

<b>PHA 5-Year and Annual Plan</b>	<b>U.S. Department of Housing and Urban Development Office of Public and Indian Housing</b>	<b>OMB No. 2577-0226 Expires 4/30/2011</b>
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<b>1.0</b>	<b>PHA Information</b> PHA Name: _____ City of Waukesha Housing Authority _____ PHA Code: _____ WI-142 _____ PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): _10/2008_____				
<b>2.0</b>	<b>Inventory</b> (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: ___266_____ Number of HCV units: ___1,322_____				
<b>3.0</b>	<b>Submission Type</b> <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only				
<b>4.0</b>	<b>PHA Consortia</b> <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)				
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program
					PH      HCV
	PHA 1:				
	PHA 2:				
	PHA 3:				
<b>5.0</b>	<b>5-Year Plan.</b> Complete items 5.1 and 5.2 only at 5-Year Plan update.				
<b>5.1</b>	<b>Mission.</b> State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years:  The WHA's Mission is to provide quality safe affordable public housing to meet the needs of extremely low, very low and low income families in the City of Waukesha. The WHA also provides a HCV program to serve the needs of extremely low and very low income families residing within Waukesha County. The WHA encourages the success of working families by the provision of a Family Self-Sufficiency Program in collaboration with community partners. The WHA also supports the ability of persons with disabilities to live as independently as possible in the community with a host of special needs housing in collaboration with other community partners.				
<b>5.2</b>	<b>Goals and Objectives.</b> Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.  The WHA has continued to add to its inventory of special needs housing programs, including HIV/AIDS housing and housing for the mentally ill supported by McKinney Vento COC funds; 12 group homes in collaboration with community partners; Mainstream Vouchers, Family Unification Vouchers and Shelter Plus Care Vouchers in collaboration with community partners.  During the next 5 years, the WHA will continue to address the following concerns:  1. Consolidation of HIV/AIDS Adult Family Homes into one non-PHA owned facility and transfer to the McKinney-Vento COC funding contracts to the WHA's community partner 2. Relocation of two Adult Family Homes for Developmentally Disabled to the vacated HIV/AIDS homes, and use of the aforementioned homes for large families 3. Continue encouragement of participation in the WHA Family Self-Sufficiency Program and expansion as increased funding (and sources) allow. 4. Relocation of the WHA administrative offices to one combined off-site location, and redevelopment of the vacated space at Saratoga Heights into fully accessible (wheel chair) one bedroom apartments. 5. Continued pursuit of Section 8 HCV resources as made available by HUD 6. Application for a HUD Section 811 Project for an already secured building site, to increase the housing options for disabled individuals in the community 7. Conversion of six units of family housing to a higher standard of accessibility through re-design and adaptation with current ADA/Section 504 design standards. (two under conversion in 2009-10) 8. Other needs as may be identified by the community and within the ability of the WHA to address with its current resources.				
<b>6.0</b>	<b>PHA Plan Update</b>  (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: N/A (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. WHA Administrative Offices: 120 Corrina Blvd., Waukesha, WI 53186 (9:00 a.m. to 4:00 p.m. normal business days)				
<b>7.0</b>	<b>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers.</b> Include statements related to these programs as applicable. N/A				

8.0	<b>Capital Improvements.</b> Please complete Parts 8.1 through 8.3, as applicable.
8.1	<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. (See Attached)
8.2	<b>Capital Fund Program Five-Year Action Plan.</b> As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. ( <i>See Attached</i> ) N/A
8.3	<b>Capital Fund Financing Program (CFFP).</b> <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements. N/A
9.0	<b>Housing Needs.</b> Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. <b>See Attached</b>

