

Annual PHA Plan <i>(Standard PHAs and Troubled PHAs)</i>	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires: 02/29/2016
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Purpose. 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, goals and objectives for serving the needs of low- income, very low- income, and extremely low- income families.

Applicability. Form HUD-50075-ST is to be completed annually by **STANDARD PHAs or TROUBLED PHAs**. PHAs that meet the definition of a High Performer PHA, Small PHA, HCV-Only PHA or Qualified PHA do not need to submit this form.

Definitions.

- (1) **High-Performer PHA** – A PHA that owns or manages more than 550 combined public housing units and housing choice vouchers, and was designated as a high performer on both of the most recent Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP) assessments if administering both programs, or PHAS if only administering public housing.
- (2) **Small PHA** - A PHA that is not designated as PHAS or SEMAP troubled, or at risk of being designated as troubled, that owns or manages less than 250 public housing units and any number of vouchers where the total combined units exceeds 550.
- (3) **Housing Choice Voucher (HCV) Only PHA** - A PHA that administers more than 550 HCVs, was not designated as troubled in its most recent SEMAP assessment and does not own or manage public housing.
- (4) **Standard PHA** - A PHA that owns or manages 250 or more public housing units and any number of vouchers where the total combined units exceeds 550, and that was designated as a standard performer in the most recent PHAS or SEMAP assessments.
- (5) **Troubled PHA** - A PHA that achieves an overall PHAS or SEMAP score of less than 60 percent.
- (6) **Qualified PHA** - A PHA with 550 or fewer public housing dwelling units and/or housing choice vouchers combined, and is not PHAS or SEMAP troubled.

A.	PHA Information.
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PHA Name: Appleton Housing Authority _____ **PHA Code:** WI065
PHA Type: Standard PHA Troubled PHA
PHA Plan for Fiscal Year Beginning: 01/01/2020
PHA Inventory (Based on Annual Contributions Contract (ACC) units at time of FY beginning, above)

Number of Public Housing (PH) Units 211 Number of Housing Choice Vouchers (HCVs) 607 Total Combined Units/Vouchers 818

PHA Plan Submission Type: Annual Submission
Submission

Revised Annual

Availability of PHA Plan Information:

The Appleton Housing Authority will have available a copy of the PHA Plan at the main administrative office of the AHA, Oneida Heights, on our website and will provide a copy to each Resident Council member upon request. Both facilities have reasonable accessibility.

AHA Main Office: 925 W. Northland Avenue, Appleton, WI 54911

Oneida Heights: 525 N. Oneida Street, Appleton, WI 54911

Website: www.appletonhousing.org

B. Revision of PHA Plan Elements.

1.

(a) Have the following PHA Plan elements been revised by the PHA?

- | Y | N | |
|-------------------------------------|-------------------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Statement of Housing Needs and Strategy for Addressing Housing Needs |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions. |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Financial Resources. |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Rent Determination. |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Operation and Management. |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Grievance Procedures. |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Homeownership Programs. |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Community Service and Self-Sufficiency Programs. |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Safety and Crime Prevention. |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Pet Policy. |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Asset Management. |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Substantial Deviation. |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Significant Amendment/Modification |

(b) If the PHA answered yes for any element, describe the revisions for each revised element(s):

Statement of Housing Need and Strategy:

AHA will continue to focus our efforts on finding ways to meet the affordable housing needs of the City of Appleton's low and moderate income families, seniors and disabled individuals. Currently the Housing Choice Voucher waiting list has climbed over 1600 families in 2020. This high number demonstrates the need for continued housing subsidy. We have closed the WL and completed a comprehensive purge. The waiting list is first come first serve with regard to local preferences and rent burden regardless of what bedroom size voucher is needed. A preference for families graduating from the TBRA (state funded homeless) program is provided. AHA will continue to employ admissions preferences aimed at families with hardships and adopt rent policies that support and encourage work. Public Housing has its own waiting list and the increase in 1-2 bedrooms is noted as high. The AHA has been aggressive in researching and

building new housing that meets the need of families for affordability including those experiencing a physical disability. These units are built in higher economic income neighborhoods.

Affordable housing is one of the highest priority need in our community in regards to renters and homeowners according to our local Consolidated Plan. The 2020 FMR for one-bedroom units in Outagamie County is considerably lower than actual market rate. The quality of housing goes down substantially in this category. The AHA will continue to address this issue by working aggressively with area landlords. The AHA provides all applicants/participants a list of all available housing in the Fox Cities so housing opportunity is enhanced and includes units outside of lower income neighborhoods for de-concentration. AHA will work to maintain HCV/Section 8 lease up rates by establishing payment standards that are beneficial to families in the City, by effectively screening applicants to increase owner acceptance of the program and by marketing the Section 8 program to owners, particularly those outside areas of minority and poverty concentration. The AHA expanded our voucher program to include all families/individuals of Outagamie County since OCHA does not operate a voucher program. This was done in partnership with Outagamie County Housing Authority. This opened up more housing opportunities for all families. We operate a homebuyer program (in Outagamie and Calumet Counties) with down-payment assistance and rehabilitation assistance. Funds to operate this program (non-HCV) include CDBG, HOME/HCRI and at times the Federal Home Loan. This program provides affordability of home ownership and an opportunity to revitalize distressed neighborhoods from foreclosures as outlined in the Consolidated Plan.

