b>  |                             | <b>Signature of Public Housing Director</b>         |                                       |
|  |  |  |                             |   |                                       |

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

**Part II: Supporting Pages**

| PHA Name: Housing & Redevelopment Authority of Duluth, Minnesota                          |   | Grant Type and Number<br>Capital Fund Program Grant No: MN46P0035109<br>CFFP (Yes/ No):<br>Replacement Housing Factor Grant No: |             | Federal FFY of Grant: 2009       |            | Total Actual Cost               |                                | Status of Work |
|---|---|---|-------------|----------------------------------|------------|---------------------------------|--------------------------------|----------------|
| Development Number<br>Name/PHA-Wide<br>Activities   | General Description of Major Work<br>Categories | Development<br>Account No.  | Quantity    | Total Estimated Cost<br>Original | Revised    | Funds<br>Obligated <sup>2</sup> | Funds<br>Expended <sup>2</sup> |                |
| <b>AMP I Scattered Sites</b>  |   |   |             |                                  |            |                                 |                                |                |
| AMP 1   | Operations                                      | 1406  | Lump sum    | 162,479.00                       | 162,479.00 |                                 |                                |                |
| AMP 1   | Management Improvements                         | 1408  | Lump sum    | 5,000.00                         | 5,000.00   |                                 |                                |                |
| AMP 1   | Administration fee to COCC                      | 1410  | Lump sum    | 50,079.00                        | 50,079.00  |                                 |                                |                |
| AMP 1   | Architect/Engineer Fees                         | 1430  | Lump sum    | -0-                              | 39,000.00  |                                 |                                |                |
| AMP 1   | Foundation Repair/Replace                       | 1460  | 5+ units    | -0-                              | 185,848.00 |                                 |                                |                |
| <b>AMP 2 – 248 Hi-rise<br/>Units:<br/>Grandview Manor<br/>Ramsey Manor<br/>King Manor</b> |   |   |             |                                  |            |                                 |                                |                |
| AMP 2   | Operations                                      | 1406  | Lump sum    | 5,500.00                         | 5,500.00   |                                 |                                |                |
| AMP 2   | Management Improvements                         | 1408  | Lump sum    | 5,000.00                         | 5,000.00   |                                 |                                |                |
| AMP 2   | Administration fee to COCC                      | 1410  | Lump sum    | 42,389.00                        | 42,389.00  |                                 |                                |                |
| AMP 2   | Architect/Engineer Fees                         | 1430  | Lump sum    | 34,000.00                        | 44,000.00  |                                 |                                |                |
| AMP 2   | Replace Fob Entry System                        | 1460  | 3 buildings | 37,500.00                        | 37,500.00  |                                 |                                |                |
| AMP 2   | Replace Emergency Generator-<br>Ramsey Manor    | 1460  | 1 building  | 78,000.00                        | 100,000.00 |                                 |                                |                |
| AMP 2   | Replace Roof – King Manor                       | 1460  | 1 building  | 170,000.00                       | 325,000.00 |                                 |                                |                |
| AMP 2   | Replace Refrigerators & Stoves-<br>Ramsey Manor | 1460  | 102 units   | -0-                              | 95,000.00  |                                 |                                |                |

<sup>1</sup>To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>2</sup>To be completed for the Performance and Evaluation Report.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

**Part II: Supporting Pages**

PHA Name: HRA of Duluth, Minnesota  
 222 E. 2nd St., PO Box 16900  
 Duluth MN 55816

**Grant Type and Number**  
 Capital Fund Program Grant No: MN46P0035109  
 CFFP (Yes/No):  
 Replacement Housing Factor Grant No:

