

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

PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004
Annual Plan for Fiscal Year 2003

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

PHA Plan Agency Identification

PHA Name: City of Dubuque

PHA Number: IA087

PHA Fiscal Year Beginning: (mm/yyyy) 07/2002

Public Access to Information

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

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

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

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

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

5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004

[24 CFR Part 903.5]

A. Mission

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. (select one of the choices below)

- The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.

- The PHA's mission is: (state mission here)

B. Goals

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.

- PHA Goal: Expand the supply of assisted housing
Objectives:
 - Apply for additional rental vouchers:
 - Reduce public housing vacancies:
 - Leverage private or other public funds to create additional housing opportunities:
 - Acquire or build units or developments
 - Other (list below)

- PHA Goal: Improve the quality of assisted housing
Objectives:
 - Improve public housing management: (PHAS score)
 - Improve voucher management: (SEMAP score)
 - Increase customer satisfaction:
 - Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)

- Renovate or modernize public housing units:
- Demolish or dispose of obsolete public housing:
- Provide replacement public housing:
- Provide replacement vouchers:
- Other: (list below)

- PHA Goal: Increase assisted housing choices

Objectives:

- Provide voucher mobility counseling:
- Conduct outreach efforts to potential voucher landlords
- Increase voucher payment standards
- Implement voucher homeownership program:
- Implement public housing or other homeownership programs:
- Implement public housing site-based waiting lists:
- Convert public housing to vouchers:
- Other: (list below)

HUD Strategic Goal: Improve community quality of life and economic vitality

- PHA Goal: Provide an improved living environment

Objectives:

- Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
- Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
- Implement public housing security improvements:
- Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
- Other: (list below)

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

- PHA Goal: Promote self-sufficiency and asset development of assisted households

Objectives:

- Increase the number and percentage of employed persons in assisted families:
- Provide or attract supportive services to improve assistance recipients' employability:
- Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- Other: (list below)

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing
Objectives:
 - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
 - Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
 - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
 - Other: (list below)

Other PHA Goals and Objectives: (list below)

Annual PHA Plan
PHA Fiscal Year 2003
[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

Standard Plan

Streamlined Plan:

- High Performing PHA**
- Small Agency (<250 Public Housing Units)**
- Administering Section 8 Only**

Troubled Agency Plan

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

The City of Dubuque Housing Agency (HA) administers the Section 8 Rental programs in Dubuque, Iowa. The primary objective of these programs is to provide decent, safe, sanitary and affordable rental housing for low income households and to provide these households with housing choices and the opportunity to move outside areas with a concentration of low income households.

Purpose of Administrative Plan

The purpose of this Administrative Plan is to:

- Establish policies for issues not covered under Federal regulations for the Section 8 Voucher, Moderate Rehabilitation, and Family Self-Sufficiency programs administered by the City of Dubuque Housing Services Department;
- Establish fair and equitable policies for selecting applicants to participate in Section 8 Programs administered by the City of Dubuque Housing Services Department;
- Provide fair, equitable and reasonable procedures to govern Section 8 Program participation in accordance with regulations of the U.S. Department of Housing and Urban Development (HUD);

- Permit each applicant and participant the greatest opportunity for the exercise of individual rights.

Highlights:

For purposes of selecting families to be assisted under the Voucher Programs, applicants shall be updated based upon local preferences, then date and time the completed application is received. The application will be considered complete only after the applicant submits all required verifications.

Persons being displaced due to code enforcement, fire/natural disaster and by other government action will be issued a Voucher immediately upon receipt of verifications required. Additionally all eligible applicants completing the preapplication process and indicating the desire to occupy an initial HOME Program unit or Moderate Rehabilitation Program unit will be referred, as units are available while remaining active on the waiting list to receive a Voucher.

Physically/Mentally disabled or handicapped status shall receive local preference points in the amount of 5 points.

Person receiving family services in residential settings while also participating in Self-Sufficiency or Family Empowerment Program shall receive local preference points in the amount of 5 points.

Person receiving Supported Community Living services that require live-in staff shall receive local preference points in the amount of 5 points.

Applicants with incomes at or below 30% of the area median income shall receive local preference points in the amount of 5 points.

All other applicants will be ranked in order by date and time of application.

Denial of application and termination of program participation for drug-related or violent criminal activity is based upon different time periods and seriousness of the crime committed. The City of Dubuque is unique in that we have a direct computer linkage with the City of Dubuque Police Dept.

Additionally the City of Dubuque shall deny participation to an owner if the owner engages in drug-related and violent criminal activity according to the same guidelines and limitations of the applicant/participant of the Section 8 Program.

Voucher Payment Standards are equal to 110% of the HUD-published fair market rent, to provide Voucher holders a greater opportunity in locating dwelling units outside poverty and low-income areas.

In the event any owner, tenant or applicant desires to appeal a determination by the Dept. Of Housing Services, the aggrieved person may follow the grievance

procedures which may offer up to 4 hearings ranging from informal review by the Assisted Housing Supervisor or an informal hearing by the Department Manager up to a formal hearing by a City of Dubuque Commissioner or the full City of Dubuque Housing Commission.

Housing Goals:

- **To preserve adequate, existing housing and existing, older residential neighborhoods.**
- **To promote the creation and maintenance of an adequate supply of sound, affordable housing integrated throughout the community.**
- **To expand the opportunities for homeownership, especially for low income households.**
- **To promote fair housing opportunity for residents in all city neighborhoods.**
- **To assist local service agencies in providing shelter and semi-independent living for persons in need of supportive services.**
- **To promote the public's awareness of housing needs and issues through informational and educational efforts.**
- **"Live in dignity with independence."**

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

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Attachments

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

Required Attachments:

- Admissions Policy for Deconcentration
- FY 2000 Capital Fund Program Annual Statement
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- PHA Management Organizational Chart (Attachment A)
- FY 2000 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text) (Attachment B)
- Other (List below, providing each attachment name)
Acronyms and Glossary (Attachment C)

Supporting Documents Available for Review

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies

List of Supporting Documents Available for Review

Applicable & On Display	Supporting Document	Applicable Plan Component
	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public housing rent determination policies, including the methodology for setting public housing flat rents <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing

List of Supporting Documents Available for Review

Applicable & On Display	Supporting Document	Applicable Plan Component
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
X	Policies governing any Section 8 Homeownership program <input checked="" type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs[24 CFR Part 903.7 9 (a)]

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the “Overall” Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being “no impact” and 5 being “severe impact.” Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction By Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI	1722	5	5	5	NA	5	5
Income >30% but <=50% of AMI	1197	5	4	4	NA	4	5
Income >50% but <80% of AMI	1724	5	3	2	NA	3	3
Elderly	1364	5	3	3	NA	3	3
Families with Disabilities	1725	NA	NA	NA	NA	NA	NA
White/non-Hispanic *	21,100	NA	NA	NA	NA	NA	NA
Black/non-Hispanic *	65	NA	NA	NA	NA	NA	NA
Hispanic (all races) *	54	NA	NA	NA	NA	NA	NA
Native American/non-Hispanic *	31	NA	NA	NA	NA	NA	NA

NOTE: Population numbers marked with * are from the 1990 Census. These numbers represent total households within the City of Dubuque and not necessarily “Renter Households”.

