

## DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB  
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input checked="" type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: 4c 5th district	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b> N/A (Prime: City of Waukesha Housing Authority, 600 Arcadian Avenue, Waukesha, WI 53186)  Congressional District, if known:	
<b>6. Federal Department/Agency:</b> U. S. Department of Housing and Urban Development	<b>7. Federal Program Name/Description:</b> Capital Fund Program (Annual Plan)  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ 467,670	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(If individual, last name, first name, MI):</i> N/A	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i> N/A	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature:  Print Name: David W. Cappon Title: Executive Director, City of Waukesha Housing Authority (WI142) Telephone No.: 262-436-0915      Date: 9-1-11	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

## 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 try 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 regularly 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.

## HUD 50075 9.0 Housing Needs Summary

The WHA has identified the following needs of households residing within the jurisdiction:

1. **Low rent public housing waiting list:** Presently, waiting lists for public housing range from approximately 6 months for a one bedroom unit to about 4 years for a 4 or 5 bedroom unit. The majority of applicants to the waiting list are in need of a two bedroom unit followed by a 3 bedroom unit. These applicants can expect an offer of housing between 18 and 24 months from date of application. The WHA considers this a reasonable amount of length for a waiting list. Applicants to 4 or 5 bedroom units experience a longer wait due to the fewer number of units; however, the need is generally quite minimal for these size units and when a vacancy does occur the entire list is usually pulled to find an eligible or interested applicant. The waiting list usually does not consist of more than 12 to 24 households for 4 and 5 bedroom units combined at any one time. Providing additional large units is not feasible, and the WHA has instead begun offering these households the smallest sized unit they can qualify for (e.g. offering smaller 4 bedroom eligible households a 3 bedroom unit and 5 bedroom households a 4 bedroom unit). This strategy has reduced the 4 bedroom list to zero households, and the 5 bedroom list to less than 24 households.
2. **Section 8 Voucher waiting list:** The WHA utilizes the Voucher waiting list to assist households who do not desire to live in public housing, or in the City of Waukesha. The WHA has traditionally maintained a mix of 40% of these households living in the City of Waukesha and 60% of these households residing in other Waukesha County Communities. In recent years, the reduction by HUD in the amount of subsidy available to individual households, and the escalating rents county-wide, has resulted in the ratio reversing itself to 60% of voucher holders residing in the City of Waukesha and 40% residing in other communities in Waukesha County. The WHA has tried to halt or reverse this trend by allowing households in the City a subsidy at 90% of the published payment standard and households in other communities a subsidy at 110% of the published payment standard. This has had little effect, but appears to have stabilized the ratio at 61/39 % respectively. The waiting list was approximately 18 months long as of January 1, 2009. However, due to the recent economic crisis nation wide, the list has grown to approximately 2 years in length. The WHA considers an 18 months waiting list reasonable to meet local need without running out of eligible applicants.
3. **Disabled Households:** The WHA has secured three McKinney Homeless Assistance grants under the Continuum of Care process to provide specialized housing to persons with disabilities including: HIV/AIDS; chronically mentally ill; and dually diagnosed (substance abuse and mental illness). Additionally the WHA has worked cooperatively with local non-profits and



the department of human services to establish 24 units of supportive special needs housing for persons of varying disabilities. The WHA has also established a voluntary Family Unification program, a voluntary crisis pregnancy transitional living program; a voluntary Family Self-Sufficiency Program, and a Mainstream program for persons with disabilities. The WHA also works cooperatively and provides project based vouchers to a transitional living program for victims of domestic violence. To date, the WHA has addressed all special needs housing brought to its attention in the community. The only unaddressed need is convicted felons being released back into the community from prison (including registered sex offenders), as this population is difficult to serve due to the HUD "One Strike" provisions and prohibition against registered sexual predators in housing.

