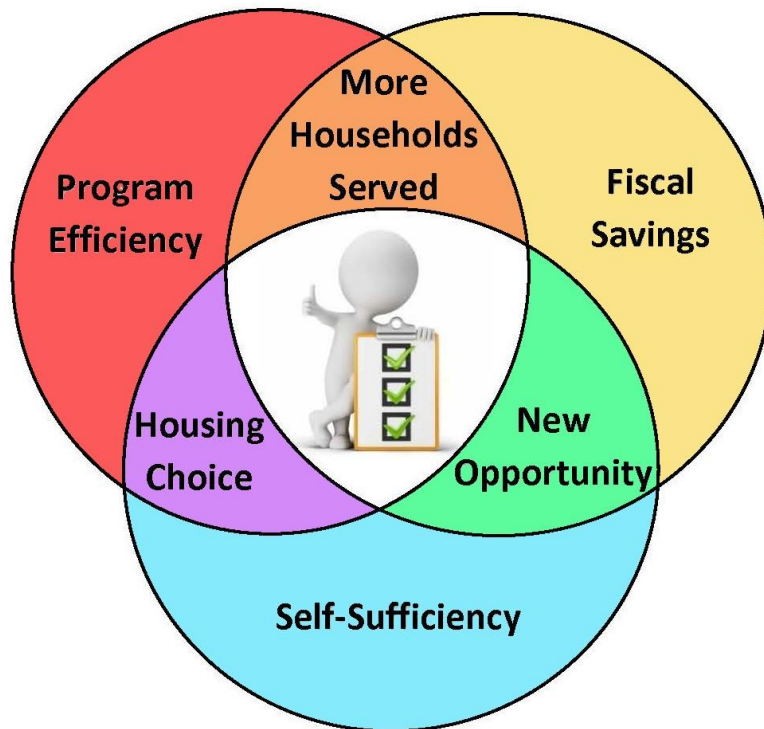


HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO



MOVING TO WORK ANNUAL PLAN FYE2021



**San Mateo County Board of Supervisors
(Sitting as the Board of Commissioners
for the Housing Authority)**

Warren Slocum, President
David Canepa, Vice President
Carole Groom
Dave Pine
Don Horsley

Housing Authority

Raymond Hodges, Interim Executive Director

MTW Annual Plan contribution and preparation by:

Cindy Chan, Rental Programs Manager
Barbara Leff, Financial Services Manager
Jennifer Rainwater, Planning and Program Innovation Manager

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SECTION I

Introduction

Overview of the Housing Authority of the County of San Mateo's ongoing MTW goals and objectives

The Housing Authority of the County of San Mateo (HACSM) first joined the MTW Demonstration Program in 1998. At that time, HACSM allocated 300 of its Section 8 Housing Choice Vouchers to participate in a 6-year time limited program in collaboration with the San Mateo County Welfare Department. In 2008, HACSM was selected to sign a new 10-year MTW agreement with HUD, expanding its MTW authority to all Section 8 (Housing Choice Voucher) and Section 9 (Public Housing) Programs through 2018. In 2016, HACSM signed a new agreement with HUD, extending its MTW authority through 2028.

Through the MTW Demonstration Program, HACSM has reduced administrative costs, collaborated with other county departments and organizations to end homelessness, increased self-sufficiency of program participants, and increased affordable housing choices for families. As delineated in the Agency's mission statement, "The Department of Housing (HACSM and Housing and Community Department) collaborates with partners as a catalyst to increase the supply of affordable housing and create opportunities for people at all income levels and abilities to prosper by supporting livable and thriving communities."

Through its leadership and collaboration in the community, HACSM leads by example by taking bold steps in supporting San Mateo County residents through program innovation and responsiveness made possible through its MTW authorities. The following are some examples of HACSM's commitment to increasing affordable housing choices, supporting self-sufficiency goals, and garnering administrative efficiencies.

MTW GOAL: Increasing Affordable Housing Choices

The San Francisco Bay Area is one of the most sought-after places in the United States. San Mateo County is located between the city of San Francisco and Silicon Valley, the technology epicenter of the country, with headquarters for Apple, Facebook, Genentech and Google, to name just a few. While the high-tech industry has benefited the economy, it has unfortunately priced out low-income households. As of the publication of this MTW Plan, the HUD published Fair Market Rent (CY2020) for a two-bedroom unit is \$3,339 per month. A full time, minimum wage worker earns approximately \$15 per hour or \$2,600 per month. Rental housing is clearly unattainable for the minimum-wage earning households who do not participate in subsidized housing programs.

The HACSM has the flexibility and agility to address these pressing housing needs through the MTW Demonstration Program. The following are some specific activities that HACSM has taken and plan to continue in FY2020:

- **Leveraging Housing Assistance Payment (HAP) funds (Activity #2012-16)** – The San Mateo County Affordable Housing Fund was made possible partly due to the HACSM's ability to leverage HAP funds, increasing the overall financial assistance for affordable housing development. This funding source has resulted in an increase in affordable housing development, homeownership projects, potential agricultural workforce housing, and loans for pre-development costs. 353 Main Street, a 125-unit rental housing development, and 3001 Geneva, a home ownership project, both are in the pre-development phase, are some of the examples that the Affordable Housing Fund helped the production of affordable housing in San Mateo County.
- **Expanding the Section 8 Project-Based Voucher (PBV) Program (Activity #2011 – 16)** – Toward the end of FY2019, HACSM had used close to 35% of its voucher budget authority, its original request, for project-basing. Through its FY2020 Plan, HACSM received approval to increase its PBV budget cap to 40%. A key strategy to increase the affordable housing stock is to

secure long-term contracts with owners for affordable units. All of the PBVs awarded to date support new construction or rehab units that are near major transportation corridors and job centers. HACSM has just completed an RFP process and awarded 194 PBV units among 4 developments.

- **Leasing Success Program (Activity #2015-35)** - HACSM had a voucher subsidy utilization rate of 98% in 2013, but the rate decreased to 93% in 2015, and 90% by 2016. Through landlord outreach efforts and incentives, the “Renting Success Workshop” for its voucher holders, and the completion of several project-based properties, HACSM has steadily increased its utilization rate and achieved an overall 95% average in CY2019.

MTW GOAL: Promoting Self-Sufficiency

The HACSM 5-year MTW Self-Sufficiency Program, (MTW Activity #2000-1) is one of the premier housing programs in San Mateo County. The program currently serves 772 households of which 663 households have an active Contract of Participation. All new applicants admitted through the HACSM’s voucher waiting list will be invited to join the Self-Sufficiency Program. The FSS Contract of Participation is established with the family upon move in and their self-sufficiency activities are case managed by the HACSM’s family self-sufficiency coordinators.

In addition to the 5-year MTW Self-Sufficiency Program, HACSM also administers the Housing Readiness Program (HRP), (MTW Activity #2009-2) to specifically support homeless individuals and families. The objective is to transition homeless households to economic self-sufficiency during their 5-year participation in the program.

In collaboration with the Mental Health Association (MHA), HACSM established Support and Advocacy for Young Adults in Transition Program (SAYAT) (MTW Activity 2018-26) to specifically support homeless young adults with disabilities. SAYAT is also a time-limited program that provides rental assistance for up to five years. While HACSM provides financial and employment counseling, MHA provides clinical services to the youth.

The following is a success story from one of the participants in the MTW Program, who has successfully completed and exited the program in 2019. She expresses how her life was fundamentally changed by the program.



Growing up, Zena struggled in school and studying did not come easy. When she joined the Moving to Work Program, she was determined to be successful. At the beginning she wasn’t working and had always wanted to go to college. Participating in the program allowed her to go back to school, further her education, and increase her passion for teaching.

While on the program, Zena was hired for a part-time position and continued her studies in early childhood education at San Francisco State University *and* obtained her Master of Arts Degree in Special Education. She completed her Specialist Instruction Credentials in Special Education, received her Bachelor of Art Degree in Child and Adolescent Development, and graduated Summa Cum Laude. Her part-time work gave her the teaching experience she needed and since then has been employed full time as an Early Childhood Special Educator in the Bay Area.

Zena’s participation in the MTW Program allowed her to complete her educational goals, learn how to maintain a monthly budget, improve her credit score, increase her income, and save for her retirement.

MTW GOAL: Developing Administrative Efficiencies

HACSM continually reviews its policies and practices for both initial and on-going eligibility determinations with the goals of reducing processing time, decreasing administrative burden, and quickly placing participants in housing. HACSM has been successful in adding new vouchers under the HUD-VASH and Mainstream Programs. Due to administrative efficiencies, HACSM was able to administer these additional vouchers without adding additional staff.

HACSM's long-term vision for the direction and duration of its MTW Program

The MTW Program has given HACSM the ability to prioritize three broad goals: 1) serving San Mateo County residents who are most in need, 2) facilitating residents' self-sufficiency, and 3) building sustainable system capacity. The following are focus areas that HACSM has identified to support this vision:

Serve More Families

HACSM continues to enroll approximately 200 new program participants annually from its voucher waiting list to the five-year MTW Self-Sufficiency program. HACSM's ability to serve more families is due to a greater turnover rate, turnover vouchers that are made available by participants who successfully completed and exited the program. All new participants have access to case management services from a wide variety of partner organizations, and coaching and mentoring meetings with their self-sufficiency coordinators at HACSM. The time-limited MTW Self-Sufficiency Program includes a comprehensive hardship policy for elderly and/or disabled persons as well as self-sufficiency participants who may need more time to achieve their self-sufficiency goals.

Expand Affordable Housing Partnerships and Project-Based Programs

As discussed previously, HACSM has contributed to the San Mateo County's affordable housing fund by leveraging HAP reserves and other county funds to support development of affordable housing. Funding has been awarded in a form of low-interest loans, thus creating continued financial resources for development of affordable housing. To date, HACSM has contributed \$17 million dollars to the affordable housing fund.

HACSM also strategically award PBVs to developments that increase housing opportunities for its voucher participants. In selecting projects, HACSM gives preference points to developments that commit renting certain number of non-PBV units to voucher holders, particularly to those who may be homeless and/or disabled. This strategy, coupled with an increased in PBV cap, had helped to address the affordable housing crisis in San Mateo County.

Always Open, On-line Waiting List Process

In January 2014, HACSM implemented an online waitlist portal. All new applicants who are interested in the voucher program can create their own secure user ID and password, complete the data entry of their household information online. This online system allows applicants to take responsibility for keeping their information current. An expiration date (12 months from the date of the application, or the last renewal or update date) is set for each application, thus eliminating the need for HACSM to periodically purge the waiting list. This process allows the waiting list to be always open because it is self-purged and enables applicants to apply or reapply at any time. The online system has proven to be effective for HACSM as well as its applicants.

In 2019, HACSM tested a new online system for two of the newly developed PBV properties. The new system was used for waiting list openings as well as on-going management. HACSM will continue to study

the effectiveness of the online system with the goal of extending this system to all PBV properties.

Expand Community Partnerships and Commitments with Support Service Providers

HACSM continues to review the needs of program participants and has been expanding its partnerships with a variety of educational institutions, work force development providers, and health and social service providers. In October 2019, HACSM hosted its 7th Annual Housing & Resource EXPO. 58 partner organizations attended and met with participants, enrolled them in services such as job training and hiring services, financial training, and savings plans. There were over 70 families in attendance!

The 2019 Family, Fun, and Resource Expo!



SECTION II

General Housing Authority Operating Information

A. HOUSING STOCK INFORMATION

i. Planned New Public Housing Units

New public housing units that the MTW PHA anticipates will be added during the Plan Year.

| ASSET MANAGEMENT PROJECT (AMP) NAME AND NUMBER | BEDROOM SIZE | | | | | | TOTAL UNITS | POPULATION TYPE* | # of Uniform Federal Accessibility Standards (UFAS) Units | |
|--|--------------|---|---|---|---|----|-------------|------------------|---|-----------|
| | 0/1 | 2 | 3 | 4 | 5 | 6+ | | | Fully Accessible | Adaptable |
| N/A | # | # | # | # | # | # | # | N/A | # | # |
| N/A | # | # | # | # | # | # | # | N/A | # | # |
| N/A | # | # | # | # | # | # | # | N/A | # | # |

Total Public Housing Units to be Added in the Plan Year N/A

* Select "Population Type" from: General, Elderly, Disabled, Elderly/Disabled, Other

If "Population Type" is "Other" please describe:

N/A

ii. Planned Public Housing Units to be Removed

Public housing units that the MTW PHA anticipates will be removed during the Plan Year.

| AMP NAME AND NUMBER | NUMBER OF UNITS TO BE REMOVED | EXPLANATION FOR REMOVAL |
|---------------------|-------------------------------|-------------------------|
| N/A | N/A | N/A |
| N/A | N/A | N/A |
| N/A | N/A | N/A |

N/A Total Public Housing Units to be Removed in the Plan Year

iii. Planned New Project Based Vouchers

Tenant-based vouchers that the MTW PHA anticipates project-basing for the first time during the Plan Year. These include only those in which at least an Agreement to enter into a Housing Assistance Payment (AHAP) will be in place by the end of the Plan Year. Indicate whether the unit is included in the Rental Assistance Demonstration (RAD).

| PROPERTY NAME | NUMBER OF VOUCHERS TO BE PROJECT-BASED | RAD? | DESCRIPTION OF PROJECT |
|----------------------------------|--|------|--|
| 965 Weeks Street | 15 | No | 965 Weeks Street is a 136-unit new construction development in East Palo Alto, CA. HACSM has committed 15 PBVs to the project. The project is in the process of securing financing. |
| Bayshore Affordable | 18 | No | Bayshore Affordable is an 80-unit new construction development in Millbrae, CA. HACSM has committed 18 HUD-VASH vouchers to the project. The project is in the entitlement and local approval process |
| Belmont Affordable | 18 | No | Belmont Affordable is an 18-unit new construction development in Belmont, CA. HACSM has committed 18 PBVs to the project. The project is in the process of securing financing. |
| Firehouse Square | 33 | No | Firehouse Square is a 66-unit new construction development in Belmont, CA. HACSM has committed 33 PBVs to the project. The project is in the process of securing financing. |
| Grand & Linden Family Apartments | 55 | No | Grand & Linden Family Apartments is an 83-unit new construction development in South San Francisco, CA. HACSM has committed 55 PBVs, of which 13 will serve households that will require supportive services in order to maintain stable housing. The project is in the process of securing financing. |
| Light Tree Apartments | 89 | No | Light Tree Apartments a 185-unit new construction development in E. Palo Alto, CA. HACSM has committed 89 PBVs to the project. The project is in the process of securing financing. |
| Middlefield Junction | 44 | No | Middlefield Junction is a 179-unit new construction development in Redwood City, CA. HACSM has committed 44 PBVs, of which 20 will serve households that will require supportive services in order to maintain stable housing. The project is in the process of securing financing. |

Planned Total Vouchers to be Newly Project-Based

272

iv. Planned Existing Project Based Vouchers

Tenant-based vouchers that the MTW PHA is currently project-basing in the Plan Year. These include only those in which at least an AHAP is already in place at the beginning of the Plan Year. Indicate whether the unit is included in RAD.

| PROPERTY NAME | NUMBER OF PROJECT-BASED VOUCHERS | PLANNED STATUS AT END OF PLAN YEAR* | RAD? | DESCRIPTION OF PROJECT |
|--|----------------------------------|-------------------------------------|------|---|
| 2821 El Camino | 59 | Committed | No | 2821 is a 65-unit new construction development in Redwood City, CA. HACSM has committed 27 HUD-VASH Vouchers, awarded through HACSM's application to HUD's FY2016 HUD-VASH PBV set-aside and 32 HCVs to the project. Of the 32 HCV PBV units, 6 will serve Mental Health Service Act-eligible households. Construction is expected to complete in 2021. |
| 353 Main Street | 81 | Committed | No | 353 Main Street is a 125-unit new construction development in Redwood City, CA. HACSM has committed 81 PBVs, 19 HUD-VASH Vouchers and 62 HCVs to the project. Construction is expected to complete in 2022. |
| 636 El Camino | 47 | Leased | No | 636 El Camino is a 109-unit affordable housing development located in South San Francisco. Of the 47 PBV units, 20 are supportive housing units serving people with disabilities who need supportive services to maintain stable housing. |
| Alma Point at Foster Square | 33 | Leased | No | Alma Point at Foster Square is a 66-unit affordable senior housing development located in Foster City, CA. |
| Arroyo Green (Formerly known as Bradford Senior Housing) | 99 | Committed | No | Bradford Senior Housing is a 117-unit new construction senior development in Redwood City, CA. HACSM has committed 10 HUD-VASH Vouchers, awarded through HACSM's application to HUD's FY2016 HUD-VASH PBV set-aside and 89 HCVs to the project. Construction is expected to complete in 2021. |
| Bay Meadows | 46 | Committed | No | Bay Meadow is a 68-unit new construction development in San Mateo, CA. HACSM has committed 46 PBVs, 12 HUD-VASH Vouchers, awarded through HACSM's application to HUD's FY2016 HUD-VASH PBV set-aside and 34 HCV to the project. Construction is expected to complete in 2021. |

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|--------------------------|----|--------|-----|---|
| Coastside Senior Housing | 39 | Leased | No | Coastside Senior Housing is a 40-unit affordable senior project located in Half Moon Bay, CA. The development is 100% PBV except for the manager unit. |
| Colma Veterans Housing | 65 | Leased | No | Colma Veterans Housing is a 66-unit new construction development in Colma, CA. Except for the manager unit, all units will be assisted with PBV subsidy. HACSM has committed 65 PBV units, 57 HUD-VASH Vouchers, awarded through HACSM's application to HUD's FY2016 HUD-VASH PBV set-aside and 8 HCVs to the project. 57 units will serve VASH-eligible households while the remaining 8 units will serve HCV-eligible households with preference given to veterans. |
| Delaware Pacific | 30 | Leased | No | Delaware Pacific is a 60-unit affordable housing development located in San Mateo, CA. 10 PBV units are supportive housing units serving people with disabilities who need supportive services to maintain stable housing. |
| Delaware Place | 16 | Leased | No | Delaware Place is a 16-unit affordable housing development located in San Mateo. Delaware Place was converted to the PBV program in 2015. Prior to the conversion, the development was covered by the Project-based Certificate Program. |
| Edgewater Isle | 91 | Leased | No | Edgewater Isle is a 92-unit affordable senior housing development located in Foster City. Edgewater Isle was converted to the PBV program in 2015. Prior to the conversion, the project was covered by the Project-based Certificate Program. |
| El Camino Village | 30 | Leased | Yes | El Camino Village, a former Public Housing development was converted to PBV through the RAD process, approved by HUD in November 2017. |
| EPA Woodlands Associates | 13 | Leased | No | EPA Woodlands Associates is a 23-unit affordable housing development located in East Palo Alto. EPA Woodlands Associates was converted to the PBV program in 2013. Prior to the conversion, the development was covered by the Project-based Certificate Program. |
| Gateway Apartments | 81 | Leased | No | Gateway Apartments is an 82-unit affordable housing development located in Menlo Park. Gateway Apartments was converted to the PBV program in 2015. Prior to the conversion, the development was |

| | | | | |
|-----------------------------|-----|--------|----|---|
| | | | | covered by the Moderate Rehab Program. |
| Half Moon Village | 158 | Leased | No | Half Moon Village is a 160-unit affordable senior housing development located in Half Moon Bay. The development is 100% PBV except for the 2 manager units. |
| Hillside Terrace | 18 | Leased | No | Hillside Terrace is a 18-unit affordable housing development located in Daly City, CA. Hillside Terrace was converted to PBV in 2015. Prior to the conversion, the development was covered by the Project-based Certificate Program. |
| Magnolia Plaza | 48 | Leased | No | Magnolia Plaza is 125-unit affordable senior housing development located in South San Francisco. Magnolia Plaza was converted to the PBV program in 2015. Prior to the conversion, the development was covered by the Project-based Certificate Program. |
| Midway Village | 150 | Leased | No | Midway Village is a 150-unit affordable housing development located in Daly City. Through the demo/dispo process, this former Public Housing development was converted to the PBV program in 2011. |
| Mosaic Garden | 39 | Leased | No | Mosaic Garden is a 55-unit rehabilitation development in Redwood City, CA. Of the 39 PBV units, 8 are HUD-VASH Vouchers awarded through HACSM's application to HUD's FY2016 HUD-VASH PBV set-aside and 31 are HCVs. Of the 31 HCV PBV units, 4 are supportive housing units with homeless preference serving individuals selected from the San Mateo County Coordinated Entry System. |
| Newell | 10 | Leased | No | Newell is a 26-unit affordable housing development located in East Palo Alto, CA. Newell was converted to PBV in 2013. Prior to the conversion, the development was covered by Project-based Certificate Program. |
| Oceanview Senior Apartments | 31 | Leased | No | Oceanview Senior Apartments is a 100-unit affordable senior housing development located in Pacifica, CA. |
| Pacific Oaks | 50 | Leased | No | Pacific Oaks is a 104-unit affordable senior housing development located in Pacifica. Pacific Oaks was converted to PBV in 2015. Prior to the conversion, the development was covered by the Project-based Certificate Program. |

| | | | | |
|---|----|--------|----|---|
| Redwood Oaks | 33 | Leased | No | Redwood Oaks is a 36-unit affordable housing development located in Redwood City, CA. Redwood Oaks was converted to PBV in 2015. Prior to the conversion, the development was covered by the Project-based Certificate Program. |
| Rotary Terrace (formerly known as Miller Avenue Senior Housing) | 8 | Leased | No | Rotary Terrace is an 81-unit new construction affordable senior housing project located in South San Francisco, CA. |
| Sequoia Belle Haven | 69 | Leased | No | Sequoia Belle Haven is a 90-unit affordable senior housing development located in Menlo Park, CA. Sequoia Belle Haven was a part of the Gateway Apartments complex and was redeveloped in 2017. Prior to the redevelopment, the units were covered by the Moderate Rehab Program. |
| Serenity Senior Housing | 40 | Leased | No | Serenity Senior Housing is a 41-unit affordable senior housing development located in East Palo Alto, CA. The development is 100% PBV except for 1 manager unit. |
| St. Matthew | 18 | Leased | No | St. Matthew is a 56-unit affordable housing development located in San Mateo, CA. St. Matthew was converted to PBV in 2013. Prior to the conversion, the development was covered by the Project-based Certificate Program. |
| Sweeney Lane | 26 | Leased | No | Sweeney Lane is a 52-unit affordable housing development located in Daly City. |
| Willow Housing | 35 | Leased | No | Willow Housing is a 60-unit development located in the Menlo Park VA campus in Menlo Park, CA. The PBV units are covered by HUD-VASH vouchers. |
| Willow Terrace | 11 | Leased | No | Willow Terrace is a 26-unit affordable housing development located in Menlo Park, CA. Willow Terrace was converted to PBV in 2013. Prior to the conversion, the development was covered by the Project-based Certificate Program. |

1474

Planned Total Existing Project-Based Vouchers

* Select "Planned Status at the End of Plan Year" from: Committed, Leased/Issued

v. Planned Other Changes to MTW Housing Stock Anticipated During the Plan Year

Examples of the types of other changes can include (but are not limited to): units held off-line due to relocation or substantial rehabilitation, local, non-traditional units to be acquired/developed, etc.

| PLANNED OTHER CHANGES TO MTW HOUSING STOCK ANTICIPATED IN THE PLAN YEAR |
|---|
| HACSM does not anticipate any changes to the MTW Housing Stock during the FY2020 Plan Year. |

vi. General Description of All Planned Capital Expenditures During the Plan Year

Narrative general description of all planned capital expenditures of MTW funds during the Plan Year.

| GENERAL DESCRIPTION OF ALL PLANNED CAPITAL EXPENDITURES DURING THE PLAN YEAR |
|--|
| N/A |

B. LEASING INFORMATION

i. Planned Number of Households Served

Snapshot and unit month information on the number of households the MTW PHA plans to serve at the end of the Plan Year.

| PLANNED NUMBER OF HOUSEHOLDS SERVED THROUGH: | PLANNED NUMBER OF UNIT MONTHS OCCUPIED/LEASED* | PLANNED NUMBER OF HOUSEHOLDS TO BE SERVED** |
|--|--|---|
| MTW Public Housing Units Leased | 0 | 0 |
| MTW Housing Choice Vouchers (HCV) Utilized | 51,708 | 4,309 |
| Local, Non-Traditional: Tenant-Based^ | 420 | 35 |
| Local, Non-Traditional: Property-Based^ | 456 | 38 |
| Local, Non-Traditional: Homeownership^ | N/A | N/A |
| | 52,584 | 4,382 |

Planned Total Households Served

* "Planned Number of Unit Months Occupied/Leased" is the total number of months the MTW PHA plans to have leased/occupied in each category throughout the full Plan Year.

** "Planned Number of Households to be Served" is calculated by dividing the "Planned Number of Unit Months Occupied/Leased" by the number of months in the Plan Year.

^ In instances when a local, non-traditional program provides a certain subsidy level but does not specify a number of units/households to be served, the MTW PHA should estimate the number of households to be served.

| LOCAL, NON-TRADITIONAL CATEGORY | MTW ACTIVITY NAME/NUMBER | PLANNED NUMBER OF UNIT MONTHS OCCUPIED/LEASED* | PLANNED NUMBER OF HOUSEHOLDS TO BE SERVED* |
|---------------------------------|--|--|--|
| Tenant-Based | Provider Based Program MTW Activity #2011-27 CORA | 180 | 15 |
| | Provider Based Program MTW Activity #2011-27 Brilliant Corners | 240 | 20 |
| Property-Based | Provider Based Program MTW Activity #2011-27 Service League | 192 | 16 |
| | Provider Based Program MTW Activity #2011-27 HIP Housing | 264 | 22 |
| Homeownership | N/A | N/A | N/A |

* The sum of the figures provided should match the totals provided for each local, non-traditional category in the previous table. Figures should be given by individual activity. Multiple entries may be made for each category if applicable.

ii. **Discussion of Any Anticipated Issues/Possible Solutions Related to Leasing**

Discussions of any anticipated issues and solutions in the MTW housing programs listed.

| HOUSING PROGRAM | DESCRIPTION OF ANTICIPATED LEASING ISSUES AND POSSIBLE SOLUTIONS |
|----------------------------|---|
| MTW Public Housing | N/A |
| MTW Housing Choice Voucher | Anticipated leasing issues include an extremely expensive rental market coupled with a shortage of affordable housing units and landlord resistance to accepting vouchers. Possible solutions include HACSM having established a contract with a housing locator service to assist new applicants and participants to find and secure rental housing in San Mateo County. HACSM also implemented the Leasing Success Program, an MTW activity that allows HACSM to use HAP funds to financially incentivize landlords to join the program and to preserve existing relationships with HACSM. For example, the “no loss” bonus under the program allows HACSM to pay pro-rata contract rent between the date a Request for Tenancy Approval is received and the effective date of the HAP contract. This incentive provided a way to address the long-standing belief that landlords will lose money because of processing time. HACSM also established a Renting Success Workshop, free and available to all new voucher holders, to help prepare them for their housing search. HACSM has supported the San Mateo County Housing and |

| | |
|------------------------|--|
| | Community Development agency in the development of new affordable housing. |
| Local, Non-Traditional | The Local Non-Traditional partner organizations have also been challenged with the extremely expensive rental market and a shortage of available affordable housing units. To mitigate these challenges the partner organizations have been developing relationships with landlords to secure units on behalf of the clients they serve. |

WAITING LIST INFORMATION

i. Waiting List Information Anticipated

Snapshot information of waiting list data as anticipated at the beginning of the Plan Year. The “Description” column should detail the structure of the waiting list and the population(s) served.

| WAITING LIST NAME | DESCRIPTION | NUMBER OF HOUSEHOLDS ON WAITING LIST | WAITING LIST OPEN, PARTIALLY OPEN OR CLOSED | PLANS TO OPEN THE WAITING LIST DURING THE PLAN YEAR |
|---|---------------------------------|--------------------------------------|---|---|
| Federal MTW Housing Choice Voucher Program (Tenant-Based) | Community-Wide All Populations | 6,017 | Open | N/A |
| Federal MTW Housing Choice Voucher Program (Project-Based, 636 El Camino) | Site Based Mixed Family Complex | 77 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Alma Point) | Site Based Senior Complex | 541 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Coastside Senior Housing) | Site Based Senior Complex | 53 | Closed | Yes |
| Federal MTW Housing Choice Voucher Program (Project-Based, Colma Veterans Village – Non VASH units) | Site Based Mixed Family Complex | 28 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Delaware Place) | Site Based Mixed Family Complex | 1,672 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Delaware Pacific) | Site Based Mixed Family Complex | 252 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Edgewater Isle) | Site Based Senior Complex | 636 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Hillside Terrace) | Site Based Mixed Family Complex | 1,766 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Half Moon Village) | Site Based Senior Complex | 716 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Magnolia Plaza) | Site Based Senior Complex | 500 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Mosaic Garden) | Site Based Mixed Family Complex | 794 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Midway Village) | Site Based Mixed Family Complex | 296 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Newell) | Site Based Mixed Family Complex | 573 | Closed | No |

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| | | | | |
|---|---------------------------------|-------|--------|----|
| Federal MTW Housing Choice Voucher Program (Project-Based, Oceanview) | Site Based Senior Complex | 196 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Pacific Oaks) | Site Based Senior Complex | 240 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Redwood Oaks) | Site Based Mixed Family Complex | 1,121 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Rotary Terrace) | Site Based Senior Complex | 61 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Sequoia Belle Haven) | Site Based Senior Complex | 412 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, St. Matthew) | Site Based Mixed Family Complex | 1,097 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Sweeney Lane) | Site Based Mixed Family Complex | 4,017 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Serenity Senior Housing- University Ave) | Site Based Senior Complex | 425 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Willow Terrace) | Site Based Mixed Family Complex | 730 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, The Woodlands) | Site Based Mixed Family Complex | 915 | Closed | No |
| Federal MTW Housing Choice Voucher Program (Project-Based, Gateway Apartments) | Site Based Mixed Family Complex | 129 | Closed | No |
| Federal MTW Public Housing Units (Formerly Public Housing, now RAD PBV) | Site Based Mixed Family Complex | 246 | Closed | No |

Please describe any duplication of applicants across waiting lists:

Since Project-Based waitlist are site-based, duplication may occur if an applicant applied to more than one waitlist.

ii. Planned Changes to Waiting List in the Plan Year

Please describe any anticipated changes to the organizational structure or policies of the waiting list(s), including any opening or closing of a waiting list, during the Plan Year.

| WAITING LIST NAME | DESCRIPTION OF PLANNED CHANGES TO WAITING LIST |
|-------------------|--|
| N/A | N/A |
| N/A | N/A |

SECTION III

Proposed MTW Activities: HUD approval requested

HACSM is not proposing any new MTW activities in FY2021.

SECTION IV

Ongoing MTW Activities: HUD approval previously granted

Since 2000, HACSM has utilized the flexibilities of the MTW program to significantly reform its Housing Choice Voucher programs. The activities below list the activities that have been implemented and are currently in effect.