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction/s
Indicate year: 2001-2006
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)

B. Housing Needs of Families on the Public Housing and Section 8 Tenant-Based Assistance Waiting Lists

State the housing needs of the families on the PHA's waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input checked="" type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	398		658
Extremely low income <=30% AMI	250	63%	618
Very low income (>30% but <=50% AMI)	148	37%	40
Low income (>50% but <80% AMI)	0	NA	NA
Families with children	321	81%	507
Elderly families	18	4%	21
Families with Disabilities	59	15%	130
White/Non-Hispanic	284	71%	496
Black/Non-Hispanic	106	27%	147
Latino/Hispanic	1	0%	3
Other/Non-Hispanic	7	2%	12

Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

C. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program

- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)
Support home ownership programs through the City of Dubuque Rehabilitation activities.
Continue Section 8 Home Ownership Program

Strategy 2: Increase the number of affordable housing units by:

Select all that apply

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- Other: (list below)
Develop or rehabilitate unused spaces utilizing CDBG, HOME and other resources and creative partnerships.
Increase the profitability of rental housing by providing landlord training at least annually (Crime Free Multi-Housing).
Provide an array of housing choices by encouraging landlords to list vacant units and/or units that will be available with the HA which is distributed to the public.
Develop downtown housing options through strong coordination and local collaboration.
Increase Voucher Payment Standards to 110% of Fair Market Rent for Section 8 Participants.

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

Select all that apply

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- Employ admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below)
Assign local preference points to families at or below 30% of AMI on the waiting list.
Provide listing of available Mod Rehab and HOME units.

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- Employ admissions preferences aimed at families who are working

- Adopt rent policies to support and encourage work
- Other: (list below)
- Maintain admissions policy to support very low income.
- Provide listings of available Mod Rehab and HOME units.

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)
- Collaborate efforts and funding resources with area agencies
- Increase awareness of assisted housing benefits
- Maintain collaborative services with Elderly service agencies/apartment complexes.
- Continue referrals to Elderly apartments/complexes designed to assist lower income household.

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other: (list below)
- Maintain opportunities and partnerships utilizing the Mainstream Program.
- Actively participate in Fair Housing Planning and identification of impediments to Fair Housing Choice.
- Encourage owners to make dwelling units accessible.
- Advise Mainstream/Disabled participants of monies that are available for their landlords to modify units for accessibility purposes through the City of Dubuque Rehabilitation Activity.
- Encourage Disabled Persons to utilize their choices for deconcentration.

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- Other: (list below)
Continue to participate and support Fair Housing Tenant Conference to provide Fair Housing Act information and support.
Continue Fair Housing awareness, outreach and training
Increase awareness and understanding of the issues facing special populations as well as persons with low and moderate incomes.

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- Market the section 8 program to owners outside of areas of poverty /minority concentrations
- Other: (list below)
Participate and encourage training of landlords in Fair Housing Laws.
Participate and encourage training of tenants in Fair Housing Tenant Conference.

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA’s selection of the strategies it will pursue:

- Funding constraints
- Staffing constraints
- Limited availability of sites for assisted housing
- Extent to which particular housing needs are met by other organizations in the community
- Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- Influence of the housing market on PHA programs
- Community priorities regarding housing assistance
- Results of consultation with local or state government
- Results of consultation with residents and the Resident Advisory Board
- Results of consultation with advocacy groups
- Other: (list below)
Results of a Fair Housing Planning Guide for the City of Dubuque
Discussions with the City’s Housing Commission
Results of Housing Action Conference
Results of Continuum of Care Facilitation
Feedback from the community

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2000 grants)		
a) Public Housing Operating Fund		
b) Public Housing Capital Fund		
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	\$4,014,870	Administrate & Operate Section 8 Program
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		
g) Resident Opportunity and Self-Sufficiency Grants	\$64,859	Provide Case Management to FSS families
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income		
4. Other income (list below)		

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
4. Non-federal sources (list below)		
Total resources	\$4,079,729	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- When families are within a certain number of being offered a unit: (state number)
- When families are within a certain time of being offered a unit: (state time)
- Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- Criminal or Drug-related activity
- Rental history
- Housekeeping
- Other (describe)

c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- Community-wide list
- Sub-jurisdictional lists
- Site-based waiting lists
- Other (describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office
- PHA development site management office
- Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year?

2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists?

3. Yes No: May families be on more than one list simultaneously?
If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

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

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- One
- Two
- Three or More

b. Yes No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

a. Income targeting:

Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- Emergencies
- Overhoused
- Underhoused
- Medical justification
- Administrative reasons determined by the PHA (e.g., to permit modernization work)
- Resident choice: (state circumstances below)
- Other: (list below)

c. Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection

(5) Occupancy)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Date and Time

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- The PHA-resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- At an annual reexamination and lease renewal
- Any time family composition changes
- At family request for revision
- Other (list)

(6) Deconcentration and Income Mixing

a. Yes No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. Yes No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

- Adoption of site-based waiting lists
If selected, list targeted developments below:
- Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:
- Employing new admission preferences at targeted developments
If selected, list targeted developments below:
- Other (list policies and developments targeted below)

d. Yes No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments
- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.

Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

- Criminal or drug-related activity only to the extent required by law or regulation
- Criminal and drug-related activity, more extensively than required by law or regulation
- More general screening than criminal and drug-related activity (list factors below)
- Other (list below)

b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

- Criminal or drug-related activity
- Other (describe below)
Tenant Rental History

(2) Waiting List Organization

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- None
- Federal public housing
- Federal moderate rehabilitation
- Federal project-based certificate program
- Other federal or local program (list below)
HOME Project Referrals

b. Where may interested persons apply for admission to section 8 tenant-based assistance?
(select all that apply)

- PHA main administrative office
 Other (list below)

(3) Search Time

a. Yes No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

A thirty day extension may be granted upon written request of the Voucher Holder submitted along with proof the applicant has actively been searching for a unit. Each 30 day increment extension may be granted after the first one if the Family can demonstrate (a) he or she has been actively seeking housing by return of completed "Request for Tenancy Approvals" not resulting in a lease for reasons beyond the applicant's control or (b) when extraordinary circumstances can be documented by the Family such as but not limited to difficulties in finding suitable housing due to disabilities, discrimination, and medical reasons and the Family has requested the extension in writing in advance of the expiration date. During the initial or any extended term of the voucher, the HA may require the family to report progress in leasing a unit and of attempts to do so.

Additionally all Mainstream participants and disabled families are provided additional staff assistance in finding units that meet their needs.

(4) Admissions Preferences

a. Income targeting

Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

b. Preferences

1. Yes No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent)

(5) Special purpose section 8 assistance programs)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)
Persons being displaced due to code enforcement, fire/natural disaster and by other government action will be issued a Voucher immediately upon receipt of verifications required. Additionally all eligible applicants completing the preapplication process and indicating the desire to occupy an initial HOME Program unit or Moderate Rehabilitation Program unit will be referred, as units are available while remaining active on the waiting list to receive a Voucher.
Physically/Mentally disabled or handicapped status shall receive local preference.
Persons receiving family services in residential settings while also participating in Self-Sufficiency or Family Empowerment Program shall receive local preference.
Persons receiving Supported Community Living services that require live-in staff shall receive local preference.
Applicants with incomes at or below 30% of the area median income shall receive local preference.

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

3 Date and Time

Former Federal preferences

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)

Victims of domestic violence

Substandard housing

Homelessness

High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

1 Persons being displaced due to code enforcement, fire/natural disaster and by other government action will be issued a Voucher immediately upon receipt of verifications required. Additionally all eligible applicants completing the preapplication process and indicating the desire to occupy an initial HOME Program unit or Moderate Rehabilitation Program unit will be referred, as units are available while remaining active on the waiting list to receive a Voucher.

- 2 Physically/Mentally disabled or handicapped status shall receive local preference.
- 2 Persons receiving family services in residential settings while also participating in Self-Sufficiency or Family Empowerment Program shall receive local preference.
- 2 Persons receiving Supported Community Living services that require live-in staff shall receive local preference.
- 2 Applicants with income at or below 30% of the area median income shall receive local preference.