The AHA has recently completed a new construction Low Income Tax Credit project that provides 40 units of affordable housing. Completed in August of 2017, the housing project includes 6 project based vouchers and 10 restricted units available for homeless/disabled and veteran families. In partnership with the homeless/transitional housing partners the AHA will provide project-based vouchers to homeless veterans/families along with supportive services. It has been challenging for the Appleton Housing Authority to meet the needs of our lower income population due to highly limited federal funds imposed. It is our continued goal to maximize participation through our budget authority and lease-up while trying to reduce average HAP costs by negotiating rent with landlords. The AHA will apply for all available federal/state grants to help meet the need of our lower income families/seniors/disabled population and will work collaboratively with other agencies in creating opportunities for additional housing.

De-Concentration Incentives:

It is AHA's policy to make its best efforts to provide for deconcentration of poverty and encourage income mixing by bringing higher income families into lower income developments and lower income families into higher income developments. Toward this end, AHA will skip families on the waiting list to reach other families with a lower or higher income. AHA will accomplish this in a uniform and non-discriminating manner. AHA will affirmatively market its housing to all eligible income groups.

Each year during development of the Agency Plan, AHA will analyze the income levels of families residing in each of the developments subject to deconcentration and the income levels of the families on the waiting list. Based on this analysis, we will determine the level of marketing strategies and deconcentration incentives to implement.

Detailed language regarding deconcentration and policies that govern eligibility, selection and admissions for both the low rent and Section 8 programs can be found in the Admissions and Continued Occupancy Policy (ACOP) and the Section 8 Administrative Plan. Both documents are available upon request at all administrative offices and housing development locations and on our website.

Currently, the Appleton Housing Authority is keenly aware to provide deconcentration efforts in the creation of affordable housing and has replaced 12 public housing family homes under the HUD disposition process, with newly constructed homes that are all located in higher economic neighborhoods. Through these means, the AHA has created affordable housing in non-poverty areas serving lower income residents. These families may be closer to school, transportation and childcare. Families living in higher income areas are known to thrive and move up.

Rent Determination:

Detailed language regarding rent determination for the HCV and Low Rent programs can be found in the Admissions and Continued Occupancy Policy (ACOP) and the Administrative Plan. These documents are available upon request at all administrative offices and housing development locations.

We will continue to implement Tenant Based Rental Assistance through the State of Wisconsin to benefit the homeless and at risk of homeless population and provide a preference for the HCV program. Through this program we work closely with our partners Salvation Army and Pillars to house families/individuals that are either homeless or at risk of becoming homeless. The partner agencies provide case management services.

Repositioning Public Housing

Under the public housing program, the Authority is maintaining its stock through the capital fund program for long term viability. Older public housing stock has been replaced with new construction and universal design/barrier free to accommodate the special needs population. We will continue to seek new funds and/or partnerships to create affordable housing opportunity for our community. RAD, PBV and LIHTC may be sought for the long term viability of Oneida Heights and we will work with HUD to determine the right repositioning of our public housing units. The Authority will hire a developer/consultant to oversee our transitioning.

The Authority has developed Riverwalk Place, a Tax Credit and Multifamily use facility to preserve affordable housing for its 70 senior occupants. We will continue to seek new funds and/or partnerships to create additional affordable housing opportunities for our seniors/families in all of Outagamie County where approved. We will continue to research/dispose of our older high-maintenance, non-accessible housing and build new accessible housing. We will submit an application for other grants that will benefit our community where we are eligible to apply.

The City of Appleton has been highly supportive of our Homebuyer program through funding provided to the AHA from the CDBG program. Our first time affordable homeownership program now serves all of Outagamie County and Calumet County.

Senior Meal Program:

For all residents living at Oneida Heights (159) the Outagamie County Department on Aging hosts a meal site in the community room that serves a hot lunch Monday through Friday at 11:30 a.m. Nutrition and social interaction improves the quality of life for these residents.

Substantial Deviation/Significant Amendment/Modification.

AHA will amend or modify its agency plan upon the occurrence of any of the following events during the first nine months of the term of an approved plan:

- a) Would create a mission, goal or objective from the existing goals, objectives and would require formal approval of the Board of Commissioners;
- b) A federal statutory or regulatory change is made effective and, in the opinion of the Authority, has either substantial programmatic or financial effects on the programs administered by the Authority, or creates substantial obligations or administrative burdens beyond the programs under administration at the start of the Plan year.
- c) Proposed demolition, disposition, homeownership, Capital Fund Financing, development, or mixed finance proposals not already identified in this plan and those that are considered by HUD to be significant amendments to the Agency Plan and CFP 5 Year Action Plan.
- e) Any other event that the Authority's Board determines to be a significant amendment or modification of the approved annual

Operations and Management:

The AHA will continue to fully support the Violence Against Women's Reauthorization Act as outlined in our Admin Plan for the HCV program and the ACOP for Public Housing. In addition, we will adhere to HUD's most recent final rule and regulations under VAWA, including the new Notice of Occupancy Rights and the creation of responding forms. We will enforce the importance of providing housing protections and rights to victims of domestic violence, dating violence, sexual assault, and stalking. By increasing opportunities for all individuals to live in safe housing, avoid the risk of homelessness and further HUD's mission of utilizing housing to improve quality of life.

