



**Objectives:**

Improve housing assets, infrastructure and fleet.  
Improve recruitment, selection and retention.  
Improve knowledge, skills and abilities (KSA's).  
Enhance technology tools.  
Decrease expenses.  
Increase customer satisfaction.

**Goal Three:** To establish strong community partnerships – State, County, City and Community Organizations (Strategic Partnering).

**Objectives:**

Improve cost controls.

**Goal Four:** To provide quality affordable housing (NEW H.O.P.E. – Housing Opportunities for People Everywhere).

**Objectives:**

Increase resident self-sufficiency.  
Improve partnership relationships.

**Statement of Progress on Meeting Goals and Objectives Described in the Previous 5-Year Plan**

Durham Housing Authority has made significant progress and improvements over the past several years. From being declared a troubled housing authority in 2003, DHA is currently designated a standard performer under the Public Housing Assessment System (PHAS) and a troubled performer. DHA is not satisfied with its current designation and has put in place several corrective action plans, programs, and initiatives to enable the authority to obtain the status of high performer in both programs over the next year.

DHA has successfully implemented the first phase of its transition to Asset Management by implementing property-based management, budgeting, and accounting. After a very challenging computer hardware and software conversion, the new operating and software system is beginning to pay dividends by producing real time data to allow the Authority to make sound business decisions regarding its assets. DHA has also realigned its supportive services for residents, by consolidating the Family Self-Sufficiency Program and Homeownership Program under one department, now called Resident Services. The Resident Services department has been successful in securing the following grants, Ribbon of Hope Foundation, to expand services to middle and high school aged youth, and the 21<sup>st</sup> Century Community Learning Center Grant, to provide summer and after school programs for 231 students in six communities.

As DHA moves forward in the 2010 plan year, it expects to accomplish a number of initiatives to include revitalization of one affordable housing community, implementation of a repositioning strategy to address the long-term operating, capital investment, rehabilitation, modernization, disposition and other needs of DHA's housing inventory. DHA expects to continue full utilization of its Housing Choice Voucher Program (HCVP) funding by expand housing opportunities for participants and by implementing a massive outreach and marketing campaign. DHA will continue to apply for grants to provide supportive services to its customers.

To ensure that the authority fulfills its mission, DHA has successfully developed a Five-Year Business and Strategic Plan consistent with the goals of the Agency Plan. DHA will continue the development and implementation of an innovative strategic planning and performance management system.

## PHA Plan Update

### (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission

Durham Housing Authority incorporated the following changes to its Agency Plans:

The following amendments are proposed in Public Housing and Housing Choice Voucher Program Policy:

- Income payments from the US Census Bureau will be excluded as income per PIH 2008-26.
- Kinship Guardian Assistant Payments (Kin-GAP) and other guardianship payments will be excluded as income per PIH 2008-30.
- Amendments to policies on Social Security and Social Security Income Benefits verification per PIH 2008-44.

#### Amendments only to the Admissions & Continued Occupancy Policy (ACOP):

- Amendment to **Section 4-II.B** implementing site-based waiting list in the following communities: McDougald Terrace, JJ Henderson Senior Center, and Oldham Towers.
- Amendment to **Section 5.II.B** adopting a “two-offer” plan for offering units to applicants.
- Amendment to **Section 13.III.C** Dwelling Lease to include a provision requiring residents to attend four community meetings in a calendar year.
- Amendment to **Section 9.III.C** Community Service Requirement to consider 20 hours per week as the minimum number of hours needed to qualify for a work activity exemption.
- Amendment to **Section 9.I.B** Notification of and Participation in the Annual Reexamination Process in which any member of the household 18 years or older are required to participate in annual reexamination interviews.
- Amendment to **Section 9.II.C** Scheduling of Annual Reexaminations, where DHA will begin processing annual reexaminations for residents with flat rents 120 days prior to the scheduled effective date.
- Amendment to **Section 9.III.C** Required Reporting of Changes Affecting Income and/or Expenses in which DHA will conduct interim reexaminations.
- Addition to **Exhibit 6-2** of Annual Income Exclusions in include temporary employment payments by the U.S. Census Bureau and Guardianship Care Payments to children exiting the juvenile court system.
- Amendment to **Section 12.II.B** allowing elderly residents residing in family designated developments to transfer to a Senior Development.
- Amendment to **Section 13.III.F** Domestic Violence Policy to include the Violence Against Women Act.
- Addition to **Section 17.I.A** Miscellaneous Provisions for Occupancy by Police Officers.

#### Amendments only to the HCV Administrative Plan:

- Amendment to **Section 2-II.F Program Accessibility for Persons with Hearing or Vision Impairments** to incorporate the actual TTD/TTY telephone number and extension.
- Amendment to **Section 3-II.E Students Enrolled in Institutions of Higher Learning** to include a provision for students who are persons with disabilities receiving HCV assistance as of November 30, 2005. Also adding a Person with Disabilities clause stating how this classification is determined.
- Amendment to **Section 3-I.H Elderly and Near-Elderly Persons, and Elderly Family** correcting the near-elderly classification definition to persons 50-61 years of age.
- Amendment to **Section 3-I.J Guests** correcting the statement that unauthorized occupants constitute a violation of the HAP Contract, to reflect that this is actually a violation of the Family Obligations.

6.0

- Amendment to **Section 3-I.L Absent Family Members** adding the specification that if the absent family member is the head of household and other family members remain, the family will appoint a new head of household. In the event of a dispute about which family should become head of household, DHA will make determination based on available documentation.
- Amendment to **Section 3-III.D Screening** to include DHA's Crime By Family Member's Policy
- Amendment to **Section 3-III.G Prohibition Against Denial of Assistance to Victims of Domestic Violence, Dating Violence, and Stalking** specifying examples of an unfavorable history that would warrant denial under DHA's policies.
- Addition to **Section 4-II.C Opening and Closing the Waiting List** specifying the two newspapers in which notification will be published.
- Amendment to **Chapter 6 Income and Subsidy Determinations** to include the Standardization of zero income individuals, and the Standardization of 10 month employee's income calculation.
- Amendment to **Chapter 7 Verification** to include the Standardization of Third Party Verification Documentation.
- Amendment to **Section 7-II.E Verification of Student Status** to include a provision for students who are persons with disabilities receiving HCV assistance as of November 30, 2005.
- Amendment to **Section 7-III.K Parental Income of Students Subject to Eligibility Restrictions** to include a provision for students who are persons with disabilities receiving HCV assistance as of November 30, 2005.
- Amendment to **Section 11-I.D Determining Ongoing Eligibility of Certain Students** to include a provision for students who are persons with disabilities receiving HCV assistance as of November 30, 2005.
- Amendment to **Section 12-II.E Terminating the Assistance of Domestic Violence, Dating Violence, or Stalking Victims and Perpetrators** adding a new DHA Policy, outlining the factors DHA will use to determine whether or not a participant who is a victim of domestic or dating violence is an actual or imminent threat to other tenants (also informing any tenant who is determined to be a threat, of their right to request an informal hearing)
- Amendment to **Chapter 16, adding Part IX: Notification Regarding Applicable Provisions of Violence Against Women Reauthorization Act of 2005 (VAWA)**. This section outlines the guidelines which DHA must follow when informing participants of their rights under the VAWA Act, and also DHA's requirements to notify owners and managers of their obligations under this law. DHA Policy has been added to specify where the VAWA information will be posted.
- **Exhibit 16-1 – a Sample Notice to Housing Choice Voucher Applicants and Tenants Regarding the Violence Against Women Act (VAWA)** has been added to chapter 16, along with VAWA definitions and contact numbers.
- **Exhibit 16-2 – a Sample Notice to Housing Choice Voucher Owners and Managers Regarding the Violence Against Women Act (VAWA)** has been added to chapter 16 along with VAWA definitions, website, and contact numbers.