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- Date and time of application
 Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction” (select one)

- This preference has previously been reviewed and approved by HUD
 The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- The PHA applies preferences within income tiers
 Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- The Section 8 Administrative Plan
 Briefing sessions and written materials
 Other (list below)
Application Packet and Information Brochures

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- Through published notices
 Other (list below)
Public Notice Broadcasts
Area Service Agencies and Non-Profit Agencies

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

(1) Income Based Rent Policies

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the highest of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- \$0
 \$1-\$25
 \$26-\$50

2. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1. Yes No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

For the earned income of a previously unemployed household member

For increases in earned income

Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

Fixed percentage (other than general rent-setting policy)

If yes, state percentage/s and circumstances below:

For household heads

For other family members

For transportation expenses

For the non-reimbursed medical expenses of non-disabled or non-elderly families

Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

Yes for all developments

Yes but only for some developments

No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

For all developments

For all general occupancy developments (not elderly or disabled or elderly only)

For specified general occupancy developments

For certain parts of developments; e.g., the high-rise portion

For certain size units; e.g., larger bedroom sizes

Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- Market comparability study
- Fair market rents (FMR)
- 95th percentile rents
- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The "rental value" of the unit
- Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- Never
- At family option
- Any time the family experiences an income increase
- Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold)_____
- Other (list below)

g. Yes No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- The section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood
- Other (list/describe below)

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- Annually
- Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- Success rates of assisted families
- Rent burdens of assisted families
- Other (list below)
 - Communication with area landlords and management agencies
 - Survey of the Dubuque Residential Rental Market

(2) Minimum Rent

a. What amount best reflects the PHA’s minimum rent? (select one)

- \$0
- \$1-\$25
- \$26-\$50

b. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

A. PHA Management Structure

Describe the PHA’s management structure and organization.

(select one)

- An organization chart showing the PHA’s management structure and organization is attached. (See Attachment A)
- A brief description of the management structure and organization of the PHA follows:

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use “NA” to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	NA	
Section 8 Vouchers	967	390
Section 8 Certificates	NA	NA
Section 8 Mod Rehab	73	32
Special Purpose Section 8 Certificates/Vouchers (list individually)	40 Mainstream	10
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs(list individually)		

C. Management and Maintenance Policies

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

1. Section 8 Management: (list below)
 - City of Dubuque Housing Code
 - City of Dubuque Section 8 Administrative Policy
 - Section 8 Briefing Materials
 - Application Packet Materials

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

A. Public Housing

1. Yes No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)
 - PHA main administrative office
 - PHA development management offices
 - Other (list below)

B. Section 8 Tenant-Based Assistance

1. Yes No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

Complaints and Appeals

1. Complaints.

- a. *Discrimination:* If a person encounters discrimination from an owner in obtaining a unit, the HA will refer them to the local fair housing office or will assist the person in filing a complaint with the Department of Housing and Urban Development with a review of the specific circumstances.
- b. *Tenant/Landlord Complaint Regarding HA Decision:* If a tenant or landlord disagrees with a decision by a Section 8 staff person, the following procedure is available:
 - (i) Contact the Section 8 Assisted Housing Specialist and discuss the problem. If a settlement cannot be reached, then
 - 1. Contact the Assisted Housing Supervisor or his/her representative. If a settlement cannot be reached, then
 - 2. Contact the Housing Services Manager or his/her representative. If a settlement cannot be reached, then a request for an appeal may be filed.

2. Appeals.

- a. *Participants:* The HA has established a grievance procedure which is in accordance with federal regulations. All participant appeals will be handled as specified by these procedures. (See F. Grievance Procedures.)
- b. *Applicants:* The HA has established a grievance procedure which is in accordance with federal regulations. All applicant appeals will be handled as specified by these procedures. (See Section F. Grievance Procedures.)

F. Grievance Procedures (24 CFR 982.555)

In the event any owner or applicant for assistance or any tenant desires to appeal a determination by the Department of Housing Services, such aggrieved person will be fully advised as to the appeals procedures.

1. Informal Hearings:

As a result of a consent agreement approved by the U.S. District Court in Cedar Rapids, dated February 21, 1980, in the case of Howell vs. City of Dubuque, and in compliance with federal regulations, the City of Dubuque provides for informal hearings prior to appeal to the Dubuque Housing Commission for all Certificate and Voucher Holders and households certified for occupancy in Section 8 Moderate

Rehabilitation Units whose benefits are proposed to change. The informal hearing examiner shall be either the assisted Housing Supervisor or the Housing Department Manager.

The informal hearing process will be made available to all tenants, landlords and applicants wishing to appeal decisions relating to benefits in the assisted housing program, preference status for the housing waiting list, vacancy and rent loss claims and claims for payment of damages. (For Vacancy, Rent Loss and Damage claims, only units with HAP contracts executed prior to October 2, 1995 are eligible.)

Requests for review must be made within 20 days of the written notification of the change in benefits or termination. The initial response may be conducted by the Assisted Housing Programs Supervisor. A written explanation of benefits or the determination shall be provided to the aggrieved person.

If after this explanation or determination, the aggrieved person is not satisfied with the results, he or she may request a hearing with the Housing Services Manager. The aggrieved person shall supply a written request for the hearing with the reason for the request. The hearing shall not be scheduled sooner than 20 days after the date postmarked on the agency's notice of hearing unless the tenant consents to an earlier date in writing. The Housing Services Manager shall provide written notice of the result of the informal hearing within 20 days of the hearing. However, Damage/Rent Loss/Vacancy Loss Claim Hearings shall receive written notice of the result of the informal hearing within 10 days of the hearing.

2. Formal Hearings

Appeals to Hearing Examiner (Housing Commissioner)

If, after the informal hearing, the aggrieved person wishes to pursue his/her complaint, the appeal will be made to a hearing examiner. The examiner will be a member of the Housing Commission.

If the decision of the Hearing Examiner remains the same as the Housing Services Manager the decision shall become final with no further rights to appeal.

Appeals to Housing Commission

If the decision of the Hearing Examiner differs from the decision made by the Housing Services Manager, the aggrieved person may wish to pursue his/her appeal to the full Housing Commission.

Upon receipt of a request for hearing before the Housing Commission, the Housing Manager shall advise the Chairperson of the Dubuque Housing Commission at the next Housing Commission Meeting who shall schedule a meeting of the Dubuque Housing Commission which shall sit as a Board of Appeals. The aggrieved person shall be provided a written notice as to the time and date of the hearing. Any aggrieved person has a right to representation by legal or other counsel at his/her own expense at any and all stages of the proceedings. If the aggrieved person is not fluent in English, the Housing Authority shall provide an interpreter. If it is not possible after reasonable efforts by the HA to provide an interpreter, the aggrieved person shall be notified that he or she may bring an interpreter. If the aggrieved person is disabled and requires special assistance due to the nature of a disability, extra efforts shall be made by the HA to assist with any reasonable requested need.

The Chairperson of the Dubuque Housing Commission shall issue a written statement of the findings of the Dubuque Housing Commission sitting as a Board of Appeals within 20 days of the conclusion of the hearing. Nothing in this paragraph shall preclude the recessing of the hearing to a later date whenever it is deemed to be in the best interest of either or both parties.

Any person who believes himself/herself aggrieved as the result of the determination of his/her claim upon review by the Dubuque Housing Commission sitting as a Board of Appeals may contact the Office of the U.S. Department of Housing and Urban Development, located in Kansas City Regional or pursue other legal options.