We have begun direct deposit for landlords under the Housing Choice Voucher program and for residents of multifamily/public housing. We will continue to move towards 100% participation.

We have created an online application on our website to help streamline the process for applicants.

Policies that Govern Eligibility, Selection, and Admissions:

The following is a list of AHA's public housing management and maintenance policy documents, manuals and handbooks that contain AHA's rules, standards, and policies that govern maintenance and management of public housing, and the policies governing Section 8 management:

- AHA Admissions and Continued Occupancy Policy
- AHA Section 8 Administrative Plan
- AHA Employee Handbook
 - AHA Procurement Policy
 - AHA Resident Hand Book

Grievance Procedures

AHA's Grievance Procedure is provided to assure that any Housing Authority resident has the opportunity for a hearing if that resident disputes within a reasonable time any AHA action or failure to act which involves that resident's lease with the AHA or any AHA regulations which adversely affect that individual resident's rights, duties, welfare, or status. The policy document is available upon request at all administrative offices and housing development locations. The Section 8 Rent Assistance Program gives participant families an opportunity for an informal hearing to consider whether RAP decisions relating to the individual circumstances of a participant family are in accordance with the law, HUD regulations, and RAP policies. The informal hearing is detailed in the Admin Plan.

Community Service and FSS Program

AHA has more than 20 years' experience in building innovative and award-winning partnerships with economic development and supportive service agencies. AHA's approach to community and supportive services programming has produced positive results for residents.

AHA's programming has received recognition from a wide variety of organizations in recent years. We conduct an annual public held lunch to honor the graduates and include a motivational speaker for inspiration. We partner with several resource organizations in the community that participate on our PCC Committee for enhanced efforts towards sufficiency.

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AHA has a current Public Housing Family Self Sufficiency program (FSS) to serve public housing households and Housing Choice Voucher households under a best practice approach. The FSS Case Manager works with these participants to review the program goals and requirements, sign the participation contract, and develop and implement their individualized plan. Increases in earned income that impact rent may result in the rent increase deposited into an FSS escrow account for the resident. The FSS Case Managers work with any residents who request assistance or are referred by their managers.

They will first conduct an individualized assessment to help a resident identify their interests, skills, goals, barriers, and needs. The resident and the Case Manager will then plot out a strategy to help the resident find a job or obtain a better job. The Case Manager will also refer the resident to other services available in the community that are needed to help them with job search, such as G.E.D. preparation courses, driver's education, resume assistance, interview

skills, job training, and other skills to help employability and sustaining self-sufficiency. We have developed many partnerships with other agencies to enhance the successful outcome of our clients. The local tech college, other social service providers and even best-selling authors make a huge impact on the program outcomes.

Non-Smoking Policies

In accordance with HUD's final rule on "Instituting Smoke-Free Public Housing" and HUD Notice PIH 2017-3, AHA instituted a new non-smoking policy in 2018 in compliance with HUD's deadline of July 31, 2018. The new policy was developed, approved and distributed with an effective date of July 31, 2018.

Healthcare:

AHA currently has a health clinics located in our senior public housing developments. The University of Wisconsin-Oshkosh School of Nursing may sometimes come to visit the residents. Services at the clinics are available to residents under the ROSS Service Coordination program.

Section 3: In compliance with regulations, AHA makes every effort to hire internally and to require contractors to hire public housing residents and other Section 3 persons to the greatest extent feasible. In addition, AHA ensures that prime contractors awarded Section 3 covered contracts subcontract with Section 3 business entities to the greatest extent feasible. AHA helps to link public housing residents and other Section 3 persons with training and employment opportunities whenever possible and does significant outreach to residents to notify them about the availability of such opportunities, through monthly resident meetings, quarterly resident employment newsletters, and through their case manager. We currently use three paid public housing residents for assistance with our properties.

Homeownership Programs –no change

Safety and Crime Prevention – no change

Pet Policy

Residents of low income housing developments that are exclusively for the elderly, handicapped, or disabled persons are permitted to keep pets with written permission from AHA. The privilege may be revoked at any time subject to AHA's grievance procedure if the animal becomes destructive, a nuisance, or a health or safety hazard to the other residents. Service/emotional support dogs and cats are permitted.

Asset Management –no change

New Activities.

(a) Does the PHA intend to undertake any new activities related to the following in the PHA's current Fiscal Year?