**Federal FFY of Grant: 2009**

| Development Number<br>Name/PHA-Wide<br>Activities                 | General Description of Major Work<br>Categories | Development<br>Account No. | Quantity    | Total Estimated Cost |                      | Total Actual Cost               |                                | Status of Work |
|---|---|----------------------------|-------------|----------------------|----------------------|---------------------------------|--------------------------------|----------------|
|   |   |                            |             | Original             | Revised <sup>1</sup> | Funds<br>Obligated <sup>2</sup> | Funds<br>Expended <sup>2</sup> |                |
| <b>AMP 3 289 Hi-rise<br/>units:</b>                               |   |                            |             |                      |                      |                                 |                                |                |
| <b>Tri-Towers</b>   |   |                            |             |                      |                      |                                 |                                |                |
| AMP 3   | Operations                                      | 1406                       | Lump sum    | 5,438.00             | 5,438.00             |                                 |                                |                |
| AMP 3   | Management Improvement                          | 1408                       | Lump sum    | 5,000.00             | 5,000.00             |                                 |                                |                |
| AMP 3   | Administration Fee                              | 1410                       | Lump sum    | 49,543.00            | 49,543.00            |                                 |                                |                |
| AMP 3   | Architect/Engineer Fees                         | 1430                       | Lump sum    | -0-                  | 39,000.00            |                                 |                                |                |
| AMP 3   | Replace Fob Entry System                        | 1460                       | 1 building  | 12,500.00            | 12,500.00            |                                 |                                |                |
| AMP 3   | Replace Roofs                                   | 1460                       | Lump sum    | -0-                  | 500,000.00           |                                 |                                |                |
| <b>AMP 4 215 Hi-rise<br/>Units:Midtowne<br/>Manors I &amp; II</b> |   |                            |             |                      |                      |                                 |                                |                |
| AMP 4   | Operations                                      | 1406                       | Lump sum    | 5,438.00             | 5,438.00             |                                 |                                |                |
| AMP 4   | Management Improvements                         | 1408                       | Lump sum    | 5,000.00             | 5,000.00             |                                 |                                |                |
| AMP 4   | Administration Fee                              | 1410                       | Lump sum    | 36,844.00            | 36,844.00            |                                 |                                |                |
| AMP 4   | Architect/Engineer Fees                         | 1430                       | Lump sum    | 91,000.00            | 3,000.00             |                                 |                                |                |
| AMP 4   | Replace Apartment Entry & Closet doors          | 1460                       | 215         | 520,000.00           | -0-                  |                                 |                                |                |
| AMP 4   | Upgrade Kitchens                                | 1460                       | 107         | 440,504.00           | -0-                  |                                 |                                |                |
| AMP 4   | Replace Fob Entry System                        | 1460                       | 2 buildings | 27,344.00            | 30,000.00            |                                 |                                |                |
|   |   |                            |             |                      |                      |                                 |                                |                |
|   |   |                            |             |                      |                      |                                 |                                |                |

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 form HUD-50075.1 (4/2008)



Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

|                        |  |  |  |   |  |   |  |
|------------------------|--|--|--|---|--|---|--|
| <b>Part I: Summary</b> |  | <b>PHA Name: Housing and Redevelopment Authority of Duluth, MN</b> |  | <b>Grant Type and Number</b><br>Capital Fund Program Grant No: MN46S00350109S<br>Replacement Housing Factor Grant No:<br>Date of CFFP: March 18, 2009 |  | <b>FY of Grant: 2009</b><br><b>FY of Grant Approval: 2009</b> |  |
|------------------------|--|--|--|---|--|---|--|

| Line | Type of Grant<br><input checked="" type="checkbox"/> Original Annual Statement<br><input type="checkbox"/> Performance and Evaluation Report for Period Ending: 5/31/09 | Reserve for Disasters/Emergencies<br><input type="checkbox"/> Revised Annual Statement (revision no: )<br><input type="checkbox"/> Final Performance and Evaluation Report | Total Estimated Cost |                      | Total Actual Cost <sup>1</sup> |          |
|------|---|--|----------------------|----------------------|--------------------------------|----------|
|      |   |  | Original             | Revised <sup>2</sup> | Obligated                      | Expended |
| 1    | Total non-CFP Funds   |  |                      |                      |                                |          |
| 2    | 1406 Operations (may not exceed 20% of line 21) <sup>3</sup>  |  |                      |                      |                                |          |
| 3    | 1408 Management Improvements  |  |                      |                      |                                |          |
| 4    | 1410 Administration (may not exceed 10% of line 21)   | \$ 200,000.00  |                      |                      |                                |          |
| 5    | 1411 Audit  |  |                      |                      |                                |          |
| 6    | 1415 Liquidated Damages   |  |                      |                      |                                |          |
| 7    | 1430 Fees and Costs   | \$ 149,444.00  | \$165,216.00         | \$165,216.00         | \$102,453.00                   |          |
| 8    | 1440 Site Acquisition   |  |                      |                      |                                |          |
| 9    | 1450 Site Improvement   |  |                      |                      |                                |          |
| 10   | 1460 Dwelling Structures  | \$2,043,144.00   | 2,027,372.00         |                      |                                |          |
| 11   | 1465.1 Dwelling Equipment—Nonexpendable   |  |                      |                      |                                |          |
| 12   | 1470 Non-dwelling Structures  |  |                      |                      |                                |          |
| 13   | 1475 Non-dwelling Equipment   |  |                      |                      |                                |          |
| 14   | 1485 Demolition   |  |                      |                      |                                |          |
| 15   | 1492 Moving to Work Demonstration   |  |                      |                      |                                |          |
| 16   | 1495.1 Relocation Costs   |  |                      |                      |                                |          |
| 17   | 1499 Development Activities <sup>4</sup>  |  |                      |                      |                                |          |