4. Elderly Households: The WHA provides elderly housing at Saratoga Heights. The building also houses disabled persons, with a preference for disabled persons between ages 50 and 62. The building provides a lunch meal program 5 days per week and a nurse on site ten hours per week. The waiting list for Saratoga Heights is usually less than 6 months long.
5. Since 1990, when the WHA settled a local preference law suit, through 2009, participation of minorities over that time period has averaged 14% African Americans and 5.3% Hispanics. All other minority populations are represented at less than 1%. (See attached chart 1)

## HUD 50075 PHA Plan Strategy For Addressing Housing Needs 9.1

The WHA has maintained an open waiting list for almost 20 years, in an effort to continually assess the housing needs of the community. The waiting list for Saratoga Heights elderly, near elderly and disabled households typically maintains a waiting list of less than 6 months. The family public housing waiting list typically maintains a waiting list of 18 months. The Section 8 program typically maintains a waiting list of 18 months, however, due to high program turnover in 2007 to 2008 the list was considerably less than 12 months in length. Due to higher HAP costs, and subsequent increases in annual HAP due to changes in the economy, the list continued to grow in 2008 through 2009. The list in 2009 is anticipated to be about 24 to 36 months long for new applicants.

The WHA has continued to improve the accessibility of its housing programs for the disabled, including the remodeling of 2, 3 and 4 bedroom units for full wheelchair accessibility, including roll in showers. The WHA now exceeds the 5% Section 504 requirement for these unit sizes.

Accessibility for full wheelchair accessibility for one bedroom units at Saratoga Heights is limited, due to the construction features of the building (spancrete floors and ceilings, and concrete block walls). The Sec. 504 goal is to convert ground floor office space into wheelchair accessible one bedroom apartments upon relocation of the offices to a different facility.

The WHA provides non-HUD housing funded apartments for transitional living for the disabled (mentally ill, developmentally disabled), which upon completion of the two year program successfully, vouchers are made available to transition to independent apartments. The WHA also has two McKinney Vento SHP grants supporting two group homes for persons with HIV. These individuals also can transition to independent apartments with the availability of a voucher. The WHA also provides a four bedroom home for teenage and young women experiencing a crisis pregnancy. Upon birth of their child, they can relocate to 8 2-bedroom public housing apartments for two years. Upon successful completion of the transitional program, they can relocate to another public housing apartment or obtain a voucher to move to an independent apartment.

The WHA has been attempting to purchase and landbank small parcels of land in the community for development of future apartments to meet the needs of the waiting lists. Funding for construction of such apartments is not determined at this time, nor have unit sizes been determined.

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

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

<b>Part I: Summary</b>		<b>Grant Type and Number</b>	
PHA Name: City of Waukesha	Grant Type and Number	Capital Fund Program Grant No: W139P142501-09	
Housing Authority	Replacement Housing Factor Grant No: NA	Date of CFFP: NA	
Type of Grant		FFY of Grant: 2009	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Revised Annual Statement (revision no:1 ) <input checked="" type="checkbox"/> Final Performance and Evaluation Report	
Reserve for Disasters/Emergencies			
Summary by Development Account			

Line	Original	Total Estimated Cost Revised <sup>2</sup>	Obligated	Total Actual Cost <sup>1</sup> Expended
1	Total non-CFP Funds			
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>			
3	1408 Management Improvements			
4	1410 Administration (may not exceed 10% of line 21)			
5	1411 Audit			
6	1415 Liquidated Damages			
7	1430 Fees and Costs			
8	1440 Site Acquisition			
9	1450 Site Improvement			
10	1460 Dwelling Structures			
11	1465.1 Dwelling Equipment—Nonexpendable			
12	1470 Non-dwelling Structures	448373.39	433039.10	433039.10
13	1475 Non-dwelling Equipment	19296.61	34630.90	34630.90
14	1485 Demolition			
15	1492 Moving to Work Demonstration			
16	1495.1 Relocation Costs			
17	1499 Development Activities <sup>4</sup>			

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

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

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

<b>Part I: Summary</b>		FFY of Grant: 2009	
PHA Name: City of Waukesha Housing Authority	Grant Type and Number: Capital Fund Program Grant No: WHP142501-09 Replacement Housing Factor Grant No: NA Date of CFFP: NA	FFY of Grant Approval: 2010	