The Housing Manager or appropriate staff will notify both the aggrieved person and other parties to the dispute, in writing as to the date, time and place of the hearing. All parties will be encouraged to attend all hearings. Upon notification in advance with at least 48 hours notice on any party's unavailability to attend a scheduled hearing, the hearing will be rescheduled one time only without justification of the need to reschedule. After the hearing has been rescheduled a request to reschedule a second time by the same party with at least **48 hours** notice will only be considered for legitimate reason. Legitimate reasons may include but are not limited to illnesses of self or family, death in the family, weather related restriction. The hearing officer will have the opportunity to decide if the request is legitimate and with good cause. However, if any party fails to give such notice and does not attend a scheduled hearing, the hearing will be conducted as scheduled and the party failing to appear shall forfeit all rights to further appeal.

2. **Rules for Notices, Hearings and Appeals**

Each applicant/participant in the Section 8 Housing Assistance Program shall be entitled to notice and an opportunity to be heard on any proposed reduction or termination of his/her housing assistance payments, transfer to other assisted housing, waiting list status, vacancy and rent loss claims, claims for payment of damages, eviction and inspection findings. The level of benefits for any such participant shall not be reduced or terminated by the Housing Agency prior to delivery of the notice and completion of a hearing (i.e., delivery of notice of decision) described below, if such a hearing(s) is requested.

1. NOTICE

A Section 8 tenant shall be notified in writing of any HA finding. The notice shall be delivered by First Class mail. It shall contain a statement of the reasons for the proposed determination. It shall state:

- (1) The factual basis of the determination, including a summary of the information on which it is based;
- (2) A layperson's explanation of the legal basis of the determination;
- (3) The citations to the particular sections of the statutes, rules, or other authorities involved;
- (4) The fact that the staff representative who made the proposed determination is available for a further explanation of the decision, and is available to meet with the tenant to attempt to settle any dispute informally; and
- (5) The tenant's right to inspect the entire contents of his/her file prior to the hearing and examine and copy, at his/her own expense, all documents, records, rules, regulations, and any other information relevant to the determination.

The notice shall further state that the tenant is entitled to both informal and formal hearings if such a hearing is requested by the tenant either orally or in writing within twenty days of the date postmarked on the notice, and that benefits will continue at the present level until after the hearing is completed if one is requested. The notice shall also inform the tenant that s/he shall have the following rights at the hearing if one is requested:

- (1) An opportunity to present his/her own arguments and evidence orally;
- (2) An opportunity to defend by confronting and cross-examining all witnesses on whose testimony or information the PHA relies;
- (3) The right to be represented by counsel or other person chosen as his/her representative, at his/her own expense;

- (4) A decision within twenty days of the date of the hearing will be rendered based solely and exclusively on the rules and evidence presented at the hearing. (Ten days for damage/rent loss/vacancy claims.)

The notice shall also advise the tenant of the possible availability of free legal services in the area. Finally, the notice shall state the date when the determination will become effective if a hearing is not requested, and the period of time for which the proposed determination will be effective.

If the tenant requests a hearing, the agency shall within five days of the receipt of such request, inform the tenant in writing of the date, time and place of the hearing. The hearing shall not be scheduled sooner than 20 days after the date postmarked on the agency's notice of hearing unless the tenant consents to an earlier date in writing. The Housing Manager or appropriate staff will notify both the aggrieved person and other parties to the dispute, in writing as to the date, time and place of the hearing. All parties will be encouraged to attend all hearings. Upon notification in advance with at least 48 hours notice on any party's unavailability to attend a scheduled hearing, the hearing will be rescheduled one time only without justification of the need to reschedule. After the hearing has been rescheduled a request to reschedule a second time by the same party with at least **48 hours** notice will only be considered for legitimate reason. Legitimate reasons may include but are not limited to illnesses of self or family, death in the family, weather related restriction. The hearing officer will have the opportunity to decide if the request is legitimate and with good cause. However, if any party fails to give such notice and does not attend a scheduled hearing, the hearing will be conducted as scheduled and the party failing to appear shall forfeit all rights to further appeal.

Hearing:

At the formal hearing, all parties shall be given the opportunity to respond to evidence and present argument on all issues involved. Witnesses or documents which have been submitted shall be subject to cross-examination and review by any party as necessary for a full and true disclosure of the facts. Parties may be represented by counsel or other representative.

Evidence:

The HA and the family shall be given the opportunity to present evidence, and may question any witnesses. Evidence shall be received and considered even though it would be inadmissible under rules of evidence applicable in a court of law, and shall be considered if reasonably reliable. Irrelevant, immaterial, or unduly repetitious evidence shall be excluded. Objections to any evidence submitted may be noted during the hearing process along with the reason for the objection.

Documentary evidence may be received in the form of copies or excerpts if the original is not readily available. Upon request, parties shall be given an opportunity to compare the copy with the original, if available.

Discovery:

By family:

The family will be given the opportunity to examine before the HA hearing any HA documents that are directly relevant to the hearing. If the HA does not make the document available for examination on request of the family, the HA may not rely on the document at the hearing.

By HA:

The HA must be given the opportunity to examine at the HA office before the hearing any family documents that are directly relevant to the hearing. The HA must be allowed to copy any such document at the HA's expense. If the family does not make the document available for examination on request of the HA, the family may not rely on the document at the hearing.

Burden of Proof:

The family must supply any information that the HA or HUD determines is necessary in the administration of the program, including submission of required evidence. "Information" includes any requested certification, release or other documentation. The HA must show the factual determination relating to the family based upon a preponderance of the evidence.

Hearing Officer:

The informal hearing officer may be the Assisted Housing Program Supervisor and/or the Housing Department Manager. The formal hearing officer, as a member of the Housing Commission, shall be appointed by the chairperson to hear the appeal. The hearing may be conducted by any person other than a person who made or approved the decision being appealed and shall be impartial. The person who conducts the hearing shall regulate the conduct of the hearing according to the stated hearing procedures. Another "commissioner in training" may attend the hearing as a non-participant and for observation purposes only.

A hearing officer assigned to render a decision, shall not communicate, directly or indirectly, in connection with any issue of fact or evidence in that contested case, with any other person or party, except during the hearing with notice and opportunity for all parties to participate.

Parties or their representatives in a contested case shall not communicate, directly or indirectly, in connection with any issue of fact or law in that contested case, with the hearing officer assigned to render a decision, except during the hearing with notice and opportunity for all parties to participate.

No hearing officer shall have participated in the initial determination, or have any previous knowledge with the case which would cause impartial or unfair judgment toward the parties involved in the hearing. Nor shall any hearing officer be subject to the authority or direction of any person who had previously made a determination in connection with that case.

Any party involved in the hearing may file a request of disqualification or personal bias of a hearing officer if notice has been given showing evidence that is contrary to the rules for hearings. The hearing officer must enter any such notice as part of the record in the case.

Decorum:

The hearing officer shall require the PHA, tenant, counsel and other participants or spectators to conduct themselves in an orderly fashion. Failure to comply with the directions of the hearing officer to maintain order may result in exclusion from the proceedings or in a decision adverse to the interests of the disorderly party and granting or denial of relief sought, as appropriate.

Record:

The record in the hearing shall include: all evidence received or considered; all questions and offers of proof, objections, and rulings; all finding of facts and any decision, opinion, or report by the officer presiding at the hearing. The Housing Commission may enter into a closed session for deliberations at the formal hearing (if considered a contested case) according to the Open Meetings Law.

Oral proceedings shall be open to the public and shall be recorded during the formal hearing before the Housing Commission. All other hearings shall not be recorded. Oral proceedings or any part thereof shall be transcribed at the request of any party with the expense of the transcription charged to the requesting party. The recording or stenographic notes of oral proceedings or the transcription thereof shall be filed with and maintained by the agency for at least three years from the date of decision.

