



APPENDIX #1: HUD TABLE – 3A ANNUAL GOALS

Consolidated Plan Goals to Actual Summary Consolidated Plan Years 2011 - 2015

GOALS	CATEGORY	PRIORITY NEED ADDRESSED	GOAL OUTCOME INDICATOR	5 YR GOAL	# SERVED IN 2011	# SERVED IN 2012	# SERVED IN 2013	# SERVED IN 2014	# SERVED IN 2015	TOTAL SERVED	UNIT OF MEASUREMENT	% OF GOAL COMPLETED
DH 1.1 Rehab of owner-occupied housing major repair (CDBG)	Affordable Housing	Owner Occupied Housing-Rehab	Homeowner Housing Units Rehab	135	46	21				67	Household Housing Unit	50%
DH 1.2 Substantial / moderate rehabilitation (HOME)	Affordable Housing	Owner Occupied Housing-Rehab	Homeowner Housing Units Rehab	155	18	9				27	Household Housing Unit	17%
DH 2.1 New Construction of owner-occupied / rental housing (HOME CHDO)	Affordable Housing	New Construction of Owner-Occupied	Homeowner Housing Added	40	1	3				4	Household Housing Unit	10%
DH 2.2 Housing Assistance for first time Homebuyer (CDBG)	Affordable Housing	Owner Occupied Housing-Rehab	Homeowner Housing Added	100	0	0				0	Household Housing Unit	0%
DH 2.3 Volunteer Supported Rehabilitation (CDBG)	Affordable Housing	Owner Occupied Housing-Rehab	Homeowner Housing Units Rehab	75	17	21				38	Household Housing Unit	51%
DH 2.4 New Construction of owner-occupied Housing (HOME)	Affordable Housing	New Construction of Owner-Occupied	Homeowner Housing Added	60	1	1				2	Household Housing Unit	3%
DH 2.5 Housing Assistance for Persons with AIDS (HOPWA)	Affordable Housing	Homeless/HIV/AIDS	Housing for People with HIV/AIDS Added	250	72	74				146	Household Housing Unit	58%
SL 1.1 Health and Dental Services (CDBG)	Non-Homeless Special Needs	Public & Community Services	Public Service activities for Low/Moderate Income Housing Benefit	12500	3874	6019				9893	Persons Assisted	79%
SL 1.2 Senior Services / Meals on Wheels (CDBG)	Non-Homeless Special Needs	Public & Community Services	Public Service activities for Low/Moderate Income Housing Benefit	325	77	62				139	Persons Assisted	43%

Consolidated Plan Goals to Actual Summary Consolidated Plan Years 2011 - 2015

GOALS	CATEGORY	PRIORITY NEED ADDRESSED	GOAL OUTCOME INDICATOR	5 YR GOAL	# SERVED IN 2011	# SERVED IN 2012	# SERVED IN 2013	# SERVED IN 2014	# SERVED IN 2015	TOTAL SERVED	UNIT OF MEASUREMENT	% OF GOAL COMPLETED
SL 1.3 Life Skills program / counseling and Case Management (CDBG)	Non-Homeless Special Needs	Public & Community Services	Public Service activities for Low/Moderate	5000	967	0				967	Persons Assisted	19%
SL 1.4 Homeless Services (CDBG)	Homeless	Public & Community Services	Public Service activities for Low/Moderate Income Housing Benefit	750	0	32				32	Persons Assisted	4%
SL 1.5 Domestic Violence Services (CDBG) 2011 Program Year	Non-Homeless Special Needs	Public & Community Services	Public Service activities for Low/Moderate Income Housing Benefit	300	0	90				90	Persons Assisted	30%
SL 3.1 Public Facilities Repairs/Park and Recreation Repairs (CDBG) 3 projects supported annually	Non-Housing Community Development	Public Facilities & Improvements	Public Facility or Infrastructure activities for Low/Moderate Income Housing Benefit	15000	3177	1231				4408	Persons Assisted	29%
SL 3.2 Senior Center Repairs and Services (CDBG)	Non-Homeless Special Needs	Public & Community Services	Public Service activities for Low/Moderate Income Housing Benefit	100	30	51				81	Persons Assisted	81%
SL 3.3 Public Facilities / New Construction Community Center/ New Construction (CDBG) 6 projects projected	Non-Housing Community Development	Public Facilities & Improvements	Public Service activities for Low/Moderate Income Housing Benefit	15000	0	0				0	Persons Assisted	0%

Consolidated Plan Goals to Actual Summary Consolidated Plan Years 2011 - 2015

GOALS	CATEGORY	PRIORITY NEED ADDRESSED	GOAL OUTCOME INDICATOR	5 YR GOAL	# SERVED IN 2011	# SERVED IN 2012	# SERVED IN 2013	# SERVED IN 2014	# SERVED IN 2015	TOTAL SERVED	UNIT OF MEASUREMENT	% OF GOAL COMPLETED
SL 3.4 Day Resource Center (CDBG)	Non-Housing Community Development	Public Facilities & Improvements	Public Facility or Infrastructure activities for Low/Moderate Income Housing Benefit	12500	0	0				0	Persons Assisted	0%
SL 3.5 Infrastructure - Sidewalks (CDBG) only 5 projects	Non-Housing Community Development	Public Facilities & Improvements	Public Facility or Infrastructure activities for Low/Moderate Income Housing Benefit	4056	0	0				0	Persons Assisted	0%
SL 3.6 Infrastructure - Drainage (CDBG) only one project	Non-Housing Community Development	Public Facilities & Improvements	Public Facility or Infrastructure activities for Low/Moderate Income Housing Benefit	754	0	0				0	Persons Assisted	0%



APPENDIX #2: CERTIFICATIONS

CERTIFICATIONS

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the jurisdiction certifies that:

Affirmatively Further Fair Housing -- The jurisdiction will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential antidisplacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

Drug Free Workplace -- It will or will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about –
 - (a) The dangers of drug abuse in the workplace;
 - (b) The grantee's policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will –
 - (a) Abide by the terms of the statement; and
 - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted:
 - (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.