<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Revised Annual Statement (revision no: 1 ) <input checked="" type="checkbox"/> Final Performance and Evaluation Report	
Line	Summary by Development Account	Total Estimated Cost	Total Actual Cost <sup>1</sup>
18a	1501 Collateralization or Debt Service paid by the PHA	Original	Obligated
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment	Revised <sup>2</sup>	Expended
19	1502 Contingency (may not exceed 8% of line 20)		
20	Amount of Annual Grant: (sum of lines 2 - 19)	467670	467670
21	Amount of line 20 Related to LBP Activities	467670	467670
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 David W. Cappon 8/31/2011		Date	Signature of Public Housing Director
			Date

<sup>1</sup> To be completed for the Performance and Evaluation Report  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
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Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
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U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

<b>Part I: Summary</b>					
PHA Name: City of Waukesha Housing Authority		Grant Type and Number Capital Fund Program Grant No: W139P14250110 Replacement Housing Factor Grant No: NA Date of CFFP: NA		FFY of Grant: 2010 FFY of Grant Approval: 2010	

Line	Type of Grant <input checked="" 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: ) <input type="checkbox"/> Final Performance and Evaluation Report	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
				Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFP Funds			0			
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>			0			
3	1408 Management Improvements						
4	1410 Administration (may not exceed 10% of line 21)			46,399			
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			367,591			
11	1465.1 Dwelling Equipment—Nonependable			0			
12	1470 Non-dwelling Structures			0			
13	1475 Non-dwelling Equipment			0			
14	1485 Demolition			20,000			
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.  
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 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
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U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 4/30/2011

<b>Part I: Summary</b>		FFY of Grant: 2010	
PHA Name: City of Waukesha Housing Authority	Grant Type and Number Capital Fund Program Grant No: W139P14250110 Replacement Housing Factor Grant No: NA Date of CFFP: NA	FFY of Grant Approval: 2010	

Line	Summary by Development Account	Original	Total Estimated Cost		Obligated	Total Actual Cost <sup>1</sup>	
			Revised <sup>2</sup>	Final Performance and Evaluation Report		Expended	
Type of Grant <input checked="" 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							
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)	0					
20	Amount of Annual Grant: (sum of lines 2 - 19)	463,990					
21	Amount of line 20 Related to LBP Activities	0					
22	Amount of line 20 Related to Section 504 Activities	387,591					
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	0					
Signature of Executive Director David W. Caddon		Date		Signature of Public Housing Director Scott DeHut		Date	
07/12/2010				07/12/2010			

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















**Part II: Supporting Pages – Physical Needs Work Statement(s)**

Work Statement for Year 1 FFY 2010	Work Statement for Year 2		Work Statement for Year 3			
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See Appendix	AMP 2 Project 002 Saratoga Heights Acquisition of 3 older dilapidated adjacent properties to expand parking lot at Saratoga Heights	3	331472	AMP 2 Project 002 Saratoga Heights Demolition of 3 older dilapidated adjacent properties acquired with 2011 CFP to expand parking lot at Saratoga Heights @ \$15,000 per structure	3	45000
See Appendix	AMP 1 N/A	N/A	N/A	AMP 1 1.) Project 001 Original Scattered Site Family Housing Replace Roofs, Flashing, and properly vent structures @ est. \$15,000/structure 2.) Project 001 Original Scattered Site Family Housing Rebuild or Replace or Add 15 garages @ avg. cost of \$12,308 per structure (some will be rebuilt, some replace, some added where garages do not exist now)	9	135000
					15	184622
	Subtotal of Estimated Cost		\$ 331472	Subtotal of Estimated Cost		\$ 364622 (45,000 demolition)