**(b) Specific locations where the public may obtain copies of the 5-Year and Annual PHA Plan:**

- Durham Housing Authority’s Central Office located at 330 East Main Street, Durham, NC 27701, 8:30 a.m. – 5:00 p.m.
  
- Durham Housing Authority Management Office locations, 8:30 a.m. – 5:00 p.m.:
  - McDougald Terrace, 1101 Lawson Street, Durham, NC 27701
  - Oldham Towers, 519 East Main Street, Durham, NC 27701
  - Cornwallis Road, 3000 Weaver Street, Durham, NC 27707
  - J J Henderson, 807 S. Duke Street, Durham, NC 27701
  - Morreene Road, 3412 Glasson Street, Durham, NC 27705
  - Oxford Manor, 3633 Keystone Place, Durham, NC 27704
  -
  
- HOPE VI Management Office location, 9:00 – 5:00 p.m.:
  - Main Street Townhomes, 600 East Main Street, Durham, NC 27701

**Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.**

**Eligibility, Selection and Admissions Policies**

Chapters 3 and 4 of the ACOP and the HCVAP indicate the eligibility requirements for the Public Housing and Housing Choice Voucher Program. Eligibility requirements include: family and household criteria, income criteria and limits, citizenship and eligible immigration status, documentation of social security numbers, and consent authorization documents.

DHA will select families based on established preferences within each bedroom size category and on the local housing needs and priorities. In addition to the eligibility criteria, families must meet DHA screening criteria as outlined in the ACOP and HCVAP.

**Deconcentration Procedure**

6.1

Chapter 4, Section III.B. Selection Method (Deconcentration of Poverty and Income-Mixing) of the ACOP explains that DHA provides for deconcentration of poverty and encourages income mixing by bringing higher-income families into lower-income communities and lower-income families into higher-income communities. In partnership with various Durham supportive service providers, DHA offers programs that help residents achieve self-sufficiency. The required deconcentration analysis is included as attachment nc013a01.

**Waiting List Procedure**

Chapter 4 of the ACOP and HCVAP outlines DHA’s policies for waiting list. These documents describe DHA’s policies on the application process, waiting list management, (which includes waiting list organization), opening and closing the waiting list, family outreach, reporting changes and criteria for updating and removal from the waiting list. DHA will maintain a centralized single community-wide waiting list, as well as site-based waiting list at the Management offices located in McDougald Terrace, JJ Henderson Housing Center and Oldham Towers.

DHA will close the waiting list for the community wide waiting list when the estimated waiting period for housing applicants on the list reaches 12 months for the most current applicants or six months for applicants on site based waiting lists. Where DHA has particular preferences or other criteria that require a specific category of family, DHA may select to continue to accept applications from these applicants while

closing the waiting list for others.

**Financial Resources**

**Sources**

**Planned \$**

**Planned Uses**

**1. Federal Grants (FY2010 grants)**

a. Public Housing Operating Fund  
(88% of 2009 subsidy request)

\$ 7,614,000

b. Public Housing Capital Fund

4,073,481

c. HOPE VI Revitalization

2,686,676

d. Annual Contributions for Section 8 Tenant-  
Based Assistance

20,720,000

e. ROSS Grants

434,000

**2. Prior year Federal Grants (unobligated funds)**

2007 Capital Fund Program

210,318

PH Capital Improvements

2008 Capital Fund Program

1,688,609

PH Capital Improvements

2008 Replacement Housing Factor

520,223

PH Capital Improvements

2009 American Recovery and Reinvestment Act

2,689,656

PH Capital Improvements

HOPE VI

412,679

PH Capital Improvements

6.2

**3. Public Housing Dwelling Rental Income**

Rental Income (2009 budget x 1.03)

3,596,000

PH Operations

**4. Other Income (listed below)**

Excess utility charges

37,000

PH Operations

Investment income

40,000

PH Operations

Other Miscellaneous Income – PH

250,000

PH Operations

Other Miscellaneous Income – HCV

30,000

HCV Operations

**5. Non-Federal sources (listed below)**

Building Family Strengths Grant (State grant)

11,000

PH Supportive Services

Carolina Hurricanes Grant

10,000

PH Supportive Services

GlaxoSmithKline Grant (Ribbons of HOPE)

12,500

PH Supportive Services

City of Durham

10,000

PH Supportive Services

21<sup>st</sup> Century Grant – NC Dept. of Instruction

300,000

PH Supportive Services

**Total Resources**

**\$ 45,346,142**

**Rent Determination**

DHA has decided to set the following rent policies for the conventional public housing program (PH).

A family's income determines eligibility for assistance and is also used to calculate the family's rent payment. DHA will use the policies and methods described in Chapter 6 of its ACOP and its HCVAP, as well as HUD regulations, to ensure that only eligible families receive assistance and that no family pays more or less than its obligation under the regulations.

Income-based rents are set at the higher of 30% of adjusted monthly income, or 10% of unadjusted monthly income. DHA will not employ any discretionary rent-setting policies for income based rent in public housing.

Flat Rents have been established based on the operating cost of the public housing units, rental value of the units, and DHA and Quality Housing and Work Responsibility Act (QHWRA) objectives for encouraging residents to work. DHA does not currently offer ceiling rents.

DHA's minimum rent is \$50.00. DHA has adopted minimum rent hardship exemption policies contained in Chapter 6 of the ACOP.

**6.3** Families paying minimum rent are required to report all income increases, including new employment, within ten (10) business days of the date the change takes effect so that DHA may recalculate rent. Interim reexaminations will only be conducted for families that qualify for the earned income disallowance (EID), and only when the EID family's rent will change as a result of the increase. In all other cases, DHA will note the information in the tenant file, but will not conduct an interim reexamination.

Individual saving accounts for residents (ISAs), as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year, has been implemented.

DHA has decided to set the following rent policies for the Housing Choice Voucher Program.

DHA is retaining the calculation of the participant's contribution at greatest of 30% of adjusted income, or 10% of monthly income.

DHA is not adding any income exclusions to the statutory requirements in the calculation of adjusted income.

As an incentive to help HCV program participants increase their income, DHA is not requiring that increases in income that occur between annual recertification are considered until the next annual reexamination following the change.

DHA will use the payment standard above 100% but at or below 110% of the FMR to increase the mobility of HCV program participants. The use of a higher payment standard is consistent with DHA's plan to afford participants the opportunity to relocate outside of poverty-impacted areas.

DHA has established a minimum total tenant payment of \$50.00.

**6.4 Operation and Management**

To fulfill its mission, DHA employs over one hundred twenty employees to carry out its daily activities. In addition to the Office of the Chief Executive Office, there are four major organizational areas: Finance and Administration, Occupancy and HCVP, HOPE VI Revitalization, and Housing Operations.

Housing Operations has the responsibility for ensuring that rules, standards and policies are established for governing maintenance and management of housing owned, assisted and operated by DHA.

To achieve its goals and objectives, DHA has successfully transitioned to site based management, by employing skilled and semi-skilled maintenance supervisors and technicians who perform a variety of trades to ensure quality service to DHA residents

DHA also employs a Technical Services department with licensed plumbers, electricians and HVAC staff to perform tasks that require specialized tradesman.

DHA contracts with a number of vendors and contractors to perform janitorial, lawn care, pest control or other functions to ensure prompt, effective and quality service to DHA customers.