Anti-Lobbying -- To the best of the jurisdiction's knowledge and belief:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
3. It will require that the language of paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Authority of Jurisdiction -- The consolidated plan is authorized under State and local law (as applicable) and the jurisdiction possesses the legal authority to carry out the programs for which I t is seeking funding, in accordance with applicable HUD regulations.

Consistency with plan -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.

Signature/Authorized Official

Date

Title

Specific CDBG Certifications

The Entitlement Community certifies that:

Citizen Participation -- It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR 91.105.

Community Development Plan -- Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that provide decent housing, expand economic opportunities primarily for persons of low and moderate income. (See CFR 24 570.2 and CFR 24 part 570)

Following a Plan -- It is following a current consolidated plan (or Comprehensive Housing Affordability Strategy) that has been approved by HUD.

Use of Funds -- It has complied with the following criteria:

1. **Maximum Feasible Priority.** With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available);
2. **Overall Benefit.** The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) , (a period specified by the grantee consisting of one, two, or three specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;
3. **Special Assessments.** It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements. However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

The jurisdiction will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public

improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

Excessive Force -- It has adopted and is enforcing:

1. A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and
2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction;

Compliance With Anti-discrimination laws -- The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Lead-Based Paint -- Its activities concerning lead-based paint will comply with the requirements of 24 CFR Part 35, subparts A, B, J, K and R;

Compliance with Laws -- It will comply with applicable laws.

Signature/Authorized Official

Date

Title

Specific HOME Certifications

The HOME participating jurisdiction certifies that:

Tenant Based Rental Assistance -- If the participating jurisdiction intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the participating jurisdiction's consolidated plan for expanding the supply, affordability, and availability of decent, safe, sanitary, and affordable housing.

Eligible Activities and Costs -- it is using and will use HOME funds for eligible activities and costs, as described in 24 CFR § 92.205 through 92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in § 92.214.

Appropriate Financial Assistance -- before committing any funds to a project, it will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing.

Signature/Authorized Official

Date

Title

HOPWA Certifications

The HOPWA grantee certifies that:

Activities -- Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

Building -- Any building or structure assisted under that program shall be operated for the purpose specified in the plan:

1. For at least 10 years in the case of assistance involving new construction, substantial rehabilitation, or acquisition of a facility,
2. For at least 3 years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.

Signature/Authorized Official

Date

Title

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING AND DRUG-FREE WORKPLACE REQUIREMENTS:

A. Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

B. Drug-Free Workplace Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification.
2. The certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).
6. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

500 West Markham, Little Rock, Pulaski County, Arkansas, 72201
2500 East 6th Street, Little Rock, Pulaski County, Arkansas 72202

Check ___ if there are workplaces on file that are not identified here.

The certification with regard to the drug-free workplace is required by 24 CFR part 24, subpart F.

7. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).



APPENDIX #3: PUBLIC COMMENT SUMMARY



APPENDIX #4: LITTLE ROCK HOUSING AUTHORITY CFP ACTION PLAN

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

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 8/31/2011

Part I: Summary		Grant Type and Number	
PHA Name: Little Rock Housing Authority		Capital Fund Program Grant No: Replacement Housing Factor Grant No: AR37R00450113	
		Date of CFP: 2013	
		FFY of Grant: 2013	
		FFY of Grant Approval:	

Line	Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending: Summary by Development Account	Reserve for Disasters/Emergencies <input type="checkbox"/>	Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report		Obligated	Total Actual Cost ¹	
			Original	Revised ²		Expended	
1	Total non-CFP Funds						
2	1406 Operations (may not exceed 20% of line 21) ³						
3	1408 Management Improvements						
4	1410 Administration (may not exceed 10% of line 21)						
5	1411 Audit						
6	1415 Liquidated Damages						
7	1430 Fees and Costs						
8	1440 Site Acquisition						
9	1450 Site Improvement						
10	1460 Dwelling Structures						
11	1465.1 Dwelling Equipment—Nonexpendable						
12	1470 Non-dwelling Structures						
13	1475 Non-dwelling Equipment						
14	1485 Demolition						
15	1492 Moving to Work Demonstration						
16	1495.1 Relocation Costs						
17	1499 Development Activities ⁴					\$228,059.00	

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

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

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 08/31/2011

Part I: Summary

PHA Name: Little Rock Housing Authority	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: AR37R00450113 Date of CFFP:	FFY of Grant:2013 FFY of Grant Approval:
---	--	---

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$228,059.00			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director		Date	Signature of Public Housing Director		Date

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

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

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 8/31/2011

Part I: Summary		Grant Type and Number	
PHA Name: Little Rock Housing Authority		Capital Fund Program Grant No: Replacement Housing Factor Grant No: AR37R00450213 Date of CFFP: 2013	
		FFY of Grant: 2013 FFY of Grant Approval:	

Line	Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending:	Reserve for Disasters/Emergencies <input type="checkbox"/>	Revised Annual Statement (revision no:)		Total Actual Cost ¹
			Original	Revised ²	
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—None expendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴		\$207,990.00		

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

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

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 08/31/2011

Part I: Summary		FFY of Grant: 2013			
PHA Name: Little Rock Housing Authority	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: AR37R00450213 Date of CFPP:	FFY of Grant Approval:			
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost	Obligated	Total Actual Cost ¹	Expended
18a	1501 Collateralization or Debt Service paid by the PHA	Original	Revised ²		
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$207,990.00			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director		Date	Signature of Public Housing Director		Date

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

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

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 8/31/2011

Part I: Summary		Grant Type and Number Capital Fund Program Grant No: AR37P0045001-13 Replacement Housing Factor Grant No: Date of CFFP: 2013		FFY of Grant: 2013 FFY of Grant Approval:	
------------------------	--	--	--	--	--