**Part II: Supporting Pages – Physical Needs Work Statement(s)**

Work Statement for Year 1 FFY _____ 2010 _____	Work Statement for Year _____ 4 _____			Work Statement for Year _____ 5 _____		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See AMP 2 Project 002 Saratoga Heights – Rebuild Saratoga Heights Parking Lots and establish new Main Entrance to Baxter St. w/walk replacement	1	331472	AMP 2 N/A	N/A	N/A	
Approved Statement N/A	AMP 1	N/A	AMP 1 Project 001 Original Scattered Site Family Housing Replace Roofs, Flashing, and properly vent structures	8	86000	
			AMP 1 Project 001 Original Scattered Site Family Housing Replace windows on 14 properties	14	84000	
			AMP 1 Project 001 Original Scattered Site Family Housing Replace siding on 13 properties	13	100472	







<b>Part I: Summary</b>		
PHA Name: City of Waukesha Housing Authority	Grant Type and Number Capital Fund Program Grant No: WI39P14250110 Replacement Housing Factor Grant No: NA Date of CFFP: NA	FFY of Grant: 2010 FFY of Grant Approval: 2010

Type of Grant  
 Original Annual Statement       Reserve for Disasters/Emergencies       Revised Annual Statement (revision no:1 )  
 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	0			
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>	0			
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)	46,399	46399	46399	0
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	30,000	30000	30000	23000
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	367,591	369591	369591	0
11	1465.1 Dwelling Equipment—Nonexpendable	0			
12	1470 Non-dwelling Structures	0			
13	1475 Non-dwelling Equipment	0			
14	1485 Demolition	20,000	18000	18000	18000
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: WI39P14250110 Replacement Housing Factor Grant No: NA Date of CFFP: NA			<b>FFY of Grant:2010</b> <b>FFY of Grant Approval: 2010</b>	
<b>Type of Grant</b>						
<input type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input checked="" type="checkbox"/> Revised Annual Statement (revision no: 1 )		
<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)	0				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	463,990	463990	463990	41000	
21	Amount of line 20 Related to LBP Activities	0				
22	Amount of line 20 Related to Section 504 Activities	387,591	0	0	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	0				
<b>Signature of Executive Director David W. Cappon</b> 7/12/2012			<b>Date</b>	<b>Signature of Public Housing Director</b>		
				<b>Date</b>		

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

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

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

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













# Certification of Payments to Influence Federal Transactions

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

Applicant Name

City of Waukesha Housing Authority

Program/Activity Receiving Federal Grant Funding

2009 (CFP) Annual Plan Public Housing Authority Comprehensive Grant Program

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an 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 an 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, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this 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.

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.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.  
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

David W. Cappon

Title

Executive Director

Signature



Date (mm/dd/yyyy)

9-1-11

# Certification for a Drug-Free Workplace

U.S. Department of Housing  
and Urban Development

Applicant Name

City of Waukesha Housing Authority WI-142

Program/Activity Receiving Federal Grant Funding

2009 ARRA Public Housing Authority Comprehensive Grant Program

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. 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 a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) 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;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) 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;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) 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

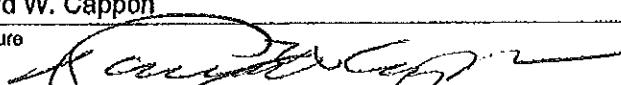
(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above. Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here  if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official David W. Cappon	Title Executive Director
Signature 	Date 9-1-11

Minutes  
Waukesha Housing Authority

Regular Meeting  
Wednesday, April 27, 2011  
9:00 a.m.

Administrative Offices  
600 Arcadian Avenue  
Waukesha, WI 53186

Members Present: David Hickey, Jeff Fowle, Christopher Hernandez, Ann Pascavis

Members Absent: Nancy Hernandez

Others Present: David Cappon

There being a quorum, the meeting was called to order by Chairman Hickey at 9:00 a.m.