9.1	<b>Strategy for Addressing Housing Needs.</b> Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. <b>Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</b>  <b>The WHA continues to encourage participation in Family Self-Sufficiency Program to assist working families to increase education, job training skills and household income, so they may reach financial independence and no longer require assistance from the WHA. This allows additional families to be served from the waiting list. The WHA continues to pursue special needs housing through the HUD McKinney/Vento Homeless Assistance Continuum of Care Program and Mainstream Voucher programs to ensure continued ability to meet the demands of the disabled households on the waiting list. Currently, a Shelter Plus Care 25 voucher program is being added to the inventory effective Jan 1, 2010. The WHA continues to support Tax Credit Projects and Bond Financed Projects as requested by the private sector, to ensure continued addition of work force housing and Sec. 8 Voucher eligible privately owned housing developments in the community.</b>
10.0	<b>Additional Information.</b> Describe the following, as well as any additional information HUD has requested.  (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.  The WHA has operated until 2009/10 in meeting its modernization needs and goals without the need for HUD Capital Funds. This is the first submittal of a new 5-Year and annual Plan.  (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification"  Significant Amendment would include an item with a cost that exceeds the original cost estimate in the 5-year Action Plan or the Annual Statement by more than 10%, resulting in a revision of either document and approval by HUD.  Substantial deviation/modification would include the addition of any item not previously anticipated in the 5-year Action Plan and/or Annual Statement, resulting in a revision of either document and approval by HUD.

11.0	<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.  (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) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (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 Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)
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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

**Privacy Act Notice.** The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

## Instructions form HUD-50075

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

### 1.0 PHA Information

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

### 2.0 Inventory

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

### 3.0 Submission Type

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

### 4.0 PHA Consortia

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

### 5.0 Five-Year Plan

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

<b>Part I: Summary</b>	
<b>PHA Name: City of Waukesha                  Housing Authority</b>	<b>Grant Type and Number</b> Capital Fund Program Grant No: ARRA Replacement Housing Factor Grant No: NA Date of CFFP: NA
<b>FFY of Grant: 2009                  FFY of Grant Approval: 2010</b>	

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

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFP Funds	175,000			
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)	59,740			
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	30,000			
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures	486,629			
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

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

<b>Part I: Summary</b>						
<b>PHA Name:</b> City of Waukesha Housing Authority		<b>Grant Type and Number</b> Capital Fund Program Grant No: ARRA Replacement Housing Factor Grant No: NA Date of CFFP: NA			<b>FFY of Grant:2009</b> <b>FFY of Grant Approval: 2010</b>	
<b>Type of Grant</b>						
<input checked="" type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no: )		
<input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Final Performance and Evaluation Report				
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>		
		Original	Revised <sup>2</sup>	Obligated	Expended	
18a	1501 Collateralization or Debt Service paid by the PHA	0				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment	0				
19	1502 Contingency (may not exceed 8% of line 20)	21,040				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	597,409				
21	Amount of line 20 Related to LBP Activities	0				
22	Amount of line 20 Related to Section 504 Activities	0				
23	Amount of line 20 Related to Security - Soft Costs	0				
24	Amount of line 20 Related to Security - Hard Costs	0				
25	Amount of line 20 Related to Energy Conservation Measures	57,267				
<b>Signature of Executive Director David W. Cappon</b> 9/29/2009		<b>Date</b>		<b>Signature of Public Housing Director Shari Hamman</b> Date 9/29/2009		

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

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

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

<sup>4</sup> RHF funds shall be included here.

<b>Part II: Supporting Pages</b>								
PHA Name: City of Waukesha Housing Authority			<b>Grant Type and Number</b> Capital Fund Program Grant No: ARRA CFFP (Yes/ No): No Replacement Housing Factor Grant No: NA			<b>Federal FFY of Grant: 2009</b>		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised <sup>1</sup>	Funds Obligated <sup>2</sup>	Funds Expended <sup>2</sup>	
PHA Wide	Conversion of Fire Station to Admin Offices	WI-142 PHA Wide	1	486,629				Pre-Bid

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



<b>Part II: Supporting Pages</b>								
PHA Name:			<b>Grant Type and Number</b> Capital Fund Program Grant No: CFFP (Yes/ No): Replacement Housing Factor Grant No:			<b>Federal FFY of Grant:</b>		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised <sup>1</sup>	Funds Obligated <sup>2</sup>	Funds Expended <sup>2</sup>	

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

<b>Part III: Implementation Schedule for Capital Fund Financing Program</b>					
PHA Name:				<b>Federal FFY of Grant:</b>	
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>1</sup>
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	