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

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

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

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 08/31/2011

Part I: Summary		FFY of Grant: 2013	
PHA Name: Little Rock Housing Authority	Grant Type and Number Capital Fund Program Grant No: AR37P0045001-13 Replacement Housing Factor Grant No: Date of CFPP:	FFY of Grant Approval:	

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$788,571.00			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director		Date	Signature of Public Housing Director		Date

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



**APPENDIX #5: LITTLE ROCK HOUSING AUTHORITY
RESIDENT INITIATIVES
(INTRODUCTION)**

Little Rock Choice Neighborhood:



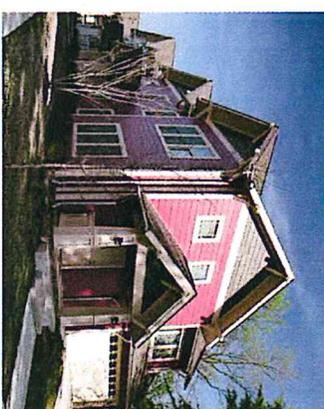
Creating Connectivity

Draft Transformation Plan

Grantee: Metropolitan

Housing Alliance

July 10, 2013



Creating Connectivity

Executive Summary

The Metropolitan Housing Alliance (MHA) was one of 13 cities to receive a U. S. Department of Housing and Urban Development (HUD) FY 2011 Choice Neighborhood Planning Grant. The goal of the grant is to produce a master plan, or Transformation Plan, to revitalize distressed public and assisted housing through rebuilding and redevelopment, strengthening its surrounding neighborhood by adding amenities, and providing a range of services to its residents.

The Little Rock Choice Neighborhood covers a two square mile area southeast of Downtown Little Rock and includes two severely distressed properties, Sunset Terrace Public Housing property and the Elm St. Community (Elm St.), and SRO property currently being acquired by MHA from the Volunteers of America National Services. The surrounding neighborhood also exhibits physical distress, has a high crime rate, and a poverty rate of 32.96%. It also has been declared a food and medical desert. Overall, the area is physically disconnected from Downtown Little Rock and northward points needed to help resolve the physical isolation created by Interstate 630 along the northern border of the neighborhood.

Choice Neighborhood focuses on three areas of development: Housing, People, and Neighborhood. Neighborhood residents, community partners, and other stakeholders have helped create tactics designed to impact housing, people, and neighborhood through four major phases: needs assessment phase; issues identification and strategy development; initial plan development; and development of the Transformation Plan. There have been over 20 resident meetings and over 10 stakeholder meetings. Public planning meetings and partner meetings will continue throughout the duration of the Planning process.

The process used to develop this Plan was designed to expand upon existing revitalization efforts to create a Plan that enhances synergy and complements ongoing endeavors such as the Neighborhood Stabilization Program (NSP2), the Sustainable Communities Regional Planning Grant, and the Central Little Rock Promise Neighborhood. Additionally, the Plan details some of the assets of the neighborhood including the Hillary Rodham Clinton Children's Library and Learning Center, the Empowerment Center, the upcoming 12th Street Station, Fourche Creek, and the Central High Museum and Visitor Center.

Creating Connectivity

Under the direction of the Choice Neighborhood Coordinator, Quadel Consulting Corporation and The Communities Group (TCG) with urban planning and design support by Fennell Purifoy and Urban Collage, the staff at MHA has worked to create a Plan that begins a comprehensive effort to get the forces of change moving in the right direction to meet both social and physical needs for residents in the Little Rock Choice Neighborhood area. Toward this end, the MHA and its public and private partners have studied the Housing, Neighborhood, and People conditions, defined benchmarks, and begun to push forward.

Over the course of 18 months, the planning process has examined how the distressed Sunset Terrace and Elm Street housing sites, and the surrounding neighborhood, can be transformed from a distressed neighborhood into a neighborhood of opportunity and connectivity;

hence, the Little Rock Choice Neighborhood: Creating Connectivity effort. Creating Connectivity endeavors to bridge glaring gaps in the community pertaining to education, transportation, health, and economic development that affect residents.

There are six months remaining in the Planning process before the final Transformation Plan is to be submitted to HUD. This time will be spent gathering leverage commitments to sustain the strategies of the plan, presenting the current document to residents and other stakeholders for feedback, and adjusting the Plan to reflect any resulting changes. After submission in January 2014, the MHA will apply for an Implementation Grant to execute the Transformation Plan, and if awarded, the neighborhood could receive up to \$30 million for revitalization.

Part 1:

INTRODUCTION and OVERVIEW

The following document presents the Metropolitan Housing Authority's (MHA) Choice Neighborhood Transformation Plan. This Plan offers a holistic vision for the redevelopment and revitalization of the "Choice Neighborhood" located to the Southwest of Downtown Little Rock and anchored by the 12th St. corridor. It is the result of a two year planning process launched by MHA in January 2012 and informed by the input and involvement of a wide range of neighborhood residents, City agencies, partner organizations, community stakeholders and technical advisors. As such, the Plan contains a series of community-based strategies developed through a broad-based, participatory process that addresses the specific redevelopment needs and challenges within the target area.

Overview of Choice Neighborhoods

This Plan was made possible through a Choice Neighborhood Planning Grant by the U.S. Department of Housing and Urban Development (HUD). Through its Choice Neighborhoods initiative, HUD provides grants for locally designed and community driven efforts to transform distressed neighborhoods and public and assisted projects into viable and sustainable mixed-income neighborhoods. Choice Neighborhoods seeks to achieve these objectives by linking housing improvements with appropriate services, schools, public assets, transportation, and access to jobs.

Through the continued involvement and leadership within the community, this plan will be used to help secure and guide public and private investments in the revitalization of the Little Rock Choice Neighborhood through redeveloped housing, enhanced provision of services to families, improved infrastructure investment and development of new amenities.