1. Public Comment: None
2. Correspondence: David Cappon reviewed current legislation and advised that HUD is still Operating under a continuing resolution and reviewed the HUD budget chart and programs for 2012 and NAHRO Legislative issues and proposed budget cuts retroactive in 2011 and proposed in 2012. A motion was made by Commissioner Pascavis and seconded by Commissioner Hickey to for the executive director to sign a letter of budgetary support for the NAHRO legislative initiative.
3. Minutes: a motion was made by Commissioner Pascavis and seconded by Commissioner Hickey to approve the March 26, 2011 minutes as submitted. Motion carried unanimously.
4. Occupancy: a motion was made by Commissioner Pascavis and seconded by Commissioner Hickey to accept the occupancy report at submitted. Motion carried unanimously.
5. Financial: A motion was made by Commissioner Hernandez and seconded by Commissioner Chris Hernandez to approve the financials as submitted.
6. Review/Approve Capital funds and 5 Year Plan, 2009, 20010 revised and 2011 proposed. David Cappon provided an update on the Capital Funds Projects and HUD 5 year agency plan and HUD requested revisions. The plan will go out for a comment hearing and eventual public hearing. The Capital Fund is used for the WCTC rehabs and other capital projects as well as the balance of the office building. Approval needs to also be made for the executive director to sign all relevant documents in relation to the plan in lieu of the WHA Commission Chairman. A motion was made by Commissioner Cummings to approve the revised plans and authorize the executive director to execute all documents. The motion was seconded by Commissioner Pascavis and upon roll call the votes were as follows:

AYES

NAYS

Commissioner Pascavis  
Commissioner Hickey  
Commissioner Chris Hernandez  
Commissioner Fowle.

None

There being no further discussion, the motion was approved and the resolution 412 adopted.  
City of Waukesha Housing Authority  
Minutes, April 27, 2011  
Page 2

7. Review/Approve Operating Subsidy budget to accept HUD Operating Funds in 2011.

A motion was made by Commissioner Cummings to approve the revised plans and seconded by Commissioner Pascavis and upon roll call the votes were as follows:

AYES	NAYS
Commissioner Pascavis Commissioner Hickey Commissioner Chris Hernandez Commissioner Fowle.	None

There being no further discussion, the motion was approved and the resolution 413 adopted.

8. Review/Approve grant proposal submittal and contract for solar panels at 600 Arcadian: David Cappon provided information on the developer's revised proposal for solar panels being added to 600 Arcadian Ave. The original proposal was halted, due to limited data on utility usage to secure grant funds. The new proposal will be extended to all three roofs, not just center roof, since we did not add the green roof. The installation will cost the WHA about \$21,000, and the balance will be secured with grant funds. The project will not be undertaken if the grant funds are not provided. The next deadline is in July, as we missed the previous deadline for the grant funds as the revised drawings and specs were not completed in time. A motion was made by Commissioner Pascavis and seconded by Commissioner Hickey to approve the revised solar installation contract and applying for the grant funds to pursue the project. Motion carried unanimously.

9. Adjourn: A motion was made by Commissioner Pascavis and seconded by Commissioner Hickey adjourn the meeting at 10:00 a.m. Motion carried unanimously.