HACSM does not plan to change any of the current MTW authorizations from Attachment C and/or Attachment D for the activities previously implemented, nor does HACSM plan to use any outside evaluators.

| MTW Activity Number | MTW Activity Title |
|---------------------|---|
| 2000 – 1 | MTW Self-Sufficiency Program |
| 2009 – 2 | Housing Readiness Program (HRP) |
| 2000 – 3 | Eliminate 40% Affordability Cap at Initial Move-In/Lease Up |
| 2010 – 6 | Triennial Recertification Schedule for Elderly/Disabled Families |
| 2010 – 7 | Simplify Rent Calculation Process |
| 2010 – 8 | Simplify Third Party Verification Process |
| 2010 – 9 | Tiered Subsidy Tables (TST) |
| 2010 – 10 | Simplify HQS Process for HACSM-owned or Affiliated Properties |
| 2011 – 15 | Institute Biennial Inspection Schedule for Units Under Contract |
| 2011 – 16 | Expand the Section 8 Project-Based Voucher Program |
| 2011 – 17 | Revise Eligibility Standards |
| 2012 – 21 | Change Qualifications for Full-Time Student Status |
| 2012 – 22 | Include Foster Care, KinGap, and Adoption Assistance Payments in Annual Income Calculation |
| 2012 – 23 | Modify Head of Household (HOH) Changes Policy |
| 2012 – 24 | Change Automatic Termination of HAP Contract from 180 to 90 Days |
| 2012 – 26 | Commitment of MTW Funds for Leveraging in the Creation of Additional Affordable Housing in San Mateo County |
| 2011 – 27 | Provider Based Program |
| 2014 – 29 | Revise Child Care Expense Deduction |
| 2015 – 30 | Standard Proration for Ineligible Household Members |
| 2015 – 31 | Local Referral Process for Supportive Service Exception Units, in Project Based Voucher (PBV) Complexes |
| 2015 – 32 | Revised EIV Income Report Review Schedule |
| 2015 – 33 | Local PBV Inspection Process |
| 2015 – 35 | <i>Revised</i> Leasing Success Program |
| 2018 – 36 | Homeless Young Adults with Disability Program |

Implemented Activities

Activity #2000-1: MTW Self-Sufficiency Program

Approved by HUD: FYE2000

Implemented by HACSM: 5/1/2000

Description of the activity

The HACSM MTW Self-Sufficiency Program, first implemented in May 2000, was originally developed to respond to welfare reform and focused almost exclusively on improving families' economic self-sufficiency in preparation for the conclusion of their welfare assistance. Families were referred to HACSM by the San Mateo County's welfare agency. In FY2014, HACSM expanded the number of vouchers allocated to this 5-year time limited program from 300 up to 800 vouchers and revised the admission process to include all new program participants from the HACSM waiting list. Due to the success of the self-sufficiency program, in FY2019, HACSM removed the 800 household limit and continued to expand the program.

HACSM collaborates with county and non-profit service providers to prepare MTW households to be economically self-sufficient upon exiting the program. Although all work-able program participants are required to participate in self-sufficiency activities and non-compliance with the FSS contract can be cause for termination of housing assistance, HACSM will review all non-compliance situations carefully and grant exception where necessary.

HACSM implemented a local escrow calculation methodology. Instead of only recognizing increases in earned income, the calculation considers several activities that prepare participants to be job-ready and position them for higher paying positions. The maximum escrow credit is \$3,500 per family and the payout is at program exit.

When a family successfully graduates from the Self-Sufficiency Program and meets the goals of their individual training and service plan (ITSP), the calculation methodology for their escrow is as follows:

- *Employment:* In order to qualify, at program exit, the family must achieve either: 1. The lesser of \$1,500 or a 15% increase over the above stated Earned Income baseline if the baseline amount is more than \$2000, or 2. A \$10,000 increase over the above stated Earned Income baseline if the baseline amount is \$2000, or less. HACSM will calculate escrow based on a dollar for dollar match up to \$1,000. (\$1,000 maximum per family under this category)
- *Education/Vocational Degree Attainment:* \$500 for each completed education/vocational goal. (\$1,000 maximum per family under this category)
- *Personal Enrichment/Job Preparation:* \$25 for each workshop, skill improvement training completed. (\$250 maximum per family under this category)
- *Path to Citizenship:* \$250 for each goal completed per family member in this process. (\$500 maximum per family under this category)
- *Budgeting/Saving Series:*
 - Attend a HACSM-sponsored budgeting class. (\$25)
 - Prepare and submit to HACSM a personal budget for six, consecutive, months following the budgeting class. (\$100)
 - Establish (open) a new savings account within the first year of program entry or a secured credit card to re-establish credit. Once credit has been established, open a savings account. (\$25)
 - Establish a pattern of savings by: a. Increase savings balance over the savings baseline by at least \$1500, AND b. During the final 12 months of participation, make a minimum of

10 monthly deposits of at least \$25, AND c. Any monthly withdrawals may not cause the deposit amount to be less than \$25. (\$400)

Note: Retirement accounts will not be considered as savings accounts.

(\$500 maximum per family under this category)

- *Improve Credit Score:* \$1 for each credit score point improved over the Credit Score baseline. (\$250 maximum per family under this category)
- *Personal Participant Pay Point from Individual Training and Service Plan (ITSP).* Qualifying goals include: Transportation, child care, fulfilling student loan obligations, expunging criminal records, completion of the LENA reading program and resolving outstanding child support payments. \$250 for each Personal Participant goal completed. (\$500 maximum per family under this category)

Because escrows are only calculated and credited at the end of the FSS Contract term, interim withdrawals were eliminated.

Update on the activity

In CY2019, 180 new participants joined the MTW 5-year program and majority of them signed an FSS Contract of Participation. As of December 2019, there are approximately 681 households in the MTW Self-Sufficiency Program. Although elderly/disabled households are not required to commit to an FSS contract, all of the households were invited to participate in self-sufficiency activities, beginning with budgeting and savings classes as well as other fundamental activities to reach their yearly goals.

HACSM conducts meetings several times a year with each participant in the Self-Sufficiency program, to support their progress and assist them to maintain their momentum towards success. During each meeting, the HACSM self-sufficiency coordinators coach and mentor all adults in the household in a variety of areas including but not limited to the following: 1) Education, 2) Asset building, 3) Employment, 4) Credit repair and credit building, 5) Citizenship, 6) Parenting, and 7) Health Services.

Throughout the year, HACSM collaborated with the San Mateo County Library System in the “Book Rich Environment” and “Campaign for Third-Grade Level Reading” initiatives. In addition to the on-going encouragement to participate at the local libraries, the collaboration included three different events. Each event included free books and activities for the children and parents.

In October 2019, HACSM held its’ Seventh Annual Housing & Resource Expo for all self-sufficiency households. 58 different partner organizations were present to share their unique mission and vision of



success and to enroll families in their programs. Approximately 70 families attended the event.

While work-able families are required to join the HACSM Family Self Sufficiency Program, HACSM also exercises flexibility when reviewing compliance, and has considered circumstances that may prevent families from joining the program. In CY2019, 17 households successfully graduated the MTW Program and 26 households were exited for various other reasons and no family was terminated due to non-compliance.

In CY2019, 148 households requested Hardship waivers to extend their program participation. Following is a list of the types of program extension requests that were received and the outcomes:

- 41 requests were received from households where all members are either elderly and/or disabled and all requests were approved
- 5 requests were received from single adult households, with a disabled minor, and all requests were approved
- 78 requests were received due to the “tight rental markets” condition, and all were approved
- 24 requests were received due to the need to complete self-sufficiency activities and all were approved

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2009-2: Housing Readiness Program (HRP)

Approved by FYE2009
HUD:

Implemented by HACSM: 7/1/2008

Description of the activity

Through this MTW activity, combined with the partnership with San Mateo County’s Center on Homelessness, HACSM is able to serve homeless individuals and families who do not meet the eligibility criteria required by the Permanent Supportive Housing Program. Since 2018, admission to the Housing Readiness Program (HRP) program was streamlined via the County’s coordinated entry system (CES) to ensure equal access to this valuable resource. CES prioritizes individuals and families who had the greatest vulnerabilities and longest time in homelessness. To be assessed and referred, homeless individuals and families may be outreached by the San Mateo County Homeless Outreach Team or approach the homeless service providers themselves for assessment.

In FY2017, HACSM proposed and received HUD approval to increase the number of HRP vouchers from 100 to 150 and the length of rental assistance from 3 to 5 years. With this expansion, the first 18 months of case management assistance continues to be provided by the referring agency, or by Abode Services upon agreements between the referring agency and Abode Services, with the remaining 42 months provided by the HACSM self-sufficiency team. The HACSM self-sufficiency team coordinates with the referring agency regarding the participant’s individual goal plan.

Update on the activity

In CY2019, 4 households successfully graduated, and 11 households were exited for various other reasons, and 29 new families joined the program. As of December 2019, there are 132 households in the program. Due to the time-limited feature, as households reach the end of their term of participation and graduate from the program, HACSM is able to admit new eligible households to the program.

In CY2019, 38 households requested Hardship waivers to extend their program participation. Following is a list of the types of program extension requests that were received and the outcomes:

- 16 requests were received from households where all members are either elderly and/or disabled and all were approved.
- 1 request was received from a single adult household, with a disabled minor, and the request was approved.
- 19 requests were received due to the “tight rental markets” condition, and all were approved.
- 2 requests were received and approved needing additional time to complete FSS educational goals.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2000-3: Eliminate 40% Affordability Cap at Initial Move-In/Lease Up

Approved by FYE2000
HUD:

Implemented by HACSM: 5/1/2000

Description of the activity

The original MTW contract, executed in 2000, allowed HACSM to eliminate limits on the percentage of household income that could be spent on housing costs at initial move-ins. In the FY2009 MTW Annual Plan, HACSM received HUD approval to expand this initiative to the entire HCV program.

This MTW activity is designed to increase families’ choice to rent in cities throughout San Mateo County. Prior to this activity, many HCV applicants leasing up for the first time or participants who needed to relocate were limited to certain neighborhoods due to the 40% affordability cap at move-in. Since the implementation of this MTW Activity, households began renting throughout San Mateo County.

Although the affordability cap has been eliminated, HACSM continues to negotiate rents on behalf of the participant when needed, and has established guidelines to ensure the tenant portion of rent is affordable to the participant. Guidelines include, but are not limited to:

- Discussion of rent affordability with the participant before move-in
- Outreach to property owners to increase housing availability
- A calculation tool that shows the tenant portion of rent in relation to his/her income with the additional of excluded income sources that might mitigate the higher rent burden
- Require supervisor’s approval for cases where the tenant rent burden is over 50% of their monthly adjusted income.

Update on the activity

San Mateo County continues to remain one of the most expensive rental markets with the least amount of affordable housing in the nation. As such, voucher holders and existing participants face extreme difficulty in securing housing. HACSM has found this activity, removing the 40% cap, provided some relief to those engaged in searching for housing. HACSM continues to monitor its voucher utilization rate and rent burden for participants to ensure that vouchers are being utilized and participants are not facing an overly high rent burden for housing. HACSM will continue to monitor the subsidy amounts on the Tiered Subsidy Table (MTW Activity #2010-9) and adjust when necessary.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2010-6 (Revised): Triennial Recertification Schedule for Elderly/Disabled Families

Approved by FYE2010
HUD:

Implemented by HACSM: 7/1/2009

Description of the activity

Building upon the success of the original activity “Biennial Recertification Schedule for Elderly/Disabled Families,” in FY2014 HACSM expanded the regular recertification schedule for this group to once every three years.

Update on the activity

Conducting triennial recertification for elderly/disabled households has significantly reduced the administrative burden for HACSM as well as stress for elderly and/or disabled program participants. This activity has not significantly increased HAP costs due to stable income such as Social Security benefit most of these households received.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2010-7: Simplify Rent Calculation Process

Approved by FYE2010
HUD:

Implemented by HACSM: 7/1/2009

Description of the activity

In July 2009, HACSM implemented several MTW activities related to the rent calculation policies and procedures. It was HACSM’s goal that the new activities would simplify rent calculation, increase efficiency and accuracy, and could be easily explained to the participants. In July 2011, HACSM modified the activities as described below:

- Asset Calculations
 - HACSM established a minimum threshold of \$50,000 in assets before any interest will be included when determining the household’s annual adjusted income
 - If the household met, or exceeded the \$50,000 threshold, HACSM will include the *actual* interest earned in determining the household’s annual adjusted income

Update on the activity

In 2019, over 3,000 households have assets reported to HACSM, of which only 46 households had an asset balance greater than \$50,000. The modified method for calculating assets has significantly simplified the rent calculation process for HACSM without creating significant impact on HAP costs.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2010-8: Simplify Third Party Verification Process

Approved by FYE2010
HUD:

Implemented by HACSM: 7/1/2009

Description of the activity

In FY2010, HACSM received HUD approval to simplify the third-party verification process associated with earned income, asset income, and medical and child care expenses, in an effort to relieve administrative burdens, increase productivity, and simplify the eligibility process and compliance requirement for HCV applicants and participants.

The streamlining activities included the following:

- Increase asset values requiring third-party verification
Effective July 1, 2009, HACSM increased the threshold at which assets require third-party verification from \$5,000 to \$50,000. In place of third-party verification, the family is required to provide a current statement from the financial institution(s) showing the balance of the asset account(s).

In FY2018, HACSM received HUD approval to expand the ability to use tenant provided documentation for all assets, regardless of the asset value. The family will continue to be required to provide a current, original statement from the financial institution(s) showing the balance of the asset account(s) without the need for additional verification. In all instances, HACSM reserves the right to seek additional verification, if necessary.
- Streamline verification of eligible medical expenses
Effective July 1, 2009 HACSM instituted a policy in which eligible families who claim medical expenses are required to sign a self-certification and provide supporting documents from credible and established sources, such as receipts from medical care providers or pharmacy statements as proof of the claimed expenses.
- Streamline the verification process for eligible child care expenses
Effective July 1, 2009 HACSM instituted a streamlined verification process allowing families who claim child care expenses to sign a self-certification and provide supporting documents from credible sources, such as day care invoices, receipts or written statements from the child care provider as proof of child care expense. Expenses paid to a household member who provides child care or the absent parent will not be accepted as allowable child care expense.
- Extend the verification timeline to 180 days
Effective July 1, 2009, HACSM implemented a revised timeline for verification documentation to 120 days for HCV applicants and participants. In FY2016, HACSM proposed and received HUD approval to extend the verification timeline to 180 days. This new timeline reduces duplication of work and accelerates an applicant's admission to the program and a participant's recertification for continuing program eligibility.

HACSM continues to use the Enterprise Income Verification (EIV) system for verification of participant identity, wage and assistance benefits.

Update on the activity

HACSM has continued to monitor the effectiveness of this activity. To date, all households who claimed child care or medical expense have provided verifiable documentation of their expenses for HACSM accurately calculate the tenant rent. In 2019, there were 144 households received child care allowance and 1,154 households received medical expense allowance.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2010-9: Tiered Subsidy Tables (TST)

Approved by FYE2010
HUD:

Implemented by HACSM: 3/1//2010

Description of the activity

The TST gives HACSM the ability to inform the participant of the maximum dollar amount that HACSM will contribute to their housing costs at the time of voucher issuance. This is a positive change from the HCV rules where the subsidy amount is not known until after a unit is secured, and the contract rent and utility responsibilities are negotiated with the landlord/owner. The TST gives participants the ability to search for units with the knowledge of exactly how much HACSM will contribute to their housing costs. This knowledge enables the participant to make personal decisions as to how much of their income they want to contribute towards their housing costs, and incentivizes the participant to negotiate rent with the owner through the leasing process.

As part of the on-going monitoring of the TST activity, in FY16, HACSM proposed and received HUD approval to increase the actual minimum rent from \$50 to \$100. And, in September 2016, HACSM completed its' software update and implemented the \$100 minimum rent. As of December 31, 2016, only one hardship request had been received and approved due to this activity.

Update on the activity

The TST has continued to be an effective tool for participants to find and secure rental units in San Mateo County. Due to the extremely challenging market conditions, the upfront subsidy amount provided by TST has been an effective tool in eliminating some of the challenges faced by the participants. The TST has been an effective tool to project HAP costs for budgeting proposes, providing critical information for. HACSM to monitor the subsidy amount and adjust the table when necessary.

In 2019, due to the unique nature of the PBV HAP contracts, HACSM reverted calculation of HAP and tenant rent back to the traditional Section 8 PBV calculation, i.e. tenant rents, including tenant-paid utilities, are capped at 30% of the household's monthly adjusted income.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2010-10: Simplify HQS Process for HACSM-owned or Affiliated Properties

Approved by FYE2010
HUD:

Implemented by HACSM: 7/1/2009

Description of the activity

This activity allows HACSM to inspect HACSM-owned or affiliated properties to determine HQS compliance. This activity also eliminates the requirement that inspection reports for HACSM-owned or affiliated properties must be submitted to the HUD Field Office. In order to ensure impartiality, staff that work at or oversee the property will not be assigned these inspections. Instead, the inspections are conducted by one of the following: 1) The HACSM Leasing Team, HQS certified inspectors, 2) A Section

8, HQS certified specialist, or 3) An agency that is contracted by HACSM to conduct HQS inspections. In addition to the above, all current properties within this activity also have low-income tax credits from the State of California, which also require annual property inspections from an independent source.

HACSM maintains an electronic record that can be printed, as needed, or requested by the local HUD Field Office. At the time of initial implementation, the local HUD Field office supported this practice as a good method for records retention and ready access as needed.

Update on the activity

This activity has continued to be effective in supporting the HACSM goal of increased administrative efficiency. In 2019 HACSM conducted 104 HQS inspections at HACSM-owned or affiliated properties.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2011-15: Institute Biennial Inspection Schedule for Units Under Contract

Approved by FYE2011
HUD:

Implemented by HACSM: 7/1/2010

Description of the activity

All HCV units are inspected on a biennial schedule. HACSM continues to conduct any complaint inspections. The units must at all times meet Housing Quality Standards while under HAP contract.

Update on the activity

The biennial inspection schedule has continued to support the HACSM goal of greater administrative efficiency. It has also provided HACSM staff the time savings to redirect toward assisting participants to secure housing, facilitating the lease up process between the participants and landlords, and conducting owner outreach. In CY2019, 1,260 annual inspections were conducted.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2011-16: Expand the Section 8 Project-Based Voucher Program

Approved by FYE2011
HUD:

Implemented by HACSM: 5/23/2011

Description of the activity

With activity #2011-16, HACSM received HUD approval to project-base up to 30% of its budget authority. Through its FY2016 MTW Plan, HACSM received approval to increase its voucher budget authority from 30% to 35%. Through the approval of its FY2019 MTW Plan, the budget authority was again increased to 40%. Expansion of the PBV program is one of the major resources for the development of additional affordable housing units.

In selecting Project-Based projects, HACSM focus on properties that are newly constructed, located near public transportation corridors, and contain energy efficient features. This activity provides an avenue to increase housing choice for families by increasing the supply of decent, safe, and sanitary affordable housing.

In FY2014, HACSM adopted policies to implement the original activity proposal that requires participating families to stay at least 24 months in a PBV unit before they are eligible to move with continued assistance; and that any continued assistance would be a part of the five-year time-limited MTW program. The HACSM's hardship policy also applies to PBV participants who transferred to the MTW program.

Update on the activity

As of December 2019, HACSM has utilized 36.55% of its budget authority to project-basing. In the Bay Area housing market, this is an important strategy to ensure long-term affordability of rental housing units. Expanding the HACSM PBV portfolio has enabled HACSM to increase its utilization rate. As of December 2019, HACSM was able to reach a 96% lease-up rate for its voucher program. In December 2019, HACSM issued an RFP for up to 250 PBV units. 194 PBVs among 4 projects were committed as a result of this RFP.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2011-17: Revise Eligibility Standards

Approved by FYE2011
HUD:

Implemented by HACSM: 7/1/2010

Description of the activity

HACSM implemented an asset limit for all new applicants and participants. The HACSM policy includes the following criteria: 1) If an applicant has assets exceeding \$100,000, or a present ownership interest in a suitable home in which they have a legal right to reside, they are determined to be ineligible for the program, 2) If a participant experiences an increase in assets, such that their assets are currently valued at more than \$100,000, or has (since their last reexamination) gained ownership interest in real property in which the participant has a legal right to reside, the participant would be determined ineligible for continued assistance. This determination is made through the recertification process, annually or triennially, based on the household's regular recertification schedule.

Update on the activity

In CY2019, only two households were denied eligibility due to exceeding the asset limit or for owning property in which they have the legal right to reside. This activity continues to provide HACSM with an efficient tool to reach the neediest households in our community.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2012-21: Change Qualifications for Full-Time Student Status

Approved by FYE2012
HUD:

Implemented by HACSM: 7/1/2011

Description of the activity

In order for a family member, other than the head, co-head, or spouse to qualify for the Full Time Student (FTS) status, dependent deduction and income exclusion, the family member must be less than 24 years old, a FTS at an accredited institution, and must provide a transcript of the full-time student status at all

subsequent recertification appointments.

Update on the activity

HACSM continues to encourage and support families who pursue their education goals. Currently, 220 adult family members are given the full-time student status and 12 adult family members who are full-time students but are not given the full-time student status because of this activity.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2012-22: Include Foster Care, KinGap, and Adoption Assistance Payments in Annual Income Calculation

Approved by FYE2012
HUD:

Implemented by HACSM: 7/1/2011

Description of the activity

HACSM includes foster care, Kin Gap, and adoption assistance payments in the determination of annual adjusted income. To help offset this inclusion of this income, HACSM provides a dependent allowance for foster children, disabled foster adults, and adopted children.

Update on the activity

Despite the inclusion of foster care, Kin GAP, and adoption assistance payments in determining household income, there is no evidence that this activity affects the number of participants who are willing to be foster parents.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2012-23: Modify Head of Household (HOH) Changes Policy

Approved by FYE2012
HUD:

Implemented by HACSM: 7/1/2011

Description of the activity

In order to encourage families to work towards self-sufficiency and for HACSM to reach more eligible applicants on the HCV waitlist, HACSM implemented the following policies regarding head of household (HOH) change requests. The HACSM policies include the following:

- The individual becoming the new HOH must be in the household for at least the previous 12 consecutive months, **and**
- At the time of the HOH change, the household would join the time-limited MTW Self-Sufficiency program (MTW On-going Activity #1). If the household is already enrolled in the time-limited MTW Self-Sufficiency program, the remaining household members would only be eligible for the remaining term, not an additional term.

Update on the activity

The number of head of household change requests has remained generally constant. In CY2019, 24 families in total submitted requests to change the head of household. Out of 24 households, 5 were transferred to

the MTW Self Sufficiency program.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2012-24: Change Automatic Termination of HAP Contact from 180 to 90 Days

Approved by HUD: FYE2012

Implemented by HACSM: 7/1/2011

Description of the activity

HACSM reduced the number of days that a participant can remain on the program, while paying 100% of their rent, from 180 to 90 consecutive days.

Update on the activity

HACSM continues to monitor this activity and zero HAP households. Due to high cost of housing, very few program participants reach “zero” HAP status. In CY2019, 7 households exited the program because they reached “zero” HAP status.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2012-26: Commitment of MTW Funds for Leveraging in the Creation of Additional Affordable Housing in San Mateo County

Approved by HUD:
FYE2012

Implemented by HACSM: 10/26/2011

Description of the activity

HACSM originally committed up to \$4,000,000 of MTW funds for the development of additional affordable (low income, very low income and extremely low income) housing in San Mateo County. In the HACSM FY2013 Annual Plan, HACSM received HUD approval to increase this commitment up to \$8,000,000 and in FY2016 HACSM received HUD approval to increase the commitment up to \$10,000,000 of MTW funds. Due to the success of this activity, in FY2020, HACSM received HUD approval to increase the total amount of unspent HAP funds, or MTW funds, to \$25,000,000.

The re-programmed funds are to be used to leverage additional investment funds that will be substantially larger than HACSM commitments. Development activities may include site acquisition, substantial rehabilitation of existing stock, and development of new units.

Update on the activity

This activity has continued to be essential to the development of new construction affordable housing units in San Mateo County. To date the funded projects have included the creation of new affordable rental housing for families, seniors, supportive housing for individuals with serious mental illness, agricultural workforce housing-related initiatives and veterans.

Since implementation of this MTW activity in FY2011, HACSM has awarded 9 projects, \$17 million dollars, that has resulted in 537 affordable new construction units.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2011-27: Provider Based Program

Approved by FYE2012
HUD:

Implemented by HACSM: 11/15/2011

Description of the activity

HACSM implemented a provider-based assistance program, a “local non-traditional” program, outside the scope of the traditional Section 8 voucher program in FY12. The Provider-Based program was designed with the intention to reach populations in San Mateo County who were under-served or not served by the voucher program or other special-funded programs.

Through an RFP process, HACSM originally established contracts with three program partners who work with, the following underserved populations: 1) Survivors of domestic violence, 2) Recently released, non-violent parolees, and 3) Single parent households with minor children. In 2017, a fourth contract was executed to support disabled persons and frail elderly who were at risk of homelessness, and or in danger of being placed in a skilled nursing facility, a housing choice that is far beyond their medical need.

The main focus of the program is to support housing needs of these target populations and reduce the overall County cost. In some cases the housing assistance follows the “Transitional Housing” model with housing provided for a short period of time, up to 18 months. In other cases, the housing assistance is provided for a maximum of 36 months or up to the term of the Provider’s contract.

Update on the activity

In CY2019, the total funding that HACSM expended for this activity was \$736,000 on behalf of approximately 70 households served through the program.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2014-29: Revise Child Care Expense Deduction

Approved by FYE2014
HUD:

Implemented by HACSM: 7/1/2013

Description of the activity

In conjunction with HUD regulations, HACSM defines child care expenses as amounts anticipated to be paid by the family for the care of children 12 years of age and under during the period for which annual income is computed, but only where such care is necessary to enable a family member to work, seek work, or go to school (furthering education) and only to the extent such amounts are not reimbursed.

The amount deducted shall reflect reasonable charges for child care. When a family member looks for work or furthers his or her education, there is no cap on the amount that may be deducted for child care – although the care costs must still be necessary and reasonable. However, when child care enables a family member to work, the deduction is capped by the amount of employment income that is included in annual income.

HACSM defines allowable child care deductions as follows:

1. The care must be provided for one or more qualifying persons. A qualifying person is a person who is a dependent child, age 12 and under, of a family member who is the parent or legal guardian of the child.
2. The care must be provided to enable the parent or guardian to work, seek work, or attend school full time.
3. The payments for care cannot be paid to the non-custodian parent(s) of the qualifying child.
4. The maximum allowable child care deduction is the lesser of the actual expense or 50% of the gross earnings or net earnings from self-employment of the parent or guardian.
5. If both parents are in the subsidized household, the 50% gross earnings cap will be based on the lower of the two earnings from the parents. One parent may be considered as having earnings if the parent is a full-time student or a person with disabilities that inhibits the parent to care for the child. In this case, the earnings will be based on the working parent.
6. The maximum allowable child care deduction for a parent or guardian who has no earnings but attends school full time will be the lesser of the actual expense paid or \$5000 per year per qualifying child.
7. The maximum allowable child care deduction for a parent or guardian who is “seeking employment” will be the lesser of \$5,000 or the actual expense paid for the year, per qualifying child, for a maximum of 12 consecutive months from the effective date of the approved child care deduction under the “seeking employment” category.

Note: For a household to claim eligible child care expense deductions, the deduction must relate to the income of the child’s parent or legal guardian. For example, in instances where one parent is a household member with other (non-parental) adults and the parent is claiming child care deduction because he/she is a full time student, the child care expense may only be deducted against the parent’s income, not to the total income of the household.

Update on the activity

HACSM has found that, since implementation, this activity has saved some staff time in calculating child care expense and incurred small savings in HAP costs. In CY2019, 141 households received child care expense deduction with the average deduction of \$5,593 per household.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2015-30: Standard Proration for Ineligible Household Members

Approved by FYE2014
HUD:

Implemented by HACSM: 7/1/2013

Description of the activity

When a household includes eligible and ineligible members, defined as individuals who do not have eligible immigration status, the household is considered a “mixed family.” In such cases, current HUD regulations require that the PHA prorate the HAP portion of the household’s subsidy based on the number of eligible to in-eligible household members. This current practice is challenging to calculate correctly, is very hard for most mixed families to understand, and at times can be a significant barrier to the family’s ability to find a rental unit.

HACSM has implemented a standard pro-ration of \$150 per ineligible household member that will be subtracted from the total monthly HACSM HAP subsidy for the household.

Update on the activity

Implementation of this activity has simplified the “mixed family” calculation process. Because the proration is a fixed amount, it helped families know their portion of rent upfront during housing search. The simplification also reduced the staff time to explain to households how the proration was done.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2015-31: Local Referral Process for Supportive Service Exception Units, in Project Based Voucher (PBV) Complexes

Approved by FYE2014
HUD:

Implemented by HACSM: 7/1/2013

Description of the activity

Current PBV regulations require the PHA provide applicants to an owner of PBV units from the PHA wait list. In general, this system is efficient and with on-going oversight and communication with PBV owners, HACSM has been able to provide a sufficient number of applicants for an owner to fill vacancies in a timely manner. The one area where this has been problematic has been in supportive service exception units, particularly the larger size exception units. Balancing the overall number of households on the waitlist while at the same time maintaining a sufficient number of households that can most benefit from the services provided for the exception units have proven to be quite challenging and time consuming. In some instances, it requires the opening and closing of the waitlist in order to expand the pool of applicants. This process is also confusing for the applicant households and at times causes delays in the lease up process.

HACSM has implemented a local referral process for supportive service exception units. Upon notice from an owner that an exception unit has been vacated, HACSM provides applicants to the owner from its waitlist. If HACSM is unable to provide a list of applicants to the project owner within 15 business days, or upon owner screening, if it is determined that none of the applicants provided by the PHA wait list meet the owner’s selection criteria or the applicants subsequently do not meet HACSM eligibility requirements, HACSM will accept direct referrals from the owner for eligibility determination for that exception unit. As always, the owner will be required to notify HACSM, in writing, of any rejected applicant and the grounds for the rejection.

Update on the activity:

Since receiving approval for this activity HACSM has continued to outreach with PBV owners and conducted on-going staff training in preparation for the initial implementation of this activity.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2015-32: Revised EIV Income Report Review Schedule

Approved by HUD: FYE2015

Implemented by HACSM: 9/2015

Description of the activity

Effective January 31, 2010, HUD implemented new regulations mandating the use of EIV as a third-party source to verify tenant employment and income information during mandatory certifications. Prior to the

issuance of the HUD notice advising agencies of the revision, utilizing the EIV income report for interim certifications was not required by HUD, only during annual reexaminations. The reinterpreted regulations concerning the use of EIV changed the requirement such that review of the EIV income report is now a required component of all certification processes, including interim reexaminations.

The requirement to now use the EIV income report for both annual and interim reexaminations translates to additional staff time expended when processing interim reexaminations, which also renders an increase in costs, linked to the staff time for accessing and reviewing the EIV income report. In an effort to reduce cost and administrative burden, HACSM modified the EIV review schedule by only generating the EIV income report during annual or triennial reexaminations.

HACSM's current interim policy allows for certain actions to be processed without having to meet with the family in person. For example, if a family reports a decrease in income, not associated with a family composition change, HACSM requires the family to submit the necessary documents to reflect the change. Based on the family's documentation, HACSM recalculates the tenant and HAP portions accordingly. The necessity to access and review the EIV income report only adds to what is supposed to be a more efficient process for HACSM staff and does not necessarily assist in determining unreported income at this specific point in time due to the fact that the earned income information contained in EIV at the time of the interim reexamination is not up-to-date (the earnings information included on the EIV income report is generally delayed by two quarters). Instead, HACSM staff has found that unreported income and patterns of undisclosed income are most likely to be identified during the regular reexamination process.

HACSM also regularly reviews and monitors the many reports contained in the EIV system (Deceased Tenants, Multiple Subsidy, and Identity Verification reports) to assure compliance with Federal requirements.

Update on the activity

This activity continues to support the goal of administrative streamlining and cost savings. HACSM staff continue to collect and use verifiable tenant provided documentation for required interim recertifications.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2015-33: Local PBV Inspection Process

Approved by HUD: FYE2015

Implemented by HACSM: 9/2/2014

Description of the activity

Current HUD regulation allows PHAs to inspect a random 20% sample of PBV contract units in a building annually. If 20% of the inspected units fail HQS, PHAs then are required to inspect 100% of the units. Building on the success of other HQS-related MTW activities, its close working relationship with PBV unit owners, and the quality of its PBV units, HACSM has implemented a Local PBV Inspection Process to ensure PBV-owner's compliance with HQS for all units under contract.