- HUD provides Choice Neighborhood funding on a competitive basis through two grant programs:
- Planning Grants – comprehensive neighborhood revitalization strategy or Transformation Plan, such as the Plan presented in this document.
 - Implementation Grants – gather and leverage resources from public and private agencies to support the financial sustainability and implementation of the Transformation Plan

As a recipient of a 2011 Planning Grant, MHA designed and implemented a comprehensive planning process that addresses the core goals of HUD's Choice Neighborhood initiative.



Creating Connectivity

Neighborhood

Revitalize the selected neighborhood through:

- Good services
- Quality schools
- Improved public assets
- Convenient public transportation
- Access to jobs

People

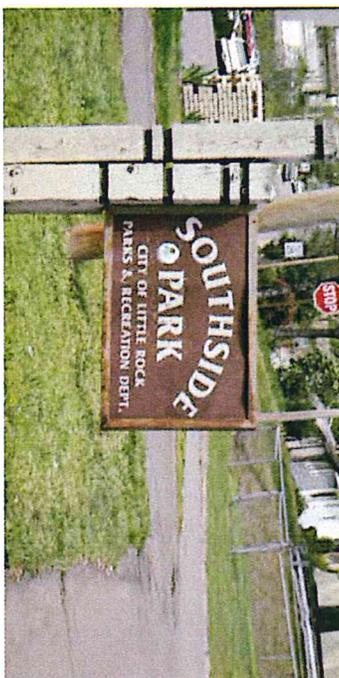
Invest in residents of the neighborhood through:

- Better schools and resources
- Learning from cradle to college
- Preparation for employment
- Community and supportive services
- Health
- Public safety

Housing

Redevelop "distressed" Public and Assisted Housing into housing that is:

- Energy efficient
- Mixed income
- Well-designed
- Financially viable for the long term



The Little Rock Choice Neighborhood

The Little Rock Choice Neighborhood occupies roughly a two square mile area located adjacent to Downtown Little Rock. As shown in the map to the right, its boundaries include US I-630 to the North; Asher Ave and W. Roosevelt to the South; Battery St. to the East; and Harrison St. to the West.

As such, the target area encompasses a series of well-established neighborhoods, including:

- Oak Forest Neighborhood
- Stephens Neighborhood
- Central High Neighborhood
- South End Neighborhood

These neighborhoods share much in common in terms of geographic, economic and social characteristics, and also offer important and highly visible opportunities for redevelopment and priority investment. The broader geography of the Little Rock Choice Neighborhood was also determined based on the location of the two distressed housing sites targeted for redevelopment in this Plan, including:

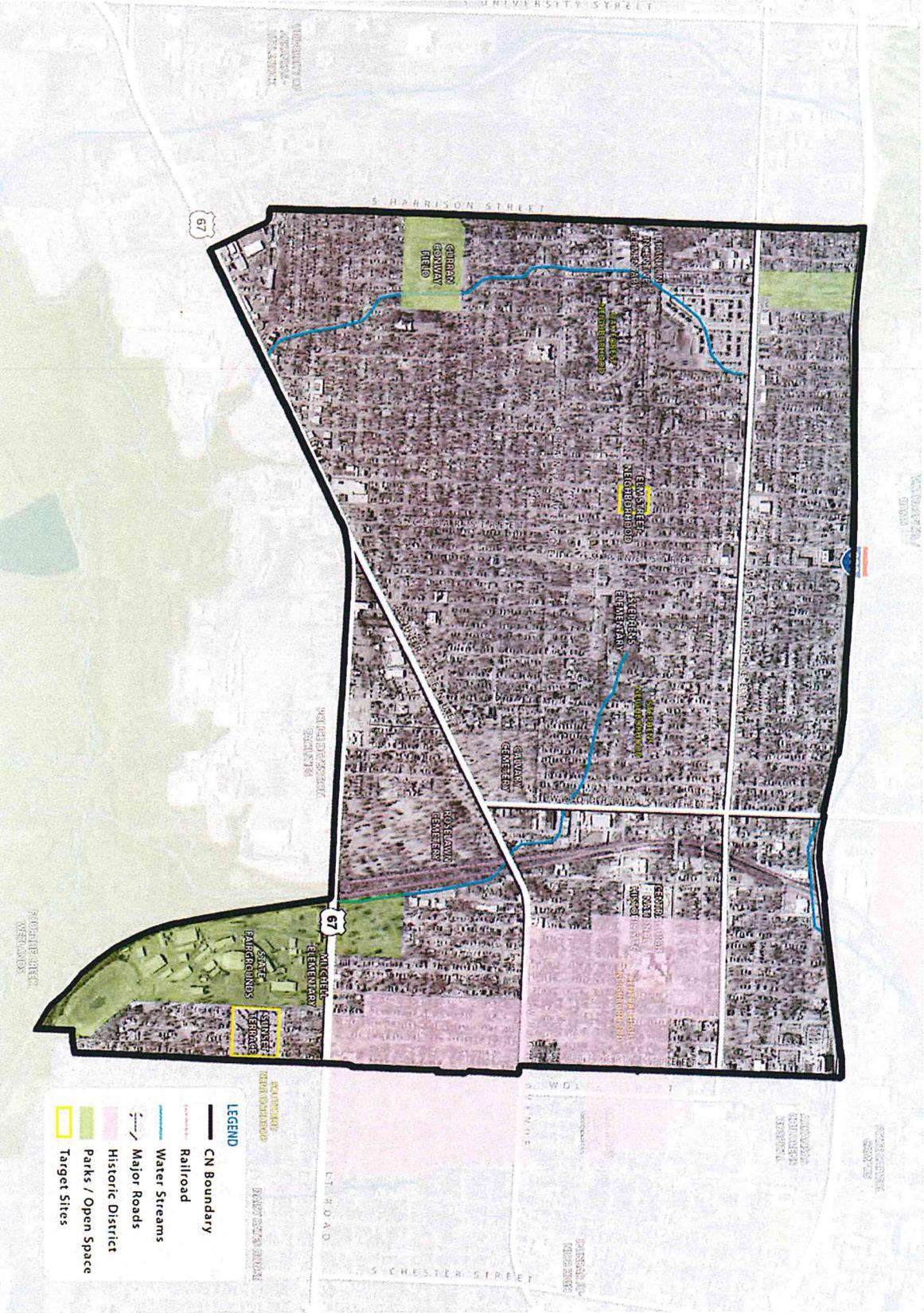
Elm Street Community Apartments - a Project-based Section 8 property originally built as Lewis Street Nursing Home in the 1960s. Over half of the site was demolished 15 years ago, leaving a half block size vacant lot, along with significant rehabilitation needs at the rest of the site.