Respectfully Submitted,

David W. Cappon  
Executive Director/Secretary

<b>1.0</b>	<b>PHA Information City of Waukesha Housing Authority</b> PHA Name: _____ PHA Code: _____ WI142 _____ PHA Type: <input type="checkbox"/> Small <input type="checkbox"/> High Performing <input checked="" type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): ____10/2010_____				
<b>2.0</b>	<b>Inventory</b> (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: ____265_____ Number of HCV units: ____792_____				
<b>3.0</b>	<b>Submission Type</b> <input type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input checked="" 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
	PHA 1:				PH HCV
	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 strives to provide decent, save and sanitary subsidized housing to extremely low, very low and low income individuals and households through a complimentary and creative continuum of housing options including: public housing, Section 8 Vouchers, and locally funded housing. Through a complimentary and creative continuum of housing options and supportive services partnerships with local non-profit service providers, the WHA strives to assist households in reaching the optimum level of self-sufficiency and self-reliance as a productive member of our communities.				
<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. <ol style="list-style-type: none"> <li>1. Meet a minimum of 1/5 of all capital replacements identified in the 5-year plan each year to ensure all needs identified in year one of the plan are completed by the end of year 5 in the plan.</li> <li>2. Secure additional property or buildings to provide additional low-income housing options to serve local need with any funds made available through HUD in excess of 5-year plan capital needs</li> <li>3. Identify and monitor long-term capital needs (twenty year anticipated replacement/improvement plan) and at least annually review moving long-term needs into annual plan if the needs appear to require imminent attention</li> </ol>				
<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: None (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. Administrative offices of the WHA: 600 Arcadian Avenue, Waukesha, WI WHA website: <a href="http://www.whaonline.com">www.whaonline.com</a>				
<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> <i>Include statements related to these programs as applicable. None applicable at this time</i>				
<b>8.0</b>	<b>Capital Improvements.</b> Please complete Parts 8.1 through 8.3, as applicable.				
<b>8.1</b>	<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.				
<b>8.2</b>	<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.				
<b>8.3</b>	<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. Not applicable at this time				
<b>9.0</b>	<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. See Attachment				

9.1	<p><b>Strategy for Addressing Housing Needs.</b> Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. <b>Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan. See Attachment</b></p>
10.0	<p><b>Additional Information.</b> Describe the following, as well as any additional information HUD has requested.</p> <ul style="list-style-type: none"> <li>(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.</li> <li>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</li> </ul>
11.0	<p><b>Required Submission for HUD Field Office Review.</b> In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. <b>Note:</b> Faxed copies of these documents will not be accepted by the Field Office.</p> <ul style="list-style-type: none"> <li>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</li> <li>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</li> <li>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</li> <li>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</li> <li>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</li> <li>(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.</li> <li>(g) Challenged Elements</li> <li>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</li> <li>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</li> </ul>

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.

**PHA Certifications of Compliance  
with PHA Plans and Related  
R e g u l a t i o n s**

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
OMB No. 2577-0226  
Expires 08/30/2011

**PHA Certifications of Compliance with the PHA Plans and Related Regulations:  
Board Resolution to Accompany the PHA 5-Year and Annual PHA Plan**

*Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the \_\_\_ 5-Year and/or \_\_\_ Annual PHA Plan for the PHA fiscal year beginning, hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:*


1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA certifies that there has been no change, significant or otherwise, to the Capital Fund Program (and Capital Fund Program/Replacement Housing Factor) Annual Statement(s), since submission of its last approved Annual Plan. The Capital Fund Program Annual Statement/Annual Statement/Performance and Evaluation Report must be submitted annually even if there is no change.
4. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
6. The PHA certifies that it will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. For PHA Plan that includes a policy for site based waiting lists:
  - The PHA regularly submits required data to HUD's 50058 PIC/IMS Module in an accurate, complete and timely manner (as specified in PIH Notice 2006-24);
  - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
  - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
  - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
  - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
9. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
10. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
11. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
12. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.

13. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
14. The PHA will provide the responsible entity or HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58 or Part 50, respectively.
15. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
16. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
17. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR Part 35.
18. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments), 2 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
19. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
20. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.
21. The PHA provides assurance as part of this certification that:
  - (i) The Resident Advisory Board had an opportunity to review and comment on the changes to the policies and programs before implementation by the PHA;
  - (ii) The changes were duly approved by the PHA Board of Directors (or similar governing body); and
  - (iii) The revised policies and programs are available for review and inspection, at the principal office of the PHA during normal business hours.
22. The PHA certifies that it is in compliance with all applicable Federal statutory and regulatory requirements.

PHA Name City of Waukesha Housing Authority PHA Number/HA Code WI142

5-Year PHA Plan for Fiscal Years 2010- 2014

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official <u>David W. Cappon</u>	Title: <u>Executive Director</u>
Signature 	Date <u>9-14-2012</u>

## **Public Hearing Comments and Resident Advisory Member Comments on City of Waukesha Housing Authority Annual and 5-year Plan**

The Residents were convened at two Resident Advisory Members Meetings to hear an oral overview of the Annual and 5-Year plan of the City of Waukesha Housing Authority. Two separate meetings were convened to ensure representation could be available from both the Scattered Site Family Resident Advisory Members and the Saratoga Heights Advisory Members. The respective meetings were held on Friday, November 20, 2009 at 9:00 a.m, and Monday November 23, at 5:30 p.m.

