

1.0	PHA Information PHA Name: _____ City of Dubuque Housing & CD Department _____ PHA Code: _____ IA087 _____ PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): _____ 07/2009 _____																										
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: _____ Number of HCV units: _____ 1063 _____																										
3.0	Submission Type <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only																										
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)																										
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2" style="width: 35%;">Participating PHAs</th> <th rowspan="2" style="width: 10%;">PHA Code</th> <th rowspan="2" style="width: 20%;">Program(s) Included in the Consortia</th> <th rowspan="2" style="width: 20%;">Programs Not in the Consortia</th> <th colspan="2" style="width: 15%;">No. of Units in Each Program</th> </tr> <tr> <th style="width: 5%;">PH</th> <th style="width: 10%;">HCV</th> </tr> </thead> <tbody> <tr> <td>PHA 1:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>PHA 2:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>PHA 3:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program		PH	HCV	PHA 1:						PHA 2:						PHA 3:					
Participating PHAs	PHA Code					Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program																			
		PH	HCV																								
PHA 1:																											
PHA 2:																											
PHA 3:																											
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.																										
5.1	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 for the next five years: See attached																										
5.2	Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. See attached																										
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. See attached																										
7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i>																										
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.																										
8.1	Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing.																										
8.2	Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.																										
8.3	Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.																										
9.0	Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. See attached																										

9.1	<p>Strategy for Addressing Housing Needs. Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p> <p>See attached</p>
10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA’s progress in meeting the mission and goals described in the 5-Year Plan.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification” See attached</p>
11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

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

Instructions form HUD-50075

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

1.0 PHA Information

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

2.0 Inventory

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

3.0 Submission Type

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

4.0 PHA Consortia

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

5.0 Five-Year Plan

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

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

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

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

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

PHA Plan Elements. (24 CFR 903.7)

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

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

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

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

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

- (c) **Conversion of Public Housing.** With respect to public housing owned by a PHA: **1)** A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or that the public housing agency plans to voluntarily convert; **2)** An analysis of the projects or buildings required to be converted; and **3)** A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>
- (d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

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

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

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

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

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

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to

eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 Capital Fund Financing Program (CFFP). Separate, written HUD approval is required if the PHA proposes to pledge any portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:

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

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

9.1 Strategy for Addressing Housing Needs. Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year.

(**Note:** Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).

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

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

(b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". (**Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.**)

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

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

(a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*

(b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*

(c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*

(d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*

(e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*

(f) Resident Advisory Board (RAB) comments.

(g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.

(h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.

(i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.

**CITY OF DUBUQUE HOUSING & CD DEPT IA087
FIVE-YEAR AND ANNUAL PLAN (2010-2014)**

5.1 Mission Statement:

The City of Dubuque Housing and Community Development Department shall:

- a.) serve the low- and moderate- income population by securing federal and state funding to provide affordable renter and owner- occupied housing;
- b.) form partnerships with private investors and non-profit agencies to rehabilitate, develop and manage affordable housing
- c.) maintain the City's existing housing stock through systematic code enforcement and by providing financial incentives to encourage owners to improve their properties
- d.) stabilize and improve the downtown neighborhoods
- e.) contribute to the City of Dubuque mission for a sustainable city

Housing must address the issues of housing availability, affordability and accessibility for all members of the community. Public intervention in the private housing market is sometimes necessary to ensure safe and sanitary housing, to provide rental assistance to those in greatest need or to spur reinvestment and renewal in existing, older neighborhoods. The provision of shelter is a basic human need. Our community's very image is reflected in large measure by the pride and well-being displayed in our neighborhoods.

5.2 Goals and Objectives

1. Preserve and maintain existing affordable housing/expand the supply of assisted housing.

Objectives:

- a.) Leverage private and other public funds to create additional housing opportunities.
 - b.) The City's Housing & CD Department provides funding assistance and services in six- primary activities: 1.) rental assistance programs; 2) housing rehabilitation-loan programs (both for homeowners and rental units); 3) home purchase assistance programs; 4) housing code enforcement; 5) Lead based paint hazard reduction program; and 6) CDBG program.
- Utilize existing vacant or under-utilized buildings to create affordable housing.
 - Continue/expand First-Time Homebuyer Program, homeowner rehab loan program and Section 8 Homeowner Program.
 - Expand home-ownership opportunities for extremely low to low income households. As of this date, the City of Dubuque Section 8 Housing Activity has provided home-ownership opportunities to 30 households including FSS participants, Section 8 Home-ownership Vouchers and down payment assistance.

2. Improve the quality of assisted housing.

Objectives:

- a.) Increase customer satisfaction
- b.) Continue to develop increase Public Awareness of Housing Problems in the community and develop possible solutions
- c.) Sustainability – Activities aimed at improving communities or neighborhoods, helping to make them livable or viable by providing benefit to low- and moderate- income persons or by removing or eliminating slum or blighted areas.

City of Dubuque IA087
Five Year and Annual PHA Plan

3. Increase assisted housing choices.

Objectives:

- a.) Provide voucher mobility counseling
- b.) Continue outreach efforts to potential voucher landlords
- c.) Continue voucher homeownership program
- d.) Provide unit listings of all available units and encourage owners to utilize the free service of advertising
- e.) Apply for exception rents in higher cost areas; expand choices to de-concentrated poverty areas

4. Provide an improved living environment.

Objectives:

- a.) Collaborate with neighborhood associations, human services agencies, city departments and commissions, churches, schools, families and other organizations

5. Promote self-sufficiency and asset development of assisted households.

Objectives:

- a.) Increase the number and percentage of employed persons in assisted families
- b.) Provide or attract supportive services to improve assistance recipients' employability
- c.) Provide or attract supportive services to increase independence for the elderly or families with disabilities
- d.) Continue to work in partnership with area non-profit agencies for support services
- e.) Prevent the increase of Homelessness for At-Risk families and individuals by collaborating with agencies through the Homeless Advisory Committee, Dubuque Mission and other agencies
- f.) Continue to provide Homeownership training, goal setting and budgeting skills to Family Self-Sufficiency participants.

6. Ensure equal opportunity and affirmatively further fair housing.

Objectives:

- a.) Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion, national origin, sex, familial status, and disability
- b.) 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
- c.) Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required
- d.) Continue to collaborate with the City of Dubuque Human Rights Department
- e.) Increase public awareness and outreach in the area of Fair Housing Affirmatively further Fair Housing opportunities
- f.) Creating Suitable Living Environments – Applicable to activities that are designed to benefit communities, families, or individuals by addressing issues in their living environment. This objective relates to activities that are intended to address a wide range of issues faced by low- and moderate- income persons, from physical problems with their environment to social issues such as crime prevention, literacy, or health services.

Other PHA Goals and Objectives:

1. Improve the affordability of housing for extremely low – very low income households.

Objectives:

- a.) To operate a fiscally responsible program offering assisted housing benefits to the maximum number of families that can be supported.