Continuance:

The hearing may be continued at the request of either the housing agency or tenant for good cause such as illness or other unavoidable absence of a party or witness, or by agreement between the public housing agency and the tenant. A continuance may also be granted by the hearing officer to seek additional evidence or verify facts presented at the hearing.

Decision:

Within twenty days after the date of the hearing, the hearing officer shall issue a written decision, stating briefly the reasons for the decision (10 days for damage/vacancy claims). Factual determinations relating to the individual circumstances of the family shall be based on a preponderance of the evidence presented at the hearing even if the evidence would be inadmissible in a court of law. A copy of the hearing decision shall be furnished to the family by first class mail.

A finding shall be based upon the kinds of evidence on which reasonably prudent persons are accustomed to rely for the conduct of their serious affairs, and may be based upon such evidence even if it would be inadmissible in a jury trial.

The decision shall be supported by a statement of the findings of facts which support the decision and a brief explanation of the decision in layperson's terms.

The notice of decision shall include a statement that the tenant may appeal this decision to the Dubuque Housing Commission if such appeal is filed within 20 days (10 days for damage/vacancy claims) of the date postmarked on the notice. Upon receipt of the notice of appeal, the Dubuque Public Housing Agency shall notify the Housing Commission and a time and date shall be set for the appeal, which date shall not be less than 20 days after receipt of the notice by the Dubuque Public Housing Agency, unless waived by the tenant in writing. The Agency shall notify the tenant of the time, date, and place of the appeal before the Housing Commission.

The notice of decision shall state that at the appeal before the Housing Commission, the applicant or tenant shall have the right to appear personally or with counsel or other representative.

11. FORMAL HEARING BEFORE THE HOUSING COMMISSION

Any information previously presented and previous determinations of hearings shall be reviewed. The rules of conduct, evidence and procedure shall be the same as required at the formal hearing before a hearing examiner. The previous Hearing Officer may not participate in the questioning or decision making process in the formal hearing before the Housing Commission; however, he/she may be available for reporting of intermediate rulings and any previous decision.

The party requesting the appeal shall first present its case, followed by the other party. The party requesting the appeal shall have the opportunity to offer rebuttal.

Within 20 days (10 days for damage/vacancy claims) after the appeal is heard, the Housing Commission shall notify the tenant in writing of its decision, stating the reasons for the decision and the information relied upon.

12. EXPLANATORY NOTES

Nothing herein shall be construed as restricting the tenant's rights to request a re-determination of Total Tenant Payment at any time on the basis of changes in Family Income or other relevant circumstances pursuant to 24 C.F.R. 982.555.

All requests for hearings must be received by the HA within the stated deadline on the notice of the decision or proposed determination. If the aggrieved party does not follow the time limits stated, his/her benefits may be reduced or terminated on the effective date specified in the notice of the determination.

13. Time Guidelines for Grievance Procedures/Appeals Section 8 Administrative Plan

Requests for hearing: Within **20 days** of the written notification of the change in benefits or termination (10 days for damage/vacancy claims)

Scheduling of hearing: No sooner than **20 days** after the date postmarked on the notice of hearing unless the tenant/applicant consents to an earlier date in writing.

Results of hearing: Written notice of the result of the hearing must be provided within **20 days** of the hearing date. However, Damage/Rent Loss/Vacancy Loss Claim hearing notices must be within **10 days** of the hearing date.

Rescheduling of hearing: The hearing shall be rescheduled upon at least **48 hours** notice on any party's unavailability to attend a scheduled hearing.

Inspections - Appeals Hearings

Appeals of inspection findings may be made directly to the Housing Code Appeals Board. The Appeals Board conducts its hearings in accordance with Sections 26-8. And 26-9. Of the City of Dubuque Code of Ordinances.

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office
- Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

A. Capital Fund Activities

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

(1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name)

-or-

The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

(2) Optional 5-Year Action Plan

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD-52834.

a. Yes No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund?
(if no, skip to sub-component 7B)

b. If yes to question a, select one:

The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name)

-or-

The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

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

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

Yes No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)

b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- Revitalization Plan under development
- Revitalization Plan submitted, pending approval
- Revitalization Plan approved
- Activities pursuant to an approved Revitalization Plan underway

Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?

If yes, list development name/s below:

Yes No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?

If yes, list developments or activities below:

Yes No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?

If yes, list developments or activities below:

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

2. Activity Description

- Yes No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

Demolition/Disposition Activity Description
1a. Development name:
1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. Number of units affected:
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1. Yes No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

Designation of Public Housing Activity Description
1a. Development name: 1b. Development (project) number:
2. Designation type: Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA’s Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

10. Conversion of Public Housing to Tenant-Based Assistance [24 CFR Part 903.7 9

(j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. Yes No: Have any of the PHA’s developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If “No”, skip to component 11; if “yes”, complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 11. If “No”, complete the Activity Description table below.

Conversion of Public Housing Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. What is the status of the required assessment?	
<input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)	
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)	
4. Status of Conversion Plan (select the statement that best describes the current status)	
<input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway	

5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)

- Units addressed in a pending or approved demolition application (date submitted or approved: _____)
- Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____)
- Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____)
- Requirements no longer applicable: vacancy rates are less than 10 percent
- Requirements no longer applicable: site now has less than 300 units
- Other: (describe below)

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1. Yes No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

- Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

Public Housing Homeownership Activity Description (Complete one for each development affected)	
1a. Development name:	
1b. Development (project) number:	
2. Federal Program authority:	
<input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)	
3. Application status: (select one)	
<input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application	
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)	
5. Number of units affected:	
6. Coverage of action: (select one)	
<input type="checkbox"/> Part of the development <input type="checkbox"/> Total development	

B. Section 8 Tenant Based Assistance

1. Yes No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

1. Program Description:

The Section 8 Home Ownership Program permits eligible participants in the Section 8 Housing Choice Voucher Program, including participants with portable vouchers, the option of purchasing a home with their Section 8 assistance rather than renting. The home ownership option is available to current participants who have completed an initial Section 8 lease term consisting of 12 months, do not owe monies to the City of Dubuque Housing Services or any other Housing Agency for any outstanding debts, and who meet the eligibility criteria set forth below.

Additionally, participants who are in violation of their family obligations while receiving Section 8 assistance shall be ineligible for participation in the Section 8 Home Ownership Program.

Section 8 home ownership assistance may be used to purchase the following type of homes within the City of Dubuque: new or existing single-family dwelling unit, condominium, cooperatives, or manufactured homes. The City of Dubuque Housing Services will also permit portability of Section 8 home ownership assistance to another jurisdiction, provided the receiving jurisdiction operates a Section 8 home ownership program for which the participant qualifies.

a. Size of Program

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

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- 25 or fewer participants
- 26 - 50 participants
- 51 to 100 participants
- more than 100 participants

b. PHA-established eligibility criteria

Yes No: Will the PHA's program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

Participation in the Section 8 home ownership program is voluntary. Each Section 8 home ownership participant must meet the general requirements for admission to the Section 8 Housing Choice Voucher Program as described in the City of Dubuque Section 8 Housing Administrative Plan. The family must satisfy all of the following initial requirements at commencement of home ownership assistance:

1. The family must be a first-time homeowner
2. The family must satisfy the minimum income requirement
3. The family must satisfy the employment requirements
4. The family must not have defaulted on a mortgage securing debt to purchase a home under the home ownership option

5. Except for cooperative members who have acquired cooperative membership shares prior to commencement of home ownership assistance, no family member has a present ownership interest in a residence at the commencement of home ownership assistance for the purchase of any home
6. The family must complete and submit all necessary home ownership counseling sessions and documents as described in this plan
7. The family must be financially capable to qualify for HA approved financing of the home and must be financially capable to provide at least 3% of the purchase price as a minimum homeowner down payment. The City of Dubuque Housing Services Rehabilitation Activity shall review lender qualifications and the loan terms before authorizing home ownership assistance.

a. First-time homeowner

Each family, except families with a disabled member, must be a first-time homeowner. A first-time homeowner means that no member of the household has had an ownership interest in any residence during the three years prior to the home ownership assistance. However, a single parent or displaced homemaker who, while married, owned a home with a spouse (or resided in a home owned by a spouse) is considered a first-time homeowner for purposes of the Section 8 Home ownership Program.

b. Minimum Income Requirement

At the time the family is determined eligible for the Home ownership program, the head of household, spouse, and/or other adult household members who will own the home, must have a gross annual income at least equal to the Federal minimum hourly wage multiplied by 2,000 hours.