Although HACSM follows a biennial inspection schedule for its PBV units, HACSM may choose to inspect 20% of its PBV units in a building annually. If the inspected unit failed HQS and the deficiencies are not corrected within 30 days upon notification to the project owner or the HACSM-approved extension period, HACSM will abate HAP for the unit. If the deficiencies are not corrected within 90 days after the abatement notice, HACSM will remove the unit from the PBV contract. No retroactive HAP is made during the abatement period.

Update on the activity

Since receiving approval for this activity in September 2014, HACSM has continued to conduct biennial HQS inspections in all subsidized units. HACSM will continue to develop an implementation plan that will include outreach to PBV owners and staff training as essential components for the activity's success.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2015-35: Revised Leasing Success Program

Approved by HUD: FY2015

Implementation Date: 7/1/2015

Description of the Activity

According to the National Low-Income Housing Coalition's 2014 publication, "Out of Reach," San Mateo County is one of the nation's most expensive jurisdictions in which to live. There simply is a very limited amount of rental housing, let alone affordable rental housing. With this activity, HACSM is using its Moving to Work Authority in order to implement additional programs and activities that will lead to increased participation in the MTW program and the utilization of this highly valued housing assistance.

HACSM has implemented all of the following activities: 1) Contracting with organizations that have expertise in the rental market, that will assist program applicants and participants with "housing locator services," 2) Contracting with organizations that have substantial experience in shared housing to encourage HCV participation, 3) Creating a landlord incentive program, and 4) Creating a security deposit assistance program. For additional information, see the full description in the HACSM FY2015 Annual Plan.

In late 2015 HACSM contracted with Abode Services, to assist with Housing Locator Services. Implementation of the program began February 1, 2016. Abode Services brought expertise in property management and in assisting low income families find and secure affordable housing in the San Francisco Bay area housing market. From February 2016 – October 2017, HACSM referred 316 households to Abode Services with an approximately 60% move-in success rate.

From 2015 – 2017 HACSM experienced a significant and on-going decrease in its monthly utilization, causing HACSM to be non-compliant in serving substantially the same number of households in both FY2016 and FY2017. Due to these persistent market challenges, the Leasing Success Program provided one of the biggest supports to the low-income households, however, it has also been more expensive than HACMS originally projected. Through the above efforts along with other MTW activities, as of October 2017, HACSM finally reached a 95% voucher utilization rate and is now compliant in serving essentially the same percentage of households as before it entered into its' MTW contract with HUD.

All aspects of this activity have been essential to supporting new and relocating voucher holders to find and secure rental units in the SMC rental market.

In 2017, HACSM proposed and will continue to use its' MTW Authority, including its' block grant fungibility, in order to support the costs for this on-going MTW activity.

Update on the Activity

This MTW Activity continues to assist low income households in securing housing in San Mateo County. In CY2019, 70 new owners joined the program and 23 owners continued to rent to new Section 8 households upon unit turnover.

In 2019, 46 households participated in the rental success workshops during the year.

HACSM is not proposing any non-significant changes or modifications to this activity, and as such is also not proposing any changes to the baselines, metrics, benchmarks, or authorizations.

Activity #2018-36: Homeless Young Adults with Disability Program

Approved by HUD: FY2019

Implementation Date: 7/1/2018

Description of the Activity

In collaborative partnership with the Mental Health Association (MHA), HACSM is providing housing subsidy assistance for up to 20 Support and Advocacy for Young Adults in Transition (SAYAT)-eligible young adults to move from literal homelessness to stable housing and ultimately self-sufficiency.

Through this partnership, HACSM provides housing subsidy assistance to MHA directly referred SAYAT-eligible young adults who are eligible for the voucher program. The youth must be between the ages of 18-25, literally homeless, have an identified disability, and will benefit from the services provided by MHA. The eligible youth, referred to the program, would be the Head of Household and the household may ultimately include additional household members, such as dependent minors, or other adults.

Once referred by MHA, the youth meet with the HACSM case workers to conduct their program eligibility determination, based on HACSM's MTW program design and issued an MTW five-year, time-limited voucher. The SAYAT households are considered part of the HACSM MTW program and subject to all of the rules of the program, including how their subsidy amount is determined. As such, the youth will pay a portion of the contract rent directly to the landlord, based on their income and the HACSM TST activity (See Activity # 2010-9). HACSM administers the housing subsidy assistance.

Upon move in, the youth are invited to join the Self-Sufficiency Program, sign a Contract of Participation, establish goals and are eligible to receive the financial escrow bonus upon successful graduation from the program. During the five-year term of their participation, these youths also receive intensive case management and supportive services from the Mental Health Association on topics ranging from housing location, vocational training, education, employment, health services, and increased independence. MHA also provides support and appropriate interventions on an as-needed basis, as they have through their collaboration with HACSM via the Housing Readiness Program (MTW Activity 2009-2). A successful graduation would mean that the youth no longer requires government assistance (an FSS program goal), has reached a zero HAP status, or their voucher has timed out and they are not returning to homelessness.

As in the case with the other MTW activities, HACSM has an existing hardship policy. The same hardship policy which can be found in Appendix Four will be offered to SAYAT participants. Additionally, MHA has a history of working with SAYAT youth, to find and secure affordable housing options outside of the voucher program, thus mitigating a potential return to homelessness for the referred individuals.

Update on the Activity

As of December 31, 2019, there are 13 households enrolled in the SAYAT program and 4 participating in the FSS program. HACSM looks forward to providing more information on the progress of the program at the end of CY20 regarding the household's success and progress since enrollment.

In CY2019, 1 household successfully graduated the SAYAT Program and 1 household was exited for other reasons.

In CY2019, 6 households requested Hardship waivers to extend their program participation. Following is a list of the types of program extension requests that were received and the outcomes:

- 4 requests were received from households where all members are either elderly and/or disabled and all were approved.
- 2 requests were received due to the “tight rental markets” condition, and both were approved.

Not Yet Implemented Activities

HACSM does not have any MTW Activities that were approved by HUD, but not yet implemented.



Activities on Hold

HACSM does not have any HUD-approved MTW activities that were never implemented.



Closed Out Activities

| MTW Activity Number | MTW Activity Title | FY Activity Closed |
|---------------------|--|--------------------|
| 2000 – 4 | Escrow Accounts | 2014 |
| 2009 – 5 | Expand Usage of PBV at HACSM Developments Undergoing Disposition | 2018 |
| 2010 – 11 | Eliminate Competitive Process for Allocation of PBV to Former Public Housing | 2018 |
| 2010 – 12 | Waive 12 Month Stay Requirement for Residents in Formerly Public Housing Units Converted to PBV | 2018 |
| 2010 – 13 | Accept Lower HAP by Modifying PBV Rules for In-place Residents at former Public Housing Developments | 2018 |
| 2010 – 14 | Establish Flat or Market Rate Policy for Over-income Public Housing Residents at Conversion of Public Housing Units to Project-Based Units | 2018 |
| 2011 – 18 | Eliminate 100% Excluded Income from the Income Calculation Process | 2015 |
| 2011 – 19 | Eliminate the Requirement to Complete New HAP Contract with Utility Responsibility Changes | 2017 |
| 2011 – 20 | Apply Current Payment Standards at Interim Re-examination | 2013 |
| 2012 – 25 | Exclude Asset Income from Calculation for Households with Assets Under \$50,000 | 2017 |

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| | | |
|-----------|---|------|
| 2013 – 28 | Apply MTW Flexibilities to Public Housing | 2018 |
| 2015 – 34 | Local Collections Process | 2017 |

Activity #2000-4: Escrow Accounts

Approved by HUD: FY2010

Implemented by HACSM: 7/1/2009
Closed by HACSM: 7/1/2014

Rationale for Closing out the Activity

In FY15, HACSM combined this activity with Activity #2000-1: MTW Five-Year Self-Sufficiency Program as the two activities are integrally linked.

Activity #2009-5: Expand Usage of PBV at HACSM Developments Undergoing Disposition

Approved by HUD: FYE2010

Implemented by HACSM: 7/1/2009
Closed by HACSM: 6/30/2018

Rationale for Closing out the Activity

As of November 2018, HACSM converted all 30 units at El Camino Village, formerly a public housing property, to RAD PBV. With this conversion, HACSM no longer has any Public Housing in its portfolio, thus is closing this activity as of June 30, 2018.

Formerly, the dispo application for Midway Village was approved by HUD in January 2011 and vouchers were issued to all eligible households, 149 vouchers in total, in May 2011. All 150 units at Midway Village are now under a Project-Based HAP contract.

HACSM does not own or operate any additional properties.

Activity #2010-11: Eliminate Competitive Process for Allocation of PBV to Former Public Housing

Approved by HUD: FYE2010

Implemented by HACSM: 1/27/2011
Closed by HACSM: 6/30/2018

Rationale for Closing out the Activity

Since FY14, when HACSM received HUD approval to expand the scope of this activity to include other housing units owned by HACSM or HACSM affiliates such as the redeveloped Half Moon Village, HACSM has now in FY18 completed the conversion of all formerly public housing properties to PBV. At this time, HACSM does not own or operate any additional properties and thus is closing this activity.

Activity #2010-12: Waive 12 Month Stay Requirement for Residents in Formerly Public Housing Units Converted to PBV

Approved by HUD: FYE2010

Implemented by HACSM: 5/1/2011
Closed by HACSM: 6/30/2018

Rationale for Closing out the Activity

As of November 2018, HACSM converted all 30 units at El Camino Village, formerly a public housing property, to RAD PBV. With this conversion, HACSM no longer has any Public Housing in its portfolio, thus is closing this activity as of June 30, 2018.

Formerly, the dispo application for Midway Village was approved by HUD in January 2011 and vouchers were issued to all eligible households, 149 vouchers in total, in May 2011. All 150 units at Midway Village are now under a Project-Based HAP contract.’

HACSM does not own or operate any additional properties.

Activity #2010-13: Accept Lower HAP by Modifying PBV Rules for In-place Residents at former Public Housing Developments

Approved by HUD: FYE2010

Implemented by HACSM: 5/1/2011
Closed by HACSM: 6/30/2018

Rationale for Closing out the Activity

As of November 2018, HACSM converted all 30 units at El Camino Village, formerly a public housing property, to RAD PBV. With this conversion, HACSM no longer has any Public Housing in its portfolio, thus is closing this activity as of June 30, 2018.

Formerly, the dispo application for Midway Village was approved by HUD in January 2011 and vouchers were issued to all eligible households, 149 vouchers in total, in May 2011. All 150 units at Midway Village are now under a Project-Based HAP contract.’

HACSM does not own or operate any additional properties.

Activity #2010.14: Establish Flat or Market Rate Policy for Over-income Public Housing Residents at Conversion of Public Housing Units to Project-Based Units

Approved by HUD: FYE2010

Implemented by HACSM: 5/1/2011
Closed by HACSM: 6/30/2018

Rationale for Closing out the Activity

As of November 2018, HACSM converted all 30 units at El Camino Village, formerly a public housing property, to RAD PBV. With this conversion, HACSM no longer has any Public Housing in its portfolio, thus is closing this activity as of June 30, 2018.

Formerly, the dispo application for Midway Village was approved by HUD in January 2011 and vouchers were issued to all eligible households, 149 vouchers in total, in May 2011. All 150 units at Midway Village are now under a Project-Based HAP contract.’

HACSM does not own or operate any additional properties.

Activity #2011-18: Eliminate 100% Excluded Income from the Income Calculation Process

Approved by HUD: FYE2011

Implemented by HACSM: 7/1/2010

Closed by HACSM: 7/1/2015

Rationale for Closing out the Activity

Effective July 1, 2010, HACSM no longer verifies, counts, or reports income that HUD specifies as 100% excluded from the income calculation process. Examples of 100% excluded income are food stamps, income from minors, and foster care payments. Because this income is excluded from the income calculation process, it does not affect the amount of a family's rental assistance.

With the publication of PIH Notice 2013-4, issued January 28, 2013, the verification and calculation of 100% excluded income is no longer required. Because of this, HACSM has closed out this activity, effective July 1, 2015.

Activity #2011-19: Eliminate the Requirement to Complete New HAP Contract with Utility Responsibility Changes

Approved by HUD: FYE2011

Implemented by HACSM: 7/1/2010

Closed by HACSM: 7/1/2017

Rationale for Closing out the Activity

Due to the fact that this activity only applied to participants who had a HAP contract in place prior to July 1, 2010 and who didn't relocate, this activity has seen minimal to no activity in the past three fiscal years. Additionally, with the implementation of the TST, participants are responsible for their potential utilities and are encouraged to seek and secure units that are energy efficient and/or instances where the landlord pays for the utilities. With the TST activity, there are no utility allowances included in the tenants rent portion, therefore HACSM has ceased tracking the utility responsibilities and are proposing to close this activity.

Activity #2011-20: Apply Current Payment Standards at Interim Re-examination

Approved by HUD: 7/1/2010

Implemented by HACSM: 7/1/2010

Closed by HACSM: 7/1/2013

Rationale for Closing out the Activity

HACSM has closed out this activity, as over 90% of program participants are now on the TST rendering the activity essentially obsolete.

Activity #2012-25: Exclude Asset Income from Calculations for Households with Assets Under \$50,000

Approved by HUD: FYE2012

Implemented by HACSM: 7/1/2011

Closed by HACSM: 7/1/2017

Rationale for Closing out the Activity

HACSM will close out this activity, effective 7/1/2017, due to it being combined and linked closely with Activity #2010-7: Simplify Rent Calculation Process.

Activity #2013-28: Apply MTW Flexibilities to Public Housing

Approved by HUD: FYE2013

Implemented by HACSM: 7/1/2012
Closed by HACSM: 6/30/2018

Rationale for Closing out the Activity

As of November 2018, HACSM converted all 30 units at El Camino Village, formerly a public housing property, to RAD PBV. With this conversion, HACSM no longer has any Public Housing in its portfolio, thus is closing this activity as of June 30, 2018.

Activity #2015-34: Local Collections Process

Approved by FYE2015
HUD:

Implemented by HACSM: 9/2/2014
Closed by HACSM: 7/1/2017

Rationale for closing out the activity

In May 2017, HACSM received a HUD Quality Assurance Division MTW RNP/Cash Validation review. As a result of this review, HUD auditors determined that HACSM did not have the authority to implement the Fraud Recovery activity because the regulations governing this activity are not covered by the MTW agreement. Even though the MTW Office reviewed and approved the activity in the FY2015 Plan, upon further review, the MTW Office notified HACSM that their previous approval was revoked, and their recommendation was that HACSM close this activity.

HACSM has taken the MTW Office's recommendation and with the submission of this MTW Annual Plan, has closed the activity.

SECTION V

Sources and Uses of Funds

Note: This Section provides information from FY2019, which will be updated prior to HUD submission in April 2020.

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| (I) SOURCES AND USES OF MTW FUNDS |
| <u>ANNUAL MTW PLAN</u> |

A. ESTIMATED SOURCES AND USES OF MTW FUNDS

i. Estimated Sources of MTW Funds

| FDS LINE ITEM NUMBER | FDS LINE ITEM NAME | DOLLAR AMOUNT |
|---------------------------------------|--|---------------------|
| 70500 (70300+70400) | Total Tenant Revenue | \$0 |
| 70600 | HUD PHA Operating Grants | \$89,450,000 |
| 70610 | Capital Grants | \$0 |
| 70700 (70710+70720+70730+70740+70750) | Total Fee Revenue | \$0 |
| 71100+72000 | Interest Income | \$22,892 |
| 71600 | Gain or Loss on Sale of Capital Assets | \$0 |
| 71200+71300+71310+71400+71500 | Other Income | \$86,100 |
| 70000 | Total Revenue | \$89,558,992 |

ii. Estimated Uses of MTW Funds

| FDS LINE ITEM NUMBER | FDS LINE ITEM NAME | DOLLAR AMOUNT |
|---|--|---------------|
| 91000 (91100+91200+91400+91500+91600+91700+91800+91900) | Total Operating - Administrative | \$3,631,238 |
| 91300+91310+92000 | Management Fee Expense | \$0 |
| 91810 | Allocated Overhead | \$0 |
| 92500 (92100+92200+92300+92400) | Total Tenant Services | \$95,578 |
| 93000 (93100+93600+93200+93300+93400+93800) | Total Utilities | \$0 |
| 93500+93700 | Labor | \$0 |
| 94000 (94100+94200+94300+94500) | Total Ordinary Maintenance | \$1,075 |
| 95000 (95100+95200+95300+95500) | Total Protective Services | \$0 |
| 96100 (96110+96120+96130+96140) | Total Insurance Premiums | \$71,854 |
| 96000 (96200+96210+96300+96400+96500+96600+96800) | Total Other General Expenses | \$888,106 |
| 96700 (96710+96720+96730) | Total Interest Expense & Amortization Cost | \$0 |
| 97100+97200 | Total Extraordinary Maintenance | \$0 |
| 97300+97350 | HAP + HAP Portability-In | \$77,105,292 |
| 97400 | Depreciation Expense | \$0 |
| 97500+97600+97700+97800 | All Other Expense | \$0 |

| | | |
|-------|----------------|--------------|
| 90000 | Total Expenses | \$81,793,143 |
|-------|----------------|--------------|

Please describe any variance between Estimated Total Revenue and Estimated Total Expenses:

Surplus HAP funds will be utilized in affordable housing developments, see MTW Activity #2012-26 "Commitment of MTW Funds for Leveraging in the Creation of Additional Affordable Housing in San Mateo County" for additional information. Surplus admin funds retained for future administrative costs.

iii. Description of Planned Use of MTW Single Fund Flexibility

PLANNED USE OF MTW SINGLE FUND FLEXIBILITY

HACSM uses Section 8 funds within their funding streams and reports on specific MTW Activities within Section V of this MTW Plan.

B. LOCAL ASSET MANGEMENT PLAN

- i. Is the MTW PHA allocating costs within statute?
- ii. Is the MTW PHA implementing a local asset management plan (LAMP)?
- iii. Has the MTW PHA provide a LAMP in the appendix?
- iv. If the MTW PHA has provided a LAMP in the appendix, please describe any proposed changes to the LAMP in the Plan Year or state that the MTW PHA does not plan to make any changes in the Plan Year.

C. RENTAL ASSISTANCE DEMONSTRATION (RAD) PARTICIPATION

i. Description of RAD Participation

RENTAL ASSISTANCE DEMONSTRATION (RAD) PARTICIPATION

On March 16, 2017 HACSM amended the CHAP to incorporate the 2017 OCAF adjustments for RAD contract rents. The RAD Conversion Commitment (RCC) Agreement was executed April 18, 2017. And, on November 21, 2017 the RCC Amendment #1 was issued on to revise the Proposed Project Owners from San Mateo County Housing Authority, Inc. to SAMCHAI. The RAD Use Agreement was executed on November 22, 2017, and recorded November 29, 2017. And finally, the Project Based Voucher (PBV) HAP was effective December 1, 2017 for all 30 units at El Camino Village, a former Public housing property.

- ii. Has the MTW PHA submitted a RAD Significant Amendment in the appendix? A RAD Significant Amendment should only be included if it is a new or amended version that requires HUD approval.

If the MTW PHA has provided a RAD Significant Amendment in the appendix, please state whether it is the first RAD Significant Amendment submitted or describe any proposed changes from the prior RAD Significant Amendment

No changes.

SECTION VI

Administrative

Board Resolution adopting 50077-MTW and Certification of Compliance

See Appendix One, for the signed Board Resolution adopting 50077-MTW and the Certification of Compliance.

All supporting documentation can be found in Appendix One of this document.

A. Documentation that at least one public hearing was held, that the Plan was available for public comment for at least thirty (30) days, and documentation that the Agency took into consideration public and resident comment before approval of the Plan by the Board of Commissioners or Board of Directors in order to incorporate any public comments into the Annual MTW Plan

The Public Notice posted in the San Mateo County Daily Journal on Friday, February 7, 2020, informing the public that the draft FY2021 Annual MTW Plan was posted to the Housing Authority website February 7, 2020 – March 9, 2020 and available for public comment.

The Public Comment period was conducted from February 7, 2020 – March 9, 2020 and the Public Hearing was held on Monday, March 9, 2020.

[Any public comments received will be included here]

A second Public Hearing was held on Tuesday, March 24, 2020 at the monthly San Mateo County Board of Supervisor's meeting. The San Mateo County Board of Supervisors are the governing board for the Housing Authority. The Board of Supervisors held a public hearing and approved the resolution authorizing the Executive Director to sign the Certificate of Compliance and the submission of the FYE2021 MTW Annual Plan to HUD.

[All supporting documentation will be included and can be found in Appendix One.]

B. Description of any planned or on-going PHA-directed evaluations of the demonstration for the overall MTW program or any specific MTW activities, if applicable

HACSM has not and is not planning to complete additional agency-directed evaluations of the demonstration at this time.

C. The Annual Statement/Performance and Evaluation Report (HUD 50075.1) or subsequent form required by HUD for MTW and non-MTW Capital Fund grants for each grant that has unexpended amounts, including estimates for the Plan Year and all three parts of the report

See Appendix One, for HUD-50071 form.

APPENDIX ONE

Documentation of the Public Review Process, Public Comments Received, the Board Memo and Resolution adopting the HUD 50077-MTW Certification of Compliance, and HUD 50071 Public Notice Posted on HACSM website and in HACSM lobby effective, February 7, 2020.

PUBLIC NOTICE

The Housing Authority of the County of San Mateo announces a Public Hearing:

DATE: Monday, March 9, 2020
TIME: 10:00 AM
PLACE: 264 Harbor Blvd. Bldg A.,
Belmont, CA 94002

The purpose of the hearing is to obtain input from County residents and other interested parties in reference to the FY2021 (7/1/2020 - 6/30/2021) Moving to Work (MTW) Annual Plan to be submitted to the U.S. Department of Housing and Urban Development. A copy of the proposed FY2021 MTW Annual Plan is available online at www.smchousing.org commencing 2/7/2020 to 3/9/2020.

Published in the San Mateo Daily Journal, February 7, 2020.

APPENDIX TWO

MTW Standard Agreement, including:

- Attachment A with First Amendment executed 3/3/2010
- Attachment B
- Attachment C
- Attachment D with Second Amendment executed 6/18/2010, Third Amendment executed 1/28/2013, and Fourth Amendment executed 12/8/2017



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
THE DEPUTY SECRETARY
WASHINGTON, DC 20410-0050

April 14, 2016

Mr. Ken Cole
Executive Director
Housing Authority of the County of San Mateo
264 Harbor Boulevard
Building A
Belmont, CA 94002

Dear Mr. Cole:

In the 20 years since the authorization of the Moving to Work (MTW) Demonstration program, a number of flexibilities, which have been successfully designed and tested by you and other MTW agencies, have been made available to all public housing agencies (PHAs) across the nation. We are pleased that Congress has now extended the Demonstration through 2028, so that we may continue this great work together.

Pursuant to Section 239 of Title II, Division L of the Consolidated Appropriations Act, 2016 (P.L. 114-113) (The Act), Housing Authority of the County of San Mateo's (the Agency) current MTW Agreement is hereby modified and extended until the end of the Agency's fiscal year 2028. Further, pursuant to that same act of Congress, and subject to any future acts of Congress, the Agency's Agreement shall be modified to prohibit any statutory offset of any reserve balances equal to four months of operating expenses. Reserve balances that exceed four months of operating expenses shall remain available to the Agency for all permissible purposes under the Agreement unless subject to statutory offset, notwithstanding any contrary term of the Agreement.

Your MTW Agreement shall be modified by the content of the second paragraph of this letter upon receipt of this letter by the Agency. If your Agency would instead prefer to conclude its MTW participation, please follow the process in Section VIII.D. of the Agency's MTW Agreement.

Under the Act, other terms of the Agreement may be modified by mutual agreement between the Agency and HUD. If your Agency would like to discuss modifications to other terms of its MTW Agreement, please contact the Moving to Work Office at mtw-info@hud.gov.

Throughout the next 12 years of the MTW Demonstration, we look forward to learning from the work of MTW Agencies, to improve the programs and services provided to low-income families across the country. We are confident that your locally-driven strategies will continue to identify creative solutions to serve the affordable housing needs of our nation's communities.

Sincerely,



Nani A. Coloretti

Amended and Restated Moving to Work Agreement

This Amended and Restated Moving to Work Demonstration Agreement (Restated Agreement) is entered into on this 08 day of April 2008 by and between the United States of America through the U.S. Department of Housing and Urban Development (HUD) and the **Housing Authority of the County of San Mateo** (Agency). The term of this Agreement shall begin on the Date of Execution by HUD and shall continue until the end of the Agency's 2018 Fiscal Year, subject to meeting the evaluation criteria described in Section IV, unless such term is otherwise extended by HUD; and

WHEREAS, Section 204 of the Omnibus Consolidated Rescissions and Appropriations Act of 1996 (Pub. L. 104-134) (1996 Appropriations Act) establishes the statutory framework known as the Public Housing/Section 8 Moving to Work (MTW) demonstration program; and

WHEREAS, Section 204(a) of the 1996 Appropriations Act provides that public housing agencies that administer Section 8 and public housing (Agencies) and the Secretary of HUD (Secretary) shall have the flexibility to design and test various approaches for providing and administering housing assistance that: 1) reduce cost and achieve greater cost effectiveness in Federal expenditures; 2) give incentives to families with children whose heads of household are either working, seeking work, or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self-sufficient; and 3) increase housing choices for low-income families (the three statutory objectives); and

WHEREAS, pursuant to Section 204(a) of the 1996 Appropriations Act, HUD may permit Agencies to combine funds appropriated under sections 8 and 9 of the 1937 Act, and may exempt Agencies from provisions of the 1937 Act and implementing regulations thereunder pertaining to Public and Indian Housing and section 8 voucher assistance; and

WHEREAS, the Secretary determined that the Agency satisfies the Secretary's selection criteria and selected the Agency to participate in MTW; and

WHEREAS, on the 1st day of May 2000, HUD and the Agency executed an MTW Agreement, and on the 30th day of March 2006, HUD and the Agency executed an MTW Extension, (collectively known as the Original MTW Agreement) governing the terms and conditions under which HUD authorizes the Agency to participate in MTW; and

WHEREAS, the parties have previously entered into one or more Annual Contributions Contracts (ACCs) setting forth the terms and conditions under which the Agency participates in the public housing and/or Section 8 Housing Choice Voucher programs administered by HUD; and

WHEREAS, the parties agree to execute this Restated Agreement, which hereby amends and replaces any Original MTW Agreement between HUD and the Agency; and

WHEREAS, it is a goal of the MTW demonstration to design and test innovative methods of providing housing and delivering services to low-income families in an efficient and cost effective manner, and HUD and the Agency agree to fully cooperate with each other in order to make the demonstration a success;

NOW, THEREFORE, in reliance upon and in consideration of the mutual representations and obligations hereunder, the parties do agree as follows:

I. Statutory Authorizations

- A. This Restated Agreement amends and replaces the Original MTW Agreement between HUD and the Agency. This Restated Agreement waives certain provisions of the United States Housing Act of 1937, as amended (1937 Act), and HUD's implementing requirements and regulations thereunder, as are set forth in the Statement of Authorizations (Attachment C), and the Legacy and Community-Specific Authorizations (Attachment D) only to the extent they are necessary to implement the Agency's Annual MTW Plan. Except as noted in Section I.B. below, this Restated Agreement supersedes the terms and conditions of one or more ACCs between the Agency and HUD, to the extent necessary for the Agency to implement its MTW demonstration initiatives as laid out in the Agency's Annual MTW Plan, as approved by HUD.
- B. Notwithstanding the preceding authority waiving certain provisions of the 1937 Act as necessary to implement the Agency's Annual MTW Plan, the following provisions of the 1937 Act, as otherwise applicable, shall continue to apply to the Agency and/or assistance received pursuant to the 1937 Act:
1. The terms "low-income families" and "very low-income families" shall continue to be defined by reference to Section 3(b)(2) of the 1937 Act (42 U.S.C. § 1437a(b)(2));
 2. Section 12 of the 1937 Act (42 U.S.C. § 1437j), as amended, shall apply to housing assisted under the demonstration, other than housing assisted solely due to occupancy by families receiving tenant-based assistance; and
 3. Section 18 of the 1937 Act (42 U.S.C. § 1437p, as amended by Section 1002(d) of Public Law 104-19, Section 201(b)(1) of Public Law 104-134, and Section 201(b) of Public Law 104-202), governing demolition and disposition, shall continue to apply to public housing notwithstanding any use of the housing under MTW.
- C. This Restated Agreement only waives certain provisions of the 1937 Act and its implementing regulations. Other federal, state and local requirements applicable to public housing shall continue to apply notwithstanding any term contained in this Restated Agreement or any Authorization granted thereunder. Accordingly, if any requirement applicable to public housing, outside of the 1937 Act, contains a provision that conflicts or is inconsistent with any authorization granted in this Restated Agreement, the MTW Agency remains subject to the terms of that requirement. Such requirements include, but are not limited to, the following: Appropriations Acts,

competitive HUD notices of funding availability under which the Agency has received an award, state and local laws, Federal statutes other than the 1937 Act, and OMB Circulars and requirements (including regulations promulgated by HUD thereunder in 24 C.F.R. part 85).

- D. The MTW Agency is authorized to conduct activities in accordance with the Statement of Authorizations (Attachment C) and in accordance with the Legacy and Community-Specific Authorizations (Attachment D), as applicable. In the event of a conflict between Attachment C and Attachment D, the authorizations in Attachment D will supersede those in Attachment C.
- E. Notwithstanding any provision set forth in this Restated Agreement, including without limitations, the term of years and all extensions, renewals and options, and the terms set forth herein otherwise, any federal law that amends, modifies, or changes the aforementioned term of years and/or other terms of this Restated Agreement shall supersede this Restated Agreement such that the provisions of the law shall apply as set forth in the law.

II. Requirements and Covenants

- A. The amount of assistance received under sections 8 or 9 of the 1937 Act by an Agency participating in the demonstration shall not be diminished by the Agency's participation in the MTW demonstration.
- B. The Agency agrees that any HUD assistance that the Agency is authorized to use under the MTW demonstration shall be used in accordance with the Agency's Annual MTW Plans, as may be applicable. The Agency hereby certifies that the Agency's governing board has approved this Restated Agreement, and each Annual MTW Plan issued prior to the date hereof, as applicable, and that a copy of each such board approval has been provided to HUD.
- C. The Agency shall hold at least one public hearing per Annual MTW submission, and make the Annual MTW Plan available for public comment for at least thirty (30) days. The Agency agrees to take into account public comments on the program design, including comments from current tenants/participants, to the extent such comments were provided.
- D. The Agency shall: (i) ensure that at least 75 percent of the families assisted are very low-income families, as defined in section 3(b)(2) of the 1937 Act, (ii) assist substantially the same total number of eligible low-income families under MTW, as would have been served absent the demonstration, and (iii) maintain a comparable mix of families by family size, as would have been served or assisted had the amounts not been used under the demonstration.
- E. When providing public housing, the Agency will ensure that it is safe, decent, sanitary, and in good repair, according to an inspection protocol established or approved by the Secretary. This in no way precludes the Agency from modifying its own inspection

protocol as authorized in Attachments C and/or D as long as such protocol meets the housing quality standards established or approved by the Secretary.¹

- F. The Agency agrees to keep project level budgeting and accounting, report financial statements in the Financial Data Schedule (FDS)², and abide by project level management reviews and fees. The Agency will conform to OMB Circular A-87 and the HUD definition of reasonable fees as defined in 24 CFR part 990, and HUD's Financial Management Guidebook 7475.1 and Supplement, as they may be amended.
- G. HUD will not score the Agency under HUD's Public Housing Assessment System (PHAS) or HUD's Section Eight Management Assessment Program (SEMAP), or their successor systems, unless the Agency elects to be scored. If the Agency elects to be scored, the agency will continue to be scored for the duration of the demonstration.
- H. The Agency agrees to cooperate fully with HUD and its contractors in the monitoring and evaluation of the MTW demonstration, to keep records, and to submit reports and other information to HUD as described in the Restated Agreement.
- I. The Agency shall comply with the requirements of the National Environmental Policy Act (NEPA) and other related federal laws and authorities identified in 24 C.F.R. Part 50 or Part 58, as applicable.
- J. The Agency will comply with all applicable nondiscrimination and equal opportunity requirements set forth in 24 C.F.R. § 5.105(a), and will administer its programs and activities in a manner affirmatively to further fair housing. In particular, the Agency must make reasonable accommodations needed by applicants and residents and must make units accessible in accordance with the Needs Assessment and Transition Plan as required under Section 504 of the Rehabilitation Act of 1973 and its implementing regulations.
- K. The Agency will comply with the terms of any applicable court orders or Voluntary Compliance Agreements that are in existence or may come into existence during the term of the Agreement. The Agency further agrees that it will cooperate fully with any investigation by the HUD Office of Inspector General or any other investigative and law enforcement agencies of the U.S. Government.
- L. Unless otherwise provided herein, this Restated Agreement does not apply to Section 8 assistance that is required:
 1. To meet existing contractual obligations of the Agency to a third party (such as Housing Assistance Payment contracts with owners under the Agency's Section 8 Housing Choice Voucher program);
 2. For payments to other public housing authorities under Section 8 portability billing procedures; or

¹ Agencies are still subject to state and local building codes, and housing codes, and state and local public housing law on inspections.