2. To preserve existing housing and existing, older residential neighborhoods.

Objectives:

- a.) Utilize existing vacant or under-utilized non-residential building stock to create affordable housing units
- b.) Enforce minimum housing quality standards in rental units through systematic code enforcement

3. Develop increased public awareness and appreciation of housing problems in the community and possible solutions.

Objectives:

- a.) Increase public relation efforts to educate community about local housing issues and programs
- b.) Provide on-going housing information/education opportunities

4. Improve the affordability of housing for homeowner and first time homeowner households.

Objectives:

- a.) Continue homeowner rehabilitation loan programs
- b.) Continue Section 8 Homeownership Program and Family Self-Sufficiency Program
- c.) Continue and expand program to provide “entry” costs for first time homeowners

5. To promote fair housing opportunity for residents in all city neighborhoods.

Objectives:

- a.) Assist with education of the community in understanding of the content and spirit of the City’s Human Rights Ordinance
- b.) Ensure compliance with anti-discrimination laws
- c.) Educate community members and staff about diversity and open avenues of communication and interaction within the community
- d.) To recognize, appreciate and celebrate diversity as an opportunity to experience and share both our differences and our similarities as a unified community

6. Expand the opportunities for home-ownership, especially for extremely low to very low income households.

Objectives:

- a.) Provide down payment assistance to households.
- b.) Provide assistance to qualified low and moderate-income homeowners for the rehabilitation of housing units.
- c.) Encourage acquisition and rehabilitation of owner-occupied housing in low-income areas of the community
- d.) Provide homeownership training to all FSS participants.
- e.) Provide Section 8 Voucher assistance to qualified participants for homeownership opportunities

7. Modify existing and create new accessible housing unit.

Objectives:

- a.) Provide for effective implementation of existing fair housing programs
- b.) Increase opportunities for the elderly, disabled, and persons with special needs to maintain an independent lifestyle

8. Increase economic opportunities to address the gap from welfare to work.

Objectives:

- a.) Promote partnerships with businesses to provide job/skill training to meet the needs of local employers
- b.) Promote workforce development through education and training of low-income individuals

City of Dubuque IA087
Five Year and Annual PHA Plan

Additional Objectives:

- a.) Provide administrative/technical assistance to non-profit and private housing providers
- b.) Continue support of the “Crime-Free Multi Housing Program”
- c.) Continue Rehabilitation efforts and programs
- d.) Continue Childhood Lead Paint Poisoning Prevention Program

6.0 PHA Plan Update

Mayor Buol and the Dubuque City Council have initiated open dialogue on crime issues in our community and how to address them. To continue the dialogue and in response to such a high level of community engagement, the Mayor and City Council appointed citizens to a “Safe Community Task Force.” The group is being asked to look at both the causes of, and solutions to crime in Dubuque. The task force will gather facts about the scope of the crime problems, focus on identifying efforts that are already underway to improve and prevent future problems, review and analyze how other communities have addressed this issue and recommend goals and objectives for the leadership of Dubuque. In an effort to reduce public misperceptions about the clientele involved in the Section 8 Program the City of Dubuque Housing Commission has revised its policies to include additional screening criteria. Effective, April 2008 the City has appointed a Corporal from the City of Dubuque Police Department to act as Section 8 Investigator for the Section 8 Program. The Corporal conducts investigations into program abuse and fraud as well as researching criminal history/backgrounds.

- a. **Selection and Screening Policies** have changed to include family behavior or suitability for participation. The City of Dubuque shall deny an applicant if any member of the household has been charged twice within a 12 month period for disturbances of the peace, disorderly conduct, creating a public nuisance or interference with official acts. Denial also includes other activity that threatens the health, safety, or right to peaceful enjoyment of other residents or persons residing within the community and shall also mean any guest or person under the participant’s control that causes disturbances in the dwelling unit or on the premises and shall be evidenced by calls for service to the dwelling unit or premises for loud noise, parties or other disruptions to the neighborhood resulting in two or more charges within a twelve month period. The City of Dubuque shall also deny an applicant if any member of the household has been charged or convicted of theft, forgery, identity theft, unauthorized use of credit cards, deceptive practices or fraud within the time limitations as defined in the Administrative Policy. No person shall be included in more than one applicant’s / participant’s household.
- b. The public may obtain copies of the 5-Year and Annual Public Housing Plan at the administrative office located at 350 West 6th Street, Suite 312 in Dubuque and City of Dubuque website.

6.0 PHA Plan Elements

1. Eligibility, Selection and Admissions Policies, including Deconcentration, and Waiting List Procedures

A. Eligibility Criteria

To be eligible for admission, an applicant must be income-eligible and meet the following criteria:

- 1) The applicant must qualify as a family. (24 CFR 982.102(c)) A family is defined as:
 - a) Single Member Households:
 - i) Elderly (age 62 or over)
 - ii) Disabled.
 - iii) Remaining member of tenant household
 - iv) Single person who has been displaced
 - v) Any other single person who is not elderly, disabled, or displaced.

City of Dubuque IA087
Five Year and Annual PHA Plan

b) Two-or-More Member Households:

- i) Two or more persons sharing residency, and the person to be designated head of household has primary legal custody* (residing with the adult at least 51% of the time) of one or more children related by blood, marriage, adoption, or foster care or with one or more children residing in the unit who could be claimed as a dependent as defined in the federal tax code (Note: Only one adult person with shared custody shall be allowed assisted status with children.)
- ii) Two or more persons related by blood with legal guardianship of one of the members
- iii) Two or more disabled persons sharing residency.
- iv) Pregnant female head of household
- v) Two persons sharing residency as a couple whose income and resources are available to meet the family's needs.
- vi) Elderly or disabled person requiring a live-in aide (See Provisions Relating to Applicants Requiring a Live-in Aide)

Application Process

B. Accepting Application

The City of Dubuque accepts applications as needed to ensure an adequate pool for use of available program funding. Public notification shall be published in the local newspaper and on the City's website when the waiting list is opened to receive applications. Even when it is apparent to staff that a particular family may be found ineligible, any person requesting an application must be allowed to apply unless the waiting list has been closed or limited to applicant households within certain criteria. If in subsequent evaluations of the application, the household is found to be ineligible, staff will inform the applicant in writing of the reason for its ineligibility and of the right to request an informal review.

a. Availability of Application

The City of Dubuque will publish a public notice in the local newspaper and on its website when the PHA opens a waiting list for rental assistance stating where and when to apply. If the PHA determines that the existing waiting list contains an adequate pool for use of available program funding, the PHA will stop accepting new applications, or may accept only applications meeting certain criteria such as limiting the waiting list to applicants with local preference only.

b. Receipt of Applications

The date and time of receipt of the application and all required verifications will be recorded in the applicant's file. The application form must be completed to the extent possible by the applicant and submitted to staff for processing. Anyone needing additional assistance with the completion of the application may contact the HA and staff shall assist.

The exact housing needs and desires of all applicants will be determined through the application process and at the time of Voucher issuance.

In all instances the waiting list will be maintained to identify the elderly and disabled families. Family unit size requirements will be maintained for all families.

c. Notification of Status

All applicants submitting an accurate and completed application packet shall initially be determined preliminarily eligible if family meets the income guidelines and qualifies as a family. Final determination shall be made once the applicant reaches the top of the waiting list, in preparation of voucher issuance. Final determination shall include criminal background investigation, verification of income and assets and household members. Applicants reaching the top of the waiting list will be notified and be given the opportunity to attend the next voucher issuance briefing. After the applicant attends the briefing, a criminal

City of Dubuque IA087 Five Year and Annual PHA Plan

background search will be performed to determine final eligibility unless the applicant has disclosed information that indicates the applicant may not be eligible according to program rules or regulations in which case, the search may be performed at an earlier time.

d. Local Preferences

The City of Dubuque utilizes the system of local preferences listed below for the selection of applicants admitted to the program. Preferences affect only the order of applicants on the waiting list. They do not make anyone eligible who was not otherwise eligible.