Y N

- Hope VI or Choice Neighborhoods.
- Mixed Finance Modernization or Development.
- Demolition and/or Disposition.
- Designated Housing for Elderly and/or Disabled Families.
- Conversion of Public Housing to Tenant-Based Assistance.
- Conversion of Public Housing to Project-Based Assistance under RAD.
- Occupancy by Over-Income Families.
- Occupancy by Police Officers.
- Non-Smoking Policies.
- Project-Based Vouchers.
- Units with Approved Vacancies for Modernization.
- Other Capital Grant Programs (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants).

Mixed Finance Development

The AHA was approved in 2016 for a Tax Credit Development featuring 40 units ranging in size from 1-2-3 bedrooms. We plan on project basing 6 vouchers to the development which would be consistent under the local Consolidated Plan for additional affordable units. We will use a third party PHA to administer HQS Inspections and Rent Reasonableness. The project received tax credits through WHEDA, a grant from Federal Home Loan bank, HOME dollars from the State of Wisconsin and a gap loan from Fox Communities Credit Union. The project will serve mixed income residents including very low income clients.

Disposition

We may seek additional HUD approval for disposition under the public housing program for up to 12 PH single family units that are obsolete/high maintenance and replace with accessible, energy efficient new construction or acquisition with rehab.

RAD/LIHTC

We plan to begin an application for the conversion of Oneida Heights low rent project (a 153 unit high rise built in the 70s) under RAD/LIHTC or other viable method under a repositioning.

Non-Smoking Policy

We will continue to enforce a non smoking policy to be in compliance with HUD Regulations for Oneida Heights, Oneida Heights Annex and Riverwalk Place. Currently we have a non smoking policy for our scattered site units.

Project Based Vouchers

Consistent with AHA's plan to increase affordable housing units, AHA may use Housing Choice Voucher units for project basing on units owned by the Authority, in joint venture with private developers or solely for other private developers intending to create new affordable housing units. AHA will follow applicable regulations in the issuance of these vouchers. HA may in 2020 utilize this option to increase housing opportunity.

Units Requiring Modernization

From time to time, the AHA must remove a unit off-line to address repair/modernization. HA may in 2020 utilize this option with HUD approval under 24 CFR 990.145(a)(1).

2. Civil Rights Certification.

Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*, must be submitted by the PHA as an electronic attachment to the PHA Plan. ATTACHED

3. Most Recent Fiscal Year Audit.

(a) Were there any findings in the most recent FY Audit?

Y N

NO AUDIT FINDING IN FY 2019

(b) If yes, please describe:

4. Progress Report.

Provide a description of the PHA's progress in meeting its Mission and Goals described in the PHA 5-Year and Annual Plan.

Meeting Goals: The Appleton Housing Authority is on track to meeting its goals and objectives of the past five years through various methods of implementing affordable housing programs. We were successful in obtaining Tax Credit Funding for the preservation of Washington Place, a 70 unit senior facility. We were successful in obtaining Neighborhood Stabilization funds to demolish an abandoned/blighted property and construct two new duplexes that are handicap accessible. We have created 12 affordable homes in partnership with the area School District for building us a single family affordable home each year for 12 years. We created a non-profit arm of the AHA to assist in fund-raising efforts to support various programs. We successfully implemented our Capital Fund Programs sustaining public housing. We revamped our board reports and various policies to strengthen our internal controls & procedures. We have zero audit findings year after year. We were awarded Tax Credits for construction of a 40 unit development that opened in August 2017. We obtained 100% lease up rates for the Voucher program maximizing dollars. On an on-going basis the Appleton Housing Authority continues to strive for excellence and best practice in providing quality, safe, affordable housing.

The Appleton Housing Authority also fully complies with the Violence Against Women Act (VAWA). The provisions of VAWA is incorporated into our Public Housing ACOP and Section 8 Administrative Plan. These provisions were approved by the board of commissioners by resolution. The AHA works closely with local domestic abuse shelters to enhance the safety of residents/participants we serve. The VAWA is incorporated into our briefings to families. (see attached Activity Statement) In the last year, the Authority has not knowingly denied housing to any victim of domestic violence.

The AHA will fully comply with HUD in assisting contractors and subcontractors comply with Section 3 requirements.

Ongoing Strategic Goals:

The AHA will provide HCV “project-based vouchers” for newly constructed family developments under the LHTC program that will be set aside for homeless families, transitional housing families and homeless veterans. The AHA will submit other grants to support the variety of housing needs in our community.

We will work with Valley Transit in connecting transportation needs of residents when considering an affordable housing development.

The AHA will assess the feasibility of a bond issue for the purpose of developing affordable housing developments and pursue a bond issue if approved by the AHA’s board of commissioners.

The AHA may develop market rate/affordable housing through acquisition/rehab, new construction or redevelopment and also possible sell market rate housing.

Submit HOME/HCRI, CDBG, Federal Home Loan Bank, State of WI TBRA, and other HUD/State or local grant applications in response to a Notice of Funding Availability (NOFA).

Apply for Foster Youth Vouchers under any available NOFA.

Submit a grant application under the Rent Assistance Determination (RAD) program for the possible repositioning of public housing units to project-based units if feasible.

