

# **PHA Plans**

## **Streamlined Annual Version**

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

OMB No. 2577-0226  
(exp. 05/31/2006)

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

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

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# **Streamlined Annual PHA Plan**

## **for Fiscal Year: 2006**

# **PHA Name: Smithfield Housing Authority**

## **NC040**

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

### Streamlined Annual PHA Plan Agency Identification

**PHA Name:** Smithfield Housing Authority  
**PHA Fiscal Year Beginning:** 07/2006

**PHA Number:** NC040

**PHA Programs Administered:**

**Public Housing and Section 8**     **Section 8 Only**     **Public Housing Only**  
Number of public housing units:                      Number of S8 units:                      Number of public housing units: **205**  
Number of S8 units:

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

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

**PHA Plan Contact Information:**

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

**Public Access to Information**

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

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

**Display Locations For PHA Plans and Supporting Documents**

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

If yes, select all that apply:

- Main administrative office of the PHA
- PHA development management offices
- Main administrative office of the local, county or State government
- Public library                       PHA website                       Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- Main business office of the PHA     PHA development management offices
- Other (list below)

**Streamlined Annual PHA Plan**  
**Fiscal Year 2006**  
[24 CFR Part 903.12(c)]

**Table of Contents**

[24 CFR 903.7(r)]

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

**A. PHA PLAN COMPONENTS**

1. Site-Based Waiting List Policies

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

2. Capital Improvement Needs **5**

**903.7(g) Statement of Capital Improvements Needed**

3. Section 8(y) Homeownership

**903.7(k)(1)(i) Statement of Homeownership Programs**

4. Project-Based Voucher Programs

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

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7. Capital Fund Program and Capital Fund Program Replacement Housing Factor, Annual Statement/Performance and Evaluation Report **11**  
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**B. SEPARATE HARD COPY SUBMISSIONS TO LOCAL HUD FIELD OFFICE**

**Form HUD-50076, *PHA Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Streamlined Annual Plan*** identifying policies or programs the PHA has revised since submission of its last Annual Plan, and including Civil Rights certifications and assurances the changed policies were presented to the Resident Advisory Board for review and comment, approved by the PHA governing board, and made available for review and inspection at the PHA's principal office;

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

**Form HUD-50070, *Certification for a Drug-Free Workplace*;**

**Form HUD-50071, *Certification of Payments to Influence Federal Transactions*;** and

**Form SF-LLL & SF-LLLa, *Disclosure of Lobbying Activities*.**

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

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

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

**A. Site-Based Waiting Lists-Previous Year**

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

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

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

**B. Site-Based Waiting Lists – Coming Year**

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

1. How many site-based waiting lists will the PHA operate in the coming year?
2.  Yes  No: Are any or all of the PHA’s site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?  
If yes, how many lists?
3.  Yes  No: May families be on more than one list simultaneously?  
If yes, how many lists?
4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- PHA main administrative office
- All PHA development management offices
- Management offices at developments with site-based waiting lists
- At the development to which they would like to apply
- Other (list below)

## **2. Capital Improvement Needs**

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

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

### **A. Capital Fund Program**

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

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

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

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

<b>HOPE VI Revitalization Grant Status</b>	
a. Development Name:	
b. Development Number:	
c. Status of Grant:	
	<input type="checkbox"/> Revitalization Plan under development
	<input type="checkbox"/> Revitalization Plan submitted, pending approval

<input type="checkbox"/> Revitalization Plan approved
<input type="checkbox"/> Activities pursuant to an approved Revitalization Plan underway

3.  Yes  No: Does the PHA expect to apply for a HOPE VI Revitalization grant in the Plan year?  
If yes, list development name(s) below:
4.  Yes  No: Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year? If yes, list developments or activities below:
5.  Yes  No: Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement? If yes, list developments or activities below:

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

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

1.  Yes  No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to the next component; if “yes”, complete each program description below (copy and complete questions for each program identified.)

#### 2. Program Description:

##### a. Size of Program

- Yes  No: Will the PHA limit the number of families participating in the Section 8 homeownership option?

If the answer to the question above was yes, what is the maximum number of participants this fiscal year?