<sup>1</sup> Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

<b>Part III: Implementation Schedule for Capital Fund Financing Program</b>					
PHA Name:				<b>Federal FFY of Grant:</b>	
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Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/20011

Part I: Summary						
PHA Name/Number City of Waukesha WI-142						
PHA Name/Number and Development Number and Name	Work Statement for Year 1 FFY 2009	Locality (City/County & State) Waukesha, WI	Work Statement for Year 2 FFY 2010	Work Statement for Year 3 FFY 2011	Work Statement for Year 4 FFY 2012	Work Statement for Year 5 FFY 2013
B. Physical Improvements Subtotal				\$466,629	\$466,629	\$466,629
C. Management Improvements						
D. PHA-Wide Non-dwelling Structures and Equipment			\$486,629			
E. Administration			\$59,740	\$59,740	\$59,740	\$59,740
F. Other			\$51,040	\$51,040	\$51,040	\$51,040
G. Operations				\$20,000	\$20,000	\$20,000
H. Demolition						
I. Development						
J. Capital Fund Financing—Debt Service						
K. Total CFP Funds			\$597,409	\$597,409	\$597,409	\$597,409
L. Total Non-CFP Funds			\$175,000	\$0	\$0	\$0
M. Grand Total			\$772,409	\$597,409	\$597,409	\$597,409





## HUD 50075 6.0 PHA Plan Elements Summary

### 1. Eligibility, Selection and Admission Policies, including de-concentration and Wait List Procedures

- A. **Open Waiting list:** The WHA maintains an open waiting list for the Public Housing and HCV program at all times to ensure the ability of the public to apply for assistance and gauge need in the community. If the list is ever closed, it will be closed according to HUD regulations and the WHA waiting list procedures adopted at the time in the Public Housing REAP and HCV Admin Plan. At this time, the list has remained open for 19 years.
- B. **Eligibility:** The WHA determines eligibility in compliance with HUD regulations and the WHA Public Housing REAP and HCV Admin Plan. The WHA has established local preferences for homeless and disabled persons in transitional housing programs administered by the WHA in collaboration with community partners. These include: Jeremy House Safe Haven for homeless mentally ill, Gander House Project for homeless dually diagnosed individuals (AODA and Mental Illness), Richard's Place Project for homeless HIV/AIDS individuals, Barstow House Transitional Housing for Mentally Ill, Patricia Place Transitional Housing for Mentally Ill, Madison House Transitional Housing for Mentally Ill, Linden Cherish House Transitional Housing for Homeless pregnant young women, and Women's Center Transitional Housing for Victims of Domestic Violence. Additionally, participants successfully completing these transitional housing programs are eligible to local preference to receive a HCV. The WHA also maintains a local preference for persons with disabilities requiring permanent housing in Adult Family Licensed Group Homes maintained in collaboration with community partners. At this time, the WHA maintains six homes for persons with developmental disabilities and six homes for persons with physical (wheel chair accessible) disabilities. The WHA also provides a preference to persons with physical disabilities for public housing properties designed specifically for persons in wheel chairs including two 3-bedroom units and three 2-bedroom units that are fully accessible under its Section 504 (ADA) Plan. The WHA also is in the process of converting four 2-bedroom units and three 1-bedroom units into fully accessible units under its Section 504 (ADA) Plan. Additionally, the WHA has made modifications based on tenant needs at four public housing units (but they are not 100% Section 504 (ADA) accessible).
- C. **Public Housing Assignment of Units:** Persons meeting eligibility for Public Housing are offered the first unit size that meets their needs in accordance with the Public Housing REAP. The applicant is offered all available units as they become available, until they have turned down three choices, at which time their name is placed back on the waiting list. Applicants are allowed to choose the largest unit for which they are eligible for under HUD unit selections policies but may also choose a smaller unit if it accommodates the needs of their family (i.e. choose to allow three children occupy a large bedroom, etc.). Transfer to a new unit is made on a case-by-case basis but generally only allowed due to an increase in family size or an

accommodation of a disability, although all requests are considered and an individual determination is made.