Sunset Terrace - built in 1941 as the first public housing project in Little Rock and currently exhibiting indicators of significant distress.



Creating Connectivity



Creating Connectivity

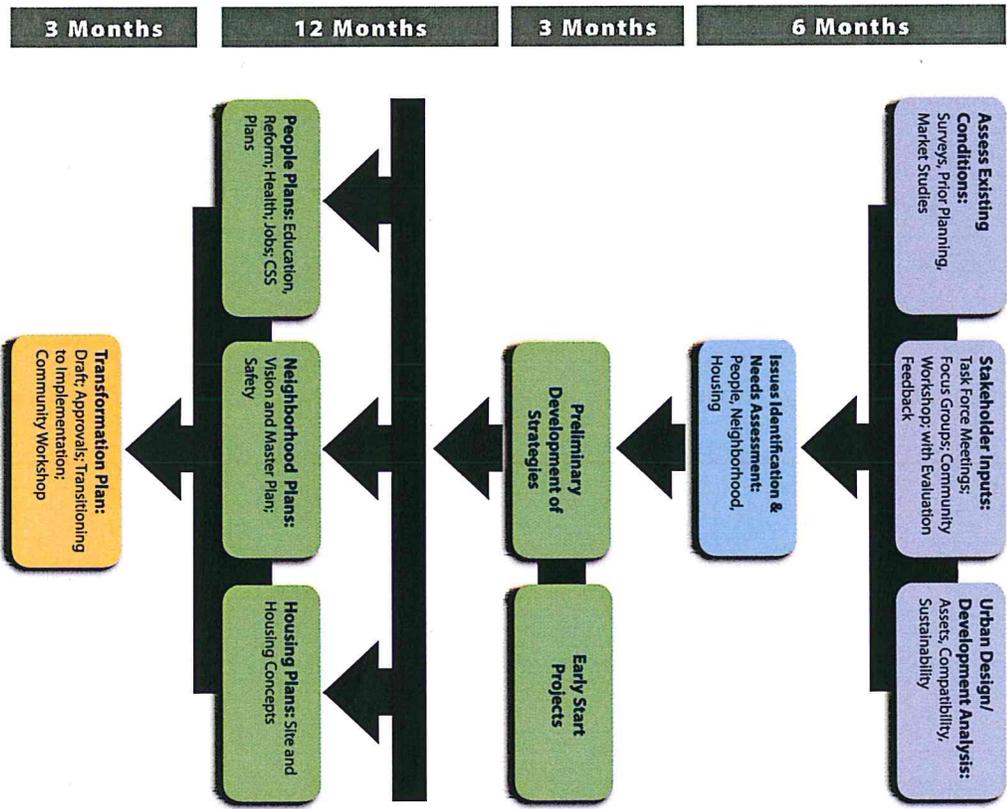
The Plan seeks to redevelop these two properties in the context of a broader revitalization effort that can serve as a catalyst for the development of additional affordable and market rate housing, while more fully connecting the residents of each site to the physical, economic and social fabric of the surrounding community. In a similar sense, the Plan also seeks to connect residents of the broader Little Rock Choice Neighborhood to the prosperity, resources and opportunities of the surrounding areas and neighborhoods in and around Downtown Little Rock.

These two central goals extend across the areas of People, Neighborhood and Housing and express the central theme of this Plan: **Creating Connections**. The need to invest in and strengthen the social, economic and physical connections in all parts of the Little Rock Choice Neighborhood exists in several different, yet highly related, contexts, including:

- **Connecting** residents to a more extensive transit option through improved transportation infrastructure
- **Connecting** residents to affordable new housing options and affordable housing improvements
- **Connecting** residents to relevant educational and economic development for local and national industries
- **Connecting** children to sustainable, consistent supplemental education opportunities
- **Connecting** residents to a safer city through executing a certain level of urban renewal, increasing human and infrastructural capital, and the implementation of public safety efforts

The effort to develop goals, objectives and strategies to better establish these connections drove the planning process and provides the central impetus for implementation activities and next steps that will ultimately emerge from this Plan.

Overview of the Planning Process



- Supported by the efforts and participation of the site and neighborhood residents, community partners and stakeholders, MHA implemented a multi-staged planning process, including the following major phases:
- Needs Assessment involving an assessment of existing conditions; collection of stakeholder inputs; and analysis of urban design/development issues
 - Issues Identification and Strategy Development addressing each of the Choice Neighborhood focus areas of People, Neighborhood and Housing
 - Initial Plan Development including identification of “early start” projects in each area that could generate momentum to support the larger transformation effort
 - Development of the Transformation Plan including development, review and approval of the Plan and identification of next steps and implementation activities