##### b. PHA-established eligibility criteria

- Yes  No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?  
If yes, list criteria:

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

#### 3. Capacity of the PHA to Administer a Section 8 Homeownership Program:

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

- Establishing a minimum homeowner downpayment requirement of at least 3 percent of purchase price and requiring that at least 1 percent of the purchase price comes from the family’s resources.

- Requiring that financing for purchase of a home under its Section 8 homeownership will be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards.
- Partnering with a qualified agency or agencies to administer the program (list name(s) and years of experience below):
- Demonstrating that it has other relevant experience (list experience below):

#### **4. Use of the Project-Based Voucher Program**

##### **Intent to Use Project-Based Assistance**

- Yes  No: Does the PHA plan to “project-base” any tenant-based Section 8 vouchers in the coming year? If the answer is “no,” go to the next component. If yes, answer the following questions.
1.  Yes  No: Are there circumstances indicating that the project basing of the units, rather than tenant-basing of the same amount of assistance is an appropriate option? If yes, check which circumstances apply:
    - low utilization rate for vouchers due to lack of suitable rental units
    - access to neighborhoods outside of high poverty areas
    - other (describe below:)
  2. Indicate the number of units and general location of units (e.g. eligible census tracts or smaller areas within eligible census tracts):

#### **5. PHA Statement of Consistency with the Consolidated Plan**

[24 CFR Part 903.15]

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

1. Consolidated Plan jurisdiction: (provide name here)
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)
  - The PHA has based its statement of needs of families on its waiting lists on the needs expressed in the Consolidated Plan/s.
  - The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
  - The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.

PHA Name:  
HA Code:

Streamlined Annual Plan for Fiscal Year 20\_\_

- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- Other: (list below)

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



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

PHAs are to indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
	<i>PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans;</i>	5 Year and Annual Plans
<b>X</b>	<i>PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Streamlined Annual Plan</i>	Streamlined Annual Plans
	<i>Certification by State or Local Official of PHA Plan Consistency with Consolidated Plan.</i>	5 Year and standard Annual Plans
<b>X</b>	Fair Housing Documentation Supporting Fair Housing Certifications: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
<b>X</b>	Housing Needs Statement of the Consolidated Plan for the jurisdiction(s) in which the PHA is located and any additional backup data to support statement of housing needs for families on the PHA’s public housing and Section 8 tenant-based waiting lists.	Annual Plan: Housing Needs
<b>X</b>	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources
<b>X</b>	Public Housing Admissions and (Continued) Occupancy Policy (A&O/ACOP), which includes the Tenant Selection and Assignment Plan [TSAP] and the Site-Based Waiting List Procedure.	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>X</b>	Deconcentration Income Analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>X</b>	Any policy governing occupancy of Police Officers and Over-Income Tenants in Public Housing. <input type="checkbox"/> Check here if included in the public housing A&O Policy.	Annual Plan: Eligibility, Selection, and Admissions Policies
	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>X</b>	Public housing rent determination policies, including the method for setting public housing flat rents. <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
<b>X</b>	Schedule of flat rents offered at each public housing development. <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
	Section 8 rent determination (payment standard) policies (if included in plan, not necessary as a supporting document) and written analysis of Section 8 payment standard policies. <input type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Rent Determination
<b>X</b>	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation).	Annual Plan: Operations and Maintenance
<b>X</b>	Results of latest Public Housing Assessment System (PHAS) Assessment (or other applicable assessment).	Annual Plan: Management and Operations
<b>X</b>	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary)	Annual Plan: Operations and Maintenance and Community Service & Self-Sufficiency
	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
	Any policies governing any Section 8 special housing types <input type="checkbox"/> Check here if included in Section 8 Administrative Plan	Annual Plan: Operations and Maintenance