Submit applications as necessary for public housing disposition/disposal/conversion activities over the next 5-years. The conversion of these properties may be replaced with a Housing Choice Voucher or funds will be used for the acquisition of newer replacement or new construction public housing.

Adopt strategies that maintain the maximum program size of the Housing Choice Voucher program when faced with federal budget constraints of the Housing Assistance Payment (HAP) budget.

Update the Admissions and Continued Occupancy Policy (ACOP) for the public housing program and Administrative Plan (Admin Plan) for the Housing Choice Voucher Program, focusing in part on the review of the reasonable accommodation sections, HCV annual inspections, HCV exception rent eligibility, PH flat rents, Section 3 requirements and affirmatively furthering fair housing efforts in compliance with HUD.

Continue partnerships and MOU's with local community based organizations (CAP Services, FISC, etc) to provide services for public housing residents and tenant based rental assistance participants, subject to funding and eligibility.

Continue to participate in the Fox Cities Housing Coalition Continuum of Care.

Increase awareness of AHA resources among families of race and ethnicities with disproportionate need.

Continue to expand the work of our non-profit Neighborhood Housing, Inc. and partner with other service providers for the enhancement of quality living for all families.

Continue to work cooperatively with the Public Housing Resident Council Board and or Resident Advisory Board.

Continue the work of the Veterans Administrative Supportive Housing (VASH) Vouchers and apply for additional vouchers when available for homeless veterans and all populations.

Apply for funding under the Family Unification Program NOFA and Mainstream Voucher NOFA when available.

Apply for program/supportive service funding under the Department of Health & Human Services on behalf of the elderly/disabled clients at Oneida Heights, Riverwalk Place and families.

Make application and work as the lead agency for the Tenant Based Rental Assistance Program (serving disabled homeless population) as administered by the State of Wisconsin, Division of Housing.

The Authority will apply for all housing funded programs through the State of Wisconsin and/or a Federal Government NOFA if it will benefit the low income community of Appleton/Outagamie County.

Work with the City of Appleton and other community members on neighborhood revitalization activities, including efforts to stabilize abandoned, blighted and foreclosed properties.

Apply for ROSS Service Coordinator funding under the Multifamily program for the benefit of Riverwalk Place residents.

Continue to support the Outagamie County Meal Site that serves a hot lunch Monday-Friday by offering free on-site services to the Outagamie County Department on Aging and possible seeking outside funds to assist in maintaining this vital service.

Streamline processes to increase efficiency, such as implementing mandatory electronic funds transfer for HAP payments, collection of rent and automated inspection systems.

The Authority will continue our partnerships & MOU's with the OCHA & Kaukauna Housing Authorities in providing rental assistance, housing opportunities and homebuyer assistance for Outagamie County residents. The Appleton Housing Authority has entered into an agreement with the Outagamie County Housing Authority and the Kaukauna Housing Authority to operate our Affordable Home Ownership and the Housing Choice Voucher programs within their PHA jurisdiction expanding housing options for our lower income families.

Will seek a sponsor(s) for ongoing financial support for the Bi-Annual Health Fair for Oneida Heights and Riverwalk Place.

Strive to maintain "High Performer" status under the Public Housing Assessment System (PHAS) and Section 8 Management Assessment Program (SEMAP).

Provide an improved living environment by completing our Capital Fund Projects.

The Authority will implement Fair Housing Practices in all business affairs of the agency. Please see attached statement on affirmatively furthering fair housing.

The Appleton Housing Authority is interested in acquiring additional properties under the public housing regulations or free standing mixed finance rate with attached affordable housing units. The AHA may apply for funding under the HUD RAD program for part or all of its public housing units.

To the greatest extent possible, the Appleton Housing Authority will provide a list of resources that would open up opportunities to the families enrolled in the FSS Program. The AHA will continue working with the PCC to ensure participants are paired with the needed resources to become independent. The AHA will offer a computer room for participants seeking jobs or resume skills.

It is the goal of the Appleton Housing Authority to maintain the safety of the residents living at Oneida Heights and therefore, the AHA will utilize its Capital Fund Program to enhance the security of the building.

The AHA will submit funding applications to HUD/State of Wisconsin/Private Funders/City/County and the Federal Home Loan Bank to further support affordable housing development.

The Appleton Housing Authority has successfully implemented a First Time Home Buyer Program since 1993. This program is geared towards low income families. The program uses HOME/HCRI dollars from the State of Wisconsin, CDBG Funds from the City of Appleton, and Federal Home Loan Grant dollars. These funds provide down-payment and rehabilitation assistance to the families. It is our goal to continue to apply for these grants and research new grants in order to continue to provide these anti-poverty services to our community. The AHA will strive to continue operating this program in Outagamie and Calumet Counties providing adequate funding.

The Housing Authority offers extensive homeownership counseling and educational classroom training, coupled with financial assistance. The Housing Authority has created a Lender Consortium of local participating lenders who have agreed to minimize closing costs, some waiving PMI charges, and consider liberal debt and loan-to-value ratios. More than 400 low income applicants have become successful home owners through the Housing Authority's program. It is the intent of the Housing Authority to continue this in-depth education and seek additional funds through Federal Home Loan Bank. Research becoming a HUD Certified Counseling Agency and continue our MOU for the administration of the Calumet County Homebuyer Program.