The meeting on Friday November 20, 2009 was held concurrently with the 45-day notice of public hearing. There were no members of the public in attendance other than WHA residents.

The following comments were made:

### **Saratoga Heights**

1. Residents expressed concern about the office at Saratoga Heights being staffed after the WHA moves to a new office in 2010.

Response: This is still under review, but a custodian will still be in the building on the same schedule as now. The office, however, will be staffed on a part time basis as yet to be determined.

2. Residents questioned where they would pay their rent?

Response: Rent collection will still occur at Saratoga Heights for residents of the building. Scattered Site residents will pay their rent at the new office location.

3. Residents asked if anyone already in the building would be able to live in the new units being converted to full wheelchair accessibility.

Response: Priority will be given to existing residents in wheel chairs before filling the new units from the waiting list.

4. Consensus was unanimous that the benefit to the change will no longer have to compete for limited street parking with the public from Scattered Site and Section 8 Programs. Also, not having to share community space with Section 8 Clients (briefings) and also not having the constant traffic of non-residents in the common areas as they head to staff offices on the first floor.

### **Scattered Site Family Units**

1. Families expressed the same concerns as #2 above.
2. The scheduled list of items for family units was considered acceptable and several residents in development 001 expressed the same concern about roofs and garages as noted in the 5-year plan.
3. The only other comments were not material to the 5-year plan but were particular items noted by some residents at their own personal units, all of which are repair items that would normally be handled by a work order. They were advised to submit work orders and the WHA likely will include a reminder about calling in work orders in the next tenant news update letter.

## **Violence Against Women Act (VAWA) City of Waukesha Housing Authority Annual Report**

The City of Waukesha Housing Authority has a partnership with The Waukesha Women's Center in the provision of services to Victims of Domestic Violence.

The WHA refers public housing and Section 8 Participants to the Women's Center for the following services, and includes updated information as part of the tenant handbook/packet:

1. Emergency and Transitional Housing
2. Domestic Violence Information including adult and child victims; dating violence; stalking; sexual assault; obtaining restraining orders and court representation; and Counseling

The WHA provides, in partnership with the Women's Center the following:

1. One Project Based Section 8 Housing Choice Voucher which is attached to a 3-bedroom single family home on the campus of the Women's Center, for use as transitional housing. The home may house a single family, a combination of households, or up to three individuals. Residents may reside in the home up to 24 months, while completing a transitional housing program for all household members. Upon successful completion of the program, eligible households are offered a regular HCV which they may utilize anywhere in Waukesha County, or immediately exercise the portability option
2. The WHA provides a priority for Victims of Domestic Violence who upon leaving the Women's Center Shelter, will be residing in one of the independent apartments located in the same building as the shelter. This number varies, as many clients the Women's Center places in these units are not income eligible for a HCV and in such case are not provided a voucher. They may reside in these apartments with the HCV as long as they and the Women's Center choose, as these are considered permanent housing units, however, all families eventually transition into the community or exercise portability. These Vouchers are not project-based, and are only available when the WHA has Vouchers available.

### **Enforcing VAWA**

The WHA enforces the VAWA and works with the family, their advocate from the Women's Center and/or attorney to take legal enforcement to remove the perpetrator from the household when deemed appropriate. The remaining members of the family who did not participate in the domestic violence may continue to reside in the public housing unit.

The WHA was unable to issue any additional HCV from October 2010 until January 2012 due to lack of available funding. An exception was made to allow households to exceed the 24 month transitional housing time limit and Vouchers were issued in January 2012. Vouchers continue to be available for households leasing vacant apartments in the Women's Center main campus apartment building.