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
<b>X</b>	Public housing grievance procedures <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
	Section 8 informal review and hearing procedures. <input type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Grievance Procedures
<b>X</b>	The Capital Fund/Comprehensive Grant Program Annual Statement /Performance and Evaluation Report for any active grant year.	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants.	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans, or any other approved proposal for development of public housing.	Annual Plan: Capital Needs
<b>X</b>	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing Section 504 of the Rehabilitation Act and the Americans with Disabilities Act. See PIH Notice 99-52 (HA).	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing.	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans).	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act, Section 22 of the US Housing Act of 1937, or Section 33 of the US Housing Act of 1937.	Annual Plan: Conversion of Public Housing
<b>X</b>	Documentation for required Initial Assessment and any additional information required by HUD for Voluntary Conversion.	Annual Plan: Voluntary Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans.	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program (Section _____ of the Section 8 Administrative Plan)	Annual Plan: Homeownership
<b>X</b>	Public Housing Community Service Policy/Programs <input checked="" type="checkbox"/> Check here if included in Public Housing A & O Policy	Annual Plan: Community Service & Self-Sufficiency
	Cooperative agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies.	Annual Plan: Community Service & Self-Sufficiency
	FSS Action Plan(s) for public housing and/or Section 8.	Annual Plan: Community Service & Self-Sufficiency
<b>X</b>	Section 3 documentation required by 24 CFR Part 135, Subpart E for public housing.	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports for public housing.	Annual Plan: Community Service & Self-Sufficiency
<b>X</b>	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Pet Policy
<b>X</b>	The results of the most recent fiscal year audit of the PHA conducted under the Single Audit Act as implemented by OMB Circular A-133, the results of that audit and the PHA's response to any findings.	Annual Plan: Annual Audit
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)
	Consortium agreement(s) and for Consortium Joint PHA Plans <u>Only</u> : Certification that consortium agreement is in compliance with 24 CFR Part 943 pursuant to an opinion of counsel on file and available for inspection.	Joint Annual PHA Plan for Consortia: Agency Identification and Annual Management and Operations

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

<b>Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
PHA Name: <b>Smithfield Housing Authority</b>		Grant Type and Number Capital Fund Program Grant No: <b>NC19P04050106</b> Replacement Housing Factor Grant No:			Federal FY of Grant: <b>2006</b>
<input checked="" type="checkbox"/> <b>Original Annual Statement</b> <input type="checkbox"/> <b>Reserve for Disasters/ Emergencies</b> <input type="checkbox"/> <b>Revised Annual Statement (revision no:    )</b> <input type="checkbox"/> <b>Performance and Evaluation Report for Period Ending:</b> <input type="checkbox"/> <b>Final Performance and Evaluation Report</b>					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	25,000			
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	25,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	10,000			
10	1460 Dwelling Structures	251,561			
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	<b>311,561</b>			
22	Amount of line 21 Related to LBP Activities	0			
23	Amount of line 21 Related to Section 504 compliance	0			
24	Amount of line 21 Related to Security – Soft Costs	0			
25	Amount of Line 21 Related to Security – Hard Costs	15,000			
26	Amount of line 21 Related to Energy Conservation Measures	0			

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

<b>Annual Statement/Performance and Evaluation Report</b> <b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)</b> <b>Part II: Supporting Pages</b>								
PHA Name: <b>Smithfield Housing Authority</b>			Grant Type and Number Capital Fund Program Grant No: <b>NC19P04050106</b> Replacement Housing Factor Grant No:			Federal FY of Grant: <b>2006</b>		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
	<b><i>FEE &amp; COSTS</i></b>	1430		25,000				
NC040-002 Edgerton Court (Continue re-mod)	<b><i>DWELLING STRUCTURES</i></b>	1460	11 Units	150,561				
	Replace doors & windows							
	Replace heating system							
	Add Central A/C							
	Upgrade plumbing & electrical							
	Install grab bars & handrails							
	Add washer/dryer area							
	Vinyl siding & window shutters							
	<b><i>NON-DWELLING STRUCTURE</i></b>							
	Vinyl trim on community center							
	<b><i>SITE IMPROVEMENT</i></b>	1450		10,000				
	Privacy fence along railroad track							
NC040-004 Forbes Manor (Begin Re-mod)	<b><i>DWELLING STRUCTURES</i></b>	1460		81,000				
	Vinyl siding & window shutters							
	Add storage sheds							
	Dryer connections							
	Central heat & A/C							
	Upgrade plumbing & electrical							