DHA makes every effort to provide a healthy and pest-free environment for its residents. Treatments are scheduled on a quarterly basis using a primary bait gel application to address cockroach infestation and other vermin such as rodents, and termites, which is treated effectively through a licensed contractor. A minimum of 48 hours written notice is given to the resident prior to treatment application.

**6.5 Grievance Procedures**

Section 20 of DHA’s dwelling lease discloses the agency’s Grievance Policy and Procedure for public housing residents. The grievance procedure includes the necessary standards and criteria established for DHA residents to have a fair opportunity for a hearing regarding any DHA action or failure to act involving residents’ lease, rights or welfare.

**Designated Housing for Elderly and Disabled Families**

DHA has four communities designated for elderly and disabled families:

<b>Development Name and Number</b>	<b>Designation Type</b>	<b>Application Status</b>	<b>Date of Designation</b>	<b>Number of Units Effected</b>
Scattered Sites NC19P013000003	Elderly Only	Approved	Designation granted 2/5/07	50 Units
Forest Hill Heights NC19P013000014	Elderly Only	Approved	Designation granted 2/5/07	55 Units
J.J. Henderson NC19P013000009	Elderly Only	Approved	Designation granted 2/5/07	178 Units
HOPE VI Morning Glory Senior Village (Alston Manor) NC19P013000030	Elderly Only	Approved	Designation granted 2/5/07	25 Units

**6.7 Community Service and Self-Sufficiency**

In compliance with the Community Service and Self-Sufficiency Requirements for Public Housing, DHA has developed a plan of action and has secured grants and partnerships to accomplish self-sufficiency goals, as follows:

1.) Programs relating to services and amenities provided or offered to assisted families:

i. NAME AND DESCRIPTION OF PROGRAM

Through the Neighborhood Network grant, DHA has developed the following courses: Basic Computer skills for adults and high school children, Database management, GED classes, etc. Partnerships with higher education institutes and job training courses provide residents opportunities for self-sufficiency as outlined:

Partner	Classes
Durham Technical Community College	Computer Classes, Continuing Educations Classes
NC Elite Career Service Center	Job training courses
A1 Solution	Computer-based Adult Basic Education and GED classes.

2.) Programs have been implemented at DHA for the enhancement of residents' economic and social self-sufficiency. The following programs are designed to encourage, assist, train, or facilitate economic independence of assisted families, or to provide work for such families and increase resident self-responsibility.

ii. NAME AND DESCRIPTION OF PROGRAM

The Resident Opportunities for Self-Sufficiency (ROSS) Family-Homeownership and Family Self-Sufficiency grants coordinate and enhance services, and develop new programs to assist residents in making the transition from welfare to work. The programs provide coordination, recruitment and case management assistance needed by public housing residents in finding and maintaining employment to achieve self-sufficiency. DHA partners with job training agencies, institutions of higher learning, financial management and employers that provide resident opportunities for self-sufficiency as outlined:

Partner	Classes
Staffmark, Inc.	Job placement
North Carolina Cooperative Extension Service	Financial education classes
Durham Job Link Career Center	Job readiness and placement services

3.) DHA will comply with the requirements of community services and treatment of income changes resulting from welfare program requirements as follows:

DHA developed a plan of action to meet this mandate. The Resident Services Director works closely with Property Management to implement the program. The Property Management staff enforce this mandate. The Resident Councils provide appropriate assistance as needed.

DHA's community service program allows for full compliance with HUD requirements of eight hours (8) per month for community service, self-sufficiency activities or a combination of both. It offers two components from which residents will be able to choose: 1) an intense job skills and training program provided through the Resident Services department and 2) community/volunteer service coordinated by the resident. This level of activity and flexibility promotes program participation and compliance.

Residents, who qualify for the exemption status, must complete a community service exception form and will be provided with detailed information regarding what documents are necessary for certification, as well as cut-off dates for compliance. Any change in resident exemption status must be reported immediately to DHA for proper follow-up and the recertification/verification process.

Resident Services and Property Management staff monitor residents required to participate in the program.

If the Property Manager determines that the community service requirement has not been met, the resident will be given the opportunity to cure the noncompliance.

	<p>The noncompliant household member and the head of household must sign a noncompliance form and cure agreement.</p> <p>The Property Manager will offer the household member(s) the opportunity to enter into a cure agreement prior to the anniversary of the lease. The Property Manager will forward the cure agreement to the Recertification Manager and Supportive Services Coordinator.</p> <p>If any household member(s) does not accept the terms of the cure agreement, or falls behind in their obligation under the agreement to perform community service, the Property Manager shall take action to terminate the lease.</p>
<p><b>6.8</b></p>	<p><b>Safety and Crime Prevention</b></p> <p>i) A description of the need for measures to ensure safety of public housing residents:</p> <p>There have been incidences of violent and/or drug-related crime in some of DHA's developments as well as areas surrounding or adjacent to DHA's developments. Residents have become fearful for their safety and the safety of their children. Lower level crime has been observed such as vandalism and graffiti. People on the waiting list have been unwilling to move into one or more developments due to perceived and actual levels of violence and drug-related crime. There have also been incidences of drive by shootings due to non-residents preying on DHA families, which may be due to gang related activities.</p> <p>ii) A description of any crime prevention activities conducted or to be conducted by the PHA:</p> <p>DHA will use sworn Durham City Police Officers to provide law enforcement services in public housing communities. In addition, DHA will secure HUD approval for two (2) live-in police officers, - one officer shall occupy a unit at Oldham Towers, and the other officer shall occupy a unit at J.J. Henderson in order to provide an increased sense of security for these residents. The Terms of Tenancy for Police Officers is outlined in DHA's ACOP.</p> <p>DHA has also implemented its Crime Prevention Task Force, which will develop individual crime prevention action plans specific to each community's needs. DHA may also consider contracting with outside security personnel for the provision of crime prevention activities, as well as implementing volunteer resident patrol programs.</p> <p>DHA has employed a Resident Safety Coordinator who is solely responsible for coordinating all crime prevention activities. A grant has been submitted for the Bureau of Justice Assistance (BJA) FY 09 Recovery Act Edward Byrne Memorial Competitive Grant Program to obtain additional resources for crime prevention activities.</p> <p>iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention activities:</p> <p>DHA works closely with the Durham Police Department to ensure the safety of public housing residents. It is the mission of the Durham Police Department to establish a total partnership with the citizens of Durham whereby the Police Department and all citizens are totally committed to work in harmony to preserve life; protect property; maintain human rights/equality; and promote individual responsibility and community commitment. The City of Durham has developed a Comprehensive Plan designed to increase the safety and security of residents by involving community agencies in reducing criminal activity.</p>
<p><b>6.9</b></p>	<p><b>Pets</b></p> <p>Chapter 10 of the ACOP explains DHA's policies on pet ownership in designated communities. The rules</p>

adopted are reasonably related to the legitimate interest of DHA to provide a decent, safe and sanitary living environment for all tenants, and to protect and preserve the physical condition of the property, as well as the financial interest of DHA. This policy also explains the exemption of assistive animals, which are allowed to reside in public housing communities with applicable restrictions waived.

All pets are to be inoculated and licensed in accordance with state and local laws. The resident must provide an annual update on pet certification and inoculations, as well as information on spaying or neutering.

### **Civil Rights Certification**

The DHA certifies that it will carry out the Public Housing Program of the agency in conformity with title VI of the Civil Rights Act, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with disabilities Act of 1990, and it will affirmatively further fair housing.