Creating Connectivity

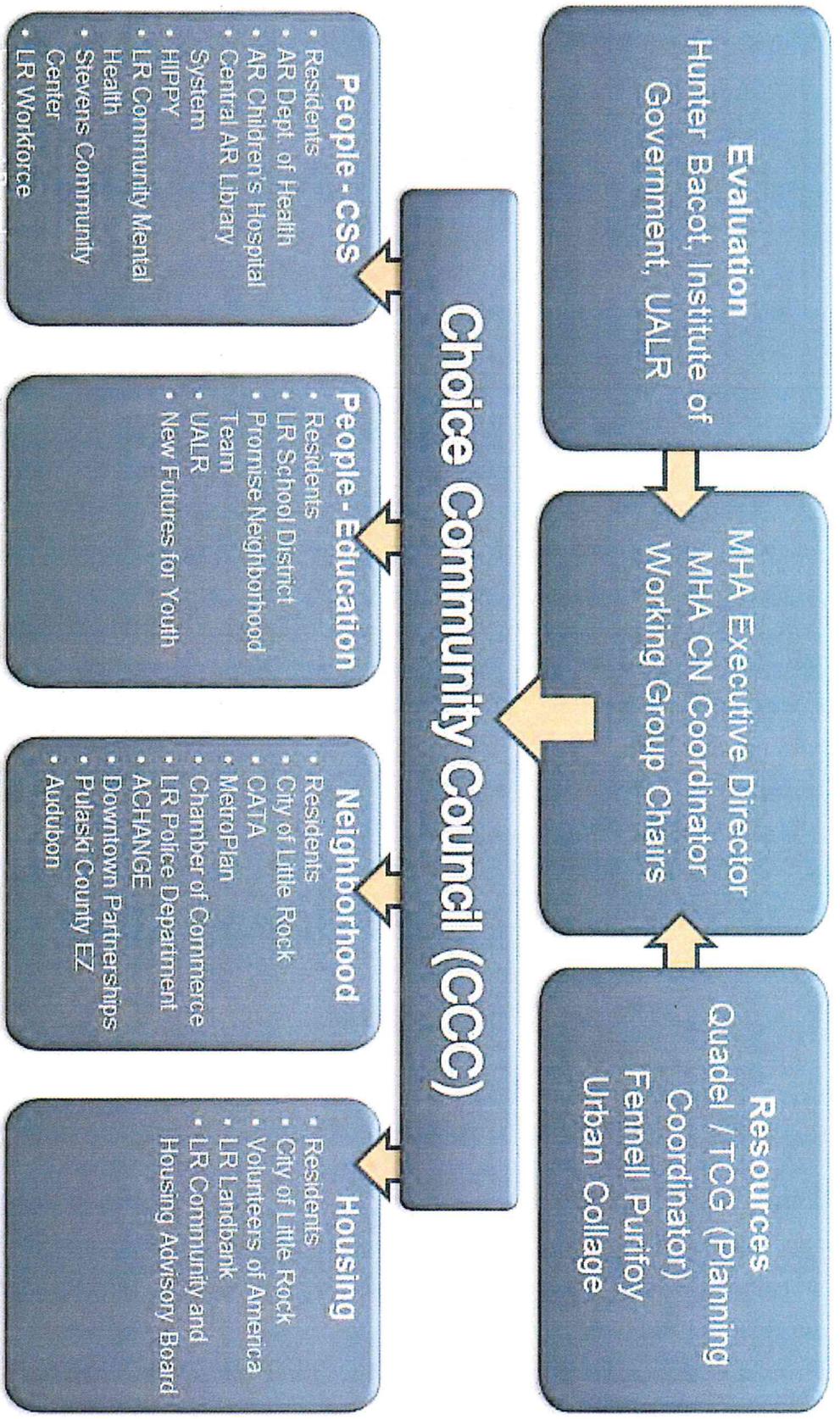
Recognizing that true transformation emerges from the full engagement, input and support of the community, MHA assembled a coordinating entity, the Choice Community Council (CCC), to provide leadership, direction and management of the planning effort. In doing so, MHA sought to engage the full range of elected City officials, public agencies, community leaders, nonprofit organizations, and site and neighborhood residents, as shown below.

MHA staff provided guidance for the CCC, with support from the Choice Neighborhood Planning Coordinator team of Quadel Consulting Corporation and The Communities Group (TCG), and urban planning and design support from Fennell Purifoy and Urban Collage. Separate working groups were established for each of the Choice Neighborhood areas of People, Neighborhood and Housing, with the People working group sub-divided into separate groups, one addressing CSS and the other Education. The Institute of Government at the University of Arkansas-Little Rock provided evaluation and oversight of the working group process throughout the period of the grant.

- The CCC met on a regular basis during the planning process to coordinate and monitor planning progress, share information, and discuss emerging issues. Supplementing and informing the efforts of the CCC, MHA conducted an extensive outreach and stakeholder effort involving:
- Meetings and outreach with residents of the two target sites
 - Community meetings to engage with neighborhood residents
 - Individual meetings with partners and stakeholders
 - Facilitated working group and community events

In order to articulate the core purpose of the Choice Neighborhood planning process, MHA established a set of Guiding Principles (see Appendix 10 – Guiding Principles). In addition to providing a philosophical framework for the planning process, the Principles were used to orient planning participants and stakeholders around common organizational vision for pursuing transformation in the target neighborhood area. The Guiding Principles continue to provide a guidepost for shaping the direction of the Choice Neighborhood planning process, including key next steps and implementation activities that emerge from the Plan.

Creating Connectivity



Previous and Ongoing Planning Efforts

The planning process used to develop this Plan was designed to build off of and expand upon the numerous previous and ongoing planning efforts that target, or overlap with, the Choice Neighborhood area. These related planning efforts and the important successes and achievements they have produced provide a crucial foundation for transformation and revitalization. Wherever possible, MHA has sought to leverage these achievements and create synergies with the Choice Neighborhood that will maximize resources and ensure consistency among the various planning efforts underway. These efforts are described below and represented on the map that follows (color coded in map on next page, CNL shown in green)

Pulaski Empowerment Zone - (orange) One of seven urban areas nationwide to receive this designation from HUD to facilitate growth and revitalization opportunities for distressed communities through various tax incentives. The designation period was from January 1, 2002, to December 31, 2009

Neighborhood Stabilization Program 2 (NSP2) - (purple) An effort led by a consortium, including the City of Little Rock, Habitat for Humanity, Better Community Developers (BCD)

and MHA to address foreclosure and blight in an area overlapping the Little Rock Choice Neighborhood through NSP 2 competitive grant funds from HUD.