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

	New light fixtures							
	Replace kitchen cabinets & counters							
	Replace vinyl floors							
	Solid wood interior doors							
	Storm security doors							
	Re-pave parking areas							
	Landscaping							
NC040-003 Marrow & Wilkins Ct	<b><i>DWELLING STRUCTURES</i></b>	1460		20,000				
	Paint buildings							
	<b><i>OPERATING BUDGET</i></b>	1406		25,000				
	<b><i>GRAND TOTAL</i></b>			<b>311,561</b>				

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

<b>Annual Statement/Performance and Evaluation Report                      Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)                      Part III: Implementation Schedule</b>							
<b>PHA Name: Smithfield Housing Authority</b>			<b>Grant Type and Number</b> Capital Fund Program No: <b>NC19P04050106</b> Replacement Housing Factor No:				<b>Federal FY of Grant: 2006</b>
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
NC040-002, Edgerton Ct	8/18/08			8/18/10			
NC040-003, Wilkins Ct	8/18/08			8/18/10			

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

<b>Annual Statement/Performance and Evaluation Report</b>					
<b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
PHA Name: <b>Smithfield Housing Authority</b>		Grant Type and Number Capital Fund Program Grant No: <b>NC19P04050105</b> Replacement Housing Factor Grant No:			Federal FY of Grant: <b>2005</b>
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:    )					
<input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: <b>12/31/2005</b> <input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	15,000		15,000	15,000
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	22,000		22,000	0
8	1440 Site Acquisition				
9	1450 Site Improvement	15,000			
10	1460 Dwelling Structures	209,561			
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures	50,000			
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	311,561			
22	Amount of line 21 Related to LBP Activities	0			
23	Amount of line 21 Related to Section 504 compliance	0			
24	Amount of line 21 Related to Security – Soft Costs	0			
25	Amount of Line 21 Related to Security – Hard Costs	0			
26	Amount of line 21 Related to Energy Conservation Measures	25,000			

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

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

PHA Name: <b>Smithfield Housing Authority</b>		Grant Type and Number Capital Fund Program Grant No: <b>NC19P04050105</b> Replacement Housing Factor Grant No:				Federal FY of Grant: <b>2005</b>		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
	<b>FEE &amp; COSTS</b>	1430		22,000		22,000	0	
NC040-002 Edgerton Court (Continue re-mod)	<b>DWELLING STRUCTURES</b>	1460	11 Units	209,561		0	0	
	Replace doors & windows							
	Replace heating system							
	Add Central A/C							
	Upgrade plumbing & electrical							
	Install grab bars & handrails							
	Add washer/dryer area							
	Cover exterior wood construction & overhangs with vinyl							
	<b>SITE IMPROVEMENT</b>	1450		15,000		0	0	
	Re-landscape whole development							
NC040 Main Office & Shop	<b>NON DWELLING STRUCTURES</b>	1470		50,000		0	0	
	Add parts room & truck bay to maintenance area at main office							
	Add file room to main office							
	<b>OPERATING BUDGET</b>	1406		15,000		15,000	15,000	
	<b>GRAND TOTAL</b>			<b>311,561</b>		<b>37,000</b>	<b>15,000</b>	





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

<b>Annual Statement/Performance and Evaluation Report</b>					
<b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
PHA Name: <b>Smithfield Housing Authority</b>			Grant Type and Number Capital Fund Program Grant No: <b>NC19P04050104</b> Replacement Housing Factor Grant No:		Federal FY of Grant: <b>2004</b>
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:    )					
<input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: <b>12/31/2005</b> <input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations				
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	25,000	25,000	10,000.00	10,000.00
8	1440 Site Acquisition				
9	1450 Site Improvement	9,735	15,000	12,200.00	12,200.00
10	1460 Dwelling Structures	288,301	283,036	258,762.44	258,762.44
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	<b>323,036</b>	<b>323,036</b>	<b>280,962.44</b>	<b>280,962.44</b>
22	Amount of line 21 Related to LBP Activities	0	0		
23	Amount of line 21 Related to Section 504 compliance	0	0		
24	Amount of line 21 Related to Security – Soft Costs	0	0		
25	Amount of Line 21 Related to Security – Hard Costs	51,000	51,000	51,000	51,000
26	Amount of line 21 Related to Energy Conservation Measures	81,000	81,000	81,000	81,000