DHA has adopted policies that promote non-discrimination, specifically prohibit discrimination on the basis of the following: race, color, sex, age, religion, disability, handicap, national origin and family status. DHA policies ensure consistent application of program rules, services, and procedures for all applicants and participants. Further, DHA recognizes the definition of a person with a disability, for purposes of granting a reasonable accommodation request under section 504, FHAA or the ADA, is much broader than the HUD/Social Security definition of "disability". Therefore, DHA will only apply the standard as defined in 29 U.S.C. sections 706(8) (B) when verifying the need for a reasonable accommodation or modification to assisted units. DHA employs a grievance procedure to provide due process whenever a request from an applicant, participant or resident is denied for accommodation.

### **6.10 Analysis of Impediments to Fair Housing choice**

DHA reviews its policies at least annually to identify any impediments to fair housing choice within the programs administered. When it is found that impediments exist, DHA revises its policies, redesigns the applicable procedures and provides training to the staff to address and manage areas of concern or potential exposure.

### **Affirmatively Further Fair Housing**

DHA is part of a community partnership which works with the City of Durham to affirmatively further fair housing by providing training and guidance within the locality. Information is disseminated citywide using local newspapers, the media and other means. To support the City's commitment to non-discrimination and equal opportunity in housing, the City of Durham makes special efforts to assure that housing programs assisted with federal or local funds are made widely known throughout the community. DHA uses the Fair Housing logo on all publications and informational material distributed to the public and indicates the TTD/TTY number on all letterhead.

DHA affirmatively markets to races/ethnicities shown to have disproportionate housing needs through local service providers. DHA procures services from the Language Line Interpretation Service to aid in communication with persons with Limited English Proficiency. Special outreach is provided for the Hispanic population of the community which includes employing Housing Specialist who speak the Spanish language, translating documents and brochures and providing

	<p>program materials to organizations serving the Hispanic community. When requested, DHA will hold owner orientations, HCVP briefings and PH pre-occupancy orientations for Spanish speaking applicants and other interested parties.</p> <p>DHA has reviewed the City of Durham's Consolidated Plan and certifies that the Annual Plan is consistent with the City's Consolidated Plan.</p>
6.11	<p><b>Fiscal Year Audit</b></p> <p>The most recent fiscal year audit for DHA was the FY 2007 audit. This audit was submitted to HUD. Five findings were cited. Two of the five findings remain outstanding. DHA developed a Corrective Action Plan to address all findings cited in the audit and submitted it to HUD, the Office of the State Treasurer for the State of North Carolina, and our independent auditors.</p>
6.12	<p><b>Asset Management</b></p> <p>On September 19, 2005, the U.S. Department of Housing and Urban Development (HUD) published regulations requiring housing authorities with more than 250 units to convert to asset management by FY 2011. DHA has been proactive in positioning the Authority to make a smooth transition by making asset management a top priority in its Five-Year Business and Strategic Plan.</p> <p>DHA's first step in transitioning to asset management was implemented April 2006. The Authority reorganized its Housing Operations Department by eliminating its centralized maintenance function and transferred all routine service requests to the site level. DHA also implemented site based procurement of materials and supplies to the Asset Management Projects (AMP's). DHA has implemented site based budgeting by providing its property managers with the Authority to authorize, plan, purchase and monitor property expenditures at the AMP level. As the authority moves forward with being in full compliance with Asset Management, DHA contracted with a consultant to develop a repositioning strategy. The repositioning strategy provides recommendations for how the agency may address the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs of our inventory. Also see Section 7.0.</p>
6.13	<p><b>Violence Against Women Act (VAWA)</b></p> <p>In accordance with VAWA, DHA assisted residents of public housing and applicants and voucher holders of project-based and tenant-based programs by establishing policies that enable the housing authority to serve the needs of child and adult victims of domestic violence, dating violence, sexual assault or stalking. DHA does not currently offer any activities, services or programs for victims to obtain or maintain housing; nor does DHA offer activities, services or programs to enhance victim safety or prevent violence in this category.</p> <p><b>DHA has included procedures to assure applicants and residents are aware of their rights under the Violence Against Woman Act as described in Chapter 13 of the ACOP and Chapters 3 and 12 of the HCVAP.</b></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> <i>Include statements related to these programs as applicable</i></p> <p><b>A) Hope VI or Mixed Finance Modernization or Development</b></p> <p>Durham Housing Authority plans to apply for HOPE VI, or Mixed Finance Modernization or Development as described below:</p>

**HOPE VI or Mixed Finance Modernization or Development**

- 1a. Development Name:** Oldham Towers, Public Housing Development
- 1b. Development (project) number:** NC013-04
- 1c. Description of development:** This rental development has one seven-story dwelling unit building and one non-dwelling unit building used to house the Resident Services Department. Elderly and non-elderly disabled individuals occupy the units. The complex consists of 50 zero-bedroom, 53 one-bedroom and 3 three-bedroom units. Oldham Towers is adjacent to Main Street Townhomes, the first completed HOPE VI rental housing complex. It is also located directly across from the proposed site of the Durham County Human Services Complex.
- 2. Activity Type:** Mixed Finance Modernization or Development
- 3. Application Status:** Planned application
- 4. Date application planned for submission:** 12/31/2010
- 5. Number of units affected:** 106  
**Coverage of action:** Total development
- 6. Timeline for activity:**
  - a. Projected start date of activity:** 09/01/2011
  - b. Projected end date of activity:** 12/31/2014

**HOPE VI or Mixed Finance Modernization or Development**

- 1a. Development Name:** Liberty Street, Public Housing Development
- 1b. Development (project) number:** NC013-06
- 1c. Description of development:** This rental development has twenty-six dwelling unit buildings and one non-dwelling unit building. Families occupy the row type structures and elderly individuals occupy the two-story walk-up structures. The unit size bedroom distribution includes 32 one-bedroom, 47 two-bedroom and 29 three-bedroom units. This site is adjacent to Main Street Townhomes, the first completed HOPE VI rental housing complex.
- 2. Activity Type:** Mixed Finance Modernization or Development
- 3. Application Status:** Planned application
- 4. Date application planned for submission:** 12/31/2011
- 5. Number of units affected:** 108  
**Coverage of action:** Total development
- 6. Timeline for activity:**
  - a. Projected start date of activity:** 09/01/2012
  - b. Projected end date of activity:** 12/31/2015

**HOPE VI or Mixed Finance Modernization or Development**

- 1a. Development Name:** Club Boulevard, Public Housing Development
- 1b. Development (project) number:** NC013-07
- 1c. Description of development:** This rental development has seventy-seven dwelling unit buildings and one non-dwelling unit building. Families occupy single family structures. The unit size bedroom distribution includes 54 three-bedroom and 23 four-bedroom rental home units.
- 2. Activity Type:** Mixed Finance Modernization or Development
- 3. Application Status:** Planned application
- 4. Date application planned for submission:** 12/31/2012
- 5. Number of units affected:** 77  
**Coverage of action:** Total development
- 6. Timeline for activity:**
  - a. Projected start date of activity:** 09/01/2014
  - b. Projected end date of activity:** 12/31/2017