² The Agency agrees to comply with FDS submission requirements, including the requirement to submit project level financial data in the FDS.

3. To meet particular purposes for which HUD has expressly committed the assistance to the Agency.

The aforementioned covenants made by the Agency are not exclusive, as the Agency must also comply with all requirements applicable to public housing other than both those provisions of the 1937 Act, as amended from time to time, and its implementing regulations specifically waived by the Authorizations contained in this Restated Agreement.

III. Rent Reform Initiatives

The Agency shall establish a reasonable rent policy that is designed to encourage employment and self-sufficiency by participating families, consistent with the purpose of this demonstration. In developing its rent policy, the Agency must adopt a policy for addressing hardship cases. To meet the Department's purposes of evaluating the MTW demonstration, Agencies may randomly assign new participants into the MTW group, which will provide an alternate program/rent structure, and into a control group, which will continue to operate under the 1937 Act requirements, and collect useful participant data at the point of random assignment.

IV. Evaluation

- A. HUD will consider the following criteria when evaluating whether this Agency shall continue in the MTW Demonstration:
 1. The Agency is in compliance with this Restated Agreement.
 2. The Annual MTW Plans and Reports have been satisfactorily completed and submitted in a timely manner, consistent with this Restated Agreement; and
 3. The Agency has demonstrated, through the Annual MTW Plan and Report, that it has used its MTW designation (i.e., engaged in MTW Activities), as set forth in Section 204 of the 1996 Appropriations Act.
- B. If, after the evaluation during FY 2011 and FY 2014, HUD determines that the Agency fails to meet the above criteria, HUD can terminate this Restated Agreement.

V. Amendments and Continuation of Activities

- A. Amendment of this Restated Agreement. This Restated Agreement may be further amended upon mutual agreement of the Agency and HUD. Proposed amendments by the Agency to the Restated Agreement shall be submitted in writing to HUD's Office of Public and Indian Housing, or its successor, only after the Agency has conducted a public hearing, considered comments from the hearing in drafting the proposed amendment, and obtained an approval from the Agency's Board of Commissioners or Directors, as applicable. HUD will respond to the Agency in writing to either approve and execute or disapprove the amendment request. The Statement of Authorizations (Attachment C) may be unilaterally amended by HUD only in order to add to the existing authorizations. The Legacy and Community-Specific Authorizations (Attachment D) may be amended upon mutual agreement between HUD and the Agency. In the event of a conflict between Attachment C and Attachment D, the authorizations in Attachment D supersede the authorizations in Attachment C.

- B. Amendment of the Annual MTW Plan. Amendments to the Annual MTW Plan only need to be made if the proposed MTW activity falls outside the scope of the HUD-approved Annual MTW Plan. An MTW activity is defined as an activity that an Agency participating in the MTW demonstration is authorized to undertake only by means of invoking an authorization included in Attachment C or Attachment D of this Restated Agreement, as opposed to an activity that a non-MTW agency could undertake pursuant to the conventional public housing and Section 8 Housing Choice Voucher programs' statutory and regulatory requirements. Proposed amendments by the Agency to the Annual MTW Plan shall be submitted in writing to HUD's Office of Public and Indian Housing, or its successor, only after the Agency has conducted a public hearing, considered comments from the hearing in drafting the proposed amendment, and obtained an approval from the Agency's Board of Commissioners or Directors, as applicable. HUD will respond in writing to either approve or disapprove the amendment request.

The letter requesting any amendment to the Annual MTW Plan should include the following information in relation to the proposed MTW Activity:

1. Description of the proposed activity;
2. Description of how the activity relates to at least one of the three statutory objectives;
3. Identification and discussion of the anticipated impact of the proposed MTW activity on the stated objective;
4. Description of the baselines and benchmarks that the Agency will use to measure the performance and progress of the MTW activities;
5. Description of the data collection process and metrics the Agency will use to measure how this activity will achieve one or more of the MTW statutory objectives; and
6. The specific provision of the 1937 Act or regulation that is waived under MTW that authorized the Agency to make this change, when applicable.

C. Continuation of Activities.

1. Not later than one year prior to expiration of this Restated Agreement, the Agency shall submit a transition plan to HUD. It is the Agency's responsibility to plan in such a manner that it will be able to end all features of the MTW Plan upon expiration of the Agreement, as HUD cannot guarantee that it will be able to extend any features of the Plan. The transition plan shall describe plans for phasing out of such authorizations/features. The plan shall also include any proposals of authorizations/features of the Restated Agreement that the Agency wishes to continue beyond the expiration of the Restated Agreement. The Agency shall specify the proposed duration, and shall provide justification for extension of such authorization/features. HUD will respond to the Agency in writing in a timely manner. Only authorizations/features specifically approved for extension shall continue beyond the term of the MTW Restated Agreement.

The extended features shall remain in effect only for the duration and in the manner specified in the approved transition plan.

2. HUD will review and respond to timely-submitted transition plans within 75 days or they are deemed approved. To the extent that HUD has questions or feedback within this 75-day period, HUD will transmit such information within a sufficient time period for the Agency to respond and for HUD to approve a transition plan within 75 days of submission of the plan.

VI. Funding

- A. Funding Methodology. During the term of the MTW demonstration, HUD will provide the Agency with public housing operating subsidies, and modernization or capital funds (including development and replacement housing factor funds), and with tenant-based Section 8 assistance, as provided in Attachment A. If the Agency's Attachment A does not describe the funding methodology for any of these funding streams, the Agency's funding will be calculated according to standard HUD calculations of Agency benefits.
- B. Funding Disbursements. The Agency will receive its public housing operating subsidy and Section 8 tenant-based funding in accordance with the following calculation and disbursement requirements:
 1. Operating Fund subsidies
 - a. HUD shall calculate the allocation of Operating Fund subsidies to the Agency in accordance with Attachment A.
 - b. The Agency may use these funds for any eligible activity permissible under Section 9(e)(1) of the 1937 Act or, if the Agency proposes to use the funding as part of a block grant in its Annual MTW Plan, it may use these funds for any eligible activity permissible under Section 8(o), 9(d)(1) and 9(e)(1) consistent with this MTW Restated Agreement.
 2. Capital Funds and Other Grants
 - a. HUD shall calculate the allocation of Capital Fund grants (including replacement housing factor fund grants) to the Agency in accordance with Attachment A. Capital Funds will be disbursed in accordance with standard HUD procedures for the disbursement of public housing Capital Fund Grants.
 - (i) In requisitioning grant funds, the Agency will not be required to provide line item detail, but will request the funds using a single MTW line item; provided however, that the Agency may not accelerate draw downs of funds in order to fund reserves.

- (ii) The Agency may use these funds for any eligible activity permissible under Section 9(d)(1) of the 1937 Act, or if the Agency proposes to use the funding as part of a block grant in its Annual MTW Plan, it may use these funds for any eligible activity permissible under Section 8(o), 9(d)(1) and 9(e)(1) consistent with this MTW Restated Agreement.
 - (iii) The Agency is subject to the requirements of Section 9(j) of the 1937 Act with respect to its Capital Fund Grants.
- b. Section 8 Tenant-Based Assistance
- (i) HUD shall calculate the allocation of Section 8 Housing Choice Voucher funding to the Agency in accordance with Attachment A.
 - (ii) The Agency may use tenant-based Section 8 funds included in the MTW block grant for any eligible activity permissible under Section 8(o) of the 1937 Act or, if the Agency proposes to use the funding as part of a block grant in its Annual MTW Plan, it may use the funds for any eligible activity permissible under Section 8(o), 9(d)(1) and 9(e)(1) consistent with this MTW Restated Agreement.
- c. The Agency may submit for HUD consideration and approval alternative schedules for disbursement of public housing operating subsidy and Section 8 tenant-based funding to reduce the number of transactions and to address the time lag between making Housing Assistance Payments (HAP) for the large number of Section 8 participants from other jurisdictions (portables) and reimbursement by those jurisdictions. An Agency's request for consideration and approval of an alternative schedule for disbursement shall be subject to certain administrative limitations, such as only one request will be allowed per year.

VII. Administrative Responsibilities

A. Annual MTW Planning and Reporting.

1. Annual MTW Plans

- a. If the Agency has ten percent or more of its housing stock in MTW, the Agency will prepare and submit an Annual MTW Plan, in accordance with Attachment B, or equivalent HUD form as approved by OMB, in lieu of the Five (5) year and Annual Plans required by Section 5A of the 1937 Act.
- b. If the Agency has less than ten percent of its housing stock in MTW, the Agency will continue to complete the Five-Year and Annual Plans required by Section 5A of the 1937 Act. The Agency will also complete a Supplemental Annual MTW Plan, based on Attachment B, or equivalent HUD form as approved by OMB. Only information not included in either

the Five-Year Plan or the Annual Plan will need to be included in the Supplemental Annual MTW Plan (herein also referred to as the Annual MTW Plan).

- c. Three (3) copies of the Annual MTW Plan shall be submitted to HUD: one copy will be provided to HUD Headquarters in hard-copy, one copy to HUD Headquarters in electronic format (i.e., PDF, or Word), and one copy to the Agency's local HUD Field Office.
- d. The Annual MTW Plan is due not later than seventy-five (75) days prior to the start of the Agency's fiscal year, unless otherwise approved by HUD, except in the first year of this Restated Agreement the Agency may submit an amendment to its MTW Plan if it wants to implement initiatives prior to the due date of the subsequent MTW Plan.
- e. Attachment B of this Restated Agreement, or equivalent HUD form as approved by OMB, provides a detailed description of the required elements of the Annual MTW Plan.
- f. The Annual MTW Plan will be submitted to HUD only after:
 - (i) The Agency has provided for citizen participation through public hearing and other appropriate means and is approved by the Board of Commissioners or Directors, as applicable, and
 - (ii) The Agency has taken into account public comments on the program design, including comments from current tenants/participants, to the extent such comments were provided. To document the foregoing, the Agency will submit with the Annual MTW Plan documentation that at least one public hearing was held, that the Plan was available for public comment for at least thirty (30) days, and that the Agency took no less than fifteen (15) days between the public hearing and the approval of the Plan by the Board of Commissioners or Board of Directors in order to incorporate any public comments into the Annual MTW Plan. The Agency will submit these documents to HUD in accordance with Attachment B, or equivalent HUD form as approved by OMB, and will keep these documents on file for HUD review.
- g. HUD shall notify the Agency in writing if HUD objects to any provisions or information therein. When the Agency submits its Annual MTW Plan seventy-five (75) days in advance of its fiscal year, HUD will respond to the Agency within seventy-five (75) days. If HUD does not respond to the Agency within seventy-five (75) days after an on-time receipt of the Agency's Annual MTW Plan, the Agency's Annual MTW Plan is approved and the Agency is authorized to implement that Plan. If HUD does not receive the Agency's Annual MTW Plan seventy-five (75) days before the beginning of the Agency's fiscal year, the Agency's Annual MTW Plan is

not approved until HUD responds. Reasons that HUD may object to a provision or information in the Annual MTW Plan include, but are not limited to, the following:

- (i) The information required in Attachment B, or equivalent HUD form as approved by OMB, is not provided or is deemed insufficient;
 - (ii) The Agency's planned MTW activities are not permissible under MTW Authority or are inconsistent with requirements outside the 1937 Act³;
 - (iii) The Agency's planned MTW activities do not have a clear connection to the statutory goal of the MTW demonstration, which is to provide Agencies with the flexibility to design and test various approaches for providing and administering housing assistance that: (a) reduce cost and achieves greater cost effectiveness in Federal expenditures; (b) give incentives to families with children whose heads of household are either working, seeking work, or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self-sufficient; and (c) increase housing choices for low-income families; or
 - (iv) There are other good cause factors, such as material misrepresentation, in the submission.
- h. Once HUD approves an MTW Activity, the activity shall remain approved as long as it is included in the Agency's Annual MTW Plan submissions subsequent to the initial approval of the MTW Activity. The approval shall remain in effect until such time as the Agency proposes to modify the activity, initiative, or program.

2. Annual MTW Reports

- a. The Agency will prepare Annual MTW Reports, which will compare the Agency's activities with its Annual MTW Plan. The Annual MTW Report will provide the information necessary for HUD to assess the Agency's activities, in both regular operations and in activities authorized by MTW.
- b. Three (3) copies of the Annual MTW Report shall be submitted to HUD: one copy will be provided to HUD Headquarters in hard-copy, one copy to HUD Headquarters in electronic format (i.e., PDF, or Word), and one copy to the Agency's local HUD Field Office.
- c. The Annual MTW Report will be submitted to HUD for its review annually, no later than ninety (90) days after the end of the Agency's fiscal year.

³ Even if HUD approves a MTW Plan that is inconsistent with an external requirement, such as a state law requirement, the Agency is still subject to the external requirement.

- d. Attachment B of this Restated Agreement, or equivalent HUD form as approved by OMB, provides a detailed description of the required elements of the Annual MTW Report.
 - e. HUD shall notify the Agency in writing if HUD requires additional information or clarifications to the information provided in the Annual MTW Report.
 - f. All HUD forms and other reporting mechanisms required by this Restated Agreement, including any required certifications, will, where appropriate, be included in either the Annual MTW Plan or the Annual MTW Report.
3. HUD reserves the right to request, and the Agency agrees to provide, any information required by law or required for sound administration of the public housing and Section 8 Housing Choice Voucher programs.

B. Other Data Submission Requirements.

- 1. The Agency will submit HUD-50058 data and/or HUD-50058 MTW (or their replacement forms) data to HUD's Public and Indian Housing Information Center (PIC) system, or its successor. (Note that the use of the HUD-50058 MTW form is restricted to the MTW agencies that have implemented MTW Activities that prevent use of the standard 50058 form.) These submissions will be in compliance with HUD's 50058 and/or 50058 MTW submission requirements for MTW public housing authorities. The Agency will maintain current building and unit information in the development module of the PIC Inventory Management System (IMS).
- 2. The Agency will provide basic data about the Agency (e.g., address, phone number, e-mail address, etc.) to HUD through the PIC/IMS system, or its successor system.
- 3. The Agency will complete an annual audit pursuant to the Office of Management and Budget (OMB) Circular A-133 (including the Compliance Supplement, as determined by the auditor to be relevant to MTW). The A-133 Audit must be submitted to HUD in accordance with HUD regulations; a separate copy of the most recently completed audit must be submitted to the Office of Public Housing Investments, or its successor Headquarters Office responsible for national oversight of the MTW demonstration.
- 4. The Agency will provide data to HUD through FDS, or its successor system, as required by the Public Housing Assessment System (PHAS) regulations and procedures as they may be amended.
- 5. The Agency will provide HUD with an electronic version of the Admissions and Continued Occupancy Policy and Administrative Plan upon HUD's request.
- 6. The Agency will provide HUD with a Performance and Evaluation Report for Capital Fund activities not included in the MTW Block Grant by including this

as a supplement to Attachment B, or equivalent HUD form as approved by OMB.

In addition to the reporting requirements listed above, the Agency is required to comply with any and all HUD reporting requirements that are not specifically waived by HUD.

- C. Annual MTW Monitoring Site Visit. HUD and/or its contractors will conduct at least one formal Site Visit to the Agency each year. The purpose of these visits will be to confirm reported Agency activities, to review the status and effectiveness of the Agency's MTW strategies, and to identify and resolve outstanding MTW related issues. The Agency shall give HUD and/or its contractors unimpeded access to all requested sources of information including access to files, access to units, and an opportunity to interview Agency staff and assisted residents.
- D. Single Point of Contact. HUD and the Agency shall each appoint a liaison as a single point of contact in implementing the Restated Agreement.


VIII. Termination and Default

- A. If the Agency violates this Restated Agreement, HUD is authorized to take any corrective or remedial action described in this Article VIII for Agency default. HUD will give the Agency written notice of any default. The Agency will have the opportunity to cure such default within 30 days of the date of said notice, or to demonstrate within said time period, by submitting substantial evidence satisfactory to HUD, that it is not in default. If the default is not susceptible to being cured within said 30 day period, the Agency will demonstrate, to HUD's satisfaction, that the Agency has taken actions necessary to cure the default and that the default is curable within 90 days from the date of the default notice. Additionally, the Agency must covenant to prosecute such cure diligently and complete such cure within the 90 day period, unless HUD, in its sole judgment, determines that immediate action is necessary, and therefore has discretion to institute the remedies under Section VIII.C. of this Restated Agreement.
- B. The following are reasons that HUD may declare the Agency in default of this Restated Agreement:
 1. The Agency has not corrected HUD identified performance deficiencies within a reasonable period of time;
 2. Material misrepresentation in the application process that led to the Original MTW Agreement or this current Restated Agreement;
 3. Use of funds subject to this Restated Agreement for a purpose other than as authorized by this Restated Agreement;
 4. Material noncompliance with legislative, regulatory, or other requirements applicable to this Restated Agreement;
 5. Material breach of this Restated Agreement; and/or

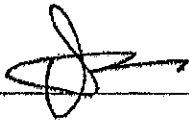
6. Material misrepresentation in the Annual MTW Plan or Report submission by the Agency.
- C. If the Agency is in default, HUD may, among other remedies, undertake any one or all of the following remedies:
1. Suspend payment or reimbursement for any MTW activities affected;
 2. Suspend the Agency's authority to make draws or receive or use funds for affected activities;
 3. Change the method of payment to the Agency;
 4. Require additional reporting by the Agency on the deficient areas and the steps being taken to address the deficiencies;
 5. Require the Agency to prepare and follow a HUD-approved schedule of actions and/or a management plan for properly completing the activities approved under this Restated Agreement;
 6. Suspend the MTW waiver authorization for the affected activities;
 7. Prohibit payment or reimbursement for any MTW Activities affected by the default;
 8. Require reimbursement by the Agency to HUD for amounts used in violation of this Restated Agreement;
 9. Reduce/offset the Agency's future funding;
 10. Terminate this Restated Agreement and require the Agency to transition out of MTW;
 11. Take any other corrective or remedial action legally available; and/or
 12. Implement administrative or judicial receivership of part or all of the Agency.
- D. The Agency may choose to terminate this Restated Agreement at any time. Upon HUD's receipt of written notification from the Agency and a copy of a board resolution approving termination, termination will be effective. The Agency will then begin to transition out of MTW, and will work with HUD to establish an orderly phase-out of MTW activities, consistent with Section IV C of this Restated Agreement.

This Agreement, including all Attachments, is effective upon execution, except as otherwise provided herein.

HOUSING AUTHORITY OF THE
COUNTY OF SAN MATEO

BY: 
ITS: Duane Bay, Director
Date: 4/9/08

UNITED STATES DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT

BY: 
ITS: Assistant Secretary
Date: 12.20.07

ATTACHMENT A
Calculation of Subsidies
TO
MOVING TO WORK AGREEMENT
BETWEEN
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
AND
HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO

Upon execution of the First Amendment to the Moving to Work (MTW) Agreement (Agreement) between the U.S. Department of Housing and Urban Development (HUD) and the Housing Authority of the County of San Mateo (Agency), HUD will provide the Agency with operating subsidy, capital funds, and Housing Choice Voucher Program assistance as described below.

A. Operating Subsidy

1. The calculation of operating subsidy will continue in accordance with applicable operating subsidy formula law and regulations.
2. The Agency may use any current operating funds or accumulated operating reserves for eligible Moving to Work (MTW) purposes, subject to applicable provisions of the Restated Agreement.
3. All funds programmed for MTW purposes will be recorded and drawn from MTW designated line items on relevant HUD forms.

B. Capital Funds Program

1. The Agency's formula characteristics and grant amounts will continue to be calculated in accordance with applicable law and regulations.
2. For capital funds provided in years prior to the execution of this amendment, the Agency may submit, and HUD will, as permitted by law, approve a request to reprogram by grant year, any unobligated funds for eligible MTW purposes. Such requests will be made in accordance with current procedures governing amendments to the Annual Plan, except that no public consultation will be necessary prior to submission of the request.
3. All funds programmed for MTW purposes will be recorded and drawn from MTW designated line items on relevant HUD forms.

C. Housing Choice Voucher Program (HCVP) Subsidy

1. For purposes of the HCVP funding, the Initial Year is calendar year 2010 (January 1, 2010 through December 31, 2010).
2. Funding eligibility for CY 2009 will become the Agency's baseline going forward. Any subsequent incremental allocations of Housing Choice Vouchers will be added to this total if the Agency decides to apply the incremental funding to their MTW Block Grant. This paragraph applies to all 4,023 MTW Vouchers.
3. Initial year (CY 2010) HCVP housing assistance payment (HAP) funding will be calculated based on: (1) the HCV HAP Budget Authority eligibility approved for CY 2009, (2) adjusted by the Annual Adjustment Factor (AAF), and (3) adjusted by the applicable proration factor. This paragraph applies to all 4,023 MTW Vouchers.
4. Subsequent years' HCVP HAP will be equal to the previous year's total HAP funding eligibility prior to proration, adjusted by the subsequent year's AAF and applicable proration factor.
5. Administrative fee funding in the initial year will be based upon the Agency's baseline number of units leased in CY 2009, adjusted for the 300 MTW Vouchers for which Administrative fees are already included in the HAP baseline calculated under Section C.3 above, and will be subject to proration. Subsequent year's Administrative fee funding will be based on the base year's units leased times the current year's fee rates and adjusted by the current year's proration. Should the agency receive additional Vouchers, administrative fees will be paid on these additional Vouchers in accordance with Appropriations requirements.
6. All HCVP funds and Administrative Fee provided through the aforementioned funding calculations may be used for authorized purposes, subject to applicable provisions of the Restated Agreement and future appropriations statutes.
7. If the Agency receives incremental HCVP funding, the Agency will have the option to either apply the incremental funding to the Agency's MTW block grant or to keep the incremental funding separate, as provided by law.
8. Funding eligibility in any year is subject to the requirements of the applicable Appropriations Act as it applies to MTW Agencies.
9. The Agency will continue to be eligible to receive Family Self Sufficiency coordinator funding in accordance with available appropriations and requirements.
10. HACSM will retain any existing levels of Net Restricted Assets as of December 31, 2009.
11. Any sum held by the Agency as excess administrative funds (Net Unrestricted Assets) as of December 31, 2009 shall remain available and may be used for authorized

1/21/2010

purposes subject to applicable provisions of the MTW Agreement and future appropriations statutes.

12. Funding for Family Unification, 1 Year Mainstream, 5 Year Mainstream, Moderate Rehabilitation, and Veterans Affairs Supported Housing vouchers, whether new allocations or renewals of existing vouchers, shall not be included in the MTW Block Grant.

1/21/2010

FIRST AMENDMENT

TO

MOVING TO WORK AGREEMENT
BETWEEN
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
AND
HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO

This First Amendment to the Moving to Work ("MTW") Agreement ("Agreement") is entered into by and between the United States of America through the U.S. Department of Housing and Urban Development ("HUD") and the Housing Authority of the County of San Mateo ("Agency") and is effective on the date of execution by HUD. Unless otherwise defined herein, all capitalized terms used herein shall have the same meanings ascribed to them in the Agreement.

Attachment A to the Agreement is amended as follows:

The entire original Attachment A to the Amended and Restated Agreement is replaced with the attached version.

IN WITNESS WHEREOF, the parties have caused this First Amendment to be executed by their duly authorized representatives.

HOUSING AUTHORITY OF THE COUNTY OF
SAN MATEO

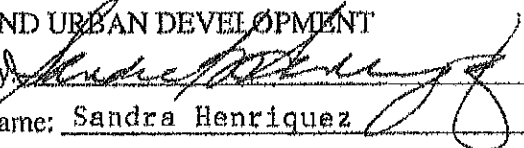
By:  _____

Name: Duane Bay

Its: Executive Director

Date:  _____

UNITED STATES DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT

By:  _____

Name: Sandra Henriquez

Its: Assistant Secretary for PIH

Date: 3/3/10 _____

**FORM 50900: ELEMENTS FOR THE ANNUAL MOVING TO WORK PLAN
AND ANNUAL MOVING TO WORK REPORT**

**ATTACHMENT B
TO THE MOVING TO WORK AGREEMENT
BETWEEN THE U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
AND MOVING TO WORK AGENCIES**

The information in this Form 50900 is being collected so that HUD can evaluate the impacts of Moving to Work (MTW) activities; respond to congressional and other inquiries regarding outcome measures; and identify promising practices learned through the MTW demonstration. The information collected through this Form 50900 is not confidential. MTW public housing agencies (MTW PHAs) will report outcome information on the effects of MTW policy changes on residents, operations, and the local community. The estimated burden per year, per MTW PHA, is 81 hours. Responses to this collection of information are required to obtain a benefit or to retain a benefit. HUD may not conduct or sponsor, and MTW PHAs are not required to respond to, a collection of information unless that collection displays a valid Office of Management and Budget (OMB) control number. All current MTW PHAs as of the effective date of this Form 50900, will provide the following required elements in the order and format given in this Form 50900 in Annual MTW Plans and Annual MTW Reports, consistent with the requirements in Section VII of the Standard MTW Agreement (or applicable successor section in future iterations of the MTW Agreement for current MTW PHAs).

GENERAL INSTRUCTIONS

Section Numbering: The sections are as follows: (I) Introduction, (II) General Operating Information, (III) Proposed MTW Activities, (IV) Approved MTW Activities, (V) Sources and Uses of MTW Funds, and (VI) Administrative.

Inapplicable Fields and Sections: For those text fields in the tables provided in Sections (II) and (V) that are not applicable, the MTW PHA should insert an "N/A." For those numerical fields in the tables provided in Sections (II) and (V) that are not applicable or have no value, the MTW PHA should insert a "0" (zero). Where a narrative portion of Sections (I), (III), (IV) or (VI) is not applicable, the MTW PHA should include the sub-section number and/or title and insert an "N/A."

Plan Year: The "Plan Year" is defined as the MTW PHA's fiscal year. The Plan Year is generally twelve months, but may be longer or shorter if the MTW PHA is transitioning the start and end of its fiscal year to different dates. The MTW PHA should discuss the impact of such transitioning on Annual MTW Plan/Report submissions with HUD Headquarters and the applicable local HUD Field Office.

Format Requirements: MTW PHAs are required to provide information according to the order in this Form 50900. For Section (II) and Section (V), MTW PHAs must insert the tables as they appear in this Form 50900. MTW PHAs must present the applicable Standard Metrics in Sections (III) and Section (IV) in the table format given in the "Standard HUD Metrics" section of this Form 50900. HUD prefers that MTW PHAs also report agency-developed metric information in a similar format. There is no prescribed format for presenting the required information in Sections (I), (III), (IV) or (VI) of this Form 50900, but all required information must be clearly provided. The submittal of separate Excel versions of Section (II) and Section (V) is not required.

Submission Requirements (dissemination): The MTW PHA shall follow the submission requirements as set forth in its current MTW Agreement. All initial and revised submissions of the Annual MTW Plan and the Annual MTW Report must be sent in an electronic format to HUD Headquarters and the applicable local HUD

Field Office via email. The MTW Coordinator will send an email confirming receipt after the submission is received.

Submission Requirements (file type): The electronic submission shall include a searchable PDF version (not a scanned PDF) of the Annual MTW Plan/Report or a Microsoft Word document version of the Annual MTW Plan/Report. The body of the Annual MTW Plan/Report shall be submitted as one file type and preferably in one file. The body shall include the HUD-generated tables for Sections (II) and (V) and the applicable Standard HUD Metrics tables incorporated into Sections (III) and (IV). Supplemental materials (e.g. signed Board Resolution and other appendix information) may be submitted in a different file type.

Submission Requirements (hard copy): A hard copy submission by the MTW PHA is only necessary at the request of HUD.

SECTION-BY-SECTION INSTRUCTIONS

SECTION I: INTRODUCTION

Generally: MTW PHAs will include both short-term and long-term MTW goals and objectives in this section.

SECTION II: GENERAL OPERATING INFORMATION

Generally: Pre-formatted tables have been provided in this Form 50900 for MTW PHAs to provide the required housing stock, leasing and waiting list information in this section. These tables must be included in the Annual MTW Plan/Report as provided. The MTW PHA may include clarifying text in addition to these tables in the Annual MTW Plan/Report. An MTW PHA may also include updates to its historical housing stock or leasing tables as an appendix to the Annual MTW Plan/Report. The MTW PHA may reference such an appendix in Section (II) to direct readers to this information.

Section II.A: Housing Stock Information

General Description of All Planned Capital Expenditures: MTW PHAs are required to provide a general description and amounts of planned capital expenditures by development.

Section II.B: Leasing Information

Definition of MTW Households Served: "MTW Households Served" include all households that receive housing assistance, directly or indirectly, using any amount of MTW funds. Housing assistance through local, non-traditional MTW programs is included, as long as the activity conforms to the requirements stipulated in the Standard MTW Agreement and PIH Notice 2011-45 (or applicable successor MTW Agreement and/or PIH Notice).

Categories of MTW Households Served: "MTW Households Served" data will be reported in the categories defined below. These categories are the only households that will be considered in the "Total Households Served/Units Leased" calculation used to determine if the MTW PHA is continuing to assist substantially the same total number of eligible low-income families as it would have, had the MTW PHA not combined its funds (as set forth in PIH Notice 2013-2 or successor PIH Notice).

- **MTW Public Housing Units Leased:** Number of households that reside in any unit of public housing authorized and funded under an Annual Contributions Contract (ACC) between the MTW PHA and HUD pursuant to the U.S. Housing Act of 1937.
- **MTW Housing Choice Vouchers (HCVs) Utilized:** Number of households that receive rental assistance through Housing Assistance Payment (HAP) Contracts (pursuant to an ACC between HUD and the MTW PHA) paid for with MTW funds at a location selected by the household and not tied to a specific location OR households that receive rental assistance through HAP Contracts (pursuant to an ACC between HUD

and the PHA) paid for with MTW funds at a specific location that is not public housing. This number must not include port-in HCVs not paid for by the MTW PHA.

- **Local, Non-Traditional: Tenant-Based:** Number of households that receive assistance through an MTW tenant-based housing program outside of Sections 8 and 9 of the U.S. Housing Act of 1937. This includes all households at or below 80% area median income (AMI) that receive tenant-based housing assistance through MTW funds but not through traditional public housing or HCVs.

- **Local, Non-Traditional: Property-Based:** Number of households that receive assistance through an MTW property-based or project-based housing program outside of Sections 8 and 9 of the U.S. Housing Act of 1937. This includes all households at or below 80% AMI that receive property-based housing assistance through MTW funds but not through traditional public housing or HCVs.