Whenever the HA wishes to change its current preference system, the HA will give notice and opportunity for public comment. An opportunity for public comment may be a public meeting or an opportunity to submit written comment. Any new participant selection system will be included in the HA administrative plan and approved before implementation. Each type of preference shall be provided to the applicant in the application packet. Every applicant shall have the same opportunity to show that they are qualified for the preference. Applicants on the waiting list with the same preference status will be selected according to the date and time of receipt of the completed application.

Elderly households shall receive local preference points in the amount of 5 points. Head of household or spouse must be at least 62 years of age.

An applicant household that is 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.

An applicant household that is receiving Supported Community Living services that require live-in staff shall receive local preference points in the amount of 5 points. (Examples: Dept. of Human Services or ARC)

An applicant household that is enrolled in the Transitional Housing Program for the homeless operated by Hillcrest Family Services shall receive local preference points in the amount of 5 points.

An applicant household that has been selected to reside at Manasseh House and receive supportive services shall receive local preference points in the amount of 5 points. An applicant household residing at Maria House and receiving supportive services shall receive local preference points in the amount of 5 points. An applicant household that has been referred by Step x Step Project shall receive local preference points in the amount of 5 points.

An applicant household that has been enrolled in the Dubuque County foster care system at least the last six months prior to their eighteenth birthday shall receive local preference points in the amount of 5 points. Youths at least 18 years old and not more than 21 years old (have not reached 22nd birthday) who left foster care at age 16 or older and who do not have adequate housing are also eligible to receive local preference points in the amount of 5 points. Local Preference Points shall also be granted based upon the verification.

An applicant household working with the Department of Human Services for the purpose of reuniting the family but lacks adequate housing for the child, or children, to be released back into the household and is the primary factor in the placement of the family's child, or children, in out-of-home care; or the lack of adequate housing causes the delay in the discharge of the child, or children, to the family from out-of-home care shall be granted 5 points. Local Preference Points shall also be granted based upon the verification.

An applicant household who resides, is working or who has been notified that an adult applicant member is hired to work in the City or County of Dubuque or the State of Iowa for not less than 30 hours per week shall receive local preference points in the amount stated below. Work is defined as recurring employment. (The use of a residency preference will not have the purpose or effect of delaying or otherwise denying admission to the program based on the race, color, ethnic origin, gender, religion, disability, or age of any member of an applicant family.)

City of Dubuque IA087
Five Year and Annual PHA Plan

Within the City of Dubuque 30 points
Within the County of Dubuque 20 points
Within the State of Iowa 15 points

Waiting List Selection

C. Order Of Ranking the Waiting List

All applicants are provided the opportunity to claim appropriate local preference points at time of application. Applicants will be first ranked according to local preference points, then by date and time of application. All eligible applicants will be assigned to the waiting list according to date and time of application and preference status.

The application will be considered complete only after the applicant submits all required verifications and a final determination of eligibility has been made.

2. Financial Resources

The Housing Authority is a department of the City of Dubuque. Therefore, the Section 8 Program operates and reports as a component of the City of Dubuque government. Annual Contributions for Section 8 Tenant-Based Assistance are supplied by the U.S. Department of Housing and Urban Development based upon calendar year renewal funding. Administration and operation of the Section 8 Program is budgeted at approximately \$4.5 million including the operation of the Family Self-Sufficiency Program, Housing Assistance Payments and Administrative Fees. The Section 8 Program administrative costs are being supplemented by General Funds in the amount of approximately \$100,000 as designated by the City of Dubuque City Council to assist with the deficit in funding from the federal government to cover the administrative costs of the program.

3. Rent Determination

The Housing Authority has established voucher payment standard amounts for all unit sizes for the City of Dubuque at 110 percent of the published fair market rent for the City of Dubuque. As part of our strategy to expand housing opportunities and to decrease concentrations in high poverty areas, the City of Dubuque has applied for an exception area in the Housing Authority's jurisdiction in Census Tracts located on the west side of the City to allow a payment standard schedule at the most recently published FMR at the 50th percentile rate.

Payment standards are evaluated annually to include the rent burdens of the assisted families and the success rates of families issued Vouchers. The current minimum rent rate has been set at \$0.00.

The Utility Allowance is staff's estimate of the **average** monthly utility bills for the unit size and type of building based upon surveys completed by area utility companies.

Rent reasonableness determinations are made before the HA (Housing Authority) approves the initial rent to the owner, before any increase in the rent to the owner is allowed and if there is a five percent decrease in the published FMR (Fair Market Rent) in effect 60 days before the contract anniversary (for the unit size rented by the family) as compared with the FMR in effect one year before the contract anniversary.

To satisfy the HUD requirements, the HA shall have data on the rents being charged for unassisted units. A market survey shall be utilized for the data base of unassisted units. Additionally information gathered from newspapers, Realtors, professional associations, and inquiries of owners may be utilized. The comparability system shall take into consideration the location (by zip code); size (utilizing number of bedrooms in unit or square footage of dwelling unit); type of dwelling unit; age of unit; quality of unit; amenities; housing services provided; maintenance provided; and utilities.

4. Operation and Management

- 1) The family must report all income from all sources for the entire year on their annual reexamination forms. A decrease in income shall be calculated when the decrease is expected to last longer than 60 days.
- 2) Any change consisting of who is living in the unit must be reported as follows:
 - a. Adding Children: Within 30 days the head of the household must provide Housing staff with written notice of the birth, adoption, or court-awarded custody of a child. The notice to Housing staff must include a completed citizenship form, copies of the birth record and social security card and written verification of any income changes as a result of the added child. No changes can be made until all documents are received.
 - b. Adding an Adult: The head of the household must request written approval first from the Landlord and then from Housing staff before any adult person is added to the household. The adult cannot stay in the unit until final permission has been granted by Housing staff. To request to add an adult person to the household, the head of the household must submit the written approval from the landlord, along with the head of the household's written request to add the adult person, a completed citizenship form (Declaration 214), copies of a birth certificate and social security card and written verification of any income and assets.
 - c. Removing any Household Member or Reporting a Change in the Household: The head of the household must provide written notice to Housing staff if anyone is out of the unit for longer than two (2) weeks.
 - d. Removing an Adult Household Member: The head of the household must submit written notice that the person no longer lives in the unit and provide documentation of where that person is now living.
 - e. Children no longer living in the Unit: The head of the household must provide written notice that the child or children are removed from the household and provide documentation of the change.
 - f. Anyone out of the Unit longer than 2 weeks: The head of the household must provide written notice to Housing staff if any family member is absent from the unit for two (2) weeks or longer. Any absence from the unit extending beyond 30 consecutive days must have Housing staff's written approval prior to the absence. Approval for absences longer than 30 days will be given due to physician-approved medical causes. However, the participant cannot be absent from the assisted unit for more than 180 consecutive calendar days.
- 3) No other person, adult or child, other than those listed on the lease and Housing application shall live/stay in the unit other than on a temporary basis without prior written permission by the Landlord and Housing staff.
 - a) Temporary basis is
 - i) not more than five (5) nights in any month.
 - ii) not more than one weekend per month.
 - iii) not on a regular pattern of the living arrangement. A regular pattern of the living arrangement is considered two weekends (any time period from Friday through Sunday) per month, or more than five nights in any month.