- D. **Waiting Lists:** The WHA maintains separate waiting lists for: Saratoga Heights Disabled and Senior High Rise; Public Housing Family Units; Section 8 HCV; Section 8 Mainstream Vouchers; Section 8 Shelter-Plus Care Vouchers. Applicants may apply to any or all of the waiting lists for which they self-determine they are eligible, except for the Mainstream and Shelter-Plus Care Vouchers for which eligibility is determined by WHA staff at the time of application to the waiting list. If the applicant does not apply for a particular waiting list initially, they may apply at a later date and they may receive the same application date as their original application to the WHA. The WHA attempts to maintain an up-to-date list and generally purges the waiting list in November of each year unless the anticipated length of the list is less than one year at that time.
- E. **De-concentration:** The WHA does not have any concentration of public housing units in highly impacted areas of poverty and does not have a de-concentration policy for public housing at this time. The WHA has established a higher payment standard for HCV holders in all areas of the County except the City of Waukesha to encourage de-concentration of HCV in the City of Waukesha. This was established in 2008 to tray and reverse a trend of HCV being leased up in the City of Waukesha after 20 years of very successfully dispersing HCV county-wide. This appears to have occurred when the HCV subsidy became shallower due to changes in HUD regulations and payment standard increases. The policy has had minimal impact and is under review.

- 2. **Financial Resources:** The WHA has successfully administered the public housing program without qualifying for HUD Operating Subsidy (except for audit subsidy); and has been able to maintain and improve its portfolio of public housing properties without requesting HUD Capital Funds in recent years. This is due to the following reasons:
  - A. The WHA housing stock is relatively new (19 to 35 years of age) or has been substantially rehabilitated.
  - B. The WHA took advantage of the previous HUD competitive CIAP and Comprehensive Grant Programs, and substantially improved its portfolio between 1987 and 1996 and the improvements have been maintained and generally not met their life-cycle except for unusual tenant abuse.
  - C. The WHA has historically had sufficient cash flow from tenant rents to support regular maintenance and replacement. This is generally attributable to the strong economy in Waukesha allowing most family residents to move in, move up economically and pay a near market rent, and finally move out allowing another very low-income family the same opportunity. While some households may occupy a unit for 10, 15 or 20 years, the vast majority only require public housing assistance for 3 to 5 years (historically). A positive cash flow is becoming *more difficult to achieve* due to lower incomes, less economic opportunity and regressive rent policies established by HUD in recent years (Flat Rents, Ceiling



rents and Income Disregard). The WHA has maintained a consistent High Performer Status under the HUD scoring systems.

- D. The WHA has been able to do a significant amount of rehabilitation of its properties due to a collaborative partnership with Waukesha County Technical College which utilizes WHA rehab projects as their learning laboratory for the Building Trades Program. The WHA contracts out heating, plumbing and electrical, but only provides materials (no labor costs) for rough to finish carpentry and masonry work, including roofing, foundation work and exterior concrete paving. This arrangement was approved in negotiations with the Unions to ensure training of future construction workers and apprentices entering the construction industry in Waukesha County.
  - E. The WHA has generated fee income from the issuance of Mortgage Revenue Bond Funds, which are held in reserve and used to maintain public housing properties and support other local initiatives, including its Family Self-Sufficiency Program.
  - F. The WHA has secured a regular contribution from United Way to support its Family Self-Sufficiency Program, but has generally not obtained private foundation support. The WHA has obtained limited CDBG funds to do some of its accessibility upgrades with the WCTC building projects, but CDBG is not an ongoing regular source of support.
  - G. The WHA has successfully streamlined the administration of the HCV Program through technology improvements and a well trained long-term staff resulting in cost savings and the establishment of a healthy administrative reserve. However, due to reductions in HUD administrative fees in recent years, the WHA now regularly uses these reserve funds for administrative costs and to fund the Family Self-Sufficiency Program. Funds have also been used to cover shortfalls in HCV Housing Assistance Payments (HAP) in recent years due to funding difficulties and unpredictability of renewals at HUD. This has been necessary to maintain a continual 97% to 99% lease-up rate and High Performer Status under SEMAP scoring by HUD.
3. **Rent Determination:** The WHA follows current HUD rent determination policies for both the public housing and HCV programs consistent with its Public Housing REAP and HCV Admin Plans:
- A. The WHA follows HUD income disregard policies;
  - B. The WHA has a minimum rent policies established at \$50. Exceptions are made by petition on a case-by-case basis.
  - C. Utility Allowances are reviewed and adjusted annually.
  - D. Interim Rent changes provide a decrease the first of the month following the change in household income and an increase the first of the second month following the increase in household income (minimum 30-day notice). An increase is only provided when combined household income increases have reached or exceed \$300 per month based on the last annual or interim rent review and tenant rent (TTP) established.