- **Local, Non-Traditional: Homeownership:** Number of households that receive assistance through an MTW homeownership housing program outside of Sections 8 and 9 of the U.S. Housing Act of 1937. This includes all households at or below 80% AMI that receive homeownership housing assistance through MTW funds but not through traditional public housing or HCVs.

Households Receiving Services Only: HUD will track “Households Receiving Services Only through MTW-Funded Local, Non-Traditional Activities.” These households, however, will not be considered in the “Total Households Served/Units Leased” calculation used to determine if the MTW PHA is continuing to assist substantially the same total number of eligible low-income families as it would have had the MTW PHA not combined its funds (as set forth in PIH Notice 2013-2 or successor PIH Notice). The definition for households tracked in this category is:

- **Households Receiving Services Only:** Number of households at or below 80% AMI provided services through MTW funds and not assisted through any type of housing assistance for the Plan Year and over the course of the MTW PHA's participation in the demonstration. Households that are only receiving services and are also on one or more of the MTW PHA's housing waiting lists should be included in this category.

Section II.C: Waiting List Information

Waiting List Information Submittal: This section will include those waiting lists managed by the MTW PHA and those managed by a third party. MTW PHAs should provide information only on those waiting lists that contain households in the “MTW Households Served” categories defined above for Section II.B. Waiting lists for households receiving services only and households in other non-MTW housing programs should not be included.

SECTION III: PROPOSED MTW ACTIVITIES and SECTION IV: APPROVED MTW ACTIVITIES

Use of Standard HUD Metrics: MTW PHAs are required to track all applicable "Standard HUD Metrics" under each implicated statutory objective for each MTW activity. Standard HUD Metrics must be given in the table format provided in the "Standard HUD Metrics" section of this Form 50900 in order to allow analysis and aggregation across MTW PHAs for similar activities. When proposing an MTW activity, the MTW PHA should provide the Standard HUD Metrics it deems applicable to that activity. After review of the proposed activity, HUD will determine the Standard HUD Metrics that the MTW PHA must provide. After the activity has been approved, HUD will advise the MTW PHA of any necessary changes to the applicable Standard HUD Metrics.

Additional Metrics: MTW PHAs may report on agency-developed and previously established metrics in addition to the required Standard HUD Metrics.

SECTION IV: APPROVED MTW ACTIVITIES

Generally: This section includes four subsections: Implemented, Not Yet Implemented, On Hold, and Closed Out. Once an activity is approved it must be placed in Section (IV) under one of these four subsections. These subsections are defined below.

- **Implemented Activities:** MTW activities in which the MTW PHA is actively engaged.
- **Not Yet Implemented Activities:** MTW activities in which the MTW PHA is not actively engaged but is preparing to implement in the future.
- **On Hold Activities:** MTW activities that were previously implemented, that the MTW PHA stopped implementing, but that the MTW PHA plans to reactivate in the future.
- **Closed Out Activities:** MTW activities that: (1) were MTW activities, but are now obsolete because they no longer require MTW flexibility due to changes in regulation; (2) were completed because the MTW PHA accomplished its stated objectives and no longer requires the use of MTW flexibility; (3) the MTW PHA has decided to end before attaining the activity's objectives; or (4) the MTW PHA has never implemented and does not plan to implement at any point in the future. In the year the activity is ended the MTW PHA is required to provide information about the outcomes of the activity.

Use of Standard HUD Metrics: Standard HUD Metrics must be shown in the table format provided in the "Standard HUD Metrics" section of this Form 50900 in order to allow analysis and aggregation across MTW PHAs for similar activities. Standard HUD Metrics should appear in the Section (IV) subsections as follows:

- **Implemented Activities:** MTW PHAs are required to track all of the applicable Standard HUD Metrics under each statutory objective implicated.
- **Not Yet Implemented Activities:** Since the MTW PHA would not currently be engaged in this category of approved activities, it is not necessary to include applicable Standard HUD Metrics until implementation.
- **On Hold Activities:** Since the MTW PHA would not currently be engaged in this category of approved activities, it is not necessary to include applicable Standard HUD Metrics until implementation.
- **Closed Out Activities:** MTW PHAs are required to provide final information on all of the applicable Standard HUD Metrics under each statutory objective implicated for activities approved and implemented after calendar year 2012.

Closing Out Activities: An approved activity must be closed out in an Annual MTW Report. If an Annual MTW Plan is to be submitted after the MTW PHA has decided to close the activity but prior to the submission of an Annual MTW Report, the to-be-closed activity should be listed in the "Not Yet Implemented Activities" or the "On Hold Activities" subsection of the Annual MTW Plan as applicable. The associated discussion and timeline should indicate that the MTW PHA will close out the activity in the next Annual MTW Report.

Significant Changes to Activities: HUD requires MTW PHAs to re-propose activities that require "significant changes." A "significant change" occurs when the nature of the activity has changed such that an additional MTW authorization is needed OR when an MTW PHA fundamentally changes the nature and scope of an activity to the extent that there is the potential for a different impact on residents (e.g. changing the calculation of rent). In these cases, the activity must undergo a new public process. HUD reserves the right to determine on a case-by-case basis if the change made to an activity crosses this threshold and therefore requires the activity to be re-proposed.

SECTION V: SOURCES AND USES OF MTW FUNDS

Generally: Pre-formatted tables have been provided in this Form 50900 for MTW PHAs to provide the required information in this section. These tables must be included in the Annual MTW Plan/Report as provided. The MTW PHA may include clarifying text in addition to these tables in the Annual MTW Plan/Report.

SECTION VI: ADMINISTRATIVE

Board Resolution Submittal: There is no predetermined format for submission with the Annual MTW Plan of the required resolution signed by the Board of Commissioners (or other authorized MTW PHA governing body) adopting the Annual MTW Plan and the Annual MTW Plan Certifications of Compliance.

Certification of Meeting the MTW Statutory Requirements Submittal: There is no predetermined format for submission with the Annual MTW Report of the required certification that the MTW PHA has met the three MTW statutory requirements.

Certifications of Compliance Submittal: The format for submission with the Annual MTW Plan of the required Certifications of Compliance is provided in this Form 50900. The preamble to the Certifications of Compliance directs the MTW PHA to fill in the beginning of the Plan Year for which the certification is being made. This should be provided as the first day of the Plan Year to be covered by the Annual MTW Plan (for example, for a FY2017 Annual MTW Plan for an MTW PHA with a Plan Year of January 1 – December 31, this would be January 1, 2017).

ADDITIONAL ITEMS

Appendix Information Submittal: The MTW PHA may submit additional appendix items as it deems appropriate. Particular MTW PHAs may be required to submit additional appendix items depending on the content of the particular MTW Agreement and Annual MTW Plan (examples include RHF Plan, Local Asset Management Plan, RAD Significant Amendment, etc.) All appendices should be listed in the table of contents.

Submittal of Implementing Documents: As a part of the Annual MTW Plan and/or Annual MTW Report submission, the MTW PHA may not submit to HUD for approval implementing documents (such as Administrative Plans, ACOPs, etc.) or other materials that are superfluous to the items in this Form 50900. HUD may request that the MTW PHA separate such items from the Annual MTW Plan to be approved and/or Annual MTW Report to be accepted.

| (I) INTRODUCTION | |
|--|---|
| <u>ANNUAL MTW PLAN</u> | <u>ANNUAL MTW REPORT</u> |
| <p>A. TABLE OF CONTENTS Include all of the required elements of the Annual MTW Plan (including appendices).</p> | <p>A. TABLE OF CONTENTS Include all the required elements of the Annual MTW Report (including appendices).</p> |
| <p>B. OVERVIEW OF SHORT-TERM AND LONG-TERM MTW GOALS AND OBJECTIVES Short-term goals and objectives include those that Plan Year. Long-term goals and objectives include those that the MTW PHA plans to accomplish beyond the current Plan Year. MTW PHAs have the ability to define the level of specificity in the short-term and long-term goals and objectives. If the MTW PHA includes non-MTW components, the MTW PHA should clearly delineate which are MTW and which are non-MTW goals and objectives. MTW PHAs have the flexibility to include references to proposed and ongoing activities in this section if it assists in providing an explanation about short-term and long-term goals and objectives. However, this is not required.</p> | <p>B. OVERVIEW OF SHORT-TERM AND LONG-TERM MTW GOALS AND OBJECTIVES The MTW PHA should include information about whether the short-term goals and objectives provided in the corresponding Annual MTW Plan were accomplished. MTW PHAs should report progress towards the long-term goals and objectives provided in the corresponding Annual MTW Plan.</p> |

(II) GENERAL OPERATING INFORMATION

ANNUAL MTW PLAN

A. HOUSING STOCK INFORMATION

i. Planned New Public Housing Units

New public housing units that the MTW PHA anticipates will be added during the Plan Year.

| ASSET MANAGEMENT PROJECT (AMP) NAME AND NUMBER | BEDROOM SIZE | | | | | | TOTAL UNITS | POPULATION TYPE* | # of Uniform Federal Accessibility Standards (UFAS) Units | |
|--|--------------|---|---|---|---|----|-------------|------------------|---|-----------|
| | 0/1 | 2 | 3 | 4 | 5 | 6+ | | | Fully Accessible | Adaptable |
| Name/Number | # | # | # | # | # | # | # | Type (below) | # | # |
| Name/Number | # | # | # | # | # | # | # | Type (below) | # | # |
| Name/Number | # | # | # | # | # | # | # | Type (below) | # | # |

Total Public Housing Units to be Added in the Plan Year

* Select "Population Type" from: General, Elderly, Disabled, Elderly/Disabled, Other

If "Population Type" is "Other" please describe:

Description

ii. Planned Public Housing Units to be Removed

Public housing units that the MTW PHA anticipates will be removed during the Plan Year.

| AMP NAME AND NUMBER | NUMBER OF UNITS TO BE REMOVED | EXPLANATION FOR REMOVAL |
|---------------------|-------------------------------|-------------------------|
| Name/Number | # | Explanation |
| Name/Number | # | Explanation |
| Name/Number | # | Explanation |

Total Public Housing Units to be Removed in the Plan Year

iii. Planned New Project Based Vouchers

Tenant-based vouchers that the MTW PHA anticipates project-basing for the first time during the Plan Year. These include only those in which at least an Agreement to enter into a Housing Assistance Payment (AHAP) will be in place by the end of the Plan Year. Indicate whether the unit is included in the Rental Assistance Demonstration (RAD).

| PROPERTY NAME | NUMBER OF VOUCHERS TO BE PROJECT-BASED | RAD? | DESCRIPTION OF PROJECT |
|---------------|--|--------|------------------------|
| Name | # | Yes/No | Description |
| Name | # | Yes/No | Description |

Planned Total Vouchers to be Newly Project-Based

iv. Planned Existing Project Based Vouchers

Tenant-based vouchers that the MTW PHA is currently project-basing in the Plan Year. These include only those in which at least an AHAP is already in place at the beginning of the Plan Year. Indicate whether the unit is included in RAD.

| PROPERTY NAME | NUMBER OF PROJECT-BASED VOUCHERS | PLANNED STATUS AT END OF PLAN YEAR* | RAD? | DESCRIPTION OF PROJECT |
|---------------|----------------------------------|-------------------------------------|--------|------------------------|
| Name | # | Status (below) | Yes/No | Description |
| Name | # | Status (below) | Yes/No | Description |

| |
|---|
| # |
|---|

Planned Total Existing Project-Based Vouchers

* Select "Planned Status at the End of Plan Year" from: Committed, Leased/Issued

v. Planned Other Changes to MTW Housing Stock Anticipated During the Plan Year

Examples of the types of other changes can include (but are not limited to): units held off-line due to relocation or substantial rehabilitation, local, non-traditional units to be acquired/developed, etc.

| PLANNED OTHER CHANGES TO MTW HOUSING STOCK ANTICIPATED IN THE PLAN YEAR |
|---|
| Description |

vi. General Description of All Planned Capital Expenditures During the Plan Year

Narrative general description of all planned capital expenditures of MTW funds during the Plan Year.

| GENERAL DESCRIPTION OF ALL PLANNED CAPITAL EXPENDITURES DURING THE PLAN YEAR |
|--|
| Description |

B. LEASING INFORMATION

i. Planned Number of Households Served

Snapshot and unit month information on the number of households the MTW PHA plans to serve at the end of the Plan Year.

| PLANNED NUMBER OF HOUSEHOLDS SERVED THROUGH: | PLANNED NUMBER OF UNIT MONTHS OCCUPIED/LEASED* | PLANNED NUMBER OF HOUSEHOLDS TO BE SERVED** |
|--|--|---|
| MTW Public Housing Units Leased | # | # |
| MTW Housing Choice Vouchers (HCV) Utilized | # | # |
| Local, Non-Traditional: Tenant-Based^ | # | # |
| Local, Non-Traditional: Property-Based^ | # | # |
| Local, Non-Traditional: Homeownership^ | # | # |
| Planned Total Households Served | # | # |

* "Planned Number of Unit Months Occupied/Leased" is the total number of months the MTW PHA plans to have leased/occupied in each category throughout the full Plan Year.

** "Planned Number of Households to be Served" is calculated by dividing the "Planned Number of Unit Months Occupied/Leased" by the number of months in the Plan Year.

^ In instances when a local, non-traditional program provides a certain subsidy level but does not specify a number of units/households to be served, the MTW PHA should estimate the number of households to be served.

| LOCAL, NON-TRADITIONAL CATEGORY | MTW ACTIVITY NAME/NUMBER | PLANNED NUMBER OF UNIT MONTHS OCCUPIED/LEASED* | PLANNED NUMBER OF HOUSEHOLDS TO BE SERVED* |
|---------------------------------|--------------------------|--|--|
| Tenant-Based | Name/# | # | # |
| Property-Based | Name/# | # | # |
| Homeownership | Name/# | # | # |

* The sum of the figures provided should match the totals provided for each local, non-traditional categories in the previous table. Figures should be given by individual activity. Multiple entries may be made for each category if applicable..

ii. Discussion of Any Anticipated Issues/Possible Solutions Related to Leasing

Discussions of any anticipated issues and solutions in the MTW housing programs listed.

| HOUSING PROGRAM | DESCRIPTION OF ANTICIPATED LEASING ISSUES AND POSSIBLE SOLUTIONS |
|----------------------------|--|
| MTW Public Housing | Description |
| MTW Housing Choice Voucher | Description |
| Local, Non-Traditional | Description |

C. WAITING LIST INFORMATION

i. Waiting List Information Anticipated

Snapshot information of waiting list data as anticipated at the beginning of the Plan Year. The “Description” column should detail the structure of the waiting list and the population(s) served.

| WAITING LIST NAME | DESCRIPTION | NUMBER OF HOUSEHOLDS ON WAITING LIST | WAITING LIST OPEN, PARTIALLY OPEN OR CLOSED | PLANS TO OPEN THE WAITING LIST DURING THE PLAN YEAR |
|-------------------|-------------|--------------------------------------|---|---|
| Name | Description | # | Open/Partially Open/Closed | Yes/No |
| Name | Description | # | Open/Partially Open/Closed | Yes/No |
| Name | Description | # | Open/Partially Open/Closed | Yes/No |

Please describe any duplication of applicants across waiting lists:

| |
|-------------|
| Description |
|-------------|

ii. Planned Changes to Waiting List in the Plan Year

Please describe any anticipated changes to the organizational structure or policies of the waiting list(s), including any opening or closing of a waiting list, during the Plan Year.

| WAITING LIST NAME | DESCRIPTION OF PLANNED CHANGES TO WAITING LIST |
|-------------------|--|
| Name | Description |
| Name | Description |

| |
|---|
| (II) GENERAL OPERATING INFORMATION |
| <u>ANNUAL MTW REPORT</u> |

A. HOUSING STOCK INFORMATION

i. Actual New Project Based Vouchers

Tenant-based vouchers that the MTW PHA project-based for the first time during the Plan Year. These include only those in which at least an Agreement to enter into a Housing Assistance Payment (AHAP) was in place by the end of the Plan Year. Indicate whether the unit is included in the Rental Assistance Demonstration (RAD).

| PROPERTY NAME | NUMBER OF VOUCHERS NEWLY PROJECT-BASED | | STATUS AT END OF PLAN YEAR** | RAD? | DESCRIPTION OF PROJECT |
|---------------|--|--------|--|--------|------------------------|
| | Planned* | Actual | | | |
| Name | # | # | Status (below) | Yes/No | Description |
| Name | # | # | Status (below) | Yes/No | Description |
| | # | # | Planned/Actual Total Vouchers Newly Project-Based | | |

* Figures in the "Planned" column should match the corresponding Annual MTW Plan.

** Select "Status at the End of Plan Year" from: Committed, Leased/Issued

Please describe differences between the Planned and Actual Number of Vouchers Newly Project-Based:

| |
|-------------|
| Description |
|-------------|

ii. Actual Existing Project Based Vouchers

Tenant-based vouchers that the MTW PHA is currently project-basing in the Plan Year. These include only those in which at least an AHAP was in place by the beginning of the Plan Year. Indicate whether the unit is included in RAD.

| PROPERTY NAME | NUMBER OF PROJECT-BASED VOUCHERS | | STATUS AT END OF PLAN YEAR** | RAD? | DESCRIPTION OF PROJECT |
|---------------|----------------------------------|--------|---|--------|------------------------|
| | Planned* | Actual | | | |
| Name | # | # | Status (below) | Yes/No | Description |
| Name | # | # | Status (below) | Yes/No | Description |
| | # | # | Planned/Actual Total Existing Project-Based Vouchers | | |

* Figures and text in the "Planned" column should match the corresponding Annual MTW Plan.

** Select "Status at the End of Plan Year" from: Committed, Leased/Issued

Please describe differences between the Planned and Actual Existing Number of Vouchers Project-Based:

| |
|-------------|
| Description |
|-------------|

iii. **Actual Other Changes to MTW Housing Stock in the Plan Year**

Examples of the types of other changes can include (but are not limited to): units held off-line due to relocation or substantial rehabilitation, local, non-traditional units to be acquired/developed, etc.

| ACTUAL OTHER CHANGES TO MTW HOUSING STOCK IN THE PLAN YEAR | |
|--|--|
| Description | |

iv. **General Description of All Actual Capital Expenditures During the Plan Year**

Narrative general description of all actual capital expenditures of MTW funds during the Plan Year.

| GENERAL DESCRIPTION OF ALL ACTUAL CAPITAL EXPENDITURES DURING THE PLAN YEAR | |
|---|--|
| Description | |

B. LEASING INFORMATION

i. **Actual Number of Households Served**

Snapshot and unit month information on the number of households the MTW PHA actually served at the end of the Plan Year.

| NUMBER OF HOUSEHOLDS SERVED THROUGH: | NUMBER OF UNIT MONTHS OCCUPIED/LEASED* | | NUMBER OF HOUSEHOLDS SERVED** | |
|--|--|--------|-------------------------------|--------|
| | Planned^^ | Actual | Planned^^ | Actual |
| MTW Public Housing Units Leased | # | # | # | # |
| MTW Housing Choice Vouchers (HCV) Utilized | # | # | # | # |
| Local, Non-Traditional: Tenant-Based | # | # | # | # |
| Local, Non-Traditional: Property-Based | # | # | # | # |
| Local, Non-Traditional: Homeownership | # | # | # | # |
| Planned/Actual Totals | # | # | # | # |

* "Planned Number of Unit Months Occupied/Leased" is the total number of months the MTW PHA planned to have leased/occupied in each category throughout the full Plan Year (as shown in the Annual MTW Plan).

** "Planned Number of Households to be Served" is calculated by dividing the "Planned Number of Unit Months Occupied/Leased" by the number of months in the Plan Year (as shown in the Annual MTW Plan).

^^ Figures and text in the "Planned" column should match the corresponding Annual MTW Plan.

Please describe any differences between the planned and actual households served:

| |
|-------------|
| Description |
|-------------|

| LOCAL, NON-TRADITIONAL CATEGORY | MTW ACTIVITY NAME/NUMBER | NUMBER OF UNIT MONTHS OCCUPIED/LEASED* | | NUMBER OF HOUSEHOLDS TO BE SERVED* | |
|---------------------------------|--------------------------|--|--------|------------------------------------|--------|
| | | Planned^^ | Actual | Planned^^ | Actual |
| Tenant-Based | Name/# | # | # | # | # |
| Property-Based | Name/# | # | # | # | # |
| Homeownership | Name/# | # | # | # | # |
| Planned/Actual Totals | | # | # | # | # |

* The sum of the figures provided should match the totals provided for each Local, Non-Traditional category in the previous table. Figures should be given by individual activity. Multiple entries may be made for each category if applicable.

^^ Figures and text in the "Planned" column should match the corresponding Annual MTW Plan.

| HOUSEHOLDS RECEIVING LOCAL, NON-TRADITIONAL SERVICES ONLY | AVERAGE NUMBER OF HOUSEHOLDS PER MONTH | TOTAL NUMBER OF HOUSEHOLDS IN THE PLAN YEAR |
|---|--|---|
| Program Name/Services Provided | # | # |

ii. Discussion of Any Actual Issues/Solutions Related to Leasing

Discussion of any actual issues and solutions utilized in the MTW housing programs listed.

| HOUSING PROGRAM | DESCRIPTION OF ACTUAL LEASING ISSUES AND SOLUTIONS |
|----------------------------|--|
| MTW Public Housing | Description |
| MTW Housing Choice Voucher | Description |
| Local, Non-Traditional | Description |

C. WAITING LIST INFORMATION

i. Actual Waiting List Information

Snapshot information on the actual status of MTW waiting lists at the end of the Plan Year. The "Description" column should detail the structure of the waiting list and the population(s) served.

| WAITING LIST NAME | DESCRIPTION | NUMBER OF HOUSEHOLDS ON WAITING LIST | WAITING LIST OPEN, PARTIALLY OPEN OR CLOSED | WAS THE WAITING LIST OPENED DURING THE PLAN YEAR |
|-------------------|-------------|--------------------------------------|---|--|
| Name | Description | # | Open/Partially Open/Closed | Yes/No |
| Name | Description | # | Open/Partially Open/Closed | Yes/No |
| Name | Description | # | Open/Partially Open/Closed | Yes/No |

Please describe any duplication of applicants across waiting lists:

| |
|-------------|
| Description |
|-------------|

ii. **Actual Changes to Waiting List in the Plan Year**

Please describe any actual changes to the organizational structure or policies of the waiting list(s), including any opening or closing of a waiting list, during the Plan Year.

| WAITING LIST NAME | DESCRIPTION OF ACTUAL CHANGES TO WAITING LIST |
|-------------------|---|
| Name | Description |
| Name | Description |

D. INFORMATION ON STATUTORY OBJECTIVES AND REQUIREMENTS

i. **75% of Families Assisted Are Very Low Income**

HUD will verify compliance with the statutory requirement that at least 75% of the households assisted by the MTW PHA are very low income for MTW public housing units and MTW HCVs through HUD systems. The MTW PHA should provide data for the actual families housed upon admission during the PHA's Plan Year reported in the "Local, Non-Traditional: Tenant-Based"; "Local, Non-Traditional: Property-Based"; and "Local, Non-Traditional: Homeownership" categories. Do not include households reported in the "Local, Non-Traditional Services Only" category.

| INCOME LEVEL | NUMBER OF LOCAL, NON-TRADITIONAL HOUSEHOLDS ADMITTED IN THE PLAN YEAR |
|---|---|
| 80%-50% Area Median Income | # |
| 49%-30% Area Median Income | # |
| Below 30% Area Median Income | # |
| Total Local, Non-Traditional Households Admitted | # |

ii. **Maintain Comparable Mix**

HUD will verify compliance with the statutory requirement that MTW PHAs continue to serve a comparable mix of families by family size by first assessing a baseline mix of family sizes served by the MTW PHA prior to entry into the MTW demonstration (or the closest date with available data) and compare that to the current mix of family sizes served during the Plan Year.

| BASELINE MIX OF FAMILY SIZES SERVED (upon entry to MTW) | | | | | |
|---|-------------------------------|---------------|----------------------|---------------------|-------------------------|
| FAMILY SIZE | OCCUPIED PUBLIC HOUSING UNITS | UTILIZED HCVs | NON-MTW ADJUSTMENTS* | BASELINE MIX NUMBER | BASELINE MIX PERCENTAGE |
| 1 Person | # | # | # | # | #% |
| 2 Person | # | # | # | # | #% |
| 3 Person | # | # | # | # | #% |
| 4 Person | # | # | # | # | #% |
| 5 Person | # | # | # | # | #% |
| 6+ Person | # | # | # | # | #% |
| TOTAL | # | # | # | # | #% |

* "Non-MTW Adjustments" are defined as factors that are outside the control of the MTW PHA. An example of an acceptable "Non-MTW Adjustment" would include demographic changes in the community's overall population. If the MTW PHA includes "Non-MTW Adjustments," a thorough justification, including information substantiating the numbers given, should be included below.

Please describe the justification for any "Non-MTW Adjustments" given above:

| |
|-------------|
| Description |
|-------------|

| MIX OF FAMILY SIZES SERVED (in Plan Year) | | | | |
|---|---------------------------|---|--|---|
| FAMILY SIZE | BASELINE MIX PERCENTAGE** | NUMBER OF HOUSEHOLDS SERVED IN PLAN YEAR^ | PERCENTAGE OF HOUSEHOLDS SERVED IN PLAN YEAR^^ | PERCENTAGE CHANGE FROM BASELINE YEAR TO CURRENT PLAN YEAR |
| 1 Person | #% | # | #% | #% |
| 2 Person | #% | # | #% | #% |
| 3 Person | #% | # | #% | #% |
| 4 Person | #% | # | #% | #% |
| 5 Person | #% | # | #% | #% |
| 6+ Person | #% | # | #% | #% |
| TOTAL | #% | # | #% | #% |

- ** The "Baseline Mix Percentage" figures given in the "Mix of Family Sizes Served (in Plan Year)" table should match those in the column of the same name in the "Baseline Mix of Family Sizes Served (upon entry to MTW)" table.
- ^ The "Total" in the "Number of Households Served in Plan Year" column should match the "Actual Total" box in the "Actual Number of Households Served in the Plan Year" table in Section II.B.i of this Annual MTW Report.
- ^^ The percentages in this column should be calculated by dividing the number in the prior column for each family size by the "Total" number of households served in the Plan Year. These percentages will reflect adjustment to the mix of families served that are due to the decisions of the MTW PHA. Justification of percentages in the current Plan Year that vary by more than 5% from the Baseline Year must be provided below.

Please describe the justification for any variances of more than 5% between the Plan Year and Baseline Year:

| |
|-------------|
| Description |
|-------------|

iii. Number of Households Transitioned to Self-Sufficiency in the Plan Year

Number of households, across MTW activities, that were transitioned to the MTW PHA's local definition of self sufficiency during the Plan Year.

| MTW ACTIVITY NAME/NUMBER | NUMBER OF HOUSEHOLDS TRANSITIONED TO SELF SUFFICIENCY* | MTW PHA LOCAL DEFINITION OF SELF SUFFICIENCY |
|--------------------------|--|--|
| Name/Number | # | Definition |
| Name/Number | # | Definition |
| Name/Number | # | Definition |
| | # | <i>(Households Duplicated Across MTW Activities)</i> |
| | # | Total Households Transitioned to Self Sufficiency |

* Figures should match the outcome reported where metric SS#8 is used in Section IV of this Annual MTW Report.

(III) PROPOSED MTW ACTIVITIES: HUD Approval Requested

ANNUAL MTW PLAN

All required elements given below must be included in the body of the Annual MTW Plan, grouped by each proposed MTW activity. For metrics information, MTW PHAs must follow the guidelines from the “Standard HUD Metrics” section of this Form 50900. MTW PHAs must report all applicable Standard HUD Metrics for each activity as assigned by HUD.

A. ACTIVITY DESCRIPTION

- i. Describe the proposed activity.
- ii. Describe how the proposed activity will achieve one or more of the three statutory objectives and the specific impacts on that statutory objective(s).
- iii. Provide the anticipated schedule for implementing the proposed activity.

B. ACTIVITY METRICS INFORMATION

- i. Provide the metrics from the “Standard HUD Metrics” section that are applicable to the proposed activity.
- ii. Give the baseline performance level for each metric (a numeric value) prior to the implementation of the proposed activity.
- iii. Give the annual benchmark for each metric (a numeric value).
- iv. If applicable, give the overall and/or long-term benchmark(s) for each metric (a numeric value).
- v. Give the data source from which the metric data will be compiled.

C. COST IMPLICATIONS

- i. State whether the proposed activity will result in any cost implications (positive and/or negative) for the MTW PHA.
- ii. If the proposed activity does result in cost implications, provide an estimate of the amount and discuss how the MTW PHA will manage the surplus or deficit anticipated.

D. NEED/JUSTIFICATION FOR MTW FLEXIBILITY

- i. Cite the authorization(s) detailed in Attachment C and/or D of the Standard MTW Agreement (or applicable successor section in future iterations of the MTW Agreement) that gives the MTW PHA flexibility to conduct the proposed activity.
- ii. Explain why the cited authorization(s) is needed to engage in the proposed activity.
Every reasonable effort should be made by the MTW PHA to reference the complete and correct authorization(s) that are applicable to a particular activity when proposing the activity. A failure to cite the correct or entire statute or regulation will require a technical revision to the activity to include the correct authorization(s).

E. RENT REFORM/TERM LIMIT INFORMATION (if applicable)

HUD defines “rent reform” as any change to how rent/tenant share is calculated for a household that would not be allowable absent the MTW activity. Any MTW activity that an MTW PHA enacts that alters the rent calculation (the amount a household contributes towards their housing costs) would be considered a type of rent reform. The following information must be provided for all rent reform activities. In addition, any MTW activity that seeks to adopt a term limit in the public housing program must include information on items (ii)-(iv).

i. IMPACT ANALYSIS

The MTW PHA may provide an impact analysis for each component of the rent reform activity or a comprehensive impact analysis of the rent reform activity. To assess the impacts of the rent reform activity, the following steps are suggested:

- (1) A description of how the proposed MTW activity will impact household rent/tenant share.
- (2) A description of how the MTW PHA will implement and track the rent reform activity and how that process will enable the identification of any unintended consequences/impacts.

- (3) A numerical analysis detailing the intended/possible impacts of the rent reform activity (including changes to the amount of rent/tenant share, rent burden increases/decreases, households affected, etc.)
- (4) A plan for how the MTW PHA will weigh the consequences/benefits of the rent reform activity to determine whether it should be adjusted/terminated/reduced/continued/expanded.

ii. HARDSHIP CASE CRITERIA

The MTW PHA must establish a hardship policy that clearly defines the circumstances under which households may be exempted or provided temporary relief from the activity. The MTW PHA must describe how such households could access the hardship policy and the associated process.

iii. DESCRIPTION OF ANNUAL REEVALUATION

The MTW PHA must provide an overview as to how the activity will be reevaluated on an annual basis in the Annual MTW Report, mitigating negative impacts and unintended consequences.

iv. TRANSITION PERIOD

The MTW PHA must develop a plan and timeline for transitioning households into the activity. If a rent reform activity, the MTW PHA should show how the impact analysis informed this transition period.