At the time a disabled family is determined eligible for the Home ownership program, the family's gross annual income must at least equal the monthly Federal Supplemental Security Income (SSI) benefit for an individual living alone (or paying his or her share of food and housing costs) multiplied by twelve.

c. Exclusion of Welfare Assistance

Except in the case of an elderly or disabled family, the HA shall not count any welfare assistance received by the family in determining annual income. The disregard of welfare assistance income in this section only affects the determination of minimum annual income used to determine if a family initially qualifies for the Home ownership assistance and does not affect the calculation of the amount of the family's total tenant payment or Home ownership assistance payments. In the case of an elderly or disabled family, the HA shall count welfare assistance in determining annual income.

d. Employment History

With the exception of disabled and elderly households, each family must demonstrate that one or more adult members of the family who will own the home is employed full-time (not less than an average of 30 hours per week); and has been continuously employed during the previous year. In the case of an elderly or disabled family, the HA will consider income from all sources, including welfare assistance in evaluating whether the household meets the minimum income required to purchase a home through the Section 8

Home Ownership program. The Housing and Community Development Manager may also consider whether and to what extent an employment interruption is considered permissible in satisfying the employment requirement. The Housing and Community Development Manager may also consider self-employment to determine employment history.

The employment requirement does not apply to an elderly or disabled family. In order to reasonably accommodate a family's participation in the program, families that include a person with disabilities may also be exempt from this requirement if an exemption is needed as a reasonable accommodation.

e. Completion of Initial Lease Term

Applicants for and new participants in the Section 8 Housing Choice Voucher Program shall be ineligible for participation in the Section 8 Home Ownership Program until completion of an initial Section 8 lease term (12 months) and at the participant's first annual recertification in the Section 8 Housing Choice Voucher Program. Nothing in this provision will preclude Section 8 participants who have completed an initial lease term (12 months) in another jurisdiction from participating in the Section 8 Home Ownership Program.

f. Repayment of Any Housing Authority Debts and/or Family Obligations

Participants in the Section 8 Housing Choice Voucher Program shall be ineligible for participation in the Section 8 Home Ownership Program if any debt or portion of a debt remains owed to the City of Dubuque Housing Services or any other Housing Authority. Additionally, participants who are in violation of their family obligations while receiving Section 8 assistance shall be ineligible for participation in the Section 8 Home Ownership Program.

g. The participant shall be required to repay any current court judgment or order or court approved mediation agreement. The Housing and Community Development Manager may allow exceptions after conducting an internal review.

h. If the head of household, spouse, or other adult household member who will execute the contract of sale, mortgage and loan documents has previously defaulted on a mortgage obtained through the Section 8 Home Ownership Program, the family will be ineligible to participate in the Home Ownership Program.

Additional Family Participation Requirements

(1) Before commencement of Home ownership assistance for a family, the family must attend and satisfactorily complete the pre-assistance Home ownership and housing counseling program required by the HA.

(2) Within a specified time, the family must locate the home it proposes to purchase; submit a purchase or sales agreement containing specific components to the HA for approval; allow the HA to inspect the proposed home ownership dwelling to assure that the dwelling unit meets the City of Dubuque Housing Code; obtain an independent inspection covering major building systems; obtain HA approval of the proposed mortgage (which must comply with generally accepted mortgage underwriting requirements); and enter into a written agreement with the HA to comply with all of its obligations under the Section 8 Program.

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (1)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

- Yes No: Has the PHA has entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

Note: The City of Dubuque and the local office of Department of Human Services had met to discuss a cooperative agreement at a prior meeting. According to the restrictions of releases authorized by the Dept. Of Human Services, we were unable to obtain a cooperative agreement without individual releases at that time. Housing Services has each applicant/tenant sign an individual release and we are then able to share information between agencies. We work closely with the Department of Inspection and Appeals (Division of Investigations) to prevent and detect fraud. However, we are continuing to meet to discuss joint ventures and a cooperative agreement.

If yes, what was the date that agreement was signed? DD/MM/YY

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- Client referrals
 Information sharing regarding mutual clients (for rent determinations and otherwise)
 Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
 Jointly administer programs
 Partner to administer a HUD Welfare-to-Work voucher program
 Joint administration of other demonstration program
 Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- Public housing rent determination policies
 Public housing admissions policies
 Section 8 admissions policies
 Preference in admission to section 8 for certain public housing families
 Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA

- Preference/eligibility for public housing homeownership option participation
- Preference/eligibility for section 8 homeownership option participation
- Other policies (list below)

b. Economic and Social self-sufficiency programs

Yes No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following table; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)
<i>Family Self-Sufficiency</i>	45	<i>Waiting List</i>	<i>City of Dubuque Housing Services</i>	<i>Section 8 Participants</i>
Homeownership Counseling	45	FSS Participants	Dubuque County Extension	FSS Participants

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2000 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing		
Section 8	17	39 as of 01/07/02

- b. Yes No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?
If no, list steps the PHA will take below:

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other (describe below)

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- Other (describe below)

3. Which developments are most affected? (list below)

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other (describe below)

2. Which developments are most affected? (list below)

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- Other activities (list below)

2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment. (Attachment Filename: ____)

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. Yes No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))? (If no, skip to component 17.)
2. Yes No: Was the most recent fiscal audit submitted to HUD?
3. Yes No: Were there any findings as the result of that audit?
4. Yes No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____
5. Yes No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)
 Not applicable
 Private management
 Development-based accounting
 Comprehensive stock assessment
 Other: (list below)
3. Yes No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.79 (r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)

Attached at Attachment (See Attachment)

Provided below:

a. The PHA needs to increase education of housing choices. (Many participants take the first place that comes along without considering long term effects of their housing choices.)

b. Noise control needs to be considered to a greater degree when rehabbing rental housing.

c. Overall, the RAB was very pleased and supportive of the proposed changes in the PHA Plan and the S8 Administrative Plan. Regarding temporary guests, the board agreed that in cases that were questionable, verification of another residence in the form of a lease agreement or homeownership should be provided. One person suggested that allowing another person to stay three nights per week may be too lenient. In cases that are legitimate, the tenant should be able to provide a written notice by the landlord to allow temporary status.

d. The PHA should consider offering classes on "How to be a Good Tenant" and at a minimum, make it mandatory for those who violate rules and lease agreements to attend.

e. The City of Dubuque should require landlords to attend the Multi-Crime Free Housing Certification Program to qualify for keeping or obtaining the rental license.

f. Landlords/Developers need a better understanding of disabilities and not just think of it as an accessibility issue. Additionally landlords need to look at their apartments and upgrade them with better amenities to reduce vacancies. Suggested amenities are as follows:

1. Washer/Dryer located inside the rental unit for more personal use
2. Installation of windows that allow easy access for cleaning the outside
3. On site parking
4. Sound proofing units for better noise control

g. Smaller, affordable single family homes need to be built for the elderly and/or disabled, similar to Habitat's homes.

h. The board suggested a City of Dubuque ordinance be implemented to deconcentrate the number of rentals within an area.