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Housing and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

|                            |   |                             |  |
|----------------------------|---|-----------------------------|--|
| <b>Part I: Summary</b>     |   | FFY of Grant: 2009          |  |
| PHA Name:<br>HRA of Duluth | Grant Type and Number<br>Capital Fund Program Grant No: MN46S00350109<br>Replacement Housing Factor Grant No:<br>Date of CFFP: March 18, 2009 | FFY of Grant Approval: 2009 |  |

|   |  |   |                                      |
|---|--|---|--------------------------------------|
| Type of Grant<br><input checked="" type="checkbox"/> Original Annual Statement<br><input type="checkbox"/> Performance and Evaluation Report for Period Ending: |  | <input type="checkbox"/> Reserve for Disasters/Emergencies<br><input type="checkbox"/> Revised Annual Statement (revision no: )<br><input type="checkbox"/> Final Performance and Evaluation Report |                                      |
| Line  | Summary by Development Account   | Total Estimated Cost  | Total Actual Cost <sup>1</sup>       |
| 18a   | 1501 Collateralization or Debt Service paid by the PHA                   | Original  | Obligated                            |
| 18ba  | 9000 Collateralization or Debt Service paid Via System of Direct Payment |   |                                      |
| 19  | 1502 Contingency (may not exceed 8% of line 20)                          |   |                                      |
| 20  | Amount of Annual Grant: (sum of lines 2 - 19)                            | \$2,392,588.00  |                                      |
| 21  | Amount of line 20 Related to LBP Activities                              |   |                                      |
| 22  | Amount of line 20 Related to Section 504 Activities                      |   |                                      |
| 23  | Amount of line 20 Related to Security - Soft Costs                       |   |                                      |
| 24  | Amount of line 20 Related to Security - Hard Costs                       |   |                                      |
| 25  | Amount of line 20 Related to Energy Conservation Measures                |   |                                      |
| Signature of Executive Director   |  | Date  | Signature of Public Housing Director |
|   |  |   | Date                                 |

<sup>1</sup> To be completed for the Performance and Evaluation Report  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFF Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

**Part II: Supporting Pages**

PHA Name: HRA of Duluth

**Grant Type and Number**  
 Capital Fund Program Grant No: MN46S00350109  
 CFFP (Yes/ No): Yes  
 Replacement Housing Factor Grant No:

**Federal FFY of Grant: 2009**

| Development Number<br>Name/PHA-Wide<br>Activities        | General Description of Major Work<br>Categories              | Development<br>Account No. | Quantity | Total Estimated Cost |                      | Total Actual Cost               |                                | Status of Work |
|--|--|----------------------------|----------|----------------------|----------------------|---------------------------------|--------------------------------|----------------|
|  |  |                            |          | Original             | Revised <sup>1</sup> | Funds<br>Obligated <sup>2</sup> | Funds<br>Expended <sup>2</sup> |                |
| AMP 2<br>King Manor,<br>Grandview Manor,<br>Ramsey Manor | Replace Spalling Brick on Lake<br>Elevations of Ramsey Manor | 1460                       | 1        | \$640,000.00         |                      |                                 |                                |                |
| AMP 2  | A&E fees   | 1430                       | lump sum | \$ 53,056.00         |                      | 53,056.00                       | 39,792.00                      |                |
| AMP 2  | Fee to COCC  | 1410                       | lump sum | \$ 70,000.00         |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
| AMP 3 Tri Towers   | Public Space Upgrades  | 1460                       | all      | \$1,150,000.00       |                      |                                 |                                |                |
| AMP 3  | A&E Fees   | 1430                       | lump sum | \$ 59,444.00         |                      | 59,444.00                       | 46,056.00                      |                |
| AMP 3  | Fees to COCC   | 1410                       | lump sum | \$ 100,000.00        |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |
|  |  |                            |          |                      |                      |                                 |                                |                |

<sup>1</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>2</sup> To be completed for the Performance and Evaluation Report.



Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226 Expires 4/30/2011

|  |  |   |  |   |                  |                                      |
|--|--|---|--|---|------------------|--------------------------------------|
| <b>PHA Name:</b><br>Housing & Redevelopment<br>Authority of Duluth, Minnesota  |  | <b>Grant Type and Number</b><br>Capital Fund Program Grant No: MN00300000409R |  | <b>FFY of Grant: 2009</b><br><b>FFY of Grant Approval: 2009</b> |                  |                                      |
| Type of Grant <input type="checkbox"/> Reserve for Disasters/Emergencies<br><input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 5/31/10 |  |   |  |   |                  |                                      |
| <b>Original Annual Statement</b>   | <b>Revised Annual Statement REV. 1</b>                                   |   | <b>Final Performance and Evaluation Report</b> |   |                  |                                      |
| <input checked="" type="checkbox"/>  | <input type="checkbox"/>   |   | <input type="checkbox"/>                       |   |                  |                                      |
| <b>Line</b>  | <b>Summary by Development Account</b>                                    | <b>Original</b>   | <b>Total Estimated Cost</b>                    | <b>Revised<sup>2</sup> REV. 2</b>                               | <b>Obligated</b> | <b>Total Actual Cost<sup>1</sup></b> |
| 1  | Total non-CFP Funds  |   |  |   |                  |                                      |
| 2  | 1406 Operations (may not exceed 20% of line 21) <sup>3</sup>             | \$  |  |   |                  |                                      |
| 3  | 1408 Management Improvements   |   |  |   |                  |                                      |
| 4  | 1410 Administration (may not exceed 10% of line 21)                      | \$ 79,180.00  |  | \$ 79,180.00  |                  |                                      |
| 5  | 1411 Audit   |   |  |   |                  |                                      |
| 6  | 1415 Liquidated Damages  |   |  |   |                  |                                      |
| 7  | 1430 Fees and Costs  |   |  | \$ 5,000.00   | 1,218.75         | 1,218.75                             |
| 8  | 1440 Site Acquisition  |   |  |   |                  |                                      |
| 9  | 1450 Site Improvement  | -0-   |  | 71,517.75   |                  | 71,517.75                            |
| 10   | 1460 Dwelling Structures   | \$780,398.00  |  | \$778,626.25  | \$730,577.00     | \$316,679.22                         |
| 11   | 1465.1 Dwelling Equipment—Nonexpendable                                  |   |  |   |                  |                                      |
| 12   | 1470 Non-dwelling Structures   |   |  |   |                  |                                      |
| 13   | 1475 Non-dwelling Equipment  |   |  |   |                  |                                      |
| 14   | 1485 Demolition  |   |  |   |                  |                                      |
| 15   | 1492 Moving to Work Demonstration  |   |  |   |                  |                                      |
| 16   | 1495.1 Relocation Costs  |   |  |   |                  |                                      |
| 17   | 1499 Development Activities <sup>4</sup>                                 |   |  |   |                  |                                      |
| 18a  | 1501 Collateralization or Debt Service paid by the PHA                   |   |  |   |                  |                                      |
| 18ba   | 9000 Collateralization or Debt Service paid Via System of Direct Payment |   |  |   |                  |                                      |
| 19   | 1502 Contingency (may not exceed 8% of line 20)                          | \$ 74,746.00  |  | -0-   |                  |                                      |
| 20   | Amount of Annual Grant: (sum of lines 2 - 19)                            | \$934,324.00  |  | \$934,324.00  | \$803,313.50     | \$317,897.97                         |
| 21   | Amount of line 20 Related to LBP Activities                              |   |  |   |                  |                                      |
| 22   | Amount of line 20 Related to Section 504 Activities                      |   |  |   |                  |                                      |
| 23   | Amount of line 20 Related to Security - Soft Costs                       |   |  |   |                  |                                      |
| 24   | Amount of line 20 Related to Security - Hard Costs                       |   |  |   |                  |                                      |
| 25   | Amount of line 20 Related to Energy Conservation Measures                | \$730,577.00  |  | \$730,577.00  |                  |                                      |
| <b>Signature of Executive Director</b>   |  | <b>Signature of Public Housing Director</b>                                   |  | <b>Date</b>   |                  |                                      |
| Richard W. Ball  |  |   |  |   |                  |                                      |
| <b>Date</b>  |  |   |  |   |                  |                                      |

<sup>1</sup> To be completed for the Performance and Evaluation Report.

<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.





Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

|   |   |                             |  |
|---|---|-----------------------------|--|
| <b>Part I: Summary</b>                                      |   | FFY of Grant: 2008          |  |
| PHA Name: Housing and Redevelopment Authority of Duluth, MN | Grant Type and Number<br>Capital Fund Program Grant No:<br>Replacement Housing Factor Grant No: MN46R00350108 | FFY of Grant Approval: 2008 |  |
| Date of CFP:  |   |                             |  |

| Line | Type of Grant<br><input type="checkbox"/> Original Annual Statement<br><input type="checkbox"/> Performance and Evaluation Report for Period Ending: | Reserve for Disasters/Emergencies<br><input type="checkbox"/> | Revised Annual Statement (revision no: 1 dated 5/31/10) |                      | Total Actual Cost <sup>1</sup> |
|------|--|---|---|----------------------|--------------------------------|
|      |  |   | Original  | Revised <sup>2</sup> |                                |
| 1    | Total non-CFP Funds  |   |   |                      |                                |
| 2    | 1406 Operations (may not exceed 20% of line 21) <sup>3</sup>   |   |   |                      |                                |
| 3    | 1408 Management Improvements   |   |   |                      |                                |
| 4    | 1410 Administration (may not exceed 10% of line 21)  |   |   |                      |                                |
| 5    | 1411 Audit   |   |   |                      |                                |
| 6    | 1415 Liquidated Damages  |   |   |                      |                                |
| 7    | 1430 Fees and Costs  |   |   |                      |                                |
| 8    | 1440 Site Acquisition  |   |   |                      |                                |
| 9    | 1450 Site Improvement  |   |   |                      |                                |
| 10   | 1460 Dwelling Structures   |   |   |                      |                                |
| 11   | 1465.1 Dwelling Equipment—Nonependable   |   |   |                      |                                |
| 12   | 1470 Non-dwelling Structures   |   |   |                      |                                |
| 13   | 1475 Non-dwelling Equipment  |   |   |                      |                                |
| 14   | 1485 Demolition  |   |   |                      |                                |
| 15   | 1492 Moving to Work Demonstration  |   |   |                      |                                |
| 16   | 1495.1 Relocation Costs  |   |   |                      |                                |
| 17   | 1499 Development Activities <sup>4</sup>   |   | 185,795.00  | 185,795.00           | 1,000.00                       |

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

**Part I: Summary**

|                                   |   |   |
|-----------------------------------|---|---|
| <b>PHA Name:</b><br>HRA of Duluth | <b>Grant Type and Number</b><br>Capital Fund Program Grant No:<br>Replacement Housing Factor Grant No: MN46R00350108<br>Date of CFFP: | <b>FFY of Grant:</b> 2008<br><b>FFY of Grant Approval:</b> 2008 |
|-----------------------------------|---|---|

Type of Grant  
 Original Annual Statement       Reserve for Disasters/Emergencies  
 Performance and Evaluation Report for Period Ending:       Revised Annual Statement (revision no: 1 )  
 Final Performance and Evaluation Report

| Line                                   | Summary by Development Account   | Total Estimated Cost |   | Total Actual Cost <sup>1</sup> |             |
|--|--|----------------------|---|--------------------------------|-------------|
|  |  | Original             | Revised <sup>2</sup>                        | Obligated                      | Expended    |
| 18a                                    | 1501 Collateralization or Debt Service paid by the PHA                   |                      |   |                                |             |
| 18ba                                   | 9000 Collateralization or Debt Service paid Via System of Direct Payment |                      |   |                                |             |
| 19                                     | 1502 Contingency (may not exceed 8% of line 20)                          |                      |   |                                |             |
| 20                                     | Amount of Annual Grant:: (sum of lines 2 - 19)                           | \$185,795.00         | \$185,795.00                                | \$185,795.00                   | 1,000.00    |
| 21                                     | Amount of line 20 Related to LBP Activities                              |                      |   |                                |             |
| 22                                     | Amount of line 20 Related to Section 504 Activities                      |                      |   |                                |             |
| 23                                     | Amount of line 20 Related to Security - Soft Costs                       |                      |   |                                |             |
| 24                                     | Amount of line 20 Related to Security - Hard Costs                       |                      |   |                                |             |
| 25                                     | Amount of line 20 Related to Energy Conservation Measures                |                      |   |                                |             |
| <b>Signature of Executive Director</b> |  | <b>Date</b>          | <b>Signature of Public Housing Director</b> |                                | <b>Date</b> |

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.





Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

|   |  |   |  |  |  |
|---|--|---|--|--|--|
| <b>Part I: Summary</b>  |  |   |  |  |  |
| PHA Name:<br>Housing & Redevelopment Authority<br>of Duluth, MN |  | Grant Type and Number<br>Capital Fund Program Grant No:<br>Replacement Housing Factor Grant No: MN46R00350109<br>Date of CFFP: 4/7/2010 |  | FFY of Grant: 2009<br>FFY of Grant Approval: |  |