(III) PROPOSED MTW ACTIVITIES: HUD Approval Requested

ANNUAL MTW REPORT

Section III in the Annual MTW Report will be included and left blank. MTW PHAs should include a placeholder section with the statement that reads: "All proposed MTW activities that were granted approval by HUD are reported in Section IV as 'Approved Activities'."

| (IV) APPROVED MTW ACTIVITIES: HUD Approval Previously Granted | |
|--|--|
| <u>ANNUAL MTW PLAN</u> | <u>ANNUAL MTW REPORT</u> |
| <p>All required elements below must be put in the body of the Annual MTW Plan/Report and grouped by each approved MTW activity. For metrics information, MTW PHAs must follow the guidelines from the “Standard HUD Metrics” section of this Form 50900. MTW PHAs must report all applicable Standard HUD Metrics for each activity as assigned by HUD in the Annual MTW Report.</p> | |
| A. IMPLEMENTED ACTIVITIES | |
| <p>The MTW PHA must give the name and unique number of approved MTW activities in the implemented category (see the “Section-by-Section Instructions” for more information on categorizing approved MTW activities) and the following information:</p> | |
| <p>i. Plan Year Approved, Implemented, Amended Specify the Plan Year the MTW activity was proposed. Specify the Plan Year the MTW activity was implemented. Provide any Plan Years in which the MTW activity was amended.</p> | <p>i. Plan Year Approved, Implemented, Amended Specify the Plan Year the MTW activity was proposed. Specify the Plan Year the MTW activity was implemented. Provide any Plan Years in which the MTW activity was amended.</p> |
| <p>ii. Description/Update Provide a description of the MTW activity. Provide an update on the status of the MTW activity.</p> | <p>ii. Description/Impact/Update Provide a description of the MTW activity and detailed information on its impact during the Plan Year. Provide the applicable Standard HUD Metrics tables with numerical information for baselines, benchmarks and outcomes for the Plan Year. Describe how outcomes compared to baselines and benchmarks. Indicate whether the MTW activity is on schedule.</p> <p><i>NOTE: For rent reform/public housing term limit activities, describe the number and results of any hardship requests and details regarding the required “Annual Reevaluation” that the MTW PHA put in place when proposing the MTW activity.</i></p> |
| <p>iii. Planned Non-Significant Changes Indicate any non-significant changes or modifications to the MTW activity that the MTW PHA plans to pursue during the Plan Year (or state that there are none).</p> | <p>iii. Actual Non-Significant Changes Indicate if the MTW PHA made the planned non-significant changes or modifications to the MTW activity given in the Annual MTW Plan in the Plan Year. Indicate any unplanned non-significant changes or modifications to the MTW activity the MTW PHA made in the Plan Year (or state that there were none).</p> |
| <p>iv. Planned Changes to Metrics/Data Collection Indicate any changes or modifications to the metrics the MTW PHA plans to pursue during the Plan Year (or state that there are none).</p> | <p>iv. Actual Changes to Metrics/Data Collection Indicate if the MTW PHA made the planned changes or modifications to the metrics given in the Annual MTW Plan in the Plan Year. Indicate any unplanned changes or modifications to the metrics the MTW PHA made in the Plan Year (or state that there were none).</p> |

| | |
|---|---|
| <p>v. Planned Significant Changes Provide any plans to pursue a significant change to the MTW activity through an Annual MTW Plan amendment in the Plan Year (or state that there are none).</p> <p><i>NOTE: HUD requires MTW PHAs to re-propose MTW activities that require a “significant change”. Re-proposing an MTW activity requires that it be included in Section (III) of an Annual MTW Plan/Plan amendment with all the associated required elements given in this Form 50900, including the requisite public process. See the “Section-by-Section Instructions” for more information on “significant changes.”</i></p> | <p>v. Actual Significant Changes Indicate if any significant changes were made to the MTW activity in the Plan Year through an Annual MTW Plan amendment (or state that there were none).</p> |
| | <p>vi. Challenges in Achieving Benchmarks and Possible Strategies If benchmarks were not achieved or if the MTW activity was determined ineffective (as described in IV.A.ii above), provide a narrative explanation of the challenges and, if possible, identify potential new strategies to make the MTW activity more effective.</p> |
| <p>B. NOT YET IMPLEMENTED ACTIVITIES</p> | |
| <p><i>The MTW PHA must give the name and unique number of approved MTW activities in the not yet implemented category (see the “Section-by-Section Instructions” for more information on categorizing approved MTW activities) and the following information:</i></p> | |
| <p>i. Describe the approved MTW activity that was proposed in an Annual MTW Plan, approved by HUD, and not yet implemented. Discuss why the MTW activity was not yet implemented. Specify the Plan Year in which the MTW activity was first approved.</p> | <p>i. Provide a brief description of the approved MTW activity that was proposed in an Annual MTW Plan, approved by HUD, and not yet implemented. Specify the Plan Year in which the MTW activity was first approved.</p> |
| <p>ii. Provide an update on the implementation plan for the MTW activity. Provide a timeline associated with this implementation plan. If there are no plans to implement the MTW activity, state that the MTW PHA will move it to the “Closed Out Activities” category in the next Annual MTW Report.</p> | <p>ii. Discuss any actions taken towards the implementation plan for the MTW activity in the Plan Year. Relate these actions to the implementation plan and timeline the MTW PHA provided in the Annual MTW Plan.</p> |
| <p>iii. Provide an explanation of any non-significant changes or modifications to the MTW activity since it was approved by HUD.</p> | |

| C. ACTIVITIES ON HOLD | |
|--|---|
| <p><i>The MTW PHA must give the name and unique number of approved MTW activities in the activities on hold category (see the “Section-by-Section Instructions” for more information on categorizing approved MTW activities) and the following information:</i></p> | |
| <p>i. Describe the approved MTW activity that was approved, implemented and that the MTW PHA then stopped implementing (but has plans to reactivate in the future). Describe why the MTW activity was placed on hold. Specify the Plan Year(s) in which the MTW activity was first approved, implemented and placed on hold.</p> | <p>i. Provide a brief description of the approved MTW activity that was approved, implemented and that the MTW PHA then stopped implementing (but has plans to reactivate in the future). Specify the Plan Year(s) in which the MTW activity was first approved, implemented and placed on hold.</p> |
| <p>ii. Provide an update on the plan for reactivating the MTW activity. Provide a timeline associated with this reactivation plan. If there are no plans to reactivate the MTW activity, state that the MTW PHA will move it to the “Closed Out Activities” category in the next Annual MTW Report.</p> | <p>ii. Discuss any actions taken towards the plan for reactivating the MTW activity in the Plan Year. Relate these actions to the reactivation plan and timeline the MTW PHA provided in the Annual MTW Plan.</p> |
| <p>iii. Provide an explanation of any non-significant changes or modifications to the MTW activity since it was approved by HUD.</p> | |
| D. CLOSED OUT ACTIVITIES | |
| <p><i>The MTW PHA must give the name and unique number of approved MTW activities in the closed out category (see the “Section-by-Section Instructions” for more information on categorizing approved MTW activities) and the following information:</i></p> | |
| <p>i. List the closed out MTW activity. Specify the Plan Year(s) in which the MTW activity was approved, implemented (if applicable) and closed out.</p> | <p>i. List the closed out MTW activity. Specify the Plan Year(s) in which the MTW activity was approved, implemented (if applicable) and closed out.</p> |
| <p>ii. Explain why the MTW activity was closed out.</p> | <p>ii. Explain why the MTW activity was closed out.</p> |
| | <p>iii. In the Plan Year that the MTW activity is closed out, provide the following:</p> <ul style="list-style-type: none"> • Discussion of the final outcome and lessons learned. • Description of any statutory exceptions outside of the current MTW flexibilities that might have provided additional benefit to the MTW activity (if applicable). • Summary table listing outcomes from each year the MTW activity was implemented (if applicable). |

| |
|--|
| (V) SOURCES AND USES OF MTW FUNDS |
| <u>ANNUAL MTW PLAN</u> |

A. ESTIMATED SOURCES AND USES OF MTW FUNDS

i. Estimated Sources of MTW Funds

The MTW PHA shall provide the estimated sources and amount of MTW funding by Financial Data Schedule (FDS) line item.

| FDS LINE ITEM NUMBER | FDS LINE ITEM NAME | DOLLAR AMOUNT |
|---------------------------------------|--|---------------|
| 70500 (70300+70400) | Total Tenant Revenue | \$# |
| 70600 | HUD PHA Operating Grants | \$# |
| 70610 | Capital Grants | \$# |
| 70700 (70710+70720+70730+70740+70750) | Total Fee Revenue | \$# |
| 71100+72000 | Interest Income | \$# |
| 71600 | Gain or Loss on Sale of Capital Assets | \$# |
| 71200+71300+71310+71400+71500 | Other Income | \$# |
| 70000 | Total Revenue | \$# |

ii. Estimated Uses of MTW Funds

The MTW PHA shall provide the estimated uses and amount of MTW spending by Financial Data Schedule (FDS) line item.

| FDS LINE ITEM NUMBER | FDS LINE ITEM NAME | DOLLAR AMOUNT |
|---|--|---------------|
| 91000 (91100+91200+91400+91500+91600+91700+91800+91900) | Total Operating - Administrative | \$# |
| 91300+91310+92000 | Management Fee Expense | \$# |
| 91810 | Allocated Overhead | \$# |
| 92500 (92100+92200+92300+92400) | Total Tenant Services | \$# |
| 93000 (93100+93600+93200+93300+93400+93800) | Total Utilities | \$# |
| 93500+93700 | Labor | \$# |
| 94000 (94100+94200+94300+94500) | Total Ordinary Maintenance | \$# |
| 95000 (95100+95200+95300+95500) | Total Protective Services | \$# |
| 96100 (96110+96120+96130+96140) | Total Insurance Premiums | \$# |
| 96000 (96200+96210+96300+96400+96500+96600+96800) | Total Other General Expenses | \$# |
| 96700 (96710+96720+96730) | Total Interest Expense & Amortization Cost | \$# |
| 97100+97200 | Total Extraordinary Maintenance | \$# |
| 97300+97350 | HAP + HAP Portability-In | \$# |
| 97400 | Depreciation Expense | \$# |
| 97500+97600+97700+97800 | All Other Expense | \$# |
| 90000 | Total Expenses | \$# |

Please describe any variance between Estimated Total Revenue and Estimated Total Expenses:

| |
|--------------------|
| Description or N/A |
|--------------------|

iii. Description of Planned Use of MTW Single Fund Flexibility

The MTW PHA shall provide a thorough narrative of planned activities that use only the MTW single fund flexibility. Where possible, the MTW PHA may provide metrics to track the outcomes of these programs and/or activities. Activities that use other MTW authorizations in Attachment C and/or D of the Standard MTW Agreement (or analogous section in a successor MTW Agreement) do not need to be described here, as they are already found in Section (III) or Section (IV) of the Annual MTW Plan. The MTW PHA shall also provide a thorough description of how it plans to use MTW single fund flexibility to direct funding towards specific housing and/or service programs in a way that responds to local needs (that is, at a higher or lower level than would be possible without MTW single fund flexibility).

| PLANNED USE OF MTW SINGLE FUND FLEXIBILITY |
|--|
| Description |

B. LOCAL ASSET MANGEMENT PLAN

i. Is the MTW PHA allocating costs within statute?

Yes/No

ii. Is the MTW PHA implementing a local asset management plan (LAMP)?

Yes/No

iii. Has the MTW PHA provide a LAMP in the appendix?

Yes/No

iv. If the MTW PHA has provided a LAMP in the appendix, please describe any proposed changes to the LAMP in the Plan Year or state that the MTW PHA does not plan to make any changes in the Plan Year.

Description

C. RENTAL ASSISTANCE DEMONSTRATION (RAD) PARTICIPATION

i. Description of RAD Participation

The MTW PHA shall provide a brief description of its participation in RAD. This description must include the proposed and/or planned number of units to be converted under RAD, under which component the conversion(s) will occur, and approximate timing of major milestones. The MTW PHA should also give the planned/actual submission dates of all RAD Significant Amendments. Dates of any approved RAD Significant Amendments should also be provided.

| RENTAL ASSISTANCE DEMONSTRATION (RAD) PARTICIPATION |
|---|
| Description |

ii. Has the MTW PHA submitted a RAD Significant Amendment in the appendix? A RAD Significant Amendment should only be included if it is a new or amended version that requires HUD approval.

Yes/No

iii. If the MTW PHA has provided a RAD Significant Amendment in the appendix, please state whether it is the first RAD Significant Amendment submitted or describe any proposed changes from the prior RAD Significant Amendment?

Description

(V) SOURCES AND USES OF MTW FUNDS

ANNUAL MTW REPORT

A. ACTUAL SOURCES AND USES OF MTW FUNDS

i. Actual Sources of MTW Funds in the Plan Year

The MTW PHA shall submit unaudited and audited information in the prescribed Financial Data Schedule (FDS) format through the Financial Assessment System – PHA (FASPHA), or its successor system.

ii. Actual Uses of MTW Funds in the Plan Year

The MTW PHA shall submit unaudited and audited information in the prescribed FDS format through the FASPHA, or its successor system.

iii. Describe Actual Use of MTW Single Fund Flexibility

The MTW PHA shall provide a thorough narrative of actual activities that use only the MTW single fund flexibility. Where possible, the MTW PHA may provide metrics to track the outcomes of these programs and/or activities. Activities that use other MTW authorizations in Attachment C and/or D of the Standard MTW Agreement (or analogous section in a successor MTW Agreement) do not need to be described here, as they are already found in Section (IV) of the Annual MTW Report. The MTW PHA shall also provide a thorough description of how it used MTW single fund flexibility to direct funding towards specific housing and/or service programs in a way that responds to local needs (that is, at a higher or lower level than would be possible without MTW single fund flexibility).

ACTUAL USE OF MTW SINGLE FUND FLEXIBILITY

Description

B. LOCAL ASSET MANGEMENT PLAN

i. Did the MTW PHA allocate costs within statute in the Plan Year?

Yes/No

ii. Did the MTW PHA implement a local asset management plan (LAMP) in the Plan Year?

Yes/No

iii. Did the MTW PHA provide a LAMP in the appendix?

Yes/No

iv. If the MTW PHA has provided a LAMP in the appendix, please provide a brief update on implementation of the LAMP. Please provide any actual changes (which must be detailed in an approved Annual MTW Plan/Plan amendment) or state that the MTW PHA did not make any changes in the Plan Year.

Description

| (VI) ADMINISTRATIVE | |
|--|--|
| <u>ANNUAL MTW PLAN</u> | <u>ANNUAL MTW REPORT</u> |
| <p>A. BOARD RESOLUTION AND CERTIFICATIONS OF COMPLIANCE</p> <p>The MTW PHA shall provide a resolution signed by the Board of Commissioners (or other authorized MTW PHA governing body) adopting the Annual MTW Plan and the Annual MTW Plan Certifications of Compliance (as it appears in this Form 50900). A signed version of the Annual MTW Plan Certifications of Compliance must also be included.</p> | <p>A. REVIEWS, AUDITS AND INSPECTIONS</p> <p>The MTW PHA shall provide a general description of any HUD reviews, audits and/or physical inspection issues that require the MTW PHA to take action in order to address the issue.</p> |
| <p>B. DOCUMENTATION OF PUBLIC PROCESS</p> <p>The beginning and end dates of when the Annual MTW Plan was made available for public review and the dates, location and number of attendees of public hearings must be provided. HUD reserves the right to request additional information to verify the MTW PHA has complied with public process requirements in the Standard MTW Agreement (or successor MTW Agreement).</p> | <p>B. EVALUATION RESULTS</p> <p>The MTW PHA shall provide a description of the results of the latest MTW PHA-directed evaluation (or state that there are none).</p> |
| <p>C. PLANNED AND ONGOING EVALUATIONS</p> <p>The MTW PHA shall provide a description of any planned or ongoing MTW PHA-directed evaluations of the MTW demonstration and/or of any specific MTW activities (or state that there are none).</p> | <p>C. MTW STATUTORY REQUIREMENT CERTIFICATION</p> <p>The MTW PHA shall provide a certification that the MTW PHA has met the three MTW statutory requirements in the Plan Year of: (1) ensuring that at least 75% of households assisted by the MTW PHA are very low-income, (2) continuing to assist substantially the same total number of households as would have been assisted had the MTW PHA not participated in the MTW demonstration, and (3) maintaining a comparable mix of households (by family size) served as would have been served had the MTW PHA not participated in the MTW demonstration.</p> |
| <p>D. LOBBYING DISCLOSURES</p> <p>The MTW PHA shall provide signed copies of the Disclosure of Lobbying Activities (SF-LLL) and the related Certification of Payments (HUD-50071).</p> | <p>D. MTW ENERGY PERFORMANCE CONTRACT (EPC) FLEXIBILITY DATA</p> <p>Some MTW PHAs possess flexibility with regard to EPCs in the Standard MTW Agreement. MTW PHAs that possess and utilize this flexibility should here report the data as specified in the MTW PHA's Standard MTW Agreement (or successor MTW Agreement). If the MTW PHA does not possess and/or utilize such flexibility, this section should be marked not applicable.</p> |

CERTIFICATIONS OF COMPLIANCE

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT OFFICE OF PUBLIC AND INDIAN HOUSING

Certifications of Compliance with Regulations: Board Resolution to Accompany the Annual Moving to Work Plan

Acting on behalf of the Board of Commissioners of the Moving to Work Public Housing Agency (MTW PHA) listed below, as its Chairman or other authorized MTW PHA official if there is no Board of Commissioners, I approve the submission of the Annual Moving to Work Plan for the MTW PHA Plan Year beginning (DD/MM/YYYY), 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 MTW PHA published a notice that a hearing would be held, that the Plan and all information relevant to the public hearing was available for public inspection for at least 30 days, that there were no less than 15 days between the public hearing and the approval of the Plan by the Board of Commissioners, and that the MTW PHA conducted a public hearing to discuss the Plan and invited public comment.
- (2) The MTW PHA took into consideration public and resident comments (including those of its Resident Advisory Board or Boards) before approval of the Plan by the Board of Commissioners or Board of Directors in order to incorporate any public comments into the Annual MTW Plan.
- (3) The MTW PHA certifies that the Board of Directors has reviewed and approved the budget for the Capital Fund Program grants contained in the Capital Fund Program Annual Statement/Performance and Evaluation Report, form HUD-50075.1 (or successor form as required by HUD).
- (4) The MTW PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
- (5) 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.
- (6) 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 MTW PHA's jurisdiction and a description of the manner in which the Plan is consistent with the applicable Consolidated Plan.
- (7) The MTW PHA will affirmatively further fair housing by fulfilling the requirements at 24 CFR 903.7(o) and 24 CFR 903.15(d), which means that it will take meaningful actions to further the goals identified in the Assessment of Fair Housing (AFH) conducted in accordance with the requirements of 24 CFR 5.150 through 5.180, that it will take no action that is materially inconsistent with its obligation to affirmatively further fair housing, and that it will address fair housing issues and contributing factors in its programs, in accordance with 24 CFR 903.7(o)(3). Until such time as the MTW PHA is required to submit an AFH, and that AFH has been accepted by HUD, the MTW PHA will address impediments to fair housing choice identified in the Analysis of Impediments to fair housing choice associated with any applicable Consolidated or Annual Action Plan under 24 CFR Part 91.
- (8) The MTW PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
- (9) In accordance with 24 CFR 5.105(a)(2), HUD's Equal Access Rule, the MTW PHA will not make a determination of eligibility for housing based on sexual orientation, gender identify, or marital status and will make no inquiries concerning the gender identification or sexual orientation of an applicant for or occupant of HUD-assisted housing.
- (10) The MTW 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 MTW PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
- (12) The MTW PHA will comply with requirements with regard to a drug free workplace required by 24 CFR Part 24, Subpart F.
- (13) The MTW PHA will comply with requirements with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.

- (14) The MTW 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.
- (15) The MTW PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
- (16) The MTW PHA will provide HUD or the responsible entity any documentation needed to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58. Regardless of who acts as the responsible entity, the MTW PHA will maintain documentation that verifies compliance with environmental requirements pursuant to 24 Part 58 and 24 CFR Part 50 and will make this documentation available to HUD upon its request.
- (17) With respect to public housing and applicable local, non-traditional development the MTW 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.
- (18) The MTW PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
- (19) The MTW PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
- (20) The MTW PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR Part 200.
- (21) The MTW PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the Moving to Work Agreement and Statement of Authorizations and included in its Plan.
- (22) All attachments to the Plan have been and will continue to be available at all times and all locations that the 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 MTW PHA in its Plan and will continue to be made available at least at the primary business office of the MTW PHA.

MTW PHA NAME

MTW PHA NUMBER/HA CODE

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

NAME OF AUTHORIZED OFFICIAL

TITLE

SIGNATURE

DATE

* *Must be signed by either the Chairman or Secretary of the Board of the MTW PHA's legislative body. This certification cannot be signed by an employee unless authorized by the MTW PHA Board to do so. If this document is not signed by the Chairman or Secretary, documentation such as the by-laws or authorizing board resolution must accompany this certification.*

STANDARD HUD METRICS

For all activities in Section (III) Proposed Activities and activities in Section (IV) Approved Activities in the "Implemented" category, the MTW PHA must use all of the applicable Standard HUD Metrics listed below. Standard HUD Metrics must be reported in the table format provided in order to allow analysis and aggregation across MTW PHAs for similar activities.

For Standard HUD Metrics that are different from the metrics the MTW PHA had been reporting on for an implemented MTW activity, the MTW PHA may set a baseline prior to when the MTW activity began (through historical records or extrapolation from available data). If such information is not available, the MTW PHA may set the baseline in the Annual MTW Report where the Standard HUD Metric is first presented. If one of the Standard HUD Metrics had not been used in previous Annual MTW Reports, the MTW PHA must begin tracking the MTW activity using the Standard HUD Metrics during the current Plan Year.

MTW PHAs should show the component variables that comprise figures (for example, in showing a "Total Cost," an MTW PHA would show the cost per transaction and number of transactions).

MTW PHAs have the flexibility to report on agency developed and previously established metrics in addition to the required Standard HUD Metrics.

COST EFFECTIVENESS

When citing the statutory objective to "reduce cost and achieve greater cost effectiveness in federal expenditures," include all of the following metrics that apply:

CE #1: Agency Cost Savings

| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
|---|--|--|--|---|
| Total cost of task in dollars (decrease). | Cost of task prior to implementation of the activity (in dollars). | Expected cost of task after implementation of the activity (in dollars). | Actual cost of task after implementation of the activity (in dollars). | Whether the outcome meets or exceeds the benchmark. |

CE #2: Staff Time Savings

| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
|--|--|--|--|---|
| Total time to complete the task in staff hours (decrease). | Total amount of staff time dedicated to the task prior to implementation of the activity (in hours). | Expected amount of total staff time dedicated to the task after implementation of the activity (in hours). | Actual amount of total staff time dedicated to the task after implementation of the activity (in hours). | Whether the outcome meets or exceeds the benchmark. |

CE #3: Decrease in Error Rate of Task Execution

| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
|---|--|--|--|---|
| Average error rate in completing a task as a percentage (decrease). | Average error rate of task prior to implementation of the activity (percentage). | Expected average error rate of task after implementation of the activity (percentage). | Actual average error rate of task after implementation of the activity (percentage). | Whether the outcome meets or exceeds the benchmark. |

| CE #4: Increase in Resources Leveraged | | | | |
|--|---|--|--|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Amount of funds leveraged in dollars (increase). | Amount leveraged prior to implementation of the activity (in dollars). This number may be zero. | Expected amount leveraged after implementation of the activity (in dollars). | Actual amount leveraged after implementation of the activity (in dollars). | Whether the outcome meets or exceeds the benchmark. |

| CE #5: Increase in Agency Rental Revenue | | | | |
|--|---|---|---|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Total Household contributions towards housing assistance (increase). | Household contributions prior to implementation of the activity (in dollars). | Expected household contributions after implementation of the activity (in dollars). | Actual household contributions after implementation of the activity (in dollars). | Whether the outcome meets or exceeds the benchmark. |

| CE #6: Reducing Per Unit Subsidy Costs for Participating Households | | | | |
|---|---|---|---|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Average amount of Section 8 and/or 9 subsidy (or local, non-traditional subsidy) per household affected by this policy in dollars (decrease). | Average subsidy per household affected by this policy prior to implementation of the activity (in dollars). | Expected average subsidy per household affected by this policy after implementation of the activity (in dollars). | Actual average subsidy per household affected by this policy after implementation of the activity (in dollars). | Whether the outcome meets or exceeds the benchmark. |

SELF SUFFICIENCY

When citing the statutory objective to “give incentives to families...whose heads of household are either working, seeking work, or are participating in job training educational or other programs to assist in obtaining employment and becoming economically self-sufficient,” include all of the following metrics that apply:

| SS #1: Increase in Household Income | | | | |
|--|---|--|--|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Average earned income of households affected by this policy in dollars (increase). | Average earned income of households affected by this policy prior to implementation of the activity (in dollars). | Expected average earned income of households affected by this policy prior to implementation of the activity (in dollars). | Actual average earned income of households affected by this policy prior to implementation (in dollars). | Whether the outcome meets or exceeds the benchmark. |

| SS #2: Increase in Household Savings | | | | |
|---|--|---|---|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Average amount of savings/escrow of households affected by this policy in dollars (increase). | Average savings/escrow amount of households affected by this policy prior to implementation of the activity (in dollars). This number may be zero. | Expected average savings/escrow amount of households affected by this policy after implementation of the activity (in dollars). | Actual average savings/escrow amount of households affected by this policy after implementation of the activity (in dollars). | Whether the outcome meets or exceeds the benchmark. |

| SS#3: Increase in Positive Outcomes in Employment Status | | | | |
|---|---|--|--|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Report the following information separately for each category: (1) Employed Full- Time (2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed (6) Other | Head(s) of households in <<category name>> prior to implementation of the activity (number). This number may be zero. | Expected head(s) of work-able households in <<category name>> after implementation of the activity (number). | Actual head(s) of work-able households in <<category name>> after implementation of the activity (number). | Whether the outcome meets or exceeds the benchmark. |
| | Percentage of total work-able households in <<category name>> prior to implementation of activity (percent). This number may be zero. | Expected percentage of total work-able households in <<category name>> after implementation of the activity (percent). | Actual percentage of total work-able households in <<category name>> after implementation of the activity (percent). | Whether the outcome meets or exceeds the benchmark. |

| SS #4: Households Removed from Temporary Assistance for Needy Families (TANF) | | | | |
|--|---|---|---|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Number of households receiving TANF assistance (decrease). | Households receiving TANF prior to implementation of the activity (number). | Expected number of households receiving TANF after implementation of the activity (number). | Actual households receiving TANF after implementation of the activity (number). | Whether the outcome meets or exceeds the benchmark. |

| SS #5: Households Assisted by Services that Increase Self Sufficiency | | | | |
|--|--|--|--|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Number of households receiving services aimed to increase self sufficiency (increase). | Households receiving self sufficiency services prior to implementation of the activity (number). | Expected number of households receiving self sufficiency services after implementation of the activity (number). | Actual number of households receiving self sufficiency services after implementation of the activity (number). | Whether the outcome meets or exceeds the benchmark. |

| SS #6: Reducing Per Unit Subsidy Costs for Participating Households | | | | |
|---|---|---|---|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Average amount of Section 8 and/or 9 subsidy (or local, non-traditional subsidy) per household affected by this policy in dollars (decrease). | Average subsidy per household affected by this policy prior to implementation of the activity (in dollars). | Expected average subsidy per household affected by this policy after implementation of the activity (in dollars). | Actual average subsidy per household affected by this policy after implementation of the activity (in dollars). | Whether the outcome meets or exceeds the benchmark. |

| SS #7: Increase in Agency Rental Revenue | | | | |
|--|---|---|---|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Total Household contributions towards housing assistance (increase). | Household contributions prior to implementation of the activity (in dollars). | Expected household contributions after implementation of the activity (in dollars). | Actual household contributions after implementation of the activity (in dollars). | Whether the outcome meets or exceeds the benchmark. |

| SS #8: Households Transitioned to Self Sufficiency | | | | |
|---|---|--|--|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Number of households transitioned to self sufficiency (increase). The PHA may create one or more definitions for "self sufficiency" to use for this metric. Each time the PHA uses this metric, the "Outcome" number should also be provided in Section (II) Operating Information in the space provided. | Households transitioned to self sufficiency (<<PHA definition of self-sufficiency>>) prior to implementation of the activity (number). This number may be zero. | Expected households transitioned to self sufficiency (<<PHA definition of self-sufficiency>>) after implementation of the activity (number). | Actual households transitioned to self sufficiency (<<PHA definition of self-sufficiency>>) after implementation of the activity (number). | Whether the outcome meets or exceeds the benchmark. |

HOUSING CHOICE

When citing the statutory objective to "increase housing choices for low-income families," include all of the following metrics that apply:

| HC #1: Additional Units of Housing Made Available | | | | |
|--|---|--|--|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Number of new housing units made available for households at or below 80% AMI as a result of the activity (increase). If units reach a specific type of household, give that type in this box. | Housing units of this type prior to implementation of the activity (number). This number may be zero. | Expected housing units of this type after implementation of the activity (number). | Actual housing units of this type after implementation of the activity (number). | Whether the outcome meets or exceeds the benchmark. |

| HC #2: Units of Housing Preserved | | | | |
|---|---|---|---|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Number of housing units preserved for households at or below 80% AMI that would otherwise not be available (increase). If units reach a specific type of household, give that type in this box. | Housing units preserved prior to implementation of the activity (number). | Expected housing units preserved after implementation of the activity (number). | Actual housing units preserved after implementation of the activity (number). | Whether the outcome meets or exceeds the benchmark. |

| HC #3: Decrease in Wait List Time | | | | |
|---|--|--|--|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Average applicant time on wait list in months (decrease). | Average applicant time on wait list prior to implementation of the activity (in months). | Expected average applicant time on wait list after implementation of the activity (in months). | Actual average applicant time on wait list after implementation of the activity (in months). | Whether the outcome meets or exceeds the benchmark. |

| HC #4: Displacement Prevention | | | | |
|--|---|---|---|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Number of households at or below 80% AMI that would lose assistance or need to move (decrease). If units reach a specific type of household, give that type in this box. | Households losing assistance/moving prior to implementation of the activity (number). | Expected households losing assistance/moving after implementation of the activity (number). | Actual households losing assistance/moving after implementation of the activity (number). | Whether the outcome meets or exceeds the benchmark. |

| HC #5: Increase in Resident Mobility | | | | |
|---|--|---|---|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Number of households able to move to a better unit and/or neighborhood of opportunity as a result of the activity (increase). | Households able to move to a better unit and/or neighborhood of opportunity prior to implementation of the activity (number). This number may be zero. | Expected households able to move to a better unit and/or neighborhood of opportunity after implementation of the activity (number). | Actual increase in households able to move to a better unit and/or neighborhood of opportunity after implementation of the activity (number). | Whether the outcome meets or exceeds the benchmark. |

| HC #6: Increase in Homeownership Opportunities | | | | |
|--|---|--|--|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Number of households that purchased a home as a result of the activity (increase). | Number of households that purchased a home prior to implementation of the activity (number). This number may be zero. | Expected number of households that purchased a home after implementation of the activity (number). | Actual number of households that purchased a home after implementation of the activity (number). | Whether the outcome meets or exceeds the benchmark. |

| HC #7: Households Assisted by Services that Increase Housing Choice | | | | |
|--|--|---|---|---|
| Unit of Measurement | Baseline | Benchmark | Outcome | Benchmark Achieved? |
| Number of households receiving services aimed to increase housing choice (increase). | Households receiving this type of service prior to implementation of the activity (number). This number may be zero. | Expected number of households receiving these services after implementation of the activity (number). | Actual number of households receiving these services after implementation of the activity (number). | Whether the outcome meets or exceeds the benchmark. |

Privacy Act Statement. This statement is provided pursuant to the Privacy Act of 1974, 5 USC § 552a. The authority for collecting personally identifiable information (PII) in the Regulatory Consistency Communication Board (RCCB) Electronic Feedback Form is based in Section 313 of Public Law 112-95.