3. In what manner did the PHA address those comments? (select all that apply)

Considered comments, but determined that no changes to the PHA Plan were necessary.

The PHA changed portions of the PHA Plan in response to comments

List changes below:

Minor changes were made in wording, typing, etc.

Other: (list below)

Forwarded comments to City of Dubuque Housing Commission

Took comments under advisement for future housing initiatives

B. Description of Election process for Residents on the PHA Board

- 1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

- 2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- Candidates were nominated by resident and assisted family organizations
- Candidates could be nominated by any adult recipient of PHA assistance
- Self-nomination: Candidates registered with the PHA and requested a place on ballot
- Other: (describe)
Self-nomination. Candidates register with the City of Dubuque City Clerk’s office and request a place on the ballot.

b. Eligible candidates: (select one)

- Any recipient of PHA assistance
- Any head of household receiving PHA assistance
- Any adult recipient of PHA assistance
- Any adult member of a resident or assisted family organization
- Other (list)

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- Representatives of all PHA resident and assisted family organizations
- Other (list)

Article II. Municipal Housing Powers

Division 1. Municipal Housing Agency

Section 15-11. Municipal housing agency and governing board:

- (a) The City Council has determined it to be in the public interest for the city to directly exercise its municipal housing powers under Iowa Code chapter 403A. The city is the designated municipal housing agency for the city and shall exercise all the powers as are provided for in Iowa Code chapter 403A. The governing body of the municipal housing agency shall be the municipal housing governing board, referred to in this chapter as the “governing board”, consisting of the City Council and one member appointed as provided in paragraph (b). The governing board shall comply with the procedural rules of the City Council and shall have final jurisdiction over all matters of the municipal housing agency. The City

Manager is authorized to direct, administer, and manage the agency through the Department of Housing and Community Development.

- (b) The appointed member of the governing board shall be the member of the Housing Commission appointed pursuant to Section 15-23(e).
- (c) The Mayor shall preside at all meetings of the governing board and shall execute agreements, deeds and other documents as Mayor of the City of Dubuque.

Section 15-23. Membership; Vacancies; Qualifications:

(e) One member of the Commission shall be a person who is a recipient of tenant-based rental assistance under section 8 of the United States Housing Act of 1937 (42 USC 1437f) whose name appears on a lease of section 8 property and who is eighteen (18) years of age or older. If such member ceases to be a recipient of rental assistance under section 8, the term of such member shall be deemed terminated and a new member who meets the requirements of this subsection (e) shall be appointed for the remainder of the term.

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: (provide name here)

City of Dubuque

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
See Housing Goals as listed in the Executive Summary of the Annual PHA Plan. Also see number 3 below.
- Other: (list below)

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

Introduction

The strategic plan outlines the steps to accomplish in addressing the housing, economic and community development needs identified in the Consolidated Plan. The priority needs, goals,

objectives and outcomes listed are a result of community input from the many avenues outlined previously and a review of other community needs assessments and gaps analysis which reflected community-wide input. Documents reviewed included: Empowerment Area needs assessment, gaps analysis and performance measure develop process; Community Action Statewide Needs Assessment, Housing Action Conference focus groups and action steps, City Council Goals 2001-2006, Dubuque Comprehensive Plan - Vision 2000 document, Mercy Medical Center service survey, and Continuum of Care committee need identification (2000).

Plan elements

The following outlines the plan to address the needs and priorities indicated and aligns with the priority needs and findings of needs assessments conducted by others in the community.

Three themes emerged:

Invest in Dubuque

We need more housing

Neighbors are great resources

These match nicely with the HUD goals to be addressed:

Expanded economic opportunities

Decent housing

Suitable living environment

Theme: Invest in Dubuque

Goal: Use existing buildings and assets

Objective: Increase the use of currently unused buildings

Outcome: continue programs to rehabilitate commercial/industrial buildings - 2 per year

Resource: CDBG, other federal and state programs, private investment

Outcome: complete strategic plan for downtown business and residential uses reducing the number of vacant buildings to zero.

Goal: Support home ownership

Objective: Increase number of home owners

Outcome: provide down payment assistance to 30 families each year

Resource: CDBG, HOME, Federal Home Loan Bank, LHAP, Housing Trust and other resources

NOTE: Discuss homeownership programs in the Section 8 Program and implement if adopted by City of Dubuque Housing Commission.

Outcome: partner with banks to access loans for low/mod families 30 loans per year

Outcome: rehabilitate vacant buildings to homes/condos - year 2 - 10 units

Resource: CDBG, HOME, loan pools, other federal/state funds and private funds

Outcome: provide first time home buyer education classes to 120 persons annually

Outcome: provide home buyer/credit counseling to 300 persons annually

Resource: Iowa State Extension service, banks, CDBG, and others

Objective: Support persons to stay in their homes

Outcome: make needed repairs/paint - 40 homes per year

Resource: CDBG, private funds, volunteers, vocational rehabilitation, veterans funds and other funds

Outcome: provide support services to elderly, disabled, etc. - 30 per year

Resource: Continuum of Care, State funds, United Way, and other resources

Objective: Further develop vehicles to assist in supporting home ownership efforts

Outcome: Community Housing Development Organization continues to meet; investigate other development vehicles

Goal: Spend money for quality

Objective: Develop quality housing options

Outcome: housing/development projects that solve multiple issues and are supported recognizing the value of removing blight

Goal: Develop programs that fit

Objective: Programs are incentives to addressing community needs

Outcome: Program rules are reviewed and revised to be most efficient and effective

Outcome: Programs that are not accessed are discontinued or changed

Outcome: Customer satisfaction surveys are conducted yearly

Theme: We Need More Housing

Emergency housing

Goal: Increase the number of beds for families and individuals in immediate need of housing

Objective: Support the full development and operations of Maria House project for women and children

Outcome: 18 beds and services provided on-site

Objective: Continue ongoing assessment of needs regarding emergency shelter/services

Outcome: access Continuum of Care funding stream to address gaps

Outcome: access other funding to address gaps including development of a HOME Consortium

Outcome: increase support services which focus on providing accessible and flexible services to meet the person's individual needs

Outcome: provide employment training, case management, substance treatment, mental health care, housing placement, life skills and other support services to meet identified needs.

Transitional housing

Goal: Prevent a return to homelessness by increasing the number of options available as transition from emergency shelter

Objective: Develop a full array of services to support families and individuals through a continuum of care

Outcome: access Continuum of Care funding stream to address gaps

Outcome: develop a single point of entry or multiple points of entry into a seamless system through stronger coordination and local collaboration

Resource: Continuum of Care, United Way, Iowa Department of Human Services, CDBG, private donations, and other funding

Objective: Develop transitional housing opportunities

Outcome: Transitional housing units families with children

Outcome: transitional housing units for individuals

Outcome: provide employment training, case management, substance treatment, mental health care, housing placement, life skills and other support services to meet identified needs

Permanent housing

Goal: Decrease reliance on emergency and transitional housing resources by providing permanent housing opportunities

Objective: Provide an array of services to persons in emergency shelter linking them with supports toward the goal of permanent housing

Outcome: 100 persons each year receive services from job training to case management

Resource: Successful Continuum of Care application, CDBG for start-up, increased local collaboration, and other funding streams

Objective: Develop ways to increase access to permanent housing

Outcome: 100 persons per year leave or avoid emergency housing or more from transitional to permanent housing

Resource: Deposit funds, emergency loans and other diversion funds from Continuum of Care, increase local collaboration and other funding streams

Objective: Develop a 'multiple listing service' for permanent housing

Objective: Increase the number of supportive housing units available for special needs populations