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

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: <b>Smithfield Housing Authority</b>			Grant Type and Number Capital Fund Program Grant No: <b>NC19P04050104</b> Replacement Housing Factor Grant No:			Federal FY of Grant: <b>2004</b>		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
	<b>FEE &amp; COSTS</b>	1430		25,000	25,000	10,000.00	10,000.00	Complete
NC040-002 Edgerton Court (Continue re-mod)	<b>DWELLING STRUCTURES</b>	1460	36 Units	213,301	155,527.44	155,527.44	155,527.44	Cppleted 1 <sup>st</sup> Phase
	Replace doors and windows							
	Replace heating system							
	Upgrade plumbing & electrical							
	Add central A/C							
	Install grab bars and handrails							
	Cover exterior wood construction and overhangs with vinyl							
	Add washer & dryer area							
	<b>SITE IMPROVEMENT</b>	1450		3,000	5,000	3,000.00	3,000.00	Complete
	Add parking spaces							
NC040-001 Brooklyn Cr	<b>DWELLING STRUCTURES</b>	1460		75,000	127,508.56	103,235.00	103,235.00	
	Add central air		38 Units					Complete
	Replace security storm doors		16 Units					
	Replace storage shed doors		15 Units					Complete
	Replace roofing shingles		2 Bldgs					
	<b>SITE IMPROVEMENT</b>		12 Units	6,735	10,000	9,200.00	9,200.00	Complete
	Add concrete driveways							
	Add 2 parking spaces at office							



## 8. Capital Fund Program Five-Year Action Plan

<b>Capital Fund Program Five-Year Action Plan</b>					
<b>Part I: Summary</b>					
PHA Name <b>Smithfield Housing Authority</b>				<input checked="" type="checkbox"/> <b>Original 5-Year Plan</b> <input type="checkbox"/> <b>Revision No:</b>	
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2	Work Statement for Year 3	Work Statement for Year 4	Work Statement for Year 5
		FFY Grant: 2007 PHA FY: 7/1/08	FFY Grant: 2008 PHA FY: 7/1/09	FFY Grant: 2009 PHA FY: 7/1/10	FFY Grant: 2010 PHA FY: 7/1/11
	Annual Statement				
NC040-004 Forbes Manor – 32 Units		311,561	268,000		
NC040-003 Marrow Court – 16 Units			43,561	229,000	
NC040-003 Wilkins Court – 22 Units				82,561	311,561
CFP Funds Listed for 5-year planning		<b>311,561</b>	<b>311,561</b>	<b>311,561</b>	<b>311,561</b>
Replacement Housing Factor Funds					

## 8. Capital Fund Program Five-Year Action Plan

<b>Capital Fund Program Five-Year Action Plan</b>						
<b>Part II: Supporting Pages—Work Activities</b>						
Activities for Year 1	Activities for Year : 2 FFY Grant: 2007 PHA FY: 7/1/08			Activities for Year: 3 FFY Grant: 2008 PHA FY: 7/1/09		
	<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>	<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>
<b>See</b>	NC040-004 Forbes Manor (Continue re-mod)	Replace & add:	311,561	NC040-004 Forbes Manor (Continue re-mod)	Replace & add:	268,000
<b>Annual</b>		Vinyl siding & window shutters			Vinyl siding & window shutters	
<b>Statement</b>		Add storage sheds			Add storage sheds	
		Dryer connections			Dryer connections	
		Central heat & A/C			Central heat & A/C	
		Upgrade plumbing & electrical			Upgrade plumbing & electrical	
		New light fixtures			New light fixtures	
		Replace kitchen cabinets & counters			Replace kitchen cabinets & counters	
		Replace vinyl floors			Replace vinyl floors	
		Solid wood interior doors			Solid wood interior doors	
		Storm security doors			Storm security doors	
		Re-pave parking areas			Re-pave parking areas	
		Landscaping			Landscaping	
				NC040-003 Marrow Ct (Begin re-mod)	Replace & add:	43,561
					Vinyl siding & window shutters	
					Central heat & AC	
					Kitchen cabinets & counters	
					Tile floor	
					Kitchen cabinets & counters	
					Dryer connections	
					Doors – Closet, bedroom, storm	
<b>Total CFP Estimated Cost</b>			<b>\$311,561</b>			<b>\$311,561</b>