	<p style="text-align: center;"><b>HOPE VI or Mixed Finance Modernization or Development</b></p> <p><b>1a. Development Name:</b> Forest Hills, Public Housing Development  <b>1b. Development (project) number:</b> NC013-14  <b>1c. Description of development:</b> This rental development has eight dwelling unit buildings and one non-dwelling unit building. Elderly individuals occupy the row type structures. The unit size bedroom distribution includes 20 zero-bedroom and 35 one-bedroom rental units.  <b>2. Activity Type:</b> Mixed Finance Modernization or Development  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 12/31/2010  <b>5. Number of units affected:</b> 55  <b>Coverage of action:</b> Total development  <b>6. Timeline for activity:</b>      <b>a. Projected start date of activity:</b> 09/01/2012      <b>b. Projected end date of activity:</b> 12/31/2015</p>
	<p style="text-align: center;"><b>HOPE VI or Mixed Finance Modernization or Development</b></p> <p><b>1a. Development Name:</b> Edgemont Elms, Affordable Housing Development  <b>1b. Development (project) number:</b> NC013-21  <b>1c. Description of development:</b> This rental development has eleven dwelling unit buildings. Families occupy the row type structures. The unit size bedroom distribution includes 40 two-bedroom and 18 three-bedroom rental units.  <b>2. Activity Type:</b> Mixed Finance Modernization and/or Development  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 09/30/2009  <b>5. Number of units affected:</b> 30 of 58  <b>Coverage of action:</b> Initially the agency will seek HUD approval to convert 30 of Edgemont Elms market rate units into public housing units. Once this approval is granted, DHA will further seek HUD approval to use Replacement Housing Factor (RHF) funds to acquire and/or rehabilitate the 30 units to be utilized as new public housing units. However, the long-term goal is to address the physical needs of the total development through application of other funding opportunities.  <b>6. Timeline for activity:</b>      <b>a. Projected start date of activity:</b> 02/28/2010      <b>b. Projected end date of activity:</b> 04/30/2011</p>
	<p style="text-align: center;"><b>HOPE VI or Mixed Finance Modernization or Development</b></p> <p><b>1a. Development Name:</b> Edgemont Elms, Affordable Housing Development  <b>1b. Development (project) number:</b> NC013-21  <b>1c. Description of development:</b> This rental development has eleven dwelling unit buildings. Families occupy the row type structures. The unit size bedroom distribution includes 40 two-bedroom and 18 three-bedroom rental units.  <b>2. Activity Type:</b> Mixed Finance Modernization and/or Development  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 01/30/2010  <b>5. Number of units affected:</b> 42 of 58  <b>Coverage of action:</b> The agency will seek various funding opportunities to rehabilitate the remaining 28 market rate units. The long-term goal is to address the physical needs of the total development through application of other funding opportunities.  <b>6. Timeline for activity:</b>      <b>a. Projected start date of activity:</b> 01/30/2011      <b>b. Projected end date of activity:</b> 01/30/2012</p>

	<p style="text-align: center;"><b>HOPE VI or Mixed Finance Modernization or Development</b></p> <p><b>1a. Development Name:</b> Woodridge Commons, Affordable Housing Development Alternative #1  <b>1b. Development (project) number:</b> NC013-31  <b>1c. Description of development:</b> This rental development has seven dwelling unit buildings. Families occupy the walk-up and garden-style type structures. The unit size bedroom distribution includes 32 two-bedroom and 6 three-bedroom rental units.  <b>2. Activity Type:</b> Mixed Finance Modernization and/or Development  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 08/31/2009  <b>5. Number of units affected:</b> 10 of 38  <b>Coverage of action:</b> Initially the agency will seek HUD approval to convert 10 of the Woodridge Commons market rate units into public housing units. Once this approval is granted, DHA will further seek HUD approval to use Replacement Housing Factor (RHF) funds to acquire and/or rehabilitate the 10 units to be utilized as new public housing units. However, the long-term goal is to address the physical needs of the total development through application of other funding opportunities.  <b>6. Timeline for activity:</b>  <b>a. Projected start date of activity:</b> 02/28/2010  <b>b. Projected end date of activity:</b> 04/30/2011</p>
	<p style="text-align: center;"><b>HOPE VI or Mixed Finance Modernization or Development</b></p> <p><b>1a. Development Name:</b> Goley Street, Affordable Housing Development  <b>1b. Development (project) number:</b> Unknown  <b>1c. Description of development:</b> This rental development will consist of up to 45 dwelling units. Families will occupy the walk-up, row-house and semi-detached type structures. The unit size bedroom distribution is anticipated to include 22 two-bedroom and 23 three-bedroom rental units.  <b>2. Activity Type:</b> Mixed Finance Modernization and/or Development  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 01/31/2010  <b>5. Number of units affected:</b> 45  <b>Coverage of action:</b> The agency will seek HUD approval to develop a mixed finance community of affordable rental units, to include public housing, tax credit and/or a few market rate units. DHA will seek various funding streams, to include low-income housing tax credits, to develop the units.  <b>6. Timeline for activity:</b>  <b>a. Projected start date of activity:</b> 01/28/2011  <b>b. Projected end date of activity:</b> 06/30/2012</p>
	<p style="text-align: center;"><b>HOPE VI or Mixed Finance Modernization or Development</b></p> <p><b>1a. Development Name:</b> Housing 400 Initiative, Affordable Supportive Housing Development  <b>1b. Development (project) number:</b> Unknown  <b>1c. Description of development:</b> This rental development will consist of up to 2 dwelling unit buildings. Individuals will occupy the walk-up and/or garden-style type structures. The unit size bedroom distribution is anticipated to include one-and two-bedroom rental units, and a unit for the supportive services manager.  <b>2. Activity Type:</b> Mixed Finance Modernization and/or Development  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 01/31/2010  <b>5. Number of units affected:</b> up to 25  <b>Coverage of action:</b> The agency will seek the appropriate approvals, to include HUD approval, to develop "independent and supportive living apartments for persons with disabilities" that are affordable to persons with incomes at or below 30% of the area median income level. DHA will seek various funding streams, to include capital funds made available through the North Carolina Housing Finance Agency, to develop the units.  <b>6. Timeline for activity:</b>  <b>a. Projected start date of activity:</b> 01/28/2011</p>

	<p><b>b. Projected end date of activity:</b> 4/30/2012</p>
	<p style="text-align: center;"><b>HOPE VI or Mixed Finance Modernization or Development</b></p> <p><b>1a. Development Name:</b> McDougald Terrace, Affordable Housing Development  <b>1b. Development (project) number:</b> NC013-01  <b>1c. Description of development:</b> This rental development has fifty-nine dwelling unit buildings and one non-dwelling unit building. Families occupy the row type brick veneer structures. The unit size bedroom distribution includes 59 one-bedroom, 136 two-bedroom, 100 three-bedroom, 60 four-bedroom and 5 five-bedroom rental units.  <b>2. Activity Type:</b> Mixed Finance Modernization and/or Development  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 01/28/2012  <b>5. Number of units affected:</b> 360  <b>Coverage of action:</b> Total development  <b>6. Timeline for activity:</b>      <b>a. Projected start date of activity:</b> 01/28/2014      <b>b. Projected end date of activity:</b> 04/30/2017</p>
<p><b>7.0</b></p>	<p><b>B) Demolition and/or Disposition</b></p> <p>Durham Housing Authority plans to conduct demolition and disposition activities (pursuant to Section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1427p) as follows:</p>
	<p style="text-align: center;"><b>Demolition and/or Disposition Activity Description</b></p> <p><b>1a. Development Name:</b> Oldham Towers, Public Housing Development  <b>1b. Development (project) number:</b> NC013-04  <b>1c. Description of development:</b> This rental development has one seven-story dwelling unit building and one non-dwelling unit building used to house the Resident Services Department. Elderly and non-elderly disabled individuals occupy the units. The complex consists of 50 zero-bedroom, 53 one-bedroom and 3 three-bedroom units. Oldham Towers is adjacent to Main Street Townhomes, the first completed HOPE VI rental housing complex. It is also located directly across from the proposed site of the Durham County Human Services Complex.  <b>2. Activity Type:</b> Demolition and Disposition  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 12/31/2010  <b>5. Number of units affected:</b> 106  <b>Coverage of action:</b> Total development  <b>6. Timeline for activity:</b>      <b>a. Projected start date of activity:</b> 09/01/2011      <b>b. Projected end date of activity:</b> 12/31/2012</p>
	<p style="text-align: center;"><b>Demolition and/or Disposition Activity Description</b></p> <p><b>1a. Development Name:</b> Club Boulevard, Public Housing Development  <b>1b. Development (project) number:</b> NC013-07  <b>1c. Description of development:</b> This rental development has seventy-seven dwelling unit buildings and one non-dwelling unit building. Families occupy single family structures. The unit size bedroom distribution includes 54 three-bedroom and 23 four-bedroom rental home units.  <b>2. Activity Type:</b> Demolition and Disposition  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 12/31/2012  <b>5. Number of units affected:</b> 77  <b>Coverage of action:</b> Total development  <b>6. Timeline for activity:</b></p>