Resource: Continuum of Care - Shelter + Care, Single Room Occupancy and Supportive Housing funding streams and others

Objective: Provide person/families adequate support and guidance to be successful

Outcome: provide case management and advocacy to 20 families per year currently residing in Section 8 housing to avoid eviction

Outcome: provide family self-sufficiency services to 45 households per year to increase movement to self-sufficiency

Outcome: work closely with other service providers focusing on self-sufficiency to increase successful movement toward self-sufficiency

Objective: Provide services throughout the system which focus on the strengths of individuals

Outcome: All service providers (staff) will complete at least 2 hours of interactive training presenting the philosophy and providing some skills

Resource: CDBG and other resources, Section 8 staff training

Affordable housing

Goal: All persons seeking housing have a choice in location, price range and services that meet their needs

Objective: Increase the financial supports allowing more persons to access housing that is affordable

Outcome: expand Section 8 program or similar rental subsidy to serve an additional 100 persons per year

Resource: CDBG, Section 8, other funding streams

Outcome: provide rental entry fees to 50 person per year

Resource: other funding streams, increased local collaboration

Outcome: change policy of subsidy up to 110% of fair market rent in West End

Objective: Increase the quality of units available

Outcome: rehabilitate 25 rental units per year

Resource: CDBG, HOME, Housing Trust Fund, private and other funds

Outcome: rehabilitate 30 owner inhabited units per year

Resource: CDBG, HOME, private and other funds

Outcome: continue inspecting rental properties 1500 units per year

Resource: CDBG, general fund

Outcome: continue code enforcement program funding emergency repairs for 20 units per year

Resource: CDBG

Objective: Increase the supply of Single Room Occupancy

Outcome: at least 20 units per year are developed and any current units are replaced if relocation is necessary

Resource: LHAP, CDBG, and other resources

Objective: Continue fair housing awareness, outreach and training

Outcome: 10,000 persons access fair housing information

Resource: CDBG, HUD Fair Housing

Outcome: complete Analysis of Impediments in year 1, reviewed every year

Goal: Create affordable housing options

Objective: Develop or rehabilitate unused spaces

Outcome: 20 new units of affordable housing created every other year

Resource: CDBG, HOME, HOME Consortium, LHAP, and other resources and creative partnerships

Objective: Ensure units are lead-free

Outcome: continue lead program 50 units per year

Resource: Lead Paint Hazard Reduction Program

Outcome: increase education and testing

Resource: Lead Paint Hazard Reduction Program, Department of Health and other resources

Objective: Increase awareness of UCBC Building Code for rehabilitating older buildings which has removed barriers/costs to rehabilitating properties

Outcome: contractors, developers and investors do not cite code as restrictive,

demonstrate understanding of Code and increase development (noted in other outcomes)

Objective: Increase the profitability of rental housing

Outcome: provide landlord training to 30 persons annually (crime free multi-housing)

Outcome: COPS provide background checks for prospective tenants

Outcome: tenant association formed to communicate effectively with Landlord association and provide input into policy and housing development

High end housing

Goal: Provide an array of housing choices including a mix in neighborhoods

Objective: Ensure new developments include a mix of housing choices

Outcome: development of code or policy which guides development of neighborhoods that are self-sufficient with many services available

Outcome: consider supporting a 'model homes' development

Objective: Future workforce needs are matched with available housing

Outcome: 100 new workers to Dubuque find housing that meets their needs

Objective: Develop downtown housing options that are high end and attractive

Outcome: 3 units per year are developed above downtown store fronts

Seeing is believing

Goal: Increase awareness and understanding of the issues facing special populations as well as persons with low and moderate incomes

Objective: Community Development Advisory Commission meetings experience increased attendance

Outcome: monthly meetings have 10 citizens

Outcome: meetings are held at a number of outreach sites

Outcome: each member attends 2 neighborhood meetings annually

Outcome: members of the Community Development Advisory Commission will attend the Poverty Simulation to better understand poverty issues

Outcome: each Community Development Advisory Commission meeting will include a presentation from staff, a grantee or citizen which explores issues of poverty

Objective: Local advocacy groups and service providers increase information sharing

Outcome: every citizen has awareness of a range of issues of special populations

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

Attachment A (Organization Chart):

HOUSING & COMMUNITY DEVELOPMENT DEPT ORGANIZATION CHART

DEPARTMENT MANAGER

DAVID HARRIS – 87

Housing Code Appeals Board		Housing Commission			Housing Trust Fund Committee	Community Development Commission
Inspection & Licensing		Assisted Housing			Housing Rehabilitation	Community Development
Senior Housing Inspector – Kathaleen Lamb – 89		Assisted Housing Supervisor – Janet Walker – 87			Rehab Supervisor – Joleen Patterson – 72	Community Development Specialist – Aggie Kramer – 01
Inspector I	Lead Paint Inspector	Assisted Housing Specialist	Confidential Secretary	Inspector I	Construction Specialist – Richard Firzlaff – 72	
Wade Heineman – 00	Roger Benz – 00	Cate Boever – 92	Donna Schmitt – 97	Tim Moler – 87		
		Tracy Doyle – 95	Tusdee Blus – 03	Tom Smith – 87	Rehab Assistant – Kris Neyen – 90	
Permits Clerk – Bobbi Delaney – 00		Teresa Hartman – 92				
	Lead Paint Assistant – Tami Ernster – 97	Carroll Altalibi – 01			Confidential Secretary – Jean Noel – 95	

Attachment C (Acronyms and Glossary of Terms):

ACC: Annual Contributions Contract (Federal contracts entered into with local public housing agencies over a fixed period of time for payments toward rental subsidies and costs.)

AI: Analysis of Impediments (to fair housing)

CDBG: Community Development Block Grant

CHAS: Comprehensive Housing Affordability Strategy

CHDO: Community and Housing Development Organization

Consolidated

Plan: Developed by local and state governments with the input from citizens and community groups, the Consolidated Plan services four functions: 1) it is a planning document for each state and community, built upon public participation and input; 2) it is the application for funds under HUD's formula grant programs; 3) it lays out local priorities; and 4) it lays out a 3-5 year strategy the jurisdiction will follow in implementing HUD programs.

FMR: Fair Market Rent – Rent Schedules published in the Federal Register which establish maximum eligible rent levels allowed under the Section 8 program by geographic area.

HA: Housing Authority

HAP: Housing Assistance Payment

HOME: Home Investment Partnership

HUD: U.S. Department of Housing and Urban Development

PHA: Public Housing Authority

PIH: Public and Indian Housing

Section 8: Housing Assistance Payments Program, authorized by the Housing and Community Development Act of 1974.

SRO: Single Room Occupancy

HA Plan

Table Library Component 7 Capital Fund Program Annual Statement Parts I, II, and II

Annual Statement

Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number FFY of Grant Approval: (MM/YYYY)

Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	
2	1406 Operations	
3	1408 Management Improvements	
4	1410 Administration	
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 Nondwelling Structures	
13	1475 Nondwelling Equipment	
14	1485 Demolition	
15	1490 Replacement Reserve	
16	1492 Moving to Work Demonstration	
17	1495.1 Relocation Costs	
18	1498 Mod Used for Development	
19	1502 Contingency	
20	Amount of Annual Grant (Sum of lines 2-19)	
21	Amount of line 20 Related to LBP Activities	
22	Amount of line 20 Related to Section 504 Compliance	
23	Amount of line 20 Related to Security	
24	Amount of line 20 Related to Energy Conservation Measures	

Annual Statement

Capital Fund Program (CFP) Part II: Supporting Table

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost

Annual Statement
Capital Fund Program (CFP) Part III: Implementation Schedule

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Total estimated cost over next 5 years				