City of Dubuque IA087
Five Year and Annual PHA Plan

- 4) The family must not permit any person other than those approved to live in the unit to use the family's address for any purposes without prior approval by Housing staff.
- 5) The family must have all utility services including phone and cable that the family is responsible to pay in the family's own name. The gas, water and electric must remain in service at all times.
- 6) The family will not allow any guest, or another person under the tenant's control to disturb the peaceful enjoyment of neighbors, destroy property, or engage in any drug related violent criminal activity on the premises.
- 7) The family or any family member will not disturb the peaceful enjoyment of the neighbors, destroy property, or engage in any drug-related or violent criminal activity.
- 8) No household member or family member can be related to the owner or other interested party (such as spouse) of the rental unit. Any relationship between the owner and the participant must be disclosed to Housing staff.
- 9) The assisted housing unit must be the family's (including all members of the household) only residence.
- 10) A family may move only once during any twelve month period.
- 11) Any move or unit change during the initial term (first year) of the lease is prohibited.
- 12) The family must notify Housing staff and the landlord in writing before moving to a new unit.
- 13) All participants are expected to maintain behavior standards as described in the family obligations and program policies. Failure to meet the obligations for family behavior or suitability for participation may result in termination of benefits or denial for admission to the program. The City of Dubuque shall deny/terminate an applicant/participant if any member of the household has been charged twice within a 12 month period for disturbances of the peace, disorderly conduct, creating a public nuisance or interference with official acts within the City of Dubuque Community. The family must not engage in criminal activity involving theft, forgery, identity theft, unauthorized use of credit cards, deceptive practices or fraud.
- 14) Deferred judgments shall constitute a guilty conviction.
- 15) The family must not participate in any criminal activity associated with alcohol abuse that includes evidence that the alcohol abuse interferes or could interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents while under the influence of alcohol.

5. Grievance Procedures (24 CFR 982.554 (applicant) 982.555 (participant))

In the event any owner, applicant for assistance or any participant desires to appeal a determination by the Housing & Community Development Department, such aggrieved person will be fully advised as to the informal hearing (participants) or the informal review (applicants) procedures.

1. Informal Hearings/Reviews:

The City of Dubuque provides for informal reviews/hearings for applicants, Voucher Holders (and households certified for occupancy in Section 8 Moderate Rehabilitation Units) and participants of the Section 8 Programs. The informal review/hearing examiner shall be either the Assisted Housing Supervisor or the Housing Department Director.

- (a) Informal Hearing: Requests for a hearing must be made within 15 days of the written notification of the change in benefits or termination. Failure to respond or to request an informal hearing within the 15 day period will result in the final

City of Dubuque IA087
Five Year and Annual PHA Plan

determination effective after the expiration of the 15 days. 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 Director. The aggrieved person shall supply a written request for the hearing with the reason for the request. The HA shall within 15 days of the request, inform the person in writing of the date, time and place of the hearing or review. The Director shall provide written notice of the result of the informal hearing within 10 days of the hearing stating the effective date of the determination.

(b) Informal Review: The informal review process will be made available to all applicants wishing to appeal current decisions relating to eligibility and preference status for the assisted housing waiting list.

Requests for a review must be made within 15 days of the written notification of the proposed determination. Failure to request the informal review within the 15 days will result in the final determination effective as of the date following the expiration of the 15 days. The initial response to a review request 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 review with the Director. The aggrieved person shall supply a written request for the review along with the reason for the request. The HA shall within 15 days of the request inform the person in writing of the date, time and place of the review. The Director shall provide written notice of the result of the informal review within 10 days of the hearing stating the effective date.

2. Notification of Informal Review or Hearing

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 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 Director 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 24 hours notice on any party's unavailability to attend a scheduled hearing or review, the hearing or review will be rescheduled one time only without justification of the need to reschedule. After the hearing or review has been rescheduled a request to reschedule a second time by the same party will only be considered for extreme situations. Extreme situations may include but are not limited to hospitalization of self or household member, death in the family, weather related restriction. Any notice of the inability of the participant or applicant to attend the hearing or review must be provided within 24 hours of the hearing along with third party verification of the situation. The hearing officer will have the sole discretion 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 or review, the hearing or review will be conducted as scheduled and the party failing to appear shall forfeit all rights to submit additional evidence and further consideration.

3. NOTICE

A Section 8 applicant/participant 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;

City of Dubuque IA087
Five Year and Annual PHA Plan

- (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 aggrieved party to attempt to settle any dispute informally; and
- (5) The applicant's/participant's right to inspect the entire contents of his/her file prior to the review/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 applicant/participant is entitled an informal review/hearing if requested by the applicant/participant either orally or in writing within fifteen days of the date postmarked on the notice, and that participants receiving benefits will continue at the present level until after the hearing is completed if one is requested unless the level changes according to D. a-f of this Administration Plan. The notice shall also inform the applicant/participant that s/he shall have the following rights at the review/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 ten days of the date of the review /hearing will be rendered based solely and exclusively on the rules and evidence presented at the review /hearing .

The notice shall also advise the applicant/participant 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 review /hearing is not requested, and the period of time for which the proposed determination will be effective.

6. Designated Housing for Elderly and Disabled Families: Not applicable to Section 8 Only Programs.

7. Community Service and Self-Sufficiency

The City of Dubuque's Family Self Sufficiency Program offers many advantages, which include the establishment of a savings account that becomes available to the family upon successful completion of the program. Additionally, families participating may elect to keep up to the first six months of earned income without having their rent payment increase! FSS is a voluntary program and is risk free.

Bridges Out of Poverty is open to the public and provides training to individuals, agencies, and businesses about the differences between socio-economic classes.

Getting Ahead is open to those in poverty or who have been in poverty. It teaches the hidden rules of middle class, resources and how to build them. It also teaches leadership training, goal setting and provides support. Circles is open to all Getting Ahead graduates and pairs them with a circle of allies/mentors who continue to support and be role models for them. After GA graduation and 6 months on Circles participants have had an 88% increase in earned income, 56% increase in assets, and the median income rose from \$637/month to \$1200 in average assets.

City of Dubuque IA087
Five Year and Annual PHA Plan

8. **Safety and Crime Prevention:** Public Housing Only- not applicable

9. **Pets:** Public Housing Only- not applicable

10. **Civil Rights Certification**

The Housing Authority will not discriminate on the basis of: race, color, national origin, religion, sex, familial status, or disability. The Housing Authority shall implement its program and format its policy to fully comply with all Federal, State and local nondiscrimination laws and to conduct business in accordance with the rules and regulations governing Fair Housing and Equal Opportunity in housing and employment.