## 8. Capital Fund Program Five-Year Action Plan

<b>Capital Fund Program Five-Year Action Plan</b>					
<b>Part II: Supporting Pages—Work Activities</b>					
Activities for Year : 4 FFY Grant: 2009 PHA FY: 7/1/10			Activities for Year: 5 FFY Grant: 2010 PHA FY: 7/1/11		
<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>	<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>
NC040-003 Marrow Ct (Continue re-mod)	Replace & add:	229,000	NC040-003 Wilkins Court (Continue re-mod)	Replace & add:	311,561
	Vinyl siding & window shutters			Vinyl siding & window shutters	
	Central heat & AC			Central heat & AC	
	Kitchen cabinets & counters			Kitchen cabinets & counters	
	Tile floor			Tile floor	
	Storage sheds – 12 units			Dryer connections	
	Dryer connections			Doors – Interior & storm security	
	Doors – Interior & storm security			Inside window shutters	
	Inside window shutters			Re-pave parking areas	
	Re-pave parking areas			Landscaping	
	Landscaping				
NC040-003 Wilkins Court (Begin re-mod)	Replace & add:	82,561			
	Vinyl siding & window shutters				
	Central heat & AC				
	Kitchen cabinets & counters				
	Tile floor				
	Dryer connections				
	Doors – Interior & storm security				
	Inside window shutters				
	Re-pave parking areas				
	Landscaping				
<b>Total CFP Estimated Cost</b>		<b>\$311,561</b>			<b>\$311,561</b>

## **8. Capital Fund Program Five-Year Action Plan**



## **Attachment A**

### **Resident Advisory Board Meeting Attendance 3/8/06**

The Resident Advisory Board met March 8, 2006 at 4:30 pm to discuss the 2006 Annual Plan particularly the Capital Fund plans. Those in attendance were:

Ronald Price – Edgerton Ct.  
Michelle Jones – Wilkins Ct.  
Mason Barbour – Forbes Manor  
Annie Wall – Brooklyn Cr.  
Judy Edwards – Resident Services Coordinator  
Warren Grimes – Executive Director

### **Comments Received from Resident Advisory Board**

The only changes made in the Annual Plan from the 5 Year Plan were some reshuffling of modernization projects involving capital funds. These changes were made after staff considered HUD's new emphasis on "project based management".

The Resident Advisory Board discussed the 2006 CFP anticipated grant. The Authority proposes to complete modernization work in the Edgerton Court (NC040002) development and begin modernization of the Forbes Manor development. Modernization items included new energy efficient vinyl window, central HVAC, new tile flooring, new kitchen cabinets & countertops, dryer hookups, electrical & plumbing upgrades, landscaping, adding storage sheds, resurfacing of parking areas, etc. The Advisory Board was in favor of the proposed modernization items. They thought the window shutters on the completed units at Edgerton Court looked very nice and recommended that we add shutters to all our units.

Comments were made concerning improving the drainage at Forbes Manor. The modernization plans include resurfacing the parking areas where most of the drainage problems occur after heavy rains.

Comments were also made about the ditch (railroad right-of-way) behind Edgerton Court being very messy with old railroad ties and other waste left by railroad maintenance crews. It was noted that a privacy fence is included in the modernization plans that should screen much of the unsightliness.

### **Authority's Response to Advisory Board Comments**

The Authority will incorporate window shutters for all units in future modernization projects and will budget shutters for units already modernized as funds permit.

The Authority will make the architect aware of the drainage conditions at Forbes Manor to make sure the resurfacing of the parking areas addresses that issue.

The Authority will contact CSX Railroad to see if they will have their crews clean out the ditch.