ATTACHMENT C

STATEMENT OF AUTHORIZATIONS

TO
AMENDED AND RESTATED MOVING TO WORK AGREEMENT
BETWEEN
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
AND
AGENCY

A. General Conditions

1. This Statement of Authorizations describes the activities that the Public Housing Authority (Agency) may carry out under the Moving to Work (MTW) Demonstration program, subject to the terms and conditions of the Amended and Restated Moving to Work Demonstration Agreement (Restated Agreement) between the Agency and the U.S. Department of Housing and Urban Development (HUD).
2. Unless otherwise provided in Attachment D of the Restated Agreement, the Agency's MTW Demonstration Program applies to all of the Agency's public housing assisted units (including Agency-owned properties and units comprising a part of mixed-income, mixed finance communities) tenant-based Section 8 voucher assistance (hereinafter referred to as the "Housing Choice Voucher Program"), Section 8 project-based voucher assistance under Section 8(o) and Homeownership units developed using Section 8(y) voucher assistance.
3. The purpose of the Statement of Authorizations is to delegate to the Agency the authority to pursue locally driven policies, procedures and programs with the aim of developing better, more efficient ways to provide housing assistance and incentives to self-sufficiency to low, very-low, and extremely low-income families. The authorizations listed in this Attachment C are granted fully without requiring any additional HUD authorizations, as necessary to implement the activities described in the Annual MTW Plan. The Agency may proceed with activities based upon these authorizations once the activity has been included in the Annual MTW Plan, in accordance with Attachment B, and HUD has approved the Plan and activities. HUD will review and approve these documents to ensure that the Annual MTW Plan has provided meaningful citizen participation, taking into account comments from a public hearing and any other comments on the proposed program, as well as providing for, receiving, and meaningfully considering comments from current and prospective residents who would be affected. HUD will also review in order to ascertain that these activities are within the MTW authorizations provided by HUD.
4. The Agency reaffirms that it will comply with all applicable nondiscrimination and equal opportunity requirements set forth in 24 CFR 5.105(a), and will administer its programs and activities in a manner affirmatively to further fair housing. In particular, the Agency

must make reasonable modifications and accommodations needed by applicants and residents and must make units accessible in accordance with the Needs Assessment and Transition Plan as required under Section 504 of the Rehabilitation Act of 1973 and its implementing regulations.

B. Authorizations Related to Both Public Housing and Section 8 Housing Choice Vouchers

1. Single Fund Budget with Full Flexibility

This authorization waives certain provisions of Sections 8 and 9 of the 1937 Act and 24 C.F.R. 982, and 990 as necessary to implement the Agency's Annual MTW Plan.

- a. The Agency may combine funding awarded to it annually pursuant to Section 8(o), 9(d) and 9(e) of the 1937 Act into a single, authority-wide funding source ("MTW Funds"). However, section 9(d) funds are still subject to the obligation and expenditure deadlines and requirements provided in section 9(j) despite the fact that they are combined in a single fund. The funding amount for the MTW Funds may be increased by additional allocations of housing choice vouchers to which the Agency is entitled over the term of the Agreement. Special purpose vouchers will not be included in the MTW Funds during their initial term, though some may be included in the MTW Funds upon renewal.
- b. The Agency may use MTW Funds for any eligible activity under Sections 9(d)(1), 9(e)(1) and Section 8(o) of the 1937 Act. Within the scope of the permissible eligible activities, the Agency can carry out the purposes of the MTW Demonstration Program to provide flexibility in the design and administration of housing assistance to eligible families, to reduce cost and achieve greater cost effectiveness in Federal expenditures, to give incentives to families with children where the head of household is working, seeking work, or is preparing for work by participating in job training, educational programs, or programs that assist people to obtain employment and become economically self-sufficient, and to increase housing choices for low-income families, through activities that would otherwise be eligible under sections 8 and 9 of the 1937 Act, including, but not limited to, the following activities:
 - i. Provision of Capital funds or operating assistance to housing previously developed or operated pursuant to a contract between HUD and the Agency or newly acquired or developed pursuant to section ii below.
 - ii. The acquisition, new construction, reconstruction or moderate or substantial rehabilitation of housing (including, but not limited to, assisted living, or other housing as deemed appropriate by the Agency, in accordance with its mission), or commercial facilities consistent with the objectives of the demonstration. Such activities may include but are not limited to real property acquisition, site improvement, development of utilities and utility services and energy efficiency systems, conversion, demolition, financing, administration and planning costs, relocation and other related activities; provided, however, that prior HUD

approval is required for the development of any incremental public housing units, pursuant to Section 9(g)(3) of the 1937 Act.

- lii. The provision of housing or employment-related services or other case management activities, such as housing counseling in connection with rental or homeownership assistance, energy auditing, activities related to the provision of self-sufficiency and other services, employment counseling, education, training and other services related to assisting tenants, owners, contractors, and other persons or entities participating or seeking to participate in other housing or training and educational activities assisted pursuant to this section.
 - iv. The provision of management services, including preparation of work specifications, loan processing, inspections, tenant selection, management of tenant and project-based rental assistance and management of housing projects or other facilities or operations developed under this program.
 - v. The provision of safety, security, and law enforcement measures and activities appropriate to protect residents of housing from crime.
 - vi. The provision of Housing Choice Voucher assistance or project-based rental assistance (under Section 8(o)), alone or in conjunction with other private or public sources of assistance.
 - vii. The preservation of public housing and/or Housing Choice Voucher units currently serving people of low income or the acquisition and/or development of new units for people of low income, provided that all rehabilitation and construction is done in accordance with the requirements of Section 504 of the Rehabilitation Act and where applicable, the design and construction requirements of the Fair Housing Act.
 - viii. If the Agency chooses to establish single fund flexibility, the Agency is authorized to use housing assistance payments for purposes other than payments to owners, so long as these purposes are consistent with other eligible uses of section 8 and section 9 funds.
- c. These activities may be carried out by the Agency, by an entity, agent, or instrumentality of the Agency, a partnership, a grantee, contractor, or other appropriate party or legal entity.
- d. The Agency's expenditures must comply with OMB Circular A-87, which provides basic guidelines for the use of federal funds, and with this MTW Agreement.
- e. The Agency may use capital funds (including development and replacement housing factor funds) in accordance with this Agreement.

2. Partnerships with For-Profit and Non-Profit Entities

The Agency may partner with for-profit and non-profit entities, subject to 24 C.F.R. Part 85 and 941.602(d), including, mixed-income, mixed-finance development partners and third party management companies, as well as affiliates and instrumentalities of the Agency ("Agency Partners"), to implement and develop all or some of the initiatives that may comprise the Agency's MTW Demonstration Program. The Agency may, with respect to MTW eligible activity and when working with or partnering with such partners, make available to Agency Partners the least restrictive regulatory requirements allowable based on Agency's participation in the MTW Demonstration Program and that agreements with Agency Partners may reflect the implementation of less restrictive regulatory requirements. *This authorization waives certain provisions of Sections 13 and 35 of the 1937 Act and 24 C.F.R. 941 Subpart F as necessary to implement the Agency's Annual MTW Plan.*

3. Definition of Elderly Family

The Agency is authorized to amend the definition of elderly to include families with a head of household or family member who is at least 55 years old, and must be in compliance with the all Fair Housing Requirements, in particular the Housing for Older Persons Act of 1995. *This authorization waives certain provisions of Section 3 (b)(3) and (G) of the 1937 Act and 24 C.F.R. 5.403 as necessary to implement the Agency's Annual MTW Plan.*

4. Transitional/Conditional Housing Program

The Agency may develop and adopt new short-term transitional housing programs, consistent with an eligible use of section 8 and 9 funds, with supportive services in one or more buildings in collaboration with local community-based organizations and government agencies. Successful participants in these programs will be eligible for transfer to the Agency's public housing or housing choice voucher programs. The Agency will ensure that these programs do not have a disparate impact on protected classes, and will be operated in a manner that is consistent with the requirements of Section 504 of the Rehabilitation Act. More specifically, under no circumstances will residents of such programs be required to participate in supportive services that are targeted at persons with disabilities in general, or persons with any specific disability. In addition, admission to any of the programs developed under this section will not be conditioned on the presence of a disability or a particular disability. This section is not intended to govern the designation of housing that is subject to Section 7 of the 1937 Act. *This authorization waives certain provisions of Sections 3, 4, 5, 8, and 9 of the 1937 Act and 24 C.F.R. 941, and 960 Subpart B as necessary to implement the Agency's Annual MTW Plan.*

5. Investment Policies

Subject to HUD approval, the Agency is authorized to adopt investment policies consistent with state law to the extent such policies are in compliance with applicable OMB circulars and other federal laws. The Agency shall invest only in securities authorized under state law that will allow the flexibility to invest productively and efficiently. *This authorization waives certain provisions of Section 6(c)(4) of the 1937 Act and 24 C.F.R. 982.156 as necessary to implement the Agency's Annual MTW Plan.*

C. Authorizations Related to Public Housing Only

1. Site Based or Geographic Area Waiting List System

The Agency is authorized to implement a locally designed waiting list system in lieu of the specific procedural requirements of 24 C.F.R. Part 903 provided that it provides applicants with a reasonable choice of location in accordance with title VI of the Civil Rights Act, the Fair Housing Act, and other applicable civil rights requirements. The Agency may implement additional site-based waiting lists under this MTW Agreement. Such additional site-based waiting lists will be developed, at the Agency's option, to address various situations, including, but not limited to the following: (1) any existing or new or mixed-income, mixed finance communities; (2) any on-site and/or off-site public housing replacement units developed in support of the Agency's redevelopment or HOPE VI efforts, if any; (3) any specially designated public housing or project-based communities; and (4) combining or separating waiting lists for Section 8 tenant-based or project-based assistance, public housing rental communities, homeownership opportunities, and mixed-income, mixed-finance communities. *This authorization waives certain provisions of Section 6(r) of the 1937 Act and 24 C.F.R. 903.7 as necessary to implement the Agency's Annual MTW Plan.*

2. Local Preferences and Admission and Continued Occupancy Policies and Procedures

The Agency is authorized to develop and adopt local preferences and admission policies and procedures for admission into the public housing program in lieu of HUD statutes, regulations or other requirements based in the 1937 Act so long as the families assisted qualify as low income, and that the total mix of families assisted meets the requirements of part I.C of the Amended and Restated MTW Agreement. The Agency is required to revise the Admissions and Continued Occupancy Policy (ACOP), to implement changes in public housing occupancy policy as a result of the MTW program. Regardless of changes to the Agency's adopted ACOP policies and procedures, the Agency must comply with Sections I(B)(1) and II(D) of this Agreement. The Agency is subject to state and local preferences law. *This authorization waives certain provisions of Section 3 of the 1937 Act and 24 C.F.R. 960.206 as necessary to implement the Agency's Annual MTW Plan.*

3. Deconcentration Policy

The Agency is authorized to develop and adopt a local policy designed to provide for deconcentration and income mixing in public housing communities. *This authorization waives certain provisions of Section 16(3)(B) of the 1937 Act and 24 C.F.R. 903.2 as necessary to implement the Agency's Annual MTW Plan.*

4. Initial, Annual and Interim Income Review Process

The Agency is authorized to restructure the initial, annual and interim review process in the public housing program in order to affect the frequency of the reviews and the methods and process used to establish the integrity of the income information provided. In addition, the Agency is expressly authorized to adopt a local system of income verification in lieu of the current HUD system. For example, the Agency may implement alternate time frames for validity of verification or adopt policies for verification of income and assets through sources other than those currently allowed under the 1937 Act. *This authorization waives certain provisions of sections 3(a)(1) and 3(a)(2) of the 1937*

Act and 24 C.F.R. 966.4 and 960.257, as necessary to implement the Agency's Annual MTW Plan.

5. Use of Public Housing as an Incentive for Economic Progress

The Agency is authorized to modify current public housing occupancy policies to use housing as an incentive for making economic progress, as long as Section II.C. of the MTW Agreement is adhered to. Such modifications may include revising maximum income limits for admission or continued occupancy. Families denied admission or continued occupancy shall continue to be entitled to the right to an informal hearing. *This authorization waives certain provisions of Section 6(c) of the 1937 Act and 24 C.F.R. 960.201, as necessary to implement the Agency's Annual MTW Plan.*

6. Incentives for Underutilized Developments

The Agency is authorized to develop and offer incentives that will attract applicants to developments, or portions thereof, which have been difficult to market. *This authorization waives certain provisions of Section 3(a)(2) and 3(a)(3)(A) of the 1937 Act and 24 C.F.R. 960 subpart B as necessary to implement the Agency's Annual MTW Plan.*

7. Simplification of the Development and Redevelopment Process for Public Housing

This authorization waives certain provisions of Sections 4, 5, 9, 24, 32 and 35 of the 1937 Act and 24 C.F.R. 941 as necessary to implement the Agency's Annual MTW Plan.

- a. The Agency may, at its own discretion, allow any authorizations and regulatory relief granted to the Agency pursuant to this MTW Agreement to inure to the benefit of the Agency's Partners with respect to MTW eligible activities, and HUD hereby agrees to the amendment of any and all evidentiaries necessary to implement the least restrictive regulatory requirements allowable.
- b. The Agency is authorized to establish reasonable low-income homeownership programs, such as a lease-to-own program, that are not limited by the existing public housing homeownership requirements, provided that units can only be sold to current public housing residents and that any disposition of current public housing units must be approved in advance by HUD. Any disposition application will be submitted and processed in accordance with this Agreement.

8. Streamlined Demolition and Disposition Procedures

The Agency may choose to follow HUD's "Streamlined Processing Instructions for Disposition, Demolition, and Disposition/Demolition Applications from MTW Agencies."

9. Simplification of Property Management Practices

The Agency is authorized to simplify property management practices as follows:

- a. The Agency is authorized to deploy a risk management approach in establishing property and system inspection protocols and frequencies in lieu of the HUD requirements of annual inspections by Agencies, as long as these protocols assure that housing units assisted under the demonstration meet housing quality standards approved or established by the Secretary. *This authorization waives certain provisions of Section 6 (f) of the 1937 Act and 24 C.F.R. 902-Subpart B as necessary to implement the Agency's Annual MTW Plan.*

- b. The Agency is authorized to develop and adopt a new form of local lease and establish community rules, grievance procedures, tenant self-sufficiency requirements and reasonable tenant fees based on proven private management models (subject to State and local laws), provided that no-cause evictions are not permitted. *This authorization waives certain provisions of Section 6 (l) of the 1937 Act and 24 C.F.R. 966 Subparts A and B as necessary to implement the Agency's Annual MTW Plan.*

10. Special Admissions and Occupancy Policies for Certain Public Housing Communities

The Agency is authorized to involve a broad spectrum of community stakeholders, including advocacy groups, in a process to explore and adopt reasonable restrictions for occupancy of specific public housing buildings in the Agency's inventory. Buildings, or portions of buildings (floors, units), may be designated as Smoke-Free, Pet-Free or Assisted Living (or other similar reservations). The Agency may establish admissions preferences in order to establish these special occupancy requirements. A key goal of this initiative will be to ensure that the Agency is able to maintain and improve the quality of life in the Agency communities. These reservations or policies must not have a disparate impact on protected classes and must be operated in a manner that is consistent with the requirements of Section 504 of the Rehabilitation Act. Any such designations or policies will include adequate safeguards for the disabled, including protections for disabled persons who are Agency residents and those seeking housing assistance. Residents can voluntarily participate in any of the services provided. Once adopted, the designations or policies will be updated and reviewed as part of the Annual MTW Plan and Report submitted by the Agency for HUD's review. In particular, the Agency will review the demographic make-up of its current resident population and applicants to assess the need for and support any changes to its designations or policies. *This authorization waives certain provisions of Sections 3, 6, 7, 16, and 31 of the 1937 Act and 24 C.F.R. 945 subpart C, 960 Subparts B, D, E and G as necessary to implement the Agency's Annual MTW Plan.*

11. Rent Policies and Term Limits

The Agency is authorized to determine family payment, including the total tenant payment, the minimum rent, utility reimbursements and tenant rent. The Agency is authorized to adopt and implement any reasonable policies for setting rents in public housing including but not limited to establishing definitions of income and adjusted income, or earned income disallowance that differ from those in current statutes or regulations. The Agency is authorized to adopt and implement term limits for its public housing assistance. Such policies must include provisions for addressing hardship cases. *This authorization waives certain provisions of Section 3(a)(2), 3(a)(3)(A) and Section 6(l) of the 1937 Act and 24 C.F.R. 5.603, 5.611, 5.628, 5.630, 5.632, 5.634 and 960.255 and 966 Subpart A as necessary to implement the Agency's Annual MTW Plan.*

12. Design Guidelines

The Agency is authorized to establish reasonable and modest design guidelines, unit size guidelines and unit amenity guidelines for development and redevelopment activities that will replace HUD guidelines with guidelines that reflect local marketplace conditions for quality construction in its locality so long as all units meet housing quality standards approved by the Secretary. *This authorization waives certain provisions of Sections 4, 5, and 9 of the 1937 Act and 24 C.F.R. 941.202, 941.203, 941.401, and 941.403 as*

necessary to implement the Agency's Annual MTW Plan.

13. Site Acquisition

The agency is authorized to acquire sites without prior HUD approval, provided that the agency certifies that HUD site selection requirements have been met. *This authorization waives certain provisions of 24 C.F.R. 941.401 as necessary to implement the Agency's Annual MTW Plan.*

14. Commercial Business Venture

The Agency is authorized to enter into commercial business ventures as part of its neighborhood revitalization or affordable housing strategies or other strategies designed to serve as catalysts for revitalization of public housing or surrounding communities. Any venture must be consistent with eligible uses of funds under Sections 8 and 9 of the 1937 Act. *This authorization waives certain provisions of 24 C.F.R. 941 subpart F as necessary to implement the Agency's Annual MTW Plan.*

15. Available Property

The Agency is authorized to make available public housing property including dwelling and non-dwelling spaces and vacant land for the purpose of providing services, programs and capital improvements that benefit residents and program participants. *This authorization waives certain provisions of Section 9 of the 1937 Act and 24 C.F.R. 990 Subpart B as necessary to implement the Agency's Annual MTW Plan.*

16. Total Development Cost (TDC) limits

The agency is authorized to establish reasonable cost formulas for development and redevelopment activities that will replace HUD's TDC limits in order to reflect local marketplace conditions for quality construction in its locality. *This authorization waives certain provisions of Section 6(b) of the 1937 Act and 24 C.F.R. 941.306 as necessary to implement the Agency's Annual MTW Plan.*

D. Authorizations Related to Section 8 Housing Choice Vouchers Only

1. Operational Policies and Procedures

The Agency is authorized to determine the following basic operational policies and procedures for all Section 8 assistance the Agency is provided under section 8(o) of the 1937 Act:

- a. The Agency is authorized to determine the term and content of Housing Assistance Payment (HAP) contracts to owners during the term of the MTW demonstration. However, any revised HAP contract must include language noting that the funding for the contract is subject to the availability of Appropriations. *This authorization waives certain provisions of Section 8(o)(7) of the 1937 Act and 24 C.F.R. 982.162 as necessary to implement the Agency's Annual MTW Plan;*
- b. The Agency is authorized to determine the length of the lease period, when vouchers expire and when vouchers will be reissued. *This authorization waives certain provisions of Sections 8(o)(7)(a), 8(o)(13)(F) and 8(o)(13)(G) of the 1937 Act and 24 C.F.R. 982.303, 982.309 and 983 Subpart F as necessary to implement the Agency's Annual MTW Plan;*

- c. The Agency is authorized to define, adopt and implement a reexamination program that differs from the reexamination program currently mandated in the 1937 Act and its implementing regulations. *This authorization waives certain provisions of Section 8(o)(5) of the 1937 Act and 24 C.F.R. 982.516 as necessary to implement the Agency's Annual MTW Plan;*
- d. The Agency is authorized to determine a damage claim and/or vacancy loss policy and payment policy for occupied units that differs from the policy requirements currently mandated in the 1937 Act and its implementing regulations. Damage and vacancy authority are subject to state and local laws. *This authorization waives certain provisions of Section 8(o)(9), of the 1937 Act and 24 C.F.R. 982.311 as necessary to implement the Agency's Annual MTW Plan;*
- e. The Agency is authorized to determine the percentage of housing voucher assistance that it is permitted to project-base, and criteria for expending funds for physical improvements on those units that differs from the percentage and criteria requirements currently mandated in the 1937 Act and its implementing regulations. *This authorization waives certain provisions of Section 8(o)(13) of the 1937 Act and 24 C.F.R. 983 as necessary to implement the Agency's Annual MTW Plan;*
- f. The Agency is authorized to determine property eligibility criteria, including types of units currently prohibited by Section 8 regulations, as well as shared living facilities. If the Agency chooses to use this authorization, it will need to provide a transition plan to both the affected residents and HUD prior to the end of the demonstration. *This authorization waives certain provisions of Section 8(p) of the 1937 Act and 24 C.F.R. 983.53-54 and 982 Subparts H and M as necessary to implement the Agency's Annual MTW Plan; and*
- g. The Agency is authorized to establish its own portability policies with other MTW and non-MTW housing authorities. *This authorization waives certain provisions of Section 8(r) of the 1937 Act and 24 C.F.R. 982 Subpart H as necessary to implement the Agency's Annual MTW Plan.*

2. Rent Policies and Term Limits

- a. The Agency is authorized to adopt and implement any reasonable policy to establish payment standards, rents or subsidy levels for tenant-based assistance that differ from the currently mandated program requirements in the 1937 Act and its implementing regulations. The Agency is authorized to adopt and implement any reasonable policies to calculate the tenant portion of the rent that differ from the currently mandated program requirements in the 1937 Act and its implementing regulations. *This authorization waives certain provisions of Sections 8(o)(1), 8(o)(2), 8(o)(3), 8(o)(10) and 8(o)(13)(H)-(I) of the 1937 Act and 24 C.F.R. 982.508, 982.503 and 982.518, as necessary to implement the Agency's Annual MTW Plan;*

- b. The Agency is authorized to determine contract rents and increases and to determine the content of contract rental agreements that differ from the currently mandated program requirements in the 1937 Act and its implementing regulations. *This authorization waives certain provisions of Sections 8(o)(7) and 8(o)(13) of the 1937 Act and 24 C.F.R. 982.308, 982.451 and 983 Subpart E as necessary to implement the Agency's Annual MTW Plan;*
- c. The Agency is authorized to develop a local process to determine rent reasonableness that differs from the currently mandated program requirements in the 1937 Act and its implementing regulations. *This authorization waives certain provisions of Section 8(o)(10) of the 1937 Act and 24 C.F.R. 982.507 as necessary to implement the Agency's Annual MTW Plan;* and
- d. The Agency is authorized to implement term limits for HCV units designated as part of the MTW demonstration. *This authorization waives certain provisions of Sections 8(o)(7) and 8(o)(13)(F)-(G) of the 1937 Act and 24 C.F.R. 982 Subpart L and 983 Subpart E as necessary to implement the Agency's Annual MTW Plan.*

3. Eligibility of Participants

- a. The Agency is authorized to determine income qualifications for participation in the rental assistance program that differ from the currently mandated program requirements in the 1937 Act and its implementing regulations, as long as the requirements that i) at least 75 percent of those assisted under the demonstration are "very low-income" as defined in section 3(b)(2) of the 1937 Act, ii) substantially the same number of low-income persons are assisted under the demonstration as would be without the MTW authorizations contained herein, and iii) a comparable mix of families are assisted under the Agreement as would have been otherwise in Section I.C. of the MTW Agreement are met. *This authorization waives certain provisions of Sections 16(b) and 8(o)(4) of the 1937 Act and 24 C.F.R. 5.603, 5.609, 5.611, 5.628, and 982.201 as necessary to implement the Agency's Annual MTW Plan;* and
- b. The Agency is authorized to adopt and implement any reasonable policy for verifying family income and composition and for determining resident eligibility that differ from the currently mandated program requirements in the 1937 Act and its implementing regulations. *This authorization waives certain provisions of 24 C.F.R. 982.516 and 982 Subpart E, as necessary to implement the Agency's Annual MTW Plan.*

4. Waiting List Policies

The Agency is authorized to determine waiting list procedures, tenant selection procedures and criteria and preferences, including authorizing vouchers for relocation of witnesses and victims of crime that differ from the currently mandated program requirements in the 1937 Act and its implementing regulations. *This authorization waives certain provisions of Sections 8(o)(6), 8(o)(13)(J) and 8(o)(16) of the 1937 Act*

and 24 C.F.R. 982 Subpart E, 982.305 and 983 Subpart F as necessary to implement the Agency's Annual MTW Plan.

5. Ability to Certify Housing Quality Standards

The Agency is authorized to certify that housing assisted under MTW will meet housing quality standards established or approved by HUD. The certification form will be approved or provided by HUD. *This authorization waives certain provisions of Section 8(o)(8) of the 1937 Act and 24 C.F.R. 982, Subpart I as necessary to implement the Agency's Annual MTW Plan.*

6. Local Process to Determine Eligibility

The Agency is authorized to adopt a local process for determining whether units meet certain eligibility requirements, provided such requirements are part of the 1937 Act. *This authorization waives certain provisions of Section 8(o)(13) of the 1937 Act and 24 C.F.R. 983 Subpart D as necessary to implement the Agency's Annual MTW Plan.* This includes, but is not limited to, the following:

- a. The minimum expenditure requirement and the timing of rehabilitation and construction of units.
- b. The type of funds that may be used to rehabilitate or construct units.
- c. Procedures to determine whether or not units meet the Agency's requirements regarding rehabilitation and construction, including what information is required to be submitted by owners to the Agency.

7. Establishment of an Agency MTW Section 8 Project-Based Program

The Agency is authorized to develop and adopt a reasonable policy and process for project-basing Section 8 tenant-based leased housing assistance, which includes the components set forth below:

- a. The Agency is authorized to project-base Section 8 assistance at properties owned directly or indirectly by the Agency that are not public housing, subject to HUD's requirements regarding subsidy layering. If the Agency chooses to project-base Section 8 assistance at such properties, the Agency recognizes and accepts that such units would no longer be eligible for operating subsidy provided under Section 9(e) of the 1937 Housing Act or for future capital funds provided under section 9(d) for those units if it chooses to use this authorization. Project-based assistance for such owned units does not need to be competitively bid, nor are the owned units subject to any required assessments for voluntary conversion. *This authorization waives certain provisions of Sections 8(o)(13)(B and D) of the 1937 Act and 24 C.F.R. 982.1, 982.102 and 24 C.F.R. Part 983 as necessary to implement the Agency's Annual MTW Plan;*
- b. The Agency is authorized to establish a reasonable competitive process or utilize an existing local competitive process for project-basing leased housing assistance at units that meet existing Housing Quality Standards, or any standards developed by the Agency pursuant to this MTW Agreement and approved by the Secretary, and that are owned by non-profit, or for-profit housing entities. *This authorization waives certain provisions of 24 C.F.R. 983.51 as necessary to implement the*

Agency's Annual MTW Plan;

- c. The Agency is authorized to duly adopt, according to the requirements of local law, alternate standards for determining the location of existing, newly constructed or substantially rehabilitated housing to receive subsidy; provided, however, *that in lieu of the Site Selection Standards currently set forth in 24 C.F.R. Section 983.57*, the agency will comply with the following requirements:
- i. The Agency will comply with the Fair Housing Act and Title VI of the Civil Rights Act of 1964, and implementing regulations thereto, in determining the location of newly constructed or acquired public housing units.
 - ii. Units may be located in the agency's jurisdiction, including within, but not limited to, the following types of urban areas: (1) an area of revitalization that has been designated as such by the governing jurisdiction, including Redevelopment Areas and Enhanced Enterprise Communities, (2) an area where public housing units were previously constructed and were demolished, (3) a racially or economically impacted area where the agency plans to preserve existing affordable housing, (4) in connection with a HOPE VI or other HUD funded master planned development, (5) in areas where a needs analysis indicates that subsidized housing represents a low percentage of the total number of housing units in the area, or (6) relocating units to an area with a lower concentration of public housing units.
 - iii. Conduct a housing needs analysis indicating that there is a real need for the housing in the area; and
 - iv. When developing or substantially rehabilitating six or more Section 8 project-based units, the agency will: (1) advise current residents of the subject properties and representative community groups in the vicinity of the subject property by letter to resident organizations and by public meeting, of the agency's revitalization plan; and (2) certify to HUD in its Annual MTW Report that the comments from Residents and representative community groups have been considered in the revitalization plan. Documentation evidencing that the agency has met the stated requirements will be maintained at the housing authority and submitted to HUD in its Annual MTW Report.
- d. All units that receive project-based Section 8 assistance must meet either (i) existing HQS standards established by the Secretary or (ii) a local standard for communities receiving project-based Section 8 assistance developed by the Agency and approved by the Secretary pursuant to this MTW Agreement, as applicable. *This authorization waives certain provisions of Section 8(o)(8) of the 1937 Act and 24 C.F.R. 982 Subpart I as necessary to implement the Agency's Annual MTW Plan.*

8. Homeownership Program

- a. The Agency is authorized to establish reasonable Section 8 homeownership programs that are not limited by the existing Section 8 homeownership requirements. *This authorization waives certain provisions of Section 8(o)(15) and 8(y) of the 1937 Act and 24 C.F.R. 982.625 through 982.643 inclusive as necessary to implement the Agency's Annual MTW Plan; and*
- b. The Agency is authorized to permit current public housing residents who are on a merged waiting list to obtain a Section 8 homeownership voucher. *This authorization waives certain provisions of Sections 8(o)(15) and 8(y) of the 1937 Act and 24 C.F.R. 982.625 through 982.643 inclusive as necessary to implement the Agency's Annual MTW Plan.*

E. Authorizations Related to Family Self Sufficiency

The Agency is authorized to operate any of its existing self-sufficiency and training programs, including its Family Self-Sufficiency (FSS) Program and any successor programs exempt from certain HUD program requirements. These may include those requirements governing program size or participation, including whether to establish escrow accounts and other rent incentives and whether to establish mandatory self-sufficiency participation requirements. If the Agency receives dedicated funding for an FSS coordinator, such funds must be used to employ a self-sufficiency coordinator. In developing and operating such programs, the Agency is authorized to establish strategic relationships and partnerships with local private and public agencies and service providers to leverage expertise and funding. However, notwithstanding the above, any funds granted pursuant to a competition must be used in accordance with the NOFA and the approved application and work plan. *This authorization waives certain provisions of Section 23 of the 1937 Act and 24 C.F.R. 984 as necessary to implement the Agency's Annual MTW Plan.*

SECOND AMENDMENT

TO

**AMENDED AND RESTATED MOVING TO WORK AGREEMENT
BETWEEN
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
AND
HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO**

This Second Amendment to the Moving to Work ("MTW") Agreement ("Agreement") is entered into by and between the United States of America through the U.S. Department of Housing and Urban Development ("HUD") and the Housing Authority of the County of San Mateo ("Agency") and is effective on the date of execution by HUD. Unless otherwise defined herein, all capitalized terms used herein shall have the same meanings ascribed to them in the Agreement.

Attachment D is amended as follows:

Add the following language is added to HACSM's blank Attachment D:

Use of MTW Funds

The Agency and HUD acknowledge that Section 204(a) of the Omnibus Consolidated Rescissions and Appropriations Act of 1996 (Pub. L. 104-134) provides that an agency participating in the MTW demonstration program may combine public housing operating and capital funds provided under Section 9 of the U.S. Housing Act of 1937 (the "1937 Act") and voucher program funds provided under Section 8 of the 1937 Act "to provide housing assistance for low-income families, as defined in section 3(b)(2) of the 1937 Act, and services to facilitate the transition to work on such terms and conditions as the agency may propose and the Secretary may approve."

The Agency and HUD further acknowledge that the terms of the agreement under which the Agency participated in the MTW demonstration program prior to the Amended and Restated MTW Agreement (the "Original MTW Agreement") did not state that the use of such combined public housing operating and capital funds and voucher program funds (collectively, "MTW Funds") was restricted to those uses specified in Sections 8 and 9 of the 1937 Act.