In the event an applicant or participant believes he or she has been discriminated against in seeking housing, the Housing Authority shall advise that person of his or her right to file a formal complaint under one or more of the above laws. HUD FORM-903 Housing Discrimination Complaint forms are available for the public at the City of Dubuque Housing & Community Development Department and are located in the lobby along with a posting notifying persons of the right to file a complaint. The Housing Authority shall assist that person in completing the HUD FORM-903 (Housing Discrimination Complaint), if desired, and forward it to the HUD Regional office in Kansas City. Additionally referrals will be made to the City of Dubuque Human Rights Department.

HUD-1260-FHEO (1) - Fair Housing pamphlets are available to the public and are provided to each person in the briefing packet.

The HA will not discriminate against any applicant or resident because of race, color, creed, national or ethnic origin or ancestry, religion, sex, age, disability, or familial status; nor will any criteria be applied, nor information be considered, pertaining to attributes or behavior that may be imputed by some to a particular group or category. All criteria applied and information considered in administering this plan shall relate to the attributes and behavior of the individual members of the household.

The HA shall not, on account of race, creed, color, sex, age, disability, religion, or familial status deny to any family the opportunity to apply for assistance or deny any eligible applicant the opportunity to lease a housing unit suitable to its needs

The City of Dubuque Housing Authority is fully committed to providing reasonable accommodations to its applicants and participants with handicaps or disabilities.

The HA provides Voucher holders and Moderate Rehabilitation tenants information on Federal/State/local laws regarding housing discrimination and any recourse available. Such information will be made available as part of the briefing session, and all applicable Fair Housing Information and Discrimination complaint forms will be made part of the Voucher holders' packet. The HA will provide referrals and information to applicants and participants about local organizations which provide assistance in filing discrimination complaints.

The City of Dubuque has an affirmative responsibility to provide persons who are "limited English proficient" (LEP) equal opportunity for participation in the Section 8 Assisted Housing Program. If any person is not fluent in English, the Housing Authority will provide an interpreter or utilize a translation service at no cost to the LEP person. The Housing Agency will take proactive steps to ensure the LEP person is able to understand the services and benefits available. The HA will continually assess the language needs of program participants and those persons on the waiting list to identify the needs of the population being served and resources available. If more than 5% of the population served or more than

City of Dubuque IA087 Five Year and Annual PHA Plan

100 persons are in a language group consisting of LEP persons, the HA shall ensure vital documents are translated into the appropriate language. If less than the percentage or number of persons served as stated above are in an identified language group, the HA will consider the expenses of written translations and implement if financially feasible. However, oral interpretations shall be offered as stated above. Case file information noting the language needs of each LEP applicant/participant shall be maintained in each individual's file.

If any 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.

It is also the policy of the HA to guard the privacy of individuals in accordance with the Privacy Act of 1974, and to ensure the protection of individuals' records maintained by the PHA. Therefore, the Housing Authority shall not disclose any personal information (including, but not limited to information on any disability medical or financial) contained in its records to any person or agency unless the individual about whom the information is requested gives written consent to such disclosure, or as required by law. This privacy policy in no way limits the HA's ability to collect such information as it may need to determine eligibility or compute rent.

11. **Fiscal Year Audit**

An independent auditor's report is performed on annual basis by Eide Bailly (CPAs & Business Advisors) located at 3999 Pennsylvania Avenue Suite 100 in Dubuque, Iowa for the City of Dubuque. The Assisted Housing Program is a component of the audit. Eide Bailly audits financial statements of the governmental activities and also reviews case files for compliance with federal regulations in the operation of the Assisted Housing Programs. The most recent report for year ended June 30, 2009 states there are no current year federal audit findings to report and no prior federal audit findings to report. They conduct the audit in accordance with auditing standards generally accepted according to General Accounting Practices by U.S. Office of Management and Budget (OMB).

12. **Asset Management**- Public Housing Only- not applicable

13. **Violence Against Women Act (VAWA)**

If a member of the participant household is a victim or threatened victim of domestic violence, dating violence, or stalking, the victim shall not be penalized by the HA by terminating benefits for the victim. If a member of a tenant's household or any guest or other person under the tenant's control engages in criminal activity directly relating to domestic violence, dating violence, or stalking, the victim shall not be penalized by the HA with termination of benefits. Criminal activity directly relating to domestic violence, dating violence, or stalking shall not be considered a serious or repeated violation of the lease by the victim for purposes of termination of housing benefits. If the victim has moved out of the assisted dwelling unit in order to protect the health or safety of the victim, the HA will consider circumstances for issuance of a voucher and a possible move to another jurisdiction under the tenant-based program. The HA will request certification that the incident or incidents are bona fide incidents of abuse according to VAWA. The certification shall include the name of the perpetrator. Documents of supporting evidence will be requested to assist the HA in making its decision. The individual must supply documentation signed by an employee, agent, or volunteer of a victim service provider, an attorney, or a medical professional, from whom the victim has sought assistance in addressing domestic violence, dating violence, sexual assault, or stalking, or the effects of the abuse, in which the professional attests under penalty of perjury to the professional's belief that the incident or incidents in question are bona fide incidents of abuse, and the victim has signed or attested to the documentation or the individual must produce a Federal, State or local police or court record of the incident(s). The victim shall provide documents requested by the HA within 30 days of the request.

City of Dubuque IA087 Five Year and Annual PHA Plan

However, the HA shall terminate the assistance to any individual who is a member of the victim's household who engages in criminal acts of violence against other family members. The HA will honor court orders addressing rights of access to or control of the property, including civil protection orders issued to protect the victim and that are issued to address the distribution or possession of property among the household members in cases where a family breaks up. The HA will consider any extenuating circumstances.

If an applicant had previously been denied due to a family member engaging in domestic violence, dating violence, or stalking and the perpetrator is no longer in the household, the applicant may be considered if otherwise eligible. The applicant will be required to disclose living arrangements made by the perpetrator to the best of their ability and to certify that the perpetrator will not be allowed to reside or stay in the household.

Victims shall be referred to the YWCA Domestic Violence Program in an effort to assist with counseling and advocacy services. All services are free and confidential.

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

(d) Homeownership

The Section 8 Homeownership 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.

FAMILY ELIGIBILITY REQUIREMENTS for HOMEOWNERSHIP

1. The homeownership 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 Department or any other Housing Agency for any outstanding debts, are not in violation of their family obligations and who meet the eligibility criteria set forth below.
2. Section 8 homeownership assistance may be used to purchase the following type of homes within the City of Dubuque: single-family dwelling unit, condominium or cooperatives.
3. Each Section 8 homeownership 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 homeownership assistance.
 - a. The family must be a first-time homeowner or not have owned a home in the last 3 years (unless member of household is disabled).
 - b. The family must satisfy the minimum income requirements.
 - c. The family must satisfy the employment requirements (does not apply to an elderly or disabled family).
 - d. The family must not have defaulted on a mortgage securing debt to purchase a home under the homeownership option.
 - e. The family must contribute 3% of the total purchase price of the home towards the down payment.
 - f. The family must graduate from the Homebuyers Workshop – ISU
 - g. The family must attend one-on-one financial counseling classes with the Dubuque County Extension Office. (4 sessions). Two sessions prior to loan closing and two sessions after loan closing (make arrangements with your Section 8 Assisted Housing Specialist).