## **Attachment B**

### **Police Officers Residing in Public Housing**

#### **Smithfield Housing Authority Fiscal Year 2006 Annual Plan**

The Smithfield Housing Authority (SHA), with permission from HUD, has taken 2 units, each in a separate development, off line and made them available to house police officers as permitted by CFR 960.505(b). This was done to increase security for the residents living in those developments. The two developments are NC040001 – Woodall Heights, and NC040003 – Wilkins Court area.

Only duly certified police officers living in Johnston County and employed on a full time basis by a federal, state, or local government or by a private police company licensed by the North Carolina Attorney General are allowed to live in these units. The police officers sign a SHA lease and must abide by the same lease, rules and regulations as other public housing residents. These officers must provide the SHA four (4) hours of volunteer service per week (patrolling or working at the community center after school program) rather than paying a minimum rent (SHA minimum rent is set at \$50).

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

## Attachment C

### STATEMENT OF PROGRESS ON 5 YEAR PLAN

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

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

1. Expand the supply of assisted housing by reducing public housing vacancies.
  - a. We work hard to reduce the time between move outs and having a unit ready to re-rent. We have experienced a high turnover rate for the past year due to stricter lease enforcement and residents receiving a tenant based voucher from the County HAPP program. We often had 5 vacancies at once. We used the resident stipend program to help our maintenance department get vacant units ready to rent but even with this help our “make ready” time increased to a 15 day average. Hopefully this will decrease in the coming year. We maintain a sufficient waiting list such that the units are rented quickly after they are ready. Our average lease-up time was 5 days. We consistently maintain a 97% to 98% leased up rate.
2. Improve the quality of assisted housing by improving housing management, increasing customer satisfaction, improving specific management functions and renovating older units.
  - a. Our management scores (PHAS) are consistently high and we are rated a “High Performing Housing Authority”. We enroll in many of the housing management training seminars and workshops offered throughout the year for all levels of our staff – administrative and maintenance.
  - b. We strive to relate to potential and current residents as customers by communicating in a supportive and respectful manor.
  - c. As mentioned above, we have improved on our lease enforcement over the past year by being firmer on rent and excess utility collections, enforcement of litter control, and tighter enforcement of unauthorized household members. These actions have led to a higher than normal turnover rate but we are hopeful that as the neighborhood environment improves, the turnover rate will decrease.
  - d. We continue to use the declining CFP funds we receive each year to do major modernization on our developments. As funds permit, we add new heating systems with A/C, new energy efficient windows, new kitchen cabinets, new tile floor, dryer hookups, and storage sheds to our units.
3. Provide an improved living environment by implementing measures to deconcentrate poverty by bringing in higher income households, maintain security, and try to establish a day care center in one of our developments.
  - a. The income mix at all of our sites is within HUD established parameters; however the overall income of our developments falls below 30% of the median income for our area. We continue to seek applicants whose incomes are above 30% of the median income but have not been as successful as we would like to be. Hopefully we can attract higher income applicants as our units are modernized.

- b. The discontinuance of the PHDEP Grants has hampered our ability as a small housing authority to provide adequate security. There was not enough money in our operating budget to continue the contract with the Town of Smithfield for a full time police officer. We have taken two units off-line as police units in an effort to have some police presence in our developments. We have seen an increase in the number of crimes reported on Housing Authority property this past year as a result of the reduced security coverage. We are discouraged by these statistics and hope that HUD will provide a new source of protective service funds to small HA's.
  - c. We have closed the community center in our Woodall Heights development due to lack of funds. We have begun efforts to make necessary changes to the building to allow it to be used as a day care center and possibly rent the building to a local day care provider. This would provide a much needed service to our residents.
4. Promote self-sufficiency and asset development of assisted households by providing programs to improve the employability of residents and increasing the percentage of employed persons in assisted families.
- a. There are many organizations in the community that offer educational and job training opportunities. Rather than duplicating their efforts, we refer our under educated and unemployed tenants to these organizations. We have established a close working relationship with our local Community Action agency. This agency has individual case management programs to provide clients with education and job skills. The biggest challenge is to convince the tenants to take advantage of these programs rather than just look for a handout.
  - b. We provide a local job sheet at the main office and a public computer terminal where residents can search the NC Employment Security web site for local jobs.

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