	<p><b>a. Projected start date of activity:</b> 09/1/2013  <b>b. Projected end date of activity:</b> 12/31/2014</p>
	<p style="text-align: center;"><b>Demolition and/or Disposition Activity Description</b></p> <p><b>1a. Development Name:</b> Forest Hills, Public Housing Development  <b>1b. Development (project) number:</b> NC013-14  <b>1c. Description of development:</b> This rental development has eight dwelling unit buildings and one non-dwelling unit building. Elderly individuals occupy the row type structures. The unit size bedroom distribution includes 20 zero-bedroom and 35 one-bedroom rental units.  <b>2. Activity Type:</b> Demolition and Disposition  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 12/31/2010  <b>5. Number of units affected:</b> 55  <b>Coverage of action:</b> Total development  <b>6. Timeline for activity:</b>  <b>a. Projected start date of activity:</b> 09/01/2011  <b>b. Projected end date of activity:</b> 12/31/2012</p>
	<p style="text-align: center;"><b>Demolition and/or Disposition Activity Description</b></p> <p><b>1a. Development Name:</b> Liberty Street, Public Housing Development  <b>1b. Development (project) number:</b> NC013-06  <b>1c. Description of development:</b> This rental development has twenty-six dwelling unit buildings and one non-dwelling unit building. Families occupy the row type structures and elderly individuals occupy the tow-story walk-up structures. The unit size bedroom distribution includes 32 one-bedroom, 47 two-bedroom and 29 three-bedroom units. This site is adjacent to Main Street Townhomes, the first completed HOPE VI rental housing complex.  <b>2. Activity Type:</b> Demolition and Disposition  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 12/31/2011  <b>5. Number of units affected:</b> 108  <b>Coverage of action:</b> Total development  <b>6. Timeline for activity:</b>  <b>a. Projected start date of activity:</b> 09/01/2012  <b>b. Projected end date of activity:</b> 12/31/2013</p>
	<p style="text-align: center;"><b>Demolition and/or Disposition Activity Description</b></p> <p><b>1a. Development Name:</b> McDougald Terrace, Affordable Housing Development  <b>1b. Development (project) number:</b> NC013-01  <b>1c. Description of development:</b> This rental development has fifty-nine dwelling unit buildings and one non-dwelling unit building. Families occupy the row type brick veneer structures. The unit size bedroom distribution includes 59 one-bedroom, 136 two-bedroom, 100 three-bedroom, 60 four-bedroom and 5 five-bedroom rental units.  <b>2. Activity Type:</b> Partial Demolition  <b>3. Application Status:</b> Planned application  <b>4. Date application planned for submission:</b> 07/31/2010  <b>5. Number of units affected:</b> 14 (2 buildings)  <b>Coverage of action:</b> Part of the development initially  <b>6. Timeline for activity:</b>  <b>a. Projected start date of activity:</b> 09/01/2010  <b>b. Projected end date of activity:</b> 12/31/2010</p>

	<p style="text-align: center;"><b>Demolition and/or Disposition Activity Description</b></p> <p><b>1a. Development Name:</b> McDougald Terrace, Affordable Housing Development</p> <p><b>1b. Development (project) number:</b> NC013-01</p> <p><b>1c. Description of development:</b> This rental development has fifty-nine dwelling unit buildings and one non-dwelling unit building. Families occupy the row type brick veneer structures. The unit size bedroom distribution includes 59 one-bedroom, 136 two-bedroom, 100 three-bedroom, 6- four-bedroom and 5 five-bedroom rental units.</p> <p><b>2. Activity Type:</b> Demolition and Disposition</p> <p><b>3. Application Status:</b> Planned application</p> <p><b>4. Date application planned for submission:</b> 01/28/2012</p> <p><b>5. Number of units affected:</b> 346</p> <p><b>Coverage of action:</b> Total development / The remainder of the development</p> <p><b>6. Timeline for activity:</b></p> <p style="padding-left: 20px;"><b>a. Projected start date of activity:</b> 01/28/2013</p> <p style="padding-left: 20px;"><b>b. Projected end date of activity:</b> 4/30/2014</p>
	<p style="text-align: center;"><b>Demolition and/or Disposition Activity Description</b></p> <p><b>1a. Development Name:</b> Woodridge Commons, Affordable Housing Development Alternative #2</p> <p><b>1b. Development (project) number:</b> NC013-31</p> <p><b>1c. Description of development:</b> This rental development has seven dwelling unit buildings. Families occupy the walk-up and garden-style type structures. The unit size bedroom distribution includes 32 two-bedroom and 6 three-bedroom rental units.</p> <p><b>2. Activity Type:</b> Disposition</p> <p><b>3. Application Status:</b> Planned application</p> <p><b>4. Date application planned for submission:</b> 09/30/2009</p> <p><b>5. Number of units affected:</b> 38</p> <p><b>Coverage of action:</b> Initially the agency will seek HUD approval to convert 10 of the Woodridge Commons market rate units into public housing units. However, as a second alternative, DHA will seek the appropriate approvals to dispose of the 38-unit complex.</p> <p><b>6. Timeline for activity:</b></p> <p style="padding-left: 20px;"><b>a. Projected start date of activity:</b> 03/31/2010</p> <p style="padding-left: 20px;"><b>b. Projected end date of activity:</b> 04/30/2011</p>
<p style="text-align: center;"><b>7.0</b></p>	<p><b>C) Conversion of Public Housing</b></p> <p>With respect to public housing owned by a PHA:</p> <ol style="list-style-type: none"> <li>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: <ul style="list-style-type: none"> <li>Durham Housing Authority has no buildings or units that are required to be converted to tenant-based assistance. In addition, Durham Housing Authority does not plan to voluntarily convert buildings or units.</li> </ul> </li> <li>2) An analysis of the projects or buildings required to be converted: <ul style="list-style-type: none"> <li>No buildings or units are required to be converted; therefore no analysis is required.</li> </ul> </li> <li>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: <ul style="list-style-type: none"> <li>No buildings or units are required to be converted; therefore no assistance will be received.</li> </ul> </li> <li>4) Durham Housing Authority completed its voluntary conversion assessments and has submitted it in past agency plans as follows:</li> </ol>

VOLUNTARY CONVERSION INITIAL ASSESSMENTS

- a. How many of the PHA’s developments are subject to the Required Initial Assessments?  
**Nine**
- b. How many of the PHA’s developments are not subject to the Required Initial Assessments based on exemptions (e.g., elderly and/or disabled developments not general occupancy projects)?  
**Four.** There are four designated elderly communities.
- c. How many Assessments were conducted for the PHA’s covered Developments?  
**Nine**
- d. Identify PHA developments that may be appropriate for conversion based on the Required Initial Assessments:

Development Name	Number of Units
Liberty Street	108
Damar Court	102
Oxford Manor	172
Cornwallis Road	200

In addition, a repositioning strategy study, dated 2/19/2009, included a voluntary conversion analysis which indicated that none of Durham Housing Authority properties passed the cost-effectiveness test, i.e. the cost to operate the projects must exceed the cost of providing tenant-based assistance. Therefore no Durham Housing Authority property meets the Voluntary Conversion Program criteria.