City of Dubuque IA087
Five Year and Annual PHA Plan

- h. The home must be inspected by the City Housing Rehabilitation Inspector.
- i. A certified home inspection must be completed. Cost estimated around \$300-\$350.

9.0 Housing Needs

The City of Dubuque Housing Agency (HA) administers the Section 8 assisted housing 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 greater opportunities and choices.

9.1 Strategy for Addressing Housing Needs

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

Housing Needs of Families on the PHA's 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/sub jurisdiction:			
	# of families	% of total families	Annual turnover
Waiting list total	352		Estimated 180
Extreme low income <=30% AMI	295	84%	
Very low income (>30% but <=50% AMI)	57	16%	
Low income (>50% but <80% AMI)	0	0	
Families with children	225	64 %	
Elderly families	13	4 %	
Families with Disabilities	64	18 %	
White/Non-Hispanic	151	43 %	
Black/Non-Hispanic	195	56 %	
Latino/Hispanic	2	< 1%	
Other/Non-Hispanic	2	< 1%	

Mar.2010 waiting list data

City of Dubuque IA087
Five Year and Annual PHA Plan

9.1 Strategies

1. 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:

- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain 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
- Support HOME programs through the City of Dubuque Rehabilitation activities and continue Section 8 Homeownership program

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

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

- Adopt rent policies to support and encourage work
- Provide listings of available Mod Rehab and HOME units

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

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

- Adopt rent policies to support and encourage work
- Provide listings of available Mod Rehab and HOME units

4. Need: Specific Family Types: The Elderly

Strategy #1: Target available assistance to the elderly

- 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

5. Need: Specific Family Types: Families with Disabilities

Strategy #1: Assist families with disabilities in locating suitable housing.

City of Dubuque IA087
Five Year and Annual PHA Plan

- Affirmatively market to local non-profit agencies that assist families with disabilities
- Actively participate in Fair Housing Planning and identification of impediments to Fair Housing Choice
- Encourage owners to make dwelling units accessible
- Advise disabled participants of monies that are available for their landlords to modify units for accessibility purposes through the City of Dubuque Rehabilitation Activity.

6. 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:

- 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

- Counsel Section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to located those units
- Market the Section 8 program to owners outside of areas of poverty/minority concentrations
- Participate and encourage training of staff and landlords in Fair Housing Laws
- Participate and encourage training of tenants in Fair Housing rights.

Reasons for Selecting Strategies: list all that influenced the PHA's selection of the strategies it will pursue:

- Funding constraints
- Staffing constraints
- 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, with residents and the Resident Advisory Board, and with advocacy groups

City of Dubuque IA087
Five Year and Annual PHA Plan

- Results of a Fair Housing Planning Guide for the City of Dubuque
- Discussions with the City's Housing Commission
- Feedback from the community

10.0 Additional Information

(a) Progress in Meeting Mission and Goals

Goal: Improve the quality of assisted housing

Progress/Achievement: All inspectors are certified by the Iowa Association of Housing Officials. The Housing Agency has increased public awareness of housing problems in the community and worked closely with landlord associations and through the Multi-Crime Free Housing Program. The Housing Agency performs over 1500 annual and initial inspections per year.

Goal: Provide an improved living environment

Progress/Achievement: CDBG funds are used for housing code enforcement in targeted downtown neighborhoods. Dubuque's childhood Lead Paint Poisoning Prevention Program continued with its program inspecting units and improving units for certification that the units are lead safe. The HA has continued the administration of a number of housing rehabilitation-loan programs, for both owner-occupied housing and rental units.

Goal: Increase assisted housing choice

Progress/Achievement: The housing agency conducts outreach efforts to potential voucher landlords by participating in the Multi-crime Free Housing program on an annual basis. The housing agency also provides unit listings of all available units as a free service of advertising for landlords. The listing is updated on a weekly basis and continues to expand through our outreach programs.

Goal: Promote Self-Sufficiency and asset development of assisted households

Progress/Achievement:

Since 2001, 157 participants been served in the FSS Program. Seventy of the participants started the program while receiving welfare cash benefits. Forty-one no longer receive cash welfare and fifteen have decreased the amount of the cash welfare assistance. Sixty nine no longer receive Section 8 rental assistance. Fifty have obtained full time employment and forty-three obtained part-time employment. Forty-five percent of all FSS participants maintain a positive escrow balance. The average escrow amount earned is \$3154.00 for households completing the program.

The annual "Road to Success" job fair continues to collaborate with area agencies/employers. At this event, FSS heads of household participate in mock interviews, receive critical feedback and also "shop" for good business clothing donated by Housing Department, other City staff and community members. Then they have the opportunity to interview with local businesses at the same event. The annual event is attended by approximately 21 participants each year.

The FSS Program has been expanded through the creation of Getting Ahead in a Just-Getting'-By World Program. This program helps people by addressing the eleven resources needed to get ahead, including financial, mental, physical, relational, language, motivation, emotional, spiritual, social, the hidden rules to succeed and integrity. To date, 93 persons have enrolled in the Getting Ahead program with 72 graduates. Forty eight percent were employed at the end of the class. Six children were returned to their families from

City of Dubuque IA087 Five Year and Annual PHA Plan

the foster care system. Two persons purchased homes. Some of the graduates are now AmeriCorp members, facilitators for on-going Getting Ahead classes and certified Bridges Out of Poverty Trainers.

Bridges Out of Poverty: – Open to the public (and people attend from all over Iowa)

- Provides training to individuals, agencies and businesses about the differences between socio-economic classes
- Builds a common language between the socio-economic classes
- Helps people in middle class to realize there are differences between cultures and poverty is a culture – builds an understanding for those who work with people in poverty

Goal: Ensure Equal Opportunity in Housing for all Americans

Progress/Achievement: The assisted housing program has an increased participation of minorities. Minority households receiving rental assistance is currently at 32.5% of the total population served. Additionally, disabled applicants are assigned local preference points in selection from the waiting list. The HA continues to collaborate with the City of Dubuque Human Rights Department to increase public awareness and outreach in the area of Fair Housing.

Goal: Expand opportunities for home-ownership.

Progress/Achievement: As of this date, thirty households have purchased homes through the assistance of the Housing Choice Voucher Program, the Family Self Sufficiency Program and the Down-payment Assistance Program.

(b) Significant Amendment and Substantial

Substantial Deviation from the 5-Year Plan: Any changes to admissions policies; waiting list organization; additional programs; changes to interim rent policies and interim determinations affecting over 50% of the Voucher Program participants.

Significant Amendment or Modification to the Annual Plan: Any changes to admission policies; waiting list organization; additional programs, changes to interim rent policies and interim determinations affecting over 50% of the Voucher Program participants.

City of Dubuque IA087
Five Year and Annual PHA Plan

Resident Advisory Board Meeting
Monday March 8, 2010

Board Members Present:

Lisa Prichard
Debra Reigle
Ermina Soler
LaTosha Calhoun
Lisa McAllister
Kala Williams
David Morgan

Housing Staff:

David Harris- Director
Janet Walker- Assisted Supervisor
Ericka Lessears- Receptionist

Board Members Absent:

Janice Craddieth
Sarah Davidson

Introduction

Staff welcomed those present and began discussions about the purpose of the PHA Plan, the Administrative Policies, the role of the Resident Advisory Board and partnerships.