12th Street Corridor Plan - (aqua) A collaborative planning effort led by the City of Little Rock to create a vision and revitalization plan for the 12th Street corridor covering a 31-block section of the corridor, as well as the adjacent neighborhoods to the north and south.

Central Little Rock Promise Neighborhood (CLRPN) - (white) A collaborative effort led by a consortium of organizations focused on improving student achievement through a competitive Promise Neighborhood grant from the US Department of Education.

The Sustainable Communities Regional Planning Grant - Awarded to Metroplan in 2011 to develop a regional sustainability plan for the Central Arkansas region that addresses transportation, housing, development patterns, health and environmental needs, and economic development.

Creating Connectivity

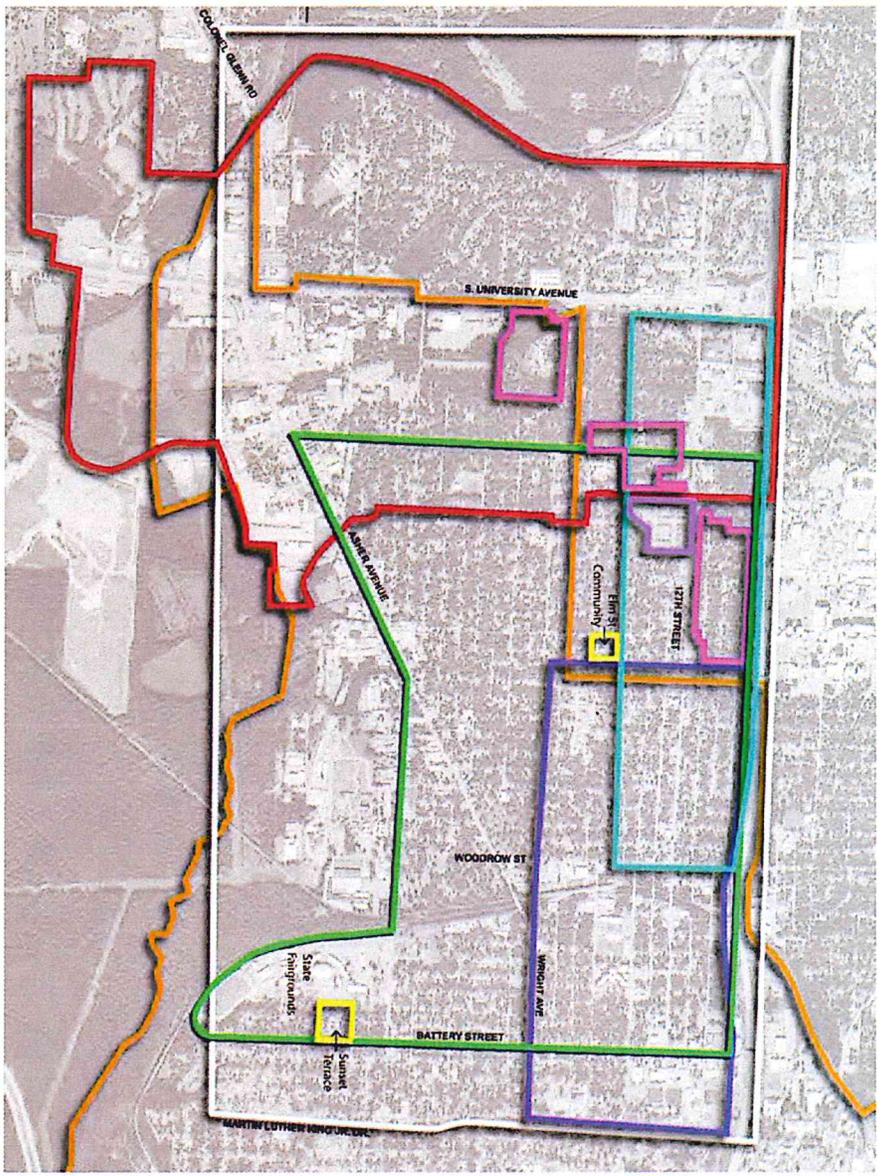
University District Partnership

Revitalization Plan - (Red) An effort by the University of Arkansas at Little Rock (UALR) to prepare a revitalization plan for the area surrounding the campus.

Little Rock Technology Park - (pink)

An effort led by a consortium of organizations, including the City of Little Rock and the Chamber of Commerce, to establish a technology research park near Downtown Little Rock that leverages the educational and research activities at UALR, the University of Arkansas for Medical Sciences (UAMS) and Arkansas Children's Hospital (ACH).

Madison Heights - (violet) A 301-unit mixed-income apartment development redeveloped by MHA and McCormack Baron Salazar through a HOPE VI grant in the late 1990s, with a third phase of development yet to be implemented.



- Legend**
- Orange — Pulaski Empowerment Zone
 - Purple — NSP2
 - Aqua — 12th St Corridor
 - Red — University District
 - White — Promise Neighborhood
 - Green — Choice Neighborhood
 - Yellow — Target sites
 - Violet — Madison Heights
 - Pink — Technology Park

Early Steps and Achievements

A number of important early steps have already been completed as a result of the Choice Neighborhood planning process that will facilitate and provide critical momentum for Plan implementation efforts. In particular, MHA is in the process of acquiring the Elm St. Apartments project, completing a transfer of ownership from the Volunteers of America (VOA). As the new owner, MHA will be able to direct redevelopment efforts at the site, including development of the currently vacant ½ block and the rehabilitation of the aging existing structure. MHA has also secured a commitment from the Arkansas Department of Environmental Quality – Hazardous Waste Division (ADEQ) to complete a Phase 1 Environmental Site Assessment (ESA) of the Arkansas State Veterans Home, located within the Choice Neighborhood area. This assessment will complete the first step in determining

the nature and extent of contamination at the site and potential eligibility for the Arkansas Brownfields Program.