| Line | Type of Grant<br><input checked="" type="checkbox"/> Original Annual Statement<br><input type="checkbox"/> Performance and Evaluation Report for Period Ending: 5/31/10 | Summary by Development Account                               | Original     | Revised Annual Statement (revision no: )<br><input type="checkbox"/> Final Performance and Evaluation Report |                      | Total Actual Cost <sup>1</sup> |
|------|---|--|--------------|--|----------------------|--------------------------------|
|      |   |  |              | Total Estimated Cost   | Revised <sup>2</sup> |                                |
| 1    |   | Total non-CFP Funds  |              |  |                      |                                |
| 2    |   | 1406 Operations (may not exceed 20% of line 21) <sup>3</sup> |              |  |                      |                                |
| 3    |   | 1408 Management Improvements                                 |              |  |                      |                                |
| 4    |   | 1410 Administration (may not exceed 10% of line 21)          |              |  |                      |                                |
| 5    |   | 1411 Audit   |              |  |                      |                                |
| 6    |   | 1415 Liquidated Damages                                      |              |  |                      |                                |
| 7    |   | 1430 Fees and Costs  |              |  |                      |                                |
| 8    |   | 1440 Site Acquisition  |              |  |                      |                                |
| 9    |   | 1450 Site Improvement  |              |  |                      |                                |
| 10   |   | 1460 Dwelling Structures                                     |              |  |                      |                                |
| 11   |   | 1465.1 Dwelling Equipment---Nonexpendable                    |              |  |                      |                                |
| 12   |   | 1470 Non-dwelling Structures                                 |              |  |                      |                                |
| 13   |   | 1475 Non-dwelling Equipment                                  |              |  |                      |                                |
| 14   |   | 1485 Demolition  |              |  |                      |                                |
| 15   |   | 1492 Moving to Work Demonstration                            |              |  |                      |                                |
| 16   |   | 1495.1 Relocation Costs                                      |              |  |                      |                                |
| 17   |   | 1499 Development Activities <sup>4</sup>                     | \$149,414.00 |  | 112,205.00           | -0-                            |

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

**Part I: Summary**

|                               |   |  |
|-------------------------------|---|--|
| PHA Name:<br>HRA of Duluth MN | Grant Type and Number<br>Capital Fund Program Grant No:<br>Replacement Housing Factor Grant No: MN46R00350109<br>Date of CFFP: 4/7/2010 | FFY of Grant: 2009<br>FFY of Grant Approval: |
|-------------------------------|---|--|

Type of Grant  
 Original Annual Statement       Reserve for Disasters/Emergencies  
 Performance and Evaluation Report for Period Ending:       Revised Annual Statement (revision no: )  
 Final Performance and Evaluation Report

| Line                            | Summary by Development Account   | Original     | Total Estimated Cost Revised <sup>2</sup> | Obligated  | Total Actual Cost <sup>1</sup> | Expended |
|---------------------------------|--|--------------|---|------------|--------------------------------|----------|
| 18a                             | 1501 Collateralization or Debt Service paid by the PHA                   |              |   |            |                                |          |
| 18ba                            | 9000 Collateralization or Debt Service paid Via System of Direct Payment |              |   |            |                                |          |
| 19                              | 1502 Contingency (may not exceed 8% of line 20)                          |              |   |            |                                |          |
| 20                              | Amount of Annual Grant:: (sum of lines 2 - 19)                           | \$149,414.00 |   | 112,205.00 | -0-                            |          |
| 21                              | Amount of line 20 Related to LBP Activities                              |              |   |            |                                |          |
| 22                              | Amount of line 20 Related to Section 504 Activities                      |              |   |            |                                |          |
| 23                              | Amount of line 20 Related to Security - Soft Costs                       |              |   |            |                                |          |
| 24                              | Amount of line 20 Related to Security - Hard Costs                       |              |   |            |                                |          |
| 25                              | Amount of line 20 Related to Energy Conservation Measures                |              |   |            |                                |          |
| Signature of Executive Director |  | Date         | Signature of Public Housing Director      |            | Date                           |          |

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

|   |  |                               |  |
|---|--|-------------------------------|--|
| <b>Part I: Summary</b>  |  | <b>FFY of Grant: 2010</b>     |  |
| <b>PHA Name:</b><br>Housing & Redevelopment Authority<br>of Duluth, MN  |  | <b>FFY of Grant Approval:</b> |  |
| <b>Grant Type and Number</b><br>Capital Fund Program Grant No:<br>Replacement Housing Factor Grant No: MN46R00350110<br>Date of CFFP: 7/15/2010 |  |                               |  |