Discussion about Exception Rents:

The participants were very supportive of the exception rent policies. They believed that it will give persons an opportunity to change. It was mentioned that the “urban poverty” way of living in areas of high poverty does not leave space for change in behaviors. However, by moving out of high poverty/heavily concentrated areas, participants will see different behaviors, contradictions to their life styles that may assist with changes in behaviors.

Concerns about the lack of landlords/owners of Westside properties who are willing to rent to participants of the Section 8 Program were discussed. Board members felt it was important for landlords to have interviews to meet the people who want to rent from them so that landlords have a better understanding of the program and participants.

Discussion about Additional Behavioral Standards:

Board members voiced their opinion that they feel that Section 8 should only be offered to those who want to help themselves. There are good programs and community support within the City of Dubuque but mentality of those raised in urban neighborhoods needs to change. Bad tenants make it bad for other tenants who are trying to improve themselves.

However, concerns about lower wages and difficulties in finding work made some of the participants feel that they are going to work for nothing – once they pay all their bills, there is nothing left. The policy regarding the child care allowance was not well known.

There are demands throughout the community and neighborhoods for tenant behavior and responsibilities; however, landlords need to do their part and take some of the responsibility. Participants want landlords to be held accountable for their properties and feel that some landlords charge too much for their property alleging that landlords may charge more for the Section 8 Program than the open market rents. Staff explained that all units must be approved by the caseworkers performing a “rent reasonableness” test by comparing types of units and amenities to other unassisted units within the same zip code. However, board members still believe rents are higher for Section 8 participants in the downtown area and the units are not

City of Dubuque IA087 Five Year and Annual PHA Plan

being maintained as well by some of the owners. Members felt that landlords complain about tenants not taking care of the property but the landlords need to check the properties they own and maintain their units so that better tenants will be drawn to the units. Landlords need to be held accountable as well as tenants. Members want to make downtown a better place to live.

Discussion about Briefings/Information Sharing:

Board members think the Briefings need to be redesigned and presented in a different manner. Members admitted that sitting in a crowded room for 1 ½ hours listening to someone talk about program rules is too long and people tend to drift and not pay attention to all parts. Participants admitted that they do not read the Briefing packet that is given to them. They felt that the Briefings should be broken up and maybe should be held during a three day period so that the information about programs to improve oneself could be better addressed. The Family Self-Sufficiency (FSS) program was passed over lightly and people need to be more aware of programs that are available to better oneself.

It was suggested to have more one-on-one interviews with the participants to discuss goals and objectives. They also requested more interaction in the briefings with more involvement from other agencies so that persons are better informed about what other agencies do. Board members said the administrators of the programs need to speak the same language and be aware of each others' programs. They also stressed the importance of the relationship between the caseworker and the client; however, agreed that staff are few but so many persons need help.

Board members were also concerned with the perception that participants get on housing and leave after their 12-month period in the community. They believe there are some landlords that take advantage of the program. It was stressed that landlords need to take part in improving the integrity of the program.

Participants want to speak – they want their voices to be heard. They do not like how participants are perceived as lazy and living off the City when some landlords are charging higher rents and collecting the checks in their bank accounts while not maintaining their properties nor are they enforcing the leases. Members say that some landlords scare the tenants by threatening to kick them out if participants call the Housing office to complain. Discussion included information about landlord retaliation prohibitions by law.

Members said they can use more assistance in finding rental units. Again, discussion included rent reasonableness tests and how difficult it is to get unassisted units into the database.

The new rule regarding mandatory background checks that will be required by landlords was discussed. There were also concerns about the new administrative policies and about the behavior of a child in the household when the child may have disabilities that may result in bad behavior and how it affects the entire family and their program eligibility.

Discussion included the reduction of Housing Vouchers and their belief that crime will be increased with fewer available Vouchers.

Information was shared about neighborhood associations, the opportunity to apply for a position on the Housing Commission and the importance of the Resident Advisory Board. Members also agreed that information regarding landlord and tenant rights and responsibilities, child care information and the possibilities of homeownership need to be emphasized more and shared.

They agreed that participants need to take more responsibility to help out fellow participants. Reporting of residents breaking the rules so that families that are waiting and need assistance can be served was discussed along with the breaking the silence.

Some topics for the next Resident Advisory Board were suggested to include child care issues, the Family Self-Sufficiency Program, how briefings are held, other agencies and programs available for men.

City of Dubuque IA087
Five Year and Annual PHA Plan

Members mentioned the possibility of periodic newsletters that are small, colorful and readable could be used for more information sharing.

It was agreed that the Resident Advisory Board will continue to meet on a quarterly basis scheduling meetings on Mondays at 11 am. Staff will help facilitate the meetings with the board members eventually taking on greater responsibilities.

Staff Note: All recommendations from the Resident Advisory Board are being considered as procedure changes and/or ongoing public awareness programs.

City of Dubuque IA087
Five Year and Annual PHA Plan

Certification by State or Local
Official of PHA Plans Consistency
with the Consolidated Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

**Certification by State or Local Official of PHA Plans Consistency with the
Consolidated Plan**

I, David Heris the Department Manager certify that the Five Year and
Annual PHA Plan of the City of Dubuque H & CD Dept is consistent with the Consolidated Plan of
City of Dubuque _____ prepared pursuant to 24 CFR Part 91.



David Heris 03/22/2010

Signed / Dated by Appropriate State or Local Official

Form HUD-50077-SL [1/2009]
OMB Approval No. 2577-0296

City of Dubuque IA087
Five Year and Annual PHA Plan

OMB Approval No. 2527-0157 (Exp. 3/31/82)

**Certification of Payments
to Influence Federal Transactions**

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

Author Name

City of Dubuque Housing & CD Department

Program/Activity/Receiving Federal Grant/ Loan

Section 8 Moderate Rehabilitation, Section 8 Housing Choice Voucher, Family Self Sufficiency

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-713, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the type of documents for all subawards at all times (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

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

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and civil penalties.
(18 U.S.C. 1591, 1010, 1012, 31 U.S.C. 3729, 3705)

Name of Authorized Official

David Harris



Title

Department Manager

David Harris

03/23/2010

Form HUD-9850 (Rev. 03/01)

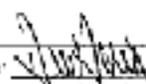
Form HUD-9850 (Rev. 03/01)
U.S. GPO: 2009-7417-1-7475-93-7400-1-6-7400-3

City of Dubuque IA087
 Five Year and Annual PHA Plan

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 21 U.S.C. 1352
 (See reverse for public burden disclosure.)