In addition, several highly visible and impactful public and private investments have been made, or are in process, that demonstrate the revitalization potential within the Choice Neighborhood area and provide a strong foundation and catalyst for additional redevelopment, as described in the table below.

MHA will continue to collaborate with the organizations responsible for these achievements in implementing the Plan and working together to leverage resources and achieve true transformation within the community and the city of Little Rock.

Creating Connectivity

Achievement	Description
Little Rock Children's Library	Recently opened in 2013, the Children's Library operates in a 30,000-square foot, \$12 million facility within the Choice Neighborhood and provides a variety of hands-on learning and enrichment programs, in addition to a collection of more than 21,000 books, DVDs, and CDs for children and youth.
12 th Street Police Substation	Project designs have been developed for a new 40,000 square foot, \$9 million Police substation to be built on 12 th Street as part of the broader 12 th Street revitalization effort. In addition to improving the police presence in the neighborhood, the facility will include new space for retail and community uses.
12 th Street Design Overlay	The City of Little Rock is developing a new design overlay for 12 th Street to guide planning redevelopment along the corridor as part of the broader 12 th Street revitalization effort.
NSP 2 Program Foreclosure and Blight Remediation	To date, the NSP 2 consortium has rehabilitated or built a total of 83 rental and for sale units in the Choice Neighborhood area. As part of this effort, the consortium has acquired 70 foreclosed and abandoned units and has demolished 56 units.
State Fairgrounds Improvements	Several improvements have been completed or planned for the Fairgrounds site, including up to \$7.4 Million in planned repairs to the bridge on Roosevelt Road, renovations to Barton Coliseum and enhancements to the frontage along Roosevelt Road.
12 th Street Health and Wellness Center	Opened in late 2012 by the University of Arkansas for Medical Sciences, the Wellness Center is a community-based, student-led, inter-professional health and wellness center that provides health screenings and health management services for people in the community.
Dr. Emma K. Rhodes Education Center	A center providing adult education services, including a variety of Medical Certificate Programs, such as Certified Nursing Assistant, Medical Billing & Coding, Pharmacy Technician, Phlebotomy Technician, and Physical Therapy Aide.
Empowerment Center	Recently opened in 2013 by BCD, this state-of-the-art 25,000 square foot facility includes 30 single residential occupancy units and office space, conference and classrooms to provide supportive housing, life skills and career training, technology training, community programs and many other skills.
Truancy Center	The Little Rock School District (LRSD), in cooperation with local law enforcement, has opened a Truancy Center to house truant students who attend schools in the LRSD and coordinate their return to the appropriate school facility.
Home Instruction for Parents of Preschool Youngsters Program (HIPPY) program	Arkansas Children's Hospital (ACH) recently received a HIPPY grant amounting to \$24.8 million for four years. HIPPY is a 30 week school readiness-parent involvement program for parents of three, four and some five year-old children. ACH is currently in first year of the grant program.
Fourche Creek Watershed Initiative	Audubon Arkansas is implementing a broad effort to undertake the single largest urban environmental restoration project in Arkansas to complete short and long-term improvements in habitat and water quality within the Fourche Creek Watershed.

Overview of the Transformation Plan

The following Plan presents the results of the Choice Neighborhood planning process and the revitalization and redevelopment steps to be taken as part of the transformation effort.

Section 2: Existing Conditions

Presents a summary of Existing Conditions within the Choice Neighborhood area and the results of MHA's needs assessment analyzing the challenges and opportunities to address in undertaking transformation.

Section 3: People

Presents the People Plan identifying the vision, goals and strategies for addressing the needs of residents of the target housing sites and the broader Choice Neighborhood.

Section 4: Housing

Presents the Housing Plan that will guide redevelopment of the target housing sites, Sunset Terrace and Elm St. Apartments.

Section 5: Neighborhood

Presents the Neighborhood Plan, including the vision, goals and strategies to revitalize and invest in the social, physical and economic infrastructure of the Choice Neighborhood area.

Creating Connectivity



People Vision and Goals:

Through a series of resident meetings, the following community goals were identified as key strategies to affect change:

- Improve the Quality of Life to be one of the BEST neighborhoods in Little Rock
- Enhance People's Financial Opportunities
- Improve People's Access to Health Services
- Enhance People's Access to Education, Creativity, and Academic Achievement
- Provide a Full Spectrum of Youth Development and Support
- Expand Community Engagement and Leadership

Creating Connectivity

Over the course of 18 months, the planning process has examined how the distressed Sunset Terrace and Elm Street housing sites, and the surrounding neighborhood, can be transformed from a distressed neighborhood into a neighborhood of opportunity and connectivity, hence the Little Rock Choice Neighborhood: Creating Connectivity effort.

Creating connectivity endeavors to bridge glaring gaps in the community pertaining to

- Education (i.e., connecting youth to education and work through a Little Rock Workforce Center partnership)
- Transportation (creating a North-South bus line within the neighborhood),
- Health (hosting regular informative health meetings onsite at Sunset Terrace, Elm Street, and within overall neighborhood).

MHA is integrating this planning effort with several planning and redevelopment processes underway, including:

- University District Partnership
- Pulaski County Empowerment Zone
- Department of Education's Promise Neighborhoods Program
- 12th Street Corridor
- HUD's Neighborhood Stabilization Program
- HUD's Preferred Sustainable Communities
- Sunset Terrace Community Plan

People Lead

The Metropolitan Housing Alliance will serve as the People Lead of the Transformation Plan. As the grantee and the steward of the target public housing sites, the Metropolitan Housing Alliance is in the most advantageous position to oversee efforts to build community support and involvement with residents throughout the execution of the Transformation Plan. MHA plans to continue to work with its existing People partners from the Choice Community Council to support the Plan's strategies.



APPENDIX #6: RESOLUTION AUTHORIZING SUBMISSION OF ACTION PLAN