4. **Operation and Management:** The WHA maintains a maintenance management plan for its Public Housing Properties and has been a consistent *high performer* in REAC inspections. The WHA provides regular pest control at its Saratoga Heights facility and will provide such control as needed for a problem in Scattered Site units. The WHA does not have any on-going pest-control problems in any of its facilities. The WHA maintains a minimum inspection standard of HQS in the HCV Program and meets or exceeds expected REAC Standards in its Public Housing Programs. The WHA consistently passes all inspections provided by the local inspection authority and fire department.
5. **Grievance Procedures:** The WHA provides separate grievance procedures for the public housing and the HCV program, which are provided to all program participants, in the resident handbook and available to the public on request. The procedures are consistent with HUD minimal requirements. The WHA employs a philosophy of mediation and resolution and has not been in court on an eviction in several years due to resolution outside of legal intervention beyond informal or formal mediation.
6. **Designated Housing for Elder and Disabled Families:** The WHA only owns and manages one high-rise housing facility (Saratoga Heights). The facility is a mixed-used facility and allows both elderly and disabled applicants. This has been operating successfully since the HUD rule changes in 1992, and the disabled population has aged in place, allowing a healthy mix of elderly, elderly-disabled, and disabled individuals. The WHA does employ a near elderly preference for disabled persons age 50 and older. Disabled individuals less than aged 50 are admitted when there are no eligible elder or near-elderly disabled applicants on the waiting list. The WHA does allow non-elderly, non-disabled applicants to apply to the waiting list, however, these individuals have not been served due to the continual supply of elderly and disabled applicants to the WHA public housing and HCV programs.
7. **Community Service and Self-Sufficiency:**
  - A. The WHA provides a Family Self-Sufficiency Program in collaboration with community partners. The program is regular advertised to both public housing residents and HCV participants. The majority of participants are HCV households. The program is administered by La Casa de Esperanza (a local human services organization) and oversight is provided by a contract administrator from Kaiser Corporation via the Work Force Development Center. The program is supported by funding from the WHA Section 8 Reserve, Public Housing Reserve and United Way of Waukesha County. The program has had some amazing success stories over the years. The program was implemented by the WHA as a HUD demonstration in 1987 and has been in operation continuously in one form or another consistent with HUD changes in this initiative.
  - B. The WHA complies with HUD Community Service Requirements in public housing and meets regularly with zero income and unemployed residents to assist them with information and referral to community resources as well as the Family Self-Sufficiency Program. The WHA also encourages full compliance with Community Service and assists with ideas and referrals to

meet this requirement, often encouraging the resident volunteer at their child's school or a local homeless shelter or transitional housing program administered by one of the WHA collaborative partners. The WHA generally achieves success and full compliance by residents under Community Service.