The Appleton Housing Authority has created a non-profit titled 'Neighborhood Housing, Inc' to assist in private/public donations creating additional affordable housing opportunities for low income families/seniors and those with special needs, home-buyer education, FSS and the school build partnership projects. The AHA has hired a marketing coordinator to fund raise and oversee the growth of this non-profit.

The Housing Authority may work with other local PHA's in creating partnerships for the efficient administration of federal or state housing programs.

Section 3 Obligations. The Appleton Housing Authority will continue to incorporate Section 3 activities in its existing Procurement Policy, Capital Fund Projects, Independent Audit Services and Public Housing and Homeownership Programs. The current Procurement Policy contains requirements for awarding contracts to Small Disadvantaged Businesses and Minority and Women Business Enterprises (M/WBE). As such the Appleton Housing Authority solicits bids/proposals from documented firms falling under the above categories.

Furthermore, our agency will:

1. Implement procedures to notify Section 3 residents and business concerns about training, employment and contractors working on section 3 covered projects of their responsibilities.
2. Incorporate the Section 3 clause into all covered solicitation and contracts.
3. When required, the AHA will facilitate the training and employment of Section 3 residents and the award of contracts to Section 3 business owners.
- 4.
5. If contractors are in violation of Section 3, the AHA will not enter into a contract with that business.
6. The AHA will document actions taken to comply with Section 3 and will submit timely Section 3 Annual Summary Reports HUD-Form 60002 in accordance with 24 CFR Part 135.90

In addition, the Appleton Housing Authority currently utilizes low-income public housing residents by linking them to available on-the-job training through either the Appleton Housing and/or through its contractors, and will make every effort to encourage this practice. Of hiring public housing residents and other Section 3 persons to the fullest extent possible. The AHA employs 3 residents part-time.

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

The Appleton Housing Authority works cooperatively with the local Fair Housing Council and as such will employ Fair Housing Training for all staff on an as needed basis over the five year plan in partnership with the Council. In addition, the Authority allows for the insertion of Fair Housing material from the Council to landlords participating under the Housing Choice Voucher program.

5. Resident Advisory Board (RAB) Comments.

(a) Did the RAB(s) provide comments to the PHA Plan?

Y N

(b) If yes, comments must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the RAB recommendations and the decisions made on these recommendations.

6. Certification by State or Local Officials.

[Form HUD 50077-SL](#), *Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan*, must be submitted by the PHA as an electronic attachment to the PHA Plan. ATTACHED

7. Troubled PHA.

(a) Does the PHA have any current Memorandum of Agreement, Performance Improvement Plan, or Recovery Plan in place?
The AHA is not a troubled PHA.

C.	Statement of Capital Improvements. Required for all PHAs completing this form that administer public housing and receive funding from the Capital Fund Program (CFP).
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(b) If yes, please describe:

Capital Improvements. Include a reference here to the most recent HUD-approved 5-Year Action Plan (HUD-50075.2) and the date that it was approved by HUD.

1. Please see HUD Form 50075.2 as approved by HUD January 2019 under our 5-year PHA Plan .

Instructions for Preparation of Form HUD-50075-ST Annual PHA Plan for Standard and Troubled PHAs

A. PHA Information. All PHAs must complete this section.

A.1 Include the full **PHA Name**, **PHA Code**, **PHA Type**, **PHA Fiscal Year Beginning** (MM/YYYY), **PHA Inventory**, **Number of Public Housing Units and or Housing Choice Vouchers (HCVs)**, **PHA Plan Submission Type**, and the **Availability of Information**, specific location(s) of all information relevant to the public hearing and proposed PHA Plan. ([24 CFR §903.23\(4\)\(e\)](#))

PHA Consortia: Check box if submitting a Joint PHA Plan and complete the table. ([24 CFR §943.128\(a\)](#))

B. Annual Plan. All PHAs must complete this section.

B.1 Revision of PHA Plan Elements. PHAs must:

Identify specifically which plan elements listed below that have been revised by the PHA. To specify which elements have been revised, mark the “yes” box. If an element has not been revised, mark “no.” ([24 CFR §903.7](#))

Statement of Housing Needs and Strategy for Addressing Housing Needs. Provide a statement addressing the housing needs of low-income, very low-income and extremely low-income families and a brief description of the PHA’s strategy for addressing the housing needs of families who reside in the jurisdiction served by the PHA. The statement must identify the housing needs of (i) families with incomes below 30 percent of area median income (extremely low-income), (ii) elderly families and families with disabilities, and (iii) households of various races and ethnic groups residing in the jurisdiction or on the waiting list based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. ([24 CFR §903.7\(a\)\(1\)](#)) 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. ([24 CFR §903.7\(a\)\(2\)\(ii\)](#))

Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions. PHAs must submit a Deconcentration Policy for Field Office review. For additional guidance on what a PHA must do to deconcentrate poverty in its development and comply with fair housing requirements, see [24 CFR 903.2](#). ([24 CFR §903.23\(b\)](#)) Describe the PHA’s admissions policy for deconcentration of poverty and income mixing of lower-income families in public housing. The Deconcentration Policy must describe the PHA’s policy for bringing higher income tenants into lower income developments and lower income tenants into higher income developments. The deconcentration requirements apply to general occupancy and family public housing developments. Refer to [24 CFR §903.2\(b\)\(2\)](#) for developments not subject to deconcentration of poverty and income mixing requirements. ([24 CFR §903.7\(b\)](#)) Describe the PHA’s procedures for maintain waiting lists for admission to public housing and address any site-based waiting lists. ([24 CFR §903.7\(b\)](#)). A statement of the PHA’s policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV. ([24 CFR §903.7\(b\)](#)) Describe the unit assignment policies for public housing. ([24 CFR §903.7\(b\)](#))

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. ([24 CFR §903.7\(c\)](#))

Rent Determination. A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units, including applicable public housing flat rents, minimum rents, voucher family rent contributions, and payment standard policies. ([24 CFR §903.7\(d\)](#))

Operation and Management. A statement of the rules, standards, and policies of the PHA governing maintenance and 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. ([24 CFR §903.7\(e\)](#))

Grievance Procedures. A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants. ([24 CFR §903.7\(f\)](#))

Homeownership Programs. A description of any Section 5h, Section 32, Section 8y, or HOPE I public housing or Housing Choice Voucher (HCV) homeownership programs (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval. ([24 CFR §903.7\(k\)](#))

Community Service and Self Sufficiency Programs. Describe how the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. (24 CFR §903.7(l)) A description of: **1)** Any programs relating to services and amenities provided or offered to assisted families; and **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. (24 CFR §903.7(l))

Safety and Crime Prevention. Describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must provide development-by-development or jurisdiction wide-basis: (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. (24 CFR §903.7(m)) 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. (24 CFR §903.7(m)(5))

Pet Policy. Describe the PHA's policies and requirements pertaining to the ownership of pets in public housing. (24 CFR §903.7(n))

Asset Management. State 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. (24 CFR §903.7(q))

Substantial Deviation. PHA must provide its criteria for determining a "substantial deviation" to its 5-Year Plan. (24 CFR §903.7(r)(2)(i))

Significant Amendment/Modification. PHA must provide its criteria for determining a "Significant Amendment or Modification" to its 5-Year and Annual Plan. Should the PHA fail to define 'significant amendment/modification', HUD will consider the following to be 'significant amendments or modifications': a) changes to rent or admissions policies or organization of the waiting list; b) additions of non-emergency CFP work items (items not included in the current CFP Annual Statement or CFP 5-Year Action Plan) or change in use of replacement reserve funds under the Capital Fund; or c) any change with regard to demolition or disposition, designation, homeownership programs or conversion activities. See guidance on HUD's website at: [Notice PIH 1999-51](#). (24 CFR §903.7(r)(2)(ii))

If any boxes are marked "yes", describe the revision(s) to those element(s) in the space provided.

B.2 New Activities. If the PHA intends to undertake any new activities related to these elements in the current Fiscal Year, mark "yes" for those elements, and describe the activities to be undertaken in the space provided. If the PHA does not plan to undertake these activities, mark "no."

Hope VI or Choice Neighborhoods. **1)** A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Choice Neighborhoods; and **2)** A timetable for the submission of applications or proposals. The application and approval process for Hope VI or Choice Neighborhoods is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>. (Notice PIH 2010-30)

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 Mixed Finance Modernization or Development; and **2)** A timetable for the submission of applications or proposals. The application and approval process for 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>. (Notice PIH 2010-30)

Demolition and/or Disposition. Describe any public housing projects owned by the PHA and subject to ACCs (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. This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed as described in the PHA's last Annual and/or 5-Year PHA Plan submission. 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. (24 CFR §903.7(h))

Designated Housing for Elderly and Disabled Families. Describe any public housing projects owned, assisted or operated by the PHA (or portions thereof), in the upcoming fiscal year, that the PHA has continually operated as, has designated, or will apply for designation for occupancy by elderly and/or disabled families only. 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. **Note:** The application and approval process for such designations is separate from the PHA Plan process, and PHA Plan approval does not constitute HUD approval of any designation. (24 CFR §903.7(i)(C))

Conversion of Public Housing. Describe any public housing building(s) (including project number and unit count) owned by the PHA that the PHA is required to convert or plans to voluntarily convert to tenant-based assistance; **2)** An analysis of the projects or buildings required to be converted; and **3)** A statement of the amount of assistance received 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>. (24 CFR §903.7(j))

Conversion of Public Housing. Describe any public housing building(s) (including project number and unit count) owned by the PHA that the PHA plans to voluntarily convert to project-based assistance under RAD. See additional guidance on HUD's website at: [Notice PIH 2012-32](#)