**D) Homeownership**

Durham Housing Authority plans to apply for funds to conduct homeownership activities as follows:

**Homeownership Activity Description**

7.0

- 1a. Development Name:** HOPE VI Edgemont Homeownership
- 1b. Development (project) number:** Not applicable
- 1c. Description of development:** This homeownership development will be built on a portion of the former Few Gardens site (Edgemont B) and on a site located between the HOPE VI Calvert A and B sites (Edgemont A). The Edgemont A site will consist of up to 24 homes and the Edgemont B site will consist of up to 26 homes. This homeownership development will consist of one- and two-story for-sale single-family homes affordable to persons earning 80% or less of the area median income level. The homes will be two-, three- and four-bedroom homes.
- 2. Activity Type:** Homeownership
- 3. Application Status:** Planned application
- 4. Date application planned for submission:** 07/31/2009
- 5. Number of units affected:** up to 50  
**Coverage of action:** Total development
- 6. Timeline for activity:**
  - a. Projected start date of activity:** 09/01/2009
  - b. Projected end date of activity:** 12/31/2012

### Homeownership Activity Description

**1a. Development Name:** Undeveloped parcels, Affordable Housing Development

**1b. Development (project) number:** Unknown

**1c. Description of development:** This homeownership development will consist of up to 13 single-family homes that will sold on individuals at or below 80% of the area median income level. Families will occupy the walk-up and/or garden-style type structures. The unit size bedroom distribution is anticipated to include two, three and four-bedroom single-family homes that will be sold, leased and/or rented.

**2. Activity Type:** Mixed Finance Modernization and/or Development

**3. Application Status:** Planned application

**4. Date application planned for submission:** 01/28/2010

**5. Number of units affected:** up to 13

**Coverage of action:** The agency will seek the appropriate approvals, to include HUD approval, to develop "independent and supportive living apartments for persons with disabilities" that are affordable to persons with incomes at or below 30% of the area median income level. DHA will seek various funding streams, to include capital funds made available through the North Carolina Housing Finance Agency, to develop the units.

**6. Timeline for activity:**

**a. Projected start date of activity:** 01/28/2011

**b. Projected end date of activity:** 04/30/2012

#### Durham Housing Authority Homeownership Program

Durham Housing Authority (DHA) administers a Homeownership Program which permits eligible participants in the Housing Choice Voucher Program, Public Housing Program, and HOPE VI Program the option of receiving financial literacy training, homebuyer education, counseling, and assistance with the home buying process. In addition, housing choice voucher holders may exercise the option of purchasing a home while using their voucher assistance.

More specifically, DHA's Homeownership Program Administrative Plan includes a Homeownership Option which specifies the following criteria:

1. Participants must have a minimum gross income of \$18,600 annually (elderly and disabled families are exempt from this requirement).
2. Participants must have full-time employment for at least one consecutive year (elderly and disabled families are exempt from this requirement).
3. Participants must enroll and complete all required pre-purchase counseling and homebuyer's education courses.
4. Participants must make a minimum down payment of 3% of the sales price. At least 1% of the down payment, or \$500, whichever is greater, must come from the family's resources.
5. The financing terms must be approved by DHA to deter predatory lending practices, ensure compliance with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards.
6. Participants must be first-time homeowners.

DHA's Housing Choice Voucher Administrative Plan includes a Homeownership Option which specifies the following criteria:

1. Establishes a minimum homeowners down payment requirement of at least 3 percent and requires that at least 1 percent of the down payment come from the family's resources;
2. Requires that financing for purchase of a home under the HCV homeownership program 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.
	<p><b>(e) Project-based Vouchers</b></p> <p>DHA administers a project-based voucher program contract that encompasses 24 units of designated housing for the elderly and persons with a disability who require supportive services. The project is supported by the City and County of Durham Continuum of Care (CoC) and is part of the 10-year Plan to End Homelessness. DHA may seek approval, if eligible, to apply for an additional allocation of available funding to support the objectives of the CoC. No more than 20 percent of the baseline allocation will be committed for the project based voucher program. No project greater than 60 units will be considered.</p> <p>Project-based vouchers will be used primarily as a method for making projects for hard to house populations financially feasible, consistent with our objective of leveraging private and public funds to create additional housing opportunities. DHA will solicit proposals by using utilizing the request for proposals to procurement method. DHA shall not limit proposals to a single site or impose restrictions that explicitly or practically preclude owner submission of proposals for project-based voucher housing on different sites.</p> <p>No project that is located in a census tract with a poverty rate greater than twenty percent will be considered, unless granted an exception by HUD. Site selection standards shall comply with 24 CFR Part 983.57. Project-based assistance for housing at the selected site must be consistent with the goal of deconcentrating poverty and expanding housing and economic opportunities.</p>
<b>8.0</b>	<b>Capital Improvements.</b> Please complete Parts 8.1 through 8.3, as applicable.
<b>8.1</b>	<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.</p> <p>Capital Fund Program (CFP) information is attached as follows:</p> <p>2004 CFP Annual Statement/Performance and Evaluation Report <b>FINAL</b> – attachment nc013b01  2005 CFP Annual Statement/Performance and Evaluation Report <b>FINAL</b> – attachment nc013c01  2006 CFP Annual Statement/Performance and Evaluation Report – attachment nc013d01  2007 CFP Annual Statement/Performance and Evaluation Report – attachment nc013e01  2008 CFP Annual Statement/Performance and Evaluation Report – attachment nc013f01  2008 CFP RHF Annual Statement/Performance and Evaluation Report – attachment nc013g01  2009 ARRA CFP Annual Statement/Performance and Evaluation Report – attachment nc013h01  2010 CFP Annual Statement – attachment nc013i01  Actual Modernization Cost Certificate – 2004 CFP – attachment nc013k01  Actual Modernization Cost Certificate – 2005 CFP – attachment nc013l01</p>
<b>8.2</b>	<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.</p>

**Capital Fund Financing Program (CFFP).**

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.

8.3

Durham Housing Authority (DHA) intends to submit a proposal application to participate in the Capital Fund Financing Program (CFFP), in order to address the immediate needs of its aging public housing stock, as identified in the Physical Needs Assessment Report - June 2008, and the Energy and Water Conservation Audits Report - May 2006. The CFFP, authorized under the 1998 Quality Housing and Work Responsibility Act (QHWRA), will enable DHA to borrow a larger sum of funds now (bond financing or conventional loan) and repay with future capital fund allocations. Up to 33% of future capital fund appropriations (subject to the availability of appropriations) may be used for debt service. The proceeds will be utilized for capital fund eligible expenses, to include the cost of financing.

Specifically, DHA, intends to utilize the proceeds to accomplish the following eligible activities:

- Gap financing in a mixed-finance transaction for the demolition, disposition, and revitalization of the NC13-1 McDougald Terrace, NC13-4 Oldham Towers, NC13-6 Liberty Street, NC13-7 Club Boulevard, and NC13-14 Forest Hill Heights Developments.
- Financing for the comprehensive rehabilitation of the NC13-5 Cornwallis Road, NC13-10 Morreene Road, and NC13-11 Damar Court Developments.