8. **Safety and Crime Prevention:** The City of Waukesha is a relatively safe and crime free community. Violent crime is not very common. WHA residents have not been the victim of crimes any more than the general population. To ensure safety at Saratoga Heights a 24-hour security video system is monitored on all entrance/exits and outdoor common areas and this has deterred any crime. The WHA does an annual criminal background check on all residents, addresses crimes committed by residents, and regularly (at least annually) obtains print outs from the Police Department of response calls to all WHA owned and managed facilities. A recent survey of public housing and HCV recipients conducted in collaboration with the Metropolitan Milwaukee Fair Housing Council found the number one reason non-Waukesha County residents locate to Waukesha County is the perceived lack of crime.
9. **Pets:** The WHA maintains a pet policy which requires dogs and cats to be licensed, have all shots current, are spayed, and dogs 40 pounds or less. A pet deposit is made at the time a pet joins the household and returned if there is no pet damage at lease end/unit vacated.
10. **Civil Rights Certification:**
  - A. The WHA maintains a continuously open waiting list for both public housing and HCV Program.
  - B. The WHA has a FHEOP Policy for both programs and collaborates with local fair housing enforcement entities.
  - C. The WHA recently administered a survey in collaboration with the Metropolitan Fair Housing Council to ascertain why non-resident minorities relocate to Waukesha, Why they stay, and why they leave. The results were encouraging, however, they pointed to subtle forms of racism and institutional racism perceived by minorities relocating to the community. The better quality of life and lower incidence of crime often outweighed these issues for many households committed to remaining residents. The most common reasons to leave the community were to be close to a support network of family and friends, or for education or job opportunity. The WHA and MMFHC are reviewing what to do with these results to address the subtle and institutional racism in the community.
  - D. The WHA will be completing its Section 504 (ADA) Program with the rehabilitation of Saratoga Heights units and 4 family units under this 5 year plan.
  - E. The WHA was the original organizer of the local Continuum of Care for which we received a HUD John J. Gunther Award of Excellence. The WHA continues participation in this collaboration, and has successfully funded the following projects: Jeremy House Safe Haven; Richard's Place HIV/AIDS Housing (2 projects); Shelter-Plus Care

- F. The WHA has a commitment to serving the needs of the disabled and has established twelve licensed 4-bed Adult Family Group Homes 1996; Five Transitional Housing Facilities; and ten Non-HUD funded Apartments for disabled families.
11. **Fiscal Audit:** The WHA's most recent fiscal audit had no audit findings and is available for public inspection.
  12. **Asset Management:** The WHA has elected not to participate in HUD Asset Management at this time since it does not meet the mandatory threshold for participation. However, the WHA established its own version of Asset Management over 15 years ago, establishing two cost centers, one for Family Scattered Site units and one for Saratoga Heights. Income and Expenses are tracked separately for both but reported to HUD jointly.
  13. **Violence Against Women Act (VAWA):** The WHA has had a program assisting victims of domestic violence which pre-dates the VAWA act. The WHA established a partnership with the Waukesha Women's Center in 1988 and provides assistance under a Moderate Rehabilitation Transitional Housing Program; Voucher Assistance for Transitional Apartments; and one Project Based Voucher for a shelter home. The WHA refers victims to the Women's Center for counseling regarding domestic violence, sexual assault, etc. as the WHA becomes aware of such issues. The WHA has never evicted families who are victims of domestic violence, even pre-dating the VAWA Act, and always works to resolve the situation with local authorities and service providers and protect the victim(s) from the perpetrator(s).

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

The WHA has reviewed and not found a need or ability to establish the above programs, or lacked eligibility for such programs with the exception of Project-Based Vouchers: The WHA has project-based Vouchers in 30 units since 1988 but has elected through experience to only project base vouchers for special needs populations after determining the tenant based intent of the HCV program better meets the needs of most participants and the community. There are no plans to projects base any vouchers at this time.

**8.0 Thru 11.0 Capital Improvements:** The WHA response to these Sections are included in the HUD templates. The WHA has never accepted Capital Funds in previous years, managing to finance and maintain its initiatives with its internal income sources and non-HUD resources. The strategy was undertaken to ensure that the WHA was a successful self-supporting local municipal non-profit entity as well as to ensure limited HUD Operating Subsidy and Capital Funds were available to assist troubled housing authorities, and small housing authorities which did not have the resources or ability to generate such support locally. Capital Funds are being accepted at this time due to the ARRA funds as well as the need to begin addressing capital improvements previously funded with the HUD CIAP and Comprehensive Grant Programs, which will begin to reach their life cycle in the next 5 to 15 years. The WHA anticipates accepting regular Capital Funds made available by HUD in years 3, 4 and 5 of this plan.