Occupancy by Over-Income Families. A PHA that owns or operates fewer than two hundred fifty (250) public housing units, may lease a unit in a public housing development to an over-income family (a family whose annual income exceeds the limit for a low income family at the time of initial occupancy), if all the following conditions are satisfied: (1) There are no eligible low income families on the PHA waiting list or applying for public housing assistance when the unit is leased to an over-income family; (2) The PHA has publicized availability of the unit for rental to eligible low income families, including publishing public notice of such availability in a newspaper of general circulation in the jurisdiction at least thirty days before offering the unit to an over-income family; (3) The over-income family rents the unit on a month-to-month basis for a rent that is not less than the PHA's cost to operate the unit; (4) The lease to the over-income family provides that the family agrees to vacate the unit when needed for rental to an eligible family; and (5) The PHA gives the over-income family at least thirty days notice to vacate the unit when the unit is needed for rental to an eligible family. The PHA may incorporate information on occupancy by over-income families into its PHA Plan statement of deconcentration and other policies that govern eligibility, selection, and admissions. See additional guidance on HUD's website at: [Notice PIH 2011-7](#). (24 CFR 960.503) (24 CFR 903.7(b))

Occupancy by Police Officers. The PHA may allow police officers who would not otherwise be eligible for occupancy in public housing, to reside in a public housing dwelling unit. The PHA must include the number and location of the units to be occupied by police officers, and the terms and conditions of their tenancies; and a statement that such occupancy is needed to increase security for public housing residents. A "police officer" means a person determined by the PHA to be, during the period of residence of that person in public housing, employed on a full-time basis as a duly licensed professional police officer by a Federal, State or local government or by any agency of these governments. An officer of an accredited police force of a housing agency may qualify. The PHA may incorporate information on occupancy by police officers into its PHA Plan statement of deconcentration and other policies that govern eligibility, selection, and admissions. See additional guidance on HUD's website at: [Notice PIH 2011-7](#). (24 CFR 960.505) (24 CFR 903.7(b))

Non-Smoking Policies. The PHA may implement non-smoking policies in its public housing program and incorporate this into its PHA Plan statement of operation and management and the rules and standards that will apply to its projects. See additional guidance on HUD's website at: [Notice PIH 2009-21](#). (24 CFR §903.7(e))

Project-Based Vouchers. Describe any plans to use Housing Choice Vouchers (HCVs) for new project-based vouchers, which must comply with PBV goals, civil rights requirements, Housing Quality Standards (HQS) and deconcentration standards, as stated in 983.57(b)(1) and set forth in the PHA Plan statement of deconcentration and other policies that govern eligibility, selection, and admissions. If using project-based vouchers, provide the projected number of project-based units and general locations, and describe how project-basing would be consistent with the PHA Plan. (24 CFR §903.7(b))

Units with Approved Vacancies for Modernization. The PHA must include a statement related to units with approved vacancies that are undergoing modernization in accordance with [24 CFR §990.145\(a\)\(1\)](#).

Other Capital Grant Programs (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants).

For all activities that the PHA plans to undertake in the current Fiscal Year, provide a description of the activity in the space provided.

- B.3 Civil Rights Certification.** Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulation*, must be submitted by the PHA as an electronic attachment to the PHA Plan. This includes all certifications relating to Civil Rights and related regulations. A PHA will be considered in compliance with the 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. (24 CFR §903.7(o))
- B.4 Most Recent Fiscal Year Audit.** If the results of the most recent fiscal year audit for the PHA included any findings, mark "yes" and describe those findings in the space provided. (24 CFR §903.7(p))
- B.5 Progress Report.** For all Annual Plans following submission of the first Annual Plan, a PHA must include a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year PHA Plan. (24 CFR §903.7(r)(1))
- B.6 Resident Advisory Board (RAB) comments.** If the RAB provided comments to the annual plan, mark "yes," submit the comments as an attachment to the Plan and describe the analysis of the comments and the PHA's decision made on these recommendations. (24 CFR §903.13(c), 24 CFR §903.19)
- B.7 Certification by State or Local Officials.** Form HUD-50077-SL, *Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan*, must be submitted by the PHA as an electronic attachment to the PHA Plan. (24 CFR §903.15). Note: A PHA may request to change its fiscal year to better coordinate its planning with planning done under the Consolidated Plan process by State or local officials as applicable.

B.8 Troubled PHA. If the PHA is designated troubled, and has a current MOA, improvement plan, or recovery plan in place, mark “yes,” and describe that plan. If the PHA is troubled, but does not have any of these items, mark “no.” If the PHA is not troubled, mark “N/A.” ([24 CFR §903.9](#))

C. Statement of Capital Improvements. PHAs that receive funding from the Capital Fund Program (CFP) must complete this section. ([24 CFR 903.7 \(g\)](#))

C.1 Capital Improvements. In order to comply with this requirement, the PHA must reference the most recent HUD approved Capital Fund 5 Year Action Plan.

PHAs can reference the form by including the following language in Section C. 8.0 of the PHA Plan Template: “See HUD Form-50075.2 approved by HUD on XX/XX/XXXX.”

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 the 5-Year and Annual PHA Plan.

Public reporting burden for this information collection is estimated to average 9.2 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.

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