| Line | Type of Grant<br><input checked="" type="checkbox"/> Original Annual Statement<br><input type="checkbox"/> Performance and Evaluation Report for Period Ending: | Reserve for Disasters/Emergencies<br><input type="checkbox"/> | Revised Annual Statement (revision no: )<br><input type="checkbox"/> Final Performance and Evaluation Report | Total Estimated Cost |                      | Total Actual Cost <sup>1</sup> |          |
|------|---|---|--|----------------------|----------------------|--------------------------------|----------|
|      |   |   |  | Original             | Revised <sup>2</sup> | Obligated                      | Expended |
| 1    | Total non-CFP Funds   |   |  |                      |                      |                                |          |
| 2    | 1406 Operations (may not exceed 20% of line 21) <sup>3</sup>  |   |  |                      |                      |                                |          |
| 3    | 1408 Management Improvements  |   |  |                      |                      |                                |          |
| 4    | 1410 Administration (may not exceed 10% of line 21)   |   |  |                      |                      |                                |          |
| 5    | 1411 Audit  |   |  |                      |                      |                                |          |
| 6    | 1415 Liquidated Damages   |   |  |                      |                      |                                |          |
| 7    | 1430 Fees and Costs   |   |  |                      |                      |                                |          |
| 8    | 1440 Site Acquisition   |   |  |                      |                      |                                |          |
| 9    | 1450 Site Improvement   |   |  |                      |                      |                                |          |
| 10   | 1460 Dwelling Structures  |   |  |                      |                      |                                |          |
| 11   | 1465.1 Dwelling Equipment—Nonexpendable   |   |  |                      |                      |                                |          |
| 12   | 1470 Non-dwelling Structures  |   |  |                      |                      |                                |          |
| 13   | 1475 Non-dwelling Equipment   |   |  |                      |                      |                                |          |
| 14   | 1485 Demolition   |   |  |                      |                      |                                |          |
| 15   | 1492 Moving to Work Demonstration   |   |  |                      |                      |                                |          |
| 16   | 1495.1 Relocation Costs   |   |  |                      |                      |                                |          |
| 17   | 1499 Development Activities <sup>4</sup>  |   |  | \$151,754.00         | -0-                  | -0-                            | -0-      |

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

**Part I: Summary**

|                               |  |  |
|-------------------------------|--|--|
| PHA Name:<br>HRA of Duluth MN | Grant Type and Number<br>Capital Fund Program Grant No:<br>Replacement Housing Factor Grant No: MN46R00350110<br>Date of CFP: 4/7/2010 | FFY of Grant: 2010<br>FFY of Grant Approval: |
|-------------------------------|--|--|

Type of Grant  
 Original Annual Statement       Reserve for Disasters/Emergencies  
 Performance and Evaluation Report for Period Ending:       Revised Annual Statement (revision no: )  
 Summary by Development Account       Final Performance and Evaluation Report

| Line                            | Summary by Development Account   | Original | Total Estimated Cost                 | Revised <sup>2</sup> | Obligated | Total Actual Cost <sup>1</sup> | Expended |
|---------------------------------|--|----------|--------------------------------------|----------------------|-----------|--------------------------------|----------|
| 18a                             | 1501 Collateralization or Debt Service paid by the PHA                   |          |                                      |                      |           |                                |          |
| 18ba                            | 9000 Collateralization or Debt Service paid Via System of Direct Payment |          |                                      |                      |           |                                |          |
| 19                              | 1502 Contingency (may not exceed 8% of line 20)                          |          |                                      |                      |           |                                |          |
| 20                              | Amount of Annual Grant: (sum of lines 2 - 19)                            |          | \$151,754.00                         |                      |           | -0-                            |          |
| 21                              | Amount of line 20 Related to LBP Activities                              |          |                                      |                      |           |                                |          |
| 22                              | Amount of line 20 Related to Section 504 Activities                      |          |                                      |                      |           |                                |          |
| 23                              | Amount of line 20 Related to Security - Soft Costs                       |          |                                      |                      |           |                                |          |
| 24                              | Amount of line 20 Related to Security - Hard Costs                       |          |                                      |                      |           |                                |          |
| 25                              | Amount of line 20 Related to Energy Conservation Measures                |          |                                      |                      |           |                                |          |
| Signature of Executive Director |  | Date     | Signature of Public Housing Director |                      | Date      |                                |          |

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.









Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

|  |  |   |  |                           |  |
|--|--|---|--|---------------------------|--|
| <b>Part I: Summary</b>   |  | <b>Grant Type and Number</b>  |  | <b>FFY of Grant: 2009</b> |  |
| PIHA Name:<br>Housing & Redevelopment Authority<br>of Duluth, MN |  | Capital Fund Program Grant No:<br>Replacement Housing Factor Grant No: MN00380000109F<br>Date of CFP: 9/23/09 |  | FFY of Grant Approval:    |  |

| Line | Type of Grant<br><input type="checkbox"/> Original Annual Statement<br><input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 11/22/10 | Reserve for Disasters/Emergencies<br><input type="checkbox"/> | Revised Annual Statement (revision no: )<br><input type="checkbox"/> Final Performance and Evaluation Report |                      | Total Actual Cost <sup>1</sup> |              |
|------|--|---|--|----------------------|--------------------------------|--------------|
|      |  |   | Original   | Revised <sup>2</sup> | Obligated                      | Expended     |
| 1    | Total non-CFP Funds  |   |  |                      |                                |              |
| 2    | 1406 Operations (may not exceed 20% of line 21) <sup>3</sup>   |   |  |                      |                                |              |
| 3    | 1408 Management Improvements   |   |  |                      |                                |              |
| 4    | 1410 Administration (may not exceed 10% of line 21)  |   |  |                      |                                |              |
| 5    | 1411 Audit   |   |  |                      |                                |              |
| 6    | 1415 Liquidated Damages  |   |  |                      |                                |              |
| 7    | 1430 Fees and Costs  |   |  |                      |                                |              |
| 8    | 1440 Site Acquisition  |   |  |                      |                                |              |
| 9    | 1450 Site Improvement  |   | 576,405.00   | 576,405.00           | 576,405.00                     | 217,540.80   |
| 10   | 1460 Dwelling Structures   |   | 1,959,158.00   | 1,959,158.00         | 1,959,158.00                   | 1,267,489.80 |
| 11   | 1465.1 Dwelling Equipment—Nonependable   |   |  |                      |                                |              |
| 12   | 1470 Non-dwelling Structures   |   |  |                      |                                |              |
| 13   | 1475 Non-dwelling Equipment  |   |  |                      |                                |              |
| 14   | 1485 Demolition  |   |  |                      |                                |              |
| 15   | 1492 Moving to Work Demonstration  |   |  |                      |                                |              |
| 16   | 1495.1 Relocation Costs  |   |  |                      |                                |              |
| 17   | 1499 Development Activities <sup>4</sup>   |   |  |                      |                                |              |

<sup>1</sup> To be completed for the Performance and Evaluation Report  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement  
<sup>3</sup> PIHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
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|                        |  |                                      |  |  |  |  |  |
|------------------------|--|--------------------------------------|--|--|--|--|--|
| <b>Part I: Summary</b> |  | <b>PHA Name:</b><br>HRA of Duluth MN |  | <b>Grant Type and Number</b><br>Capital Fund Program Grant No:<br>Replacement Housing Factor Grant No: MN00380000109F<br>Date of CFFP: 9/23/09 |  | <b>FY of Grant: 2009</b><br>FFY of Grant Approval: |  |
|------------------------|--|--------------------------------------|--|--|--|--|--|

Type of Grant  Original Annual Statement  Reserve for Disasters/Emergencies  Revised Annual Statement (revision no: )  
 Performance and Evaluation Report for Period Ending: 5/31/10  Final Performance and Evaluation Report

| Line                                   | Summary by Development Account   | Total Estimated Cost |                      | Total Actual Cost <sup>1</sup>              |              |             |  |
|--|--|----------------------|----------------------|---|--------------|-------------|--|
|  |  | Original             | Revised <sup>2</sup> | Obligated                                   | Expended     |             |  |
| 18a                                    | 1501 Collateralization or Debt Service paid by the PHA                   |                      |                      |   |              |             |  |
| 18ba                                   | 9000 Collateralization or Debt Service paid Via System of Direct Payment |                      |                      |   |              |             |  |
| 19                                     | 1502 Contingency (may not exceed 8% of line 20)                          | 845,187.00           | -0-                  |   |              |             |  |
| 20                                     | Amount of Annual Grant: (sum of lines 2 - 19)                            | \$3,380,750.00       | 2,535,563.00         | 2,535,563.00                                | 1,485,030.60 |             |  |
| 21                                     | Amount of line 20 Related to LBP Activities                              |                      |                      |   |              |             |  |
| 22                                     | Amount of line 20 Related to Section 504 Activities                      |                      |                      |   |              |             |  |
| 23                                     | Amount of line 20 Related to Security - Soft Costs                       |                      |                      |   |              |             |  |
| 24                                     | Amount of line 20 Related to Security - Hard Costs                       |                      |                      |   |              |             |  |
| 25                                     | Amount of line 20 Related to Energy Conservation Measures                |                      |                      |   |              |             |  |
| <b>Signature of Executive Director</b> |  | <b>Date</b>          |                      | <b>Signature of Public Housing Director</b> |              | <b>Date</b> |  |

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