The Agency and HUD hereby agree that they do not intend for the Amended and Restated MTW Agreement to limit or restrict the authority to use MTW Funds as provided by the Original MTW Agreement, that notwithstanding any language to the contrary, those provisions in this Agreement or its attachments that restrict the use of funds to Sections 8 and 9 are repealed, and the Agency may use MTW Funds to provide housing assistance for low-income families, as defined in section 3(b)(2) of the 1937 Act, and services to facilitate the transition to work, whether or not any such use is authorized by Sections 8 or 9 of the 1937 Act, provided such uses are consistent with other requirements of the MTW statute [i.e., including but not limited to the requirements to maintain a comparable mix of families and serve substantially the same number

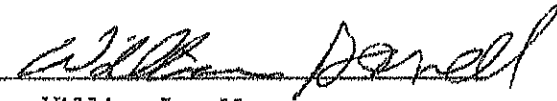
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of families as would have been assisted if the Agency were not in the MTW demonstration, assuring that housing assisted under the demonstration meets housing quality standards established or approved by the Secretary, that at least 75 percent of the families assisted be very low income families, that the agency has established a reasonable rent policy that is designed to encourage employment and self-sufficiency by participating families, that the requirements of sections 12 of the 1937 Act are applied to any housing assisted under the demonstration other than housing assisted solely because of occupancy by families receiving tenant-based assistance, and that Section 18 of the 1937 Act shall continue to apply to public housing notwithstanding the use of any use of the housing under the demonstration] and have been proposed in an Agency's Annual MTW Plan and approved by HUD.

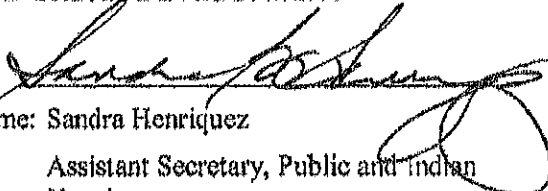
Notwithstanding the above, such funds remain Federal funds, and are subject to any and all other Federal requirements outside of the 1937 Act (e.g., including but not limited to Appropriations Acts, competitive HUD notices of funding availability under which the Agency has received an award, state and local laws, Federal statutes other than the 1937 Act, and OMB Circulars and requirements), as modified from time to time.

IN WITNESS WHEREOF, the parties have caused this Second Amendment to be executed by their duly authorized representatives.

HOUSING AUTHORITY OF THE COUNTY OF
SAN MATEO

By: 
Name: William Lowell
Its: Executive Director
Date: 5/13/10

UNITED STATES DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT

By: 
Name: Sandra Henriquez
Its: Assistant Secretary, Public and Indian
Housing
Date: 06/18/2010

THIRD AMENDMENT

TO

**AMENDED AND RESTATED MOVING TO WORK AGREEMENT
BETWEEN
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
AND
HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO**

This Third Amendment to the Moving to Work ("MTW") Agreement ("Agreement") is entered into by and between the United States of America through the U.S. Department of Housing and Urban Development ("HUD") and the Housing Authority of the County of San Mateo ("Agency") and is effective on the date of execution by HUD. Unless otherwise defined, all capitalized terms used herein shall have the same meanings ascribed to them in the Agreement.

Attachment D is amended as follows:

The following language is added to the Housing Authority of the County of San Mateo's Attachment D:

Use of Replacement Housing Factor Funds for Development

The Agency and HUD acknowledge that Section B(1)(a) of Attachment C of this Agreement regarding the ability to combine funds awarded annually pursuant to Section 8(o), 9(d) and 9(e) of the U.S. Housing Act of 1937 ("1937 Act") into a single, authority-wide funding source ("MTW Funds") is inclusive of replacement housing factor ("RHF") funds provided for at 24 CFR 905.10(i) provided the conditions detailed below are met. The Agency may exercise one of the following options in the administration of RHF funds.

- 1) Option 1: The Agency may administer its RHF awards outside of its MTW Funds. These funds must be used in accordance with RHF requirements and may accumulate under an approved RHF Plan or be subject to the two-year obligation and four year expenditure deadlines. The Agency would be eligible for second increment RHF funds, which would be administered outside of the agency's MTW Funds.
- 2) Option 2: The Agency may combine its first increment RHF funds in its MTW Funds and use the funds for any purpose allowable in this Agreement and approved in an MTW Plan, as detailed in Section B(1)(e) of Attachment C of this Agreement. Obligation and expenditure requirements of Section 9(j) of the 1937 Act still apply to these funds. If administering first increment RHF funds in this way, the Agency forgoes eligibility for second increment RHF funds.
- 3) Option 3: If the Agency combines its first increment RHF funds in its MTW Funds pursuant to Option 2, but wants to receive a second increment of RHF funds, while the Agency may use the funds for any purpose allowable in this Agreement and approved in an MTW Plan, the Agency must spend a portion of its MTW Funds for construction of new public and/or affordable housing. The amount of MTW Funds the Agency must spend on construction of new public and/or affordable units must be equal to or greater than the total amount of RHF funds included in the MTW Funds. In addition, the number of new public and/or affordable units it constructs must be equal to or greater than the number of public housing units the

Agency would have developed if it had not included its RHF funds in its MTW Funds. This is referred to as the "Proportionality Test." [For example, if an Agency deposits \$500,000 of RHF funds in its MTW Block Grant, the Agency must spend at least \$500,000 of its MTW Block Grant funds on the construction of new public and/or affordable housing. The specific number of new public and/or affordable housing units that must be constructed is determined by dividing \$500,000 by the Total Development Cost (TDC) limit applicable to the type of new units being developed. For example, if the Agency is developing 2-bedroom townhomes and the TDC for these types of units is \$220,000, the Agency must construct a minimum of three new 2-bedroom townhomes ($\$500,000 \div \$220,000 = 2.7$.) This calculation must be done for each year that RHF funds are received by the PHA and included in the MTW Block Grant.]

- i) The applicable TDC will be either the HUD TDC limit for the year in which construction of the units commences or an alternate TDC approved by HUD as part of the MTW approval process.
- ii) The new public and/or affordable units required to be developed may be developed directly by the Agency or developed through a Mixed-Finance transaction.
- iii) Any project which includes construction of public housing units must be approved by HUD following either the Development process (units owned by the Agency) or the Mixed-Finance process (units owned by an entity other than the Agency).
- iv) The Agency must show significant progress on construction of the new public and/or affordable units required during the first increment of RHF funds in order to receive the second increment of RHF funds.
- v) If an Agency chooses to include second increment RHF funds in its MTW Block Grant, then second increment RHF funds will be subject to the Proportionality Test and the same requirements as first increment funds regarding the amount of MTW Block Grant funds that must be spent on the construction of new public and/or affordable housing and the number of units which must be constructed.
- vi) Leveraging requirements still apply to the second increment RHF funds.
- vii) The 2-year obligation and 4-year expenditure deadlines are still applicable to both the first and second increment RHF funds deposited into the MTW Block Grant.
- viii) The new units constructed must be consistent with the MTW Statute and Agreement. In order to develop affordable (non-public housing) units, an Agency must have received prior HUD authority to implement local, non-traditional activities.
- ix) Prior to implementing Option 3, an Agency must amend their MTW Agreements to allow for deposit of RHF Funds in the MTW Block Grant and the receipt of second increment RHF Funds (a standard HUD Amendment must be used).
- x) Prior to implementing Option 3, an Agency must include the development of the new public and/or affordable units in their MTW Plan and include RHF funds in Section 7, the Sources and Uses Chart.

- xi) As long as the Agency has included in its MTW Plan the construction of the new public and/or affordable units and its intention to combine RHF funds in the MTW Block Grant and receive second increment RHF funds, the Agency does not need to submit an RHF Plan to HUD. However, the MTW Plan must include the information required in an RHF Plan, as prescribed by HUD.
- xii) The Agency must include in its annual MTW Report an update on the amount of RHF funds included in the MTW Block Grant, the amount of funds spent on construction of new public and/or affordable housing, the number of units being constructed, and the status of construction. The Agency must show significant progress on construction of units during the first increment of RHF funds in order to receive second increment RHF funds.

Notwithstanding the above, such funds remain Federal funds, and are subject to any and all other Federal requirements outside of the 1937 Act (e.g., including but not limited to Appropriations Acts, competitive HUD notices of funding availability under which the Agency has received an award, state and local laws, Federal statutes other than the 1937 Act, and OMB Circulars and requirements), as modified from time to time.

IN WITNESS WHEREOF, the parties have caused this Third Amendment to be executed by their duly authorized representatives.

HOUSING AUTHORITY OF THE COUNTY OF
SAN MATEO

By: 

Name: William Lowell
Its: Executive Director

Date: 12-20-12

UNITED STATES DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT

By: 

Name: Sandra B. Henriquez
Its: Assistant Secretary, Public and Indian
Housing

Date: 01/28/2013

**FOURTH AMENDMENT
TO
MOVING TO WORK (MTW) AGREEMENT
BETWEEN
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
AND
HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO
AMENDING ATTACHMENT A (CALCULATION OF SUBSIDIES) FOR
THE RENTAL ASSISTANCE DEMONSTRATION (RAD)**

This Fourth Amendment to the Moving to Work (“MTW”) Agreement (“Agreement”) is entered into by and between the United States of America through the U.S. Department of Housing and Urban Development (“HUD”) and the Housing Authority of the County of San Mateo (“Agency”) and is effective on the date of execution by HUD. Unless otherwise defined herein, all capitalized terms used herein shall have the same meanings ascribed to them in the Agreement.

As a result of the Agency’s participation in the RAD demonstration, Attachment A is amended as follows:

1. Section b) is added after “Second and subsequent year of participation:

Any vouchers received as part of a Rental Assistance Demonstration (RAD) Component 1 conversion shall be added to the ACC via funding of \$1 for the remainder of the calendar year (CY) in which the project converts and the vouchers are awarded. HUD will provide renewal funding for the first full CY following a RAD conversion based on the RAD Operating Fund and Capital Fund calculated rent per unit costs (PUC).

RAD Component 1 PBV vouchers can only be added to the MTW block grant during the first full CY, after the RAD conversion. If these vouchers are included in the MTW block grant, they will be renewed in the first full CY and the following CYs based on the original per unit funding of the increment award (the PH and CFP calculated PUC), adjusted by the renewal inflation factor and the applicable proration factor, in accordance with Attachment A. Notwithstanding the MTW HAP renewal calculation for MTW block grant vouchers, during the first full CY, MTW PHAs will start reporting RAD Component 1’s leasing and HAP expenses in the Voucher Management System (VMS) in the respective RAD PBV fields, per the VMS instructions. Likewise, if these units are not included in the MTW block grant in the first full CY of HCV funding, the PHA must report its leasing and respective HAP expenses in the VMS, and the HAP renewal funding calculation will follow the MTW PHA’s Attachment A for regular/non-block grant vouchers.

Administrative fees for RAD vouchers will be earned per each year’s posted administrative fee rates each month. Fees for RAD vouchers will be prorated at the same level that applies to all non-MTW agencies.


IN WITNESS WHEREOF, the parties have caused this Amendment to Attachment A to be executed by their duly authorized representatives.

HOUSING AUTHORITY OF THE
COUNTY OF SAN MATEO

By: 
Name: Ken Cole
Its: Executive Director

Date: 10-19-2017

UNITED STATES DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT

By: 
Name:
Its:

Date: 12/8/17

APPENDIX THREE

Tiered Subsidy Table

New-Move TST Effective 7/1/19

Tiered Subsidy Table for Tenant-Based Voucher Programs*

*Excludes project-based properties

| L | H | 0 | 1 | 2 | 3 | 4 | 5 | S |
|---------|---------|------|------|------|------|------|------|------|
| 0 | 1,999 | 1941 | 2408 | 2987 | 3921 | 4148 | 4774 | 1455 |
| 2,000 | 4,999 | 1878 | 2345 | 2924 | 3858 | 4085 | 4711 | 1408 |
| 5,000 | 7,999 | 1803 | 2270 | 2849 | 3783 | 4010 | 4636 | 1352 |
| 8,000 | 10,999 | 1728 | 2195 | 2774 | 3708 | 3935 | 4561 | 1296 |
| 11,000 | 13,999 | 1653 | 2120 | 2699 | 3633 | 3860 | 4486 | 1239 |
| 14,000 | 16,999 | 1578 | 2045 | 2624 | 3558 | 3785 | 4411 | 1183 |
| 17,000 | 19,999 | 1503 | 1970 | 2549 | 3483 | 3710 | 4336 | 1127 |
| 20,000 | 22,999 | 1428 | 1895 | 2474 | 3408 | 3635 | 4261 | 1071 |
| 23,000 | 25,999 | 1353 | 1820 | 2399 | 3333 | 3560 | 4186 | 1014 |
| 26,000 | 28,999 | 1278 | 1745 | 2324 | 3258 | 3485 | 4111 | 958 |
| 29,000 | 31,999 | 1203 | 1670 | 2249 | 3183 | 3410 | 4036 | 902 |
| 32,000 | 34,999 | 1128 | 1595 | 2174 | 3108 | 3335 | 3961 | 846 |
| 35,000 | 37,999 | 1053 | 1520 | 2099 | 3033 | 3260 | 3886 | 789 |
| 38,000 | 40,999 | 978 | 1445 | 2024 | 2958 | 3185 | 3811 | 733 |
| 41,000 | 43,999 | 903 | 1370 | 1949 | 2883 | 3110 | 3736 | 677 |
| 44,000 | 46,999 | 828 | 1295 | 1874 | 2808 | 3035 | 3661 | 621 |
| 47,000 | 49,999 | 753 | 1220 | 1799 | 2733 | 2960 | 3586 | 564 |
| 50,000 | 52,999 | 678 | 1145 | 1724 | 2658 | 2885 | 3511 | 508 |
| 53,000 | 55,999 | 603 | 1070 | 1649 | 2583 | 2810 | 3436 | 452 |
| 56,000 | 58,999 | 528 | 995 | 1574 | 2508 | 2735 | 3361 | 396 |
| 59,000 | 61,999 | 453 | 920 | 1499 | 2433 | 2660 | 3286 | 339 |
| 62,000 | 64,999 | 378 | 845 | 1424 | 2358 | 2585 | 3211 | 283 |
| 65,000 | 67,999 | 303 | 770 | 1349 | 2283 | 2510 | 3136 | 227 |
| 68,000 | 70,999 | 228 | 695 | 1274 | 2208 | 2435 | 3061 | 171 |
| 71,000 | 73,999 | 153 | 620 | 1199 | 2133 | 2360 | 2986 | 114 |
| 74,000 | 76,999 | 78 | 545 | 1124 | 2058 | 2285 | 2911 | 58 |
| 77,000 | 79,999 | 3 | 470 | 1049 | 1983 | 2210 | 2836 | 2 |
| 80,000 | 82,999 | 0 | 395 | 974 | 1908 | 2135 | 2761 | 0 |
| 83,000 | 85,999 | 0 | 320 | 899 | 1833 | 2060 | 2686 | 0 |
| 86,000 | 88,999 | 0 | 245 | 824 | 1758 | 1985 | 2611 | 0 |
| 89,000 | 91,999 | 0 | 170 | 749 | 1683 | 1910 | 2536 | 0 |
| 92,000 | 94,999 | 0 | 95 | 674 | 1608 | 1835 | 2461 | 0 |
| 95,000 | 97,999 | 0 | 20 | 599 | 1533 | 1760 | 2386 | 0 |
| 98,000 | 100,999 | 0 | 0 | 524 | 1458 | 1685 | 2311 | 0 |
| 101,000 | 103,999 | 0 | 0 | 449 | 1383 | 1610 | 2236 | 0 |
| 104,000 | 106,999 | 0 | 0 | 374 | 1308 | 1535 | 2161 | 0 |
| 107,000 | 109,999 | 0 | 0 | 299 | 1233 | 1460 | 2086 | 0 |
| 110,000 | 112,999 | 0 | 0 | 224 | 1158 | 1385 | 2011 | 0 |
| 113,000 | 115,999 | 0 | 0 | 149 | 1083 | 1310 | 1936 | 0 |
| 116,000 | 118,999 | 0 | 0 | 74 | 1008 | 1235 | 1861 | 0 |
| 119,000 | 121,999 | 0 | 0 | 0 | 933 | 1160 | 1786 | 0 |
| 122,000 | 124,999 | 0 | 0 | 0 | 858 | 1085 | 1711 | 0 |
| 125,000 | 127,999 | 0 | 0 | 0 | 783 | 1010 | 1636 | 0 |
| 128,000 | 130,999 | 0 | 0 | 0 | 708 | 935 | 1561 | 0 |
| 131,000 | 133,999 | 0 | 0 | 0 | 633 | 860 | 1486 | 0 |
| 134,000 | 136,999 | 0 | 0 | 0 | 558 | 785 | 1411 | 0 |
| 137,000 | 139,999 | 0 | 0 | 0 | 483 | 710 | 1336 | 0 |
| 140,000 | 142,999 | 0 | 0 | 0 | 408 | 635 | 1261 | 0 |
| 143,000 | 145,999 | 0 | 0 | 0 | 333 | 560 | 1186 | 0 |
| 146,000 | 148,999 | 0 | 0 | 0 | 258 | 485 | 1111 | 0 |
| 149,000 | 151,999 | 0 | 0 | 0 | 183 | 410 | 1036 | 0 |
| 152,000 | 154,999 | 0 | 0 | 0 | 108 | 335 | 961 | 0 |
| 155,000 | 157,999 | 0 | 0 | 0 | 33 | 260 | 886 | 0 |
| 158,000 | 160,999 | 0 | 0 | 0 | 0 | 185 | 811 | 0 |
| 161,000 | 163,999 | 0 | 0 | 0 | 0 | 110 | 736 | 0 |
| 164,000 | 166,999 | 0 | 0 | 0 | 0 | 35 | 661 | 0 |
| 167,000 | 169,999 | 0 | 0 | 0 | 0 | 0 | 586 | 0 |
| 170,000 | 172,999 | 0 | 0 | 0 | 0 | 0 | 511 | 0 |

APPENDIX FOUR

HACSM Hardship Policy

Chapter 24

HARDSHIP POLICY FOR MTW INITIATIVES

I. INTRODUCTION

HACSM's Hardship Policy is designed to address the following MTW initiatives:

A. Rent reform initiatives

- *Tiered Subsidy Table Activity*
- *Payment Standard Activity*
- *Full Time Student Activity*
- *Foster Care, KinGap, and Adoption Assistance Activity*
- *Earned Income Disallowance*
- *Child Care Expense Deduction*
- *Minimum Tenant Rent*

B. Time limited assistance

- *Extension of Program Participation*

C. Portability (Moving Out of San Mateo County)

- *Current Program Participants*
- *New Program Applicants*

All hardship requests must be made in writing, stating both the reason for the hardship and the expected duration.

Each request will be reviewed and weighed against other local resources available to the family. The result of the review may consist in referral to other local resources, an adjustment in the portion of the family's rent, or an extension in the length of subsidy assistance given.

A. Rent Reform

- **Tiered Subsidy Table**

To qualify for hardship exemptions, households must meet all the criteria listed below:

1. The household is in compliance with all the program rules and regulations.
2. The household does not owe HACSM any money or is current with a re-payment agreement.
3. The household must be admitted to the program prior to March 1, 2010, unless the household is a resident of HACSM public housing, converting to the Project-Based Voucher (PBV) program and remaining in-place at the complex.
4. The household has not relocated on or after March 1, 2010.
5. The household must experience an increase of \$25.00 or more in rent as a direct result of the MTW rent reform initiatives.
6. The household requested the hardship waiver within the deadline set by HACSM. Households have 10 business days from the date of their "Notice of Change" letter in which to request an Informal Hearing and/or Hardship Review.
7. The household has not received a rent reform hardship relief for tiered subsidy calculation previously.

- **Payment Standards Application at Interim**

To qualify for hardship exemptions, households must meet all the criteria listed below:

1. The household is in compliance with all the program rules and regulations.
2. The household does not owe HACSM any money or is current with a re-payment agreement.
3. The household must be admitted to the program prior to July 1, 2010.
4. The household has not relocated on or after July 1, 2010.
5. The household must experience an increase of \$25.00 or more in rent as a direct result of the MTW rent reform initiatives.
6. The household requested the hardship waiver within the deadline set by HACSM. Households have 10 business days from the date of their "Notice of Change" letter in which to request an Informal Hearing and/or Hardship Review.
7. The household has not received a rent reform hardship relief for the Payment Standards application at interim recertification previously.

- **Full Time Students (FTS)**

To qualify for hardship exemptions, households must meet all the criteria listed below:

1. The household is in compliance with all the program rules and regulations.
2. The household does not owe HACSM any money or is current with a repayment agreement.
3. The household must be admitted to and have a household member with FTS in their household prior to July 1, 2011.
4. The FTS status must be established at the last annual or interim recertification prior to July 1, 2011.
5. The household must experience an increase of \$25.00 or more in rent as a direct result of the MTW rent reform initiatives.
6. The household requested the hardship waiver within the deadline set by HACSM. Households have 10 business days from the date of their "Notice of Change" letter in which to request an Informal Hearing and/or Hardship Review.
7. The household has not received a rent reform hardship relief for full time student's income inclusion previously.

- **Foster Care, KinGap and Adoption Assistance**

To qualify for hardship exemptions, households must meet all the criteria listed below:

1. The household is in compliance with all the program rules and regulations.
2. The household does not owe HACSM any money or is current with a repayment agreement.
3. The household must be admitted to the program and have the foster child/adult in their household prior to July 1, 2011.
4. The Foster Child/Adult status of the household member must be established at the last annual or interim recertification prior to July 1, 2011.
5. The household must experience an increase of \$25.00 or more in rent as a direct result of the MTW rent reform initiatives.
6. The household requested the hardship waiver within the deadline set by HACSM. Households have 10 business days from the date of their "Notice of Change" letter in which to request an Informal Hearing and/or Hardship Review.
7. The household has not received a rent reform hardship relief for Foster Care, KinGap, or Adoption Assistance income inclusion previously.

- **Earned Income Disallowance**

To qualify for hardship exemptions, households must meet all the criteria listed below:

1. The household is in compliance with all the program rules and regulations.
2. The household does not owe HACSM any money or is current with a repayment agreement.
3. The household must be admitted to the program and received the benefits of Earned Income Disallowance in rent calculation prior to July 1, 2012.
4. The Earned Income Disallowance status of the household member must be established at the last annual or interim recertification prior to July 1, 2012.
5. The household must experience an increase of \$25.00 or more in rent as a direct result of the MTW rent reform initiatives.
6. The household requested the hardship waiver within the deadline set by HACSM. Households have 10 business days from the date of their "Notice of Change" letter in which to request an Informal Hearing and/or Hardship Review.
7. The household has not received a rent reform hardship relief for Earned Income Disallowance previously.

- **Child Care Expense Deduction**

To qualify for hardship exemptions, households must meet all the criteria listed below:

1. The household is in compliance with all program rules and regulations.
2. The household does not owe HACSM any money or is current with a repayment agreement.
3. The household must be admitted to the program and received the benefits of the Child Care Expense Deduction in rent calculation prior to July 1, 2013.
4. The Child Care Expense Deduction status of the household member must be established at the last annual or interim recertification prior to July 1, 2013.
5. The household must experience an increase of \$25.00 or more in rent as a direct result of the MTW rent reform initiatives.
6. The household requested the hardship waiver within the deadline set by HACSM. Households have 10 business days from the date of their "Notice of Change" letter in which to request an Informal Hearing and/or Hardship Review.
7. The household has not previously received a rent reform hardship relief for the Child Care Expense Deduction.

Approval Process for all Rent Reform Initiatives

- Households who meet the criteria listed above may mail, fax, or e-mail their request to HACSM.
- Housing Programs Specialist will review the request promptly, using the HACSM provided tool, calculate the tenant rent and forward the result and the tenant file to the supervisor.
- Supervisor approves the new rent if there are no other issues. If there are other issues, the supervisor will conduct further review and consult with Rental Programs Manager.

Hardship Relief for all of the above Rent Reform Initiatives

Households who qualify and receive waiver approval may pay their portion of rent based on the calculation under HUD regulations until their next recertification or relocation. At the next annual/triennial recertification, or relocation, whichever comes first, the household will automatically be subject to the rent reform initiatives.

Note: Each household is only eligible for one term of relief for each rent reform initiative and if the household qualifies for more than one relief at any given recertification (annual or interim), the reliefs will be calculated concurrently.

- **Minimum Tenant Rent**

HACSM's minimum tenant rent, without consideration of utility allowance, shall be \$100 effective August 1, 2016. The new minimum rent shall apply to the next 50058 change (unit/household/subsidy/contract rent). HACSM may adjust the amount of minimum tenant rent through future MTW Annual Plan processes.

In order to qualify for hardship exemptions, households must meet all of the criteria listed below:

1. The household is in compliance with all program rules and regulations.
2. The household does not owe HACSM any money or is current with a repayment agreement.
3. The household must be admitted to the program prior to August 1, 2016 and paid \$50 immediately prior to August 1, 2016 as a result of the HACSM's minimum rent policy.
4. The tenant rent portion, after applying the new minimum rent, is greater than 30% of the household's monthly adjusted income without consideration of utility allowance.

5. The household requested the hardship waiver within the deadline set by HACSM. Households have 10 business days from the date of their “Notice of Change” letter in which to request an Informal Hearing and/or Hardship Review.
6. The household has not previously received a hardship relief for the current minimum rent increase.

Approval Process for Minimum Rent Initiative

- Households who meet the criteria listed above may mail, fax, or e-mail their request to HACSM.
- Housing Programs Specialist will review the request promptly, using the HACSM provided tool, calculate the tenant rent based on the new minimum rent and hardship policy and forward the result and the recert, interim, or rent increase package to the supervisor.
- Supervisor approves the new rent if there are no other issues. If there are other issues, the supervisor will conduct further review and consult with Rental Programs Manager.

Hardship Relief for Minimum Rent Initiative

Households who qualify and receive waiver approval may pay \$50 as their portion of rent until their next annual/triennial recertification, interim due to increase in income or change in family composition, or relocation. At the next annual/triennial recertification, interim due to increase in income or change in family composition, or relocation, the household will automatically be subject to HACSM’s minimum rent at that time.

B. Time Limited Assistance - *Extension of program participation*

- **Basic Requirements**
 1. The household is in compliance with all program rules and regulations.
 2. The household does not owe HACSM any money or is current with a repayment agreement.
- **Qualification**
 1. The Head of Household and all the adult (18 and over) household members are 62 years of age or older and/or people with disabilities. (The HUD definition of disability shall apply)
 2. The Head of Household is the sole adult member who is responsible to care for a minor (under 18) household member who is a person with disability. (The HUD definition of disability shall apply).
 3. “Tight Rental Market”. In order to qualify, all four of the following thresholds must be met:

- a. At the time of program exit, the average vacancy rate in San Mateo County for rental units is less than 4% during the previous 6-month period; and
 - b. The HCV utilization rate is below 95%; and
 - c. The family's annual gross income is below 80% of AMI; and
 - d. The family agrees to actively participate in the MTW Self Sufficiency case management services.
4. The household is actively engaging in educational or vocational activities per the initial or subsequent revised service plan. The activities on a revised service plan must be approved by HACSM or the case manager at least 12 months prior to the program exit date.

Approval Process for Extension of Program Participation

1. Households who meet qualification number 4 above must include the following information in the hardship request (all four items must be addressed):
 - a. Educational or vocational activities that the household is currently engaging in; and
 - b. The name of the school/institution/agency that provides the service; and
 - c. The expected completion date; and
 - d. A brief statement on how the extension of assistance would benefit the household in achieving its self-sufficiency goal.
2. The Family Self-Sufficiency Coordinator will review the request promptly and forward the file to the supervisor with his/her recommendation.
3. The Supervisor approves the extension if there are no other issues.

Hardship Relief for Extension of Program Participation

1. For households who meet qualification number 1 and 2, the length of assistance may be extended for an additional 12 months. Any subsequent renewals on the extension will require a new request from the household and will be subject to the HACSM hardship policy in effect at that time.
2. For households who meet qualification number 3 and 4, HACSM will grant a 12-month extension, with the possibility of a second 12-month extension if the "tight rental market" condition persists.
3. For households who meet qualification number 4, the length of assistance may be extended for a maximum of 12 months and is subject to compliance to case management services and acceptable verification of educational or vocational activities listed in the hardship application.

Note: For Qualification Categories 3 and 4, the total combined extension period cannot exceed 24 months total.

In all instances, the extension period will be affected by changes in the family circumstances, for example, changes in family composition. If the family no longer meets the qualifications stated above after the change, the extension will be terminated (i.e. housing subsidy ends) 60 days from the effective date of the change. Decisions reached by HACSM will be final.

4. Decisions reached by HACSM will be final.

C. Portability (Moving out of San Mateo County)

Current Program Participants and New Voucher holders who have County resident status and have not leased up.

“Current Participant” means a voucher holder has secured and leased a unit that they are living in within San Mateo County and have met all lease obligations.

- **Basic Requirements**

1. The household is in compliance with all program rules and regulations.
2. The household does not owe HACSM any money or is current with a repayment agreement.

- **Qualifications** (The household must meet one of the following)

1. The Head of Household and all the adult (18 and over) household members are 62 years of age or older and/or people with disabilities. (The HUD definition of disability shall apply).
2. The Head of Household is the sole adult member who is responsible to care for a minor (under 18) household member who is a person with disability. (The HUD definition of disability shall apply).
3. The Head of Household, Co-head, or Spouse has secured full-time employment of at least 32 hours/week and said employer’s, or job location, is greater than 35 miles beyond the nearest San Mateo County border and the voucher has a minimum of 18 months remaining term of assistance.
4. The Head of Household, Co-head, or Spouse is a full-time student at an accredited educational institution located more than 35 miles beyond the nearest San Mateo County border and the voucher has a minimum of 18 months remaining term of assistance.
5. The receiving Housing Authority is absorbing the household.

Approval Process for Portability

1. All requests will be reviewed for completeness.
2. Households who meet qualification number 3 must provide proof of the following:
 - Employment. Written verification must include the employer's name, the position title, the number of hours to be worked per week and the rate of pay.
 - The physical address of the employer and the address of the job location.
3. Households who meet qualification number 4 must provide proof of the following:
 - Enrollment and attendance record at an accredited institution.
 - The location of the accredited institution's street address.
4. The Family Self-Sufficiency Coordinator will review the request promptly and forward the file to the supervisor with his/her recommendation.
5. The Supervisor will determine whether or not the hardship request is approved.

Hardship Relief for Portability

For households who meet any of the qualification numbers 1 - 4, the Housing Authority may approve the household's request for portability.

Decisions reached by HACSM will be final.

"New Voucher holders" refers to households who have not yet leased a unit in San Mateo County from the MTW Wait List and who do not have county status.

Note: Per the Housing Authority's Administrative Plan, applicants who do not have county preference at the time of eligibility determination are required to initially lease in San Mateo County for a period of no less than 12 months, unless Reasonable Accommodation (RA) has been approved.

- **Basic Requirements**

1. The household has been determined eligible for the program.
2. The household has attended a briefing and is within the eligible voucher term.

- **Qualifications** (The household must meet one of the following)

1. The Head of Household and all the adult (18 and over) household members are 62 years of age or older and/or people with disabilities (the HUD definition)

- of disability shall apply), and the household has completed the Reasonable Accommodation (RA) process and a nexus has been established.
2. The Head of Household is the sole adult member who is responsible to care for a minor (under 18) household member who is a person with disability (the HUD definition of disability shall apply) and the household has completed the Reasonable Accommodation (RA) process and a nexus has been established.

Approval Process for Portability

1. All applications will be reviewed for completeness.
2. The RA will be reviewed for completeness and nexus determination approval.
3. The Housing Programs Specialist will review the request promptly and forward recommendation to the supervisor with his/her recommendation
4. The Supervisor will review the request and determine whether or not the hardship request is approved.

Hardship Relief for Portability

1. For households who meet qualification number 1, the Housing Authority may approve the household's request for portability.
2. For households who meet qualification number 2, the Housing Authority may approve the household's request for portability.
3. For households who require reasonable accommodation and a nexus is established, the Housing Authority will approve the household's request for portability.

Decisions reached by HACSM will be final.