Approved by OMB
 0388-0048

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. health insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Private <input type="checkbox"/> Subordinate If a, Name: _____ If b, Name: _____ NA Congressional District, if known: 40	5. If Reporting Entity in No. 4 is a Subwarden, enter Name and Address of Prima: NA Congressional District, if known:	
6. Federal Department/Agency: NA	7. Federal Program Name/Description: CDA Number, if applicable: _____	
8. Federal Action Number, if known: NA	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): NA	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): 	
11. Instructions: Complete this form in duplicate by 45 21 U.S.C. section 1352. This disclosure is subject to public release. A copy of this information will be made available to the public. This information is not to be disseminated to the public. This information is not to be disseminated to the public. This information is not to be disseminated to the public. This information is not to be disseminated to the public.	Signature:  Print Name: David Harris Title: Department Manager Telephone No.: (563) 588-4200 Date: 02/23/2010	
Federal Use Only:	Authorized for Local Reproduction Standard Form 11 (Rev. 7-87)	

City of Dubuque IA087
Five Year and Annual PHA Plan

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether a covered Federal action, Federal department or the individual(s) who, if a covered Federal action, or a major change to a permitting, program or title 33 USC, section 1302, and copy of a form is required for each permit or agreement to make required lobbying activity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete items that apply for both the lobbying and material development. Refer to the sample reporting form published by the Office of Management and Budget for additional instructions.

1. Identify the type of covered Federal action for which lobbying activity was/has been/expected to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the responsible classification of this report. If this is a follow-up report issued by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the code of the last previous published report by this reporting entity for this covered Federal action.
4. Enter both the name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate certification of the reporting entity that Congress, State, or Federal law, a private business agreement, or the contract or grant, if any, requires the reporting entity to file this report. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in Item 4 checks "Subawards" then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name. If known, for example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (Item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, or loan commitments.
8. Enter the exact appropriate Federal title of the filing number used by the Federal action identified in Item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number, the contract, order, or loan award number; the application proposal number assigned by the Federal agency. Include prefix, e.g., RFP OF 00 001).
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the period only identified in Item 4 for 8.
10. (a) Enter the full name, address, city, State and zip code of the lobbying organization under the Lobbying Disclosure Act of 1995 engaged by the reporting entity described in Item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The entity's point of contact and state the town, or if neither name, title, and telephone number.

According to the Paperwork Reduction Act, your Federal government requires to respond to a collection of information unless it displays a valid OMB Control Number. This valid OMB control number is: This information collection is OMB No. 0348-0048. Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, reviewing existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0048), Washington, DC 20503.

**Certification for
a Drug-Free Workplace**

U.S. Department of Housing
and Urban Development

Applicant:

City of Dubuque Housing & CD Department (IA087)

Program/Activity Receiving Federal Grant Funding:

Section II Moderate Rehabilitation, Section II Housing Choice Voucher, Family Self-Sufficiency

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

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

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

2. Establishing an ongoing drug-free awareness program to inform employees --

- (1) The dangers of drug abuse in the workplace;
- (2) The Applicant's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;

4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will --

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d(2) from an employee as otherwise receiving notice of such conviction, if employees of conviction employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

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

- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1 through 4.

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

City of Dubuque Housing & CD Department
350 West 8th Street, Suite 312
Dubuque IA 52001

Check box If these are workplaces on this that are not certified as described above.

I hereby certify that all the information contained herein, as well as any information provided in the accompanying documents, is true and accurate. I understand that any false statements made herein may constitute a criminal offense under the Federal False Statements Act (18 U.S.C. 1001, 1010, 1012, 31 U.S.C. 3729, 3732).

Name of Authorized Official David Horak	Title Department Manager
Signature 	Date 03/23/00

Form HUD-9070 (2-99)
with instructions 7-97, 7-95, 1-9, 2-95, 1-9-97

PHA Certifications of Compliance with PHA Plans and Related Regulations

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 Expires 4/30/2011

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

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official who is no Board of Commissioner, I approve the submission of the X 5-Year and X Annual PHA Plan for the PHA plan year beginning 11/2009 hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

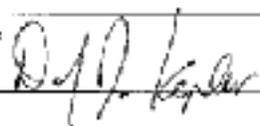
1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA certifies that there has been no change, significant or otherwise, to the Capital Fund Program (and Capital Fund Program/Requirement Hearing Notice) Annual Statement(s), since submission of the last approved Annual Plan. The Capital Fund Program Annual Statement/Annual Statement/Performance and Evaluation Report must be submitted annually even if there is no change.
4. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses those recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
6. The PHA certifies that it will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and Title I of the Americans with Disabilities Act of 1990.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting those analyses and actions.
8. For PHA Plan that includes a policy for site-based waiting lists:
 - The PHA regularly submits required data to HUD's 5055a PHOIMS Module in an accurate, complete and timely manner (as specified in PH Notice 2005-24);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites and an estimate of the period of time the applicant would likely have to wait to be admitted to one of the different sites and types of housing;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(a)(2).
9. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
10. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
11. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1965, Employment Opportunities for Lower-Very-Low-Income Persons, and with its implementing regulation at 24 CFR Part 135.

City of Dubuque IA087
Five Year and Annual PHA Plan

12. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
13. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 8.105(a).
14. The PHA will provide the responsible entity or HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 28 or Part 20, respectively.
15. With respect to public housing the PHA will comply with Davis-Bacon or HUD-determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
16. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
17. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR 4 Part 35.
18. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments), 49 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
19. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are allowable under the regulations and included in its Plan.
20. All attachments to the Plan have been and will continue to be available at all times and at all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.
21. The PHA certifies as a part of this certification that:
 - (i) The Resident Advisory Board had an opportunity to review and comment on the changes to the policies and programs before implementation by the PHA;
 - (ii) The changes were duly approved by the PHA Board of Directors (or similar governing body); and
 - (iii) The revised policies and programs are available for review and inspection, at the principal office of the PHA during normal business hours.
22. The PHA certifies that it is in compliance with all applicable Federal statutory and regulatory requirements.

<u>City of Dubuque Housing & CD Department</u>	<u>12007</u>
PHA Name	PHA Number/IA Code
<u> X </u> 5-Year PHA Plan for Fiscal Years 20 <u> </u> ²⁰ - 20 <u> </u> ²⁴	
<u> X </u> Annual PHA Plan for Fiscal Years 20 <u> </u> ¹⁴ - 20 <u> </u> ¹⁵	

This page only lists the information stated herein, as well as a reference to the applicable regulations. The actual program description, including HUD will provide to each housing authority. Citation may refer to printed and/or electronic. (24 U.S.C. 1000, 1001, 1702, 1711, 1717, 1724, 1737)

Name/Authorized Official David Kaplan	Title HOUSING COMMISSION CHAIR
Signature 	Title 03,723,72300

Civil Rights Certification

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 Reprints 4/30/2011

Civil Rights Certification

Annual Certification and Board Resolution

Agency on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, or its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the Plan for the PHA of which this document is a part and make the following certification and agreement with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

The PHA certifies that it will carry out the public housing program of the agency in conformity with title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990, and will affirmatively further fair housing.

City of Dubuque Housing & CD Department

IA087

PHA Name

PHA Number/HA Code

I hereby certify that all the information stated herein, as well as any information provided in the accompanying records, is true and accurate. Warning: HUD will process the information as submitted. Corrections may result in a delay in the processing of the information. HUD HUD-50077-08 (1/2009)

Name of Authorized Official	David Kapler Housing Commission Chair
Signature	Date 03/23/2010

Form HUD-50077-08 (1/2009)
 OMB Approval No. 2577-0228

City of Dubuque IA087
Five Year and Annual PHA Plan