**Housing Needs.** 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.

DHA has included the objectives identified in the Housing Needs Section of the Consolidated Plan for our jurisdiction. It shows there is a significant need for additional affordable housing resources in our community.

The City of Durham has identified the following needs and objectives based on a study of the 2000 Census:

9.0

**Priority Need – Neighborhood Stabilization and Revitalization**

Many of Durham’s inner-city neighborhoods continue to be plagued by disinvestment and declining rates of homeownership. The physical blight represented by deteriorating and boarded-up structures and the fear and perception of crime are major concerns throughout the City.

Objective: Stabilize and revitalize inner-city neighborhoods by focusing resources on strategically selected target areas to eliminate blighting influences, increase the rate of homeownership and reduce the fear and perception of crime.

**Priority Need – Special Needs Housing**

There is a shortage of safe, decent and affordable housing available to special needs populations.

Objective: Increase the supply of affordable rental housing for the special needs populations, especially those with disabilities.

**Priority Need – Homeownership**

Homeownership is one of the primary means by which lower income households can accumulate wealth. Additionally, homeownership is a major component in creating neighborhood stability and vitality.

Objective: Continue to support programs to make homeownership more affordable to LMI (Low and Middle Income) buyers.

**Priority Need – Housing Rehabilitation and Repair**

The cost burden experienced by low and very low-income homeowners makes it difficult for existing homeowners to complete general repairs and maintenance on their homes.

Objective: Preserve the existing owner-occupied housing inventory of low-income households and enable frail elderly and disabled owner-occupants to remain in their homes and, where possible, avoid institutionalization.

**Strategy for Addressing Housing Needs.** 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.  
**Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.**

Durham Housing Authority is a partner with the City of Durham in the effort to address our jurisdiction’s affordable housing needs. In accordance with the goals identified in the five year Consolidated Plan of the City of Durham, DHA will attempt to minimize some identified needs by utilizing appropriate resources to maintain and preserve our existing housing stock portfolio. When feasible, we will apply for additional grants and loans from governmental and private sources to help add to the affordable housing stock available in the community. To that avail, DHA intends to work with local partners to continue collective efforts to support the housing priorities as reflected in the Consolidated Plan.

9.1

DHA strategy for addressing the housing needs of families in the jurisdiction and on the waiting list includes maximizing the number of affordable units available by employing effective maintenance and management policies to minimize the number of public housing units off-line, reduce the time necessary to renovate and lease public housing units and reduce turnover time for vacated public housing units.

DHA intends to increase public housing and HCVP lease up rates by effectively screening applicants and improving/redesigning tenant orientation educational programs.

DHA intends to increase the mobility preparedness of HCVP participants by establishing payment standards that will enable families to rent units throughout the jurisdiction. DHA intends to establish a mobility program for voucher holders and relocating participants, to assist individuals move into non-impacted areas by conducting outreach sessions to attract new owners and increase owner acceptance of the program. The focus of the mobility program will be to engage clients by providing assistance in overcoming barriers and obstacles to successful leasing, building partnership and allowing DHA to evaluate the readiness of voucher holders to move into new units or relocate outside of the jurisdiction. DHA will apply for additional HCV awards should funding become available. DHA continues to consider other affordable housing resources in the

community such as mixed-finance housing and housing resources other than public housing and HCVP, as they become available.

DHA has several designated public housing projects to assist the elderly population. DHA will apply for special purpose vouchers targeted to the elderly/disabled should opportunities become available. DHA assists families with disabilities by carrying out modifications needed in public housing. DHA affirmatively partners with local non-profit agencies that assist families with disabilities and will apply for special purpose vouchers targeted to families with disabilities, should funding become available.

DHA administers a Shelter Plus Care Housing Program grant serving 10 families with special needs who were formerly homeless. DHA also provides a list of accessible housing in the briefing packet in the event a voucher holder is in need of an accessible unit.

DHA plans to administer 35 VASH (Veterans Administration Supportive Housing) vouchers in concert with the Durham Veterans Administration. DHA is part of the Veterans Integrated Service Network, #6 and will support the collaborative initiative between HUD and the VA to rapidly re-house eligible veterans. DHA will seek funding to pay security deposits and utility deposits for this segment of the population, when funding becomes available for this purpose.

DHA maintains waiting lists of eligible applicants for its Housing Choice Voucher Program and Public Housing Programs.

The Public Housing waiting list for all unit availability is open at all times. DHA may close the PH waiting list when the estimated waiting period for housing applicants reaches 24 months for the most current applicants. The waiting list for Public Housing averages 2567 applicants throughout the year. The Public Housing program contains 1851 units. Average turnover for residents in the Public Housing Program is approximately 30 families per month.

The HCVP waiting list is currently closed to applicants; DHA anticipates opening the wait list to the general public during this plan period to accommodate baseline utilization. The baseline for the HCVP is 2684 consisting of a contract authority award exceeding \$16 million dollars annually. Average turnover for participants in the HCVP is approximately 27 families per month.

DHA at the discretion of the department director may determine to continue accepting applications from a specific category of applicants based on specified criteria while closing the waiting list to others.

In the event that the waiting list for any program falls below a level where the agency will be able to assist all families waiting for assistance within one year, DHA will open the wait list to attract eligible families.

DHA's FSS programs in both the HCVP program and the Public Housing program aid clients in achieving self-sufficiency. The self-sufficiency programs assist clients by moving to fair market rental units or to becoming educated homeowners. DHA's Homeownership programs in both the HCV and Public Housing Programs assists clients with cleaning up their credit, improving their credit standing and increasing their ability to maintain homes that they purchase.

DHA will continue to evaluate the housing needs of families based on evidence demonstrated in the Consolidated Plan and other published information available. DHA will review community priorities and consult with local government, advocacy groups, current residents and the Resident Advisory Board to ensure that the strategies above continue to address the needs of individuals

	<p>and families in our jurisdiction and on our waiting list.</p>
<p><b>10.0</b></p>	<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.</p> <p>See Section 5.2.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p> <p>Significant amendments and substantial deviations/modifications to the Plan are defined as any additional changes that would affect this Agency’s mission, goals, objectives, and policies as stated in the Plan. Additional changes are described as follows:</p> <ol style="list-style-type: none"> <li>1. Changes in rent or admissions policies or organizations of the waiting list;</li> <li>2. Additions of non-emergency work items (items not included in the current Annual Statement or Five-Year Action Plan) or change in the use of replacement reserve funds under the Capital Fund; and</li> <li>3. Any change with regard to demolition or disposition, designation, homeownership programs or conversion activities.</li> </ol> <p>Any significant amendment or substantial deviation/modification to the Plan is subject to the same requirements as for the development/submission of the original Plan (including, time frames).</p> <p>(c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance (<b>Note: Standard and Troubled PHAs complete annually</b>).</p> <p>Housing Choice Voucher Program</p> <p>SEMAP CAP 2005 and 2006 SEMAP CAP 2007</p>
<p><b>11.0</b></p>	<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> <ol style="list-style-type: none"> <li>(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) and Form HUD 50077-CR, Civil Rights Certification – <b>nc013m01</b></li> <li>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) - <b>nc013n01</b></li> <li>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) - <b>nc013o01</b></li> <li>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) - <b>nc013p01</b></li> </ol>

- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet* (PHAs receiving CFP grants only)
- (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA - **nc013q01** Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.
- (g) Challenged Elements - **nc013r01**
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report* (PHAs receiving CFP grants only) – **See Section 8.1.**
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan* (PHAs receiving CFP grants only) – **See Section 8.2.**

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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

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## 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.