

**Moving to Work
Procedures Manual:
Housing Authority
of the County of
San Mateo**

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Prepared for

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Chapter 1: Introduction

The Moving to Work (MTW) demonstration provides a unique opportunity for housing authorities to explore and test new and innovative methods of delivering housing and supportive services to low income families. The specific provision allowing MTW participation found in Section 204 of the Omnibus Consolidated Rescissions and Appropriations Act of 1996 (Pub.L.104-134) (the "1996 Appropriations Act") establishes the Public Housing/Section 8 Moving to Work Demonstration program. Section 204(a) of the 1996 Appropriations Act provides that public housing agencies and the Secretary of the Department of Housing and Urban Development (HUD) shall have the flexibility to design and test various approaches for providing and administering housing assistance to reduce cost and achieve greater cost-effectiveness in Federal expenditures. It also provides for incentives to families with children whose heads of household are either working, seeking work, or participating in job training, educational or other programs that assists in obtaining employment and becoming economically self-sufficient. The demonstration also tests ways to increase housing choices of low income families. The Act permits agencies to combine funds from several HUD programs, and may exempt agencies from existing public and Indian housing and Section 8 certificate and voucher rules.

The Housing Authority the County of San Mateo (HACSM) applied for and received authorization to be one of the original 24 demonstration sites. HACSM is to conduct a MTW demonstration to assist an additional 300 families receiving Section 8 assistance with the specific design to promote self sufficiency. The program has a limited demonstration of six years covering a broad range of actions required by the Housing Authority. In order to implement the program, HACSM undertook a process using Abt Associates and Spectrum Consulting to develop a technical assistance guide to be used for staff training, participant development and landlord outreach. The technical assistance guide also provides policies and procedures on implementation of the program, applicant criteria and the selection, a new and innovative security deposit option program, a section on marketing to landlords and participants and finally, a financial analysis of the program as the work is undertaken.

The information contained in the MTW demonstration technical assistance guide is to be used as a general tool in implementing the program. Because the program is new and innovative, HACSM should maintain maximum flexibility during implementation in order to achieve success. Each section of the guide also contains various processes and forms to be utilized by staff, participants, and landlords as this innovative project gets underway. These policies and general practices should continually be modified during the implementation process as needs are identified. The primary goal is for HACSM to embark on an innovative process that will be measured by the success of assisting 300 additional families to become self sufficient during this 6-year demonstration. With this in mind, use the materials as a guide and not as the hard and fast rules governing this program. As the training now gets underway, focus on the success of the participant which will lead to the success for HACSM and MTW.

Frank Salmeron
Manager of Housing Operations
June 1, 2001

Chapter 2: Marketing and Outreach

2A. Owner Outreach

1. Purpose

The purpose of this chapter is to provide an overview of housing, marketing strategies, factors affecting those strategies, the agency's objectives, and an analysis of both the primary and secondary market. In addition, coordination and control of marketing efforts, advertising and the annual marketing and outreach plan provided as it relates to the specific Moving to Work initiative. These and other materials will be used to assist families in finding units under the MTW program.

2. Overview

The Housing Authority of the County of San Mateo (HACSM) is the primary low income housing provider between San Francisco, California and the San Jose metropolitan area. The ability to provide rental assistance has been critically impacted by a housing market that has been increasingly tight and expensive with a limited supply of rental properties for low and moderate-income families. The median purchase price for a home in San Mateo County now exceeds \$500,000, with most homes selling for 20 to 30 percent above listed prices. While this trend may have slowed down by the current stock market trends, the inflated housing market will take years to cool from the rapid rise of disposable income in the area.

Historically, the HACSM has had a backlogged waiting list for Section 8 rental housing. As indicated in the 2000 agency plan, currently the authority has over 10,000 families on the waiting list for either Section 8 or Public Housing. The HACSM also has a limited supply of public housing stock, which currently consists of only 180 units of conventional public housing. The agency is a high performer under PHMAP and does not receive a public housing operating subsidy from HUD.

The specific issue at hand is that the Authority executed a Move to Work (MTW) demonstration agreement with the Department of Housing and Urban Development (HUD) on May 1, 2000. The specific demonstration includes 300 families that will receive Section 8 voucher assistance and transition from welfare to work. The MTW program will also use the County's welfare reform program "SUCCESS" or other similar programs designed by HACSM or the Welfare Agency in the demonstration. The Move to Work agreement is a six-year contract commencing on the day of the agreement execution. In addition, the specific requirements include the fact that the first 300 families to receive tenant based Section 8 assistance under preferences for the program following the implementation of MTW will be required to participate in the MTW program. All MTW households will be limited to six years of housing assistance. The housing authority adopted a hardship policy at HUD's direction for those residents whose housing assistance is terminated as a result of the time limits, that may allow them to reapply for housing assistance under regular Section 8 at the termination of the MTW program if the wait list for the Section 8 program is open.

3. Factors Affecting Strategy

Generally, factors affecting the marketing and outreach strategy include the profile of the agency, general reputation of the agency, budgetary constraints, coordination activities with other County initiatives, program requirements, and fair housing laws. Specific issues in the fair housing area may include court determinations, local fair housing statutes, local advocating agencies or other court and county decrees that will impact available locations, applicant screening requirements, and the selection of applicants. Lead based paint and memorandum of understanding (MOU) with a local welfare agency, landlord and participant advertisements and implementation within the community, can also impact additional issues on how the program is viewed.

4. Agency Objectives

The long-range goals of the HACSM are stated in the five-year plan for fiscal year beginning July, 2000 to be submitted to the Department of Housing and Urban Development (HUD).

The strategic goals include:

1. increasing the availability of decent, safe, and affordable housing
2. improving the quality of assisted housing
3. increasing assisted housing choices
4. improving community quality of life and economic vitality
5. promoting self-sufficiency to assist development of families and individuals
6. ensuring equal opportunity in housing for all Americans.

The strategic goal of increasing availability of decent, safe, and affordable housing includes:

1. applying for additional rental vouchers
2. reducing public housing vacancies
3. leveraging private or other public funds to create additional housing opportunities
4. acquiring or developing new units.

The strategic goal to improve the quality of assisted housing includes:

1. improving voucher management
2. increasing customer satisfaction
3. providing replacement vouchers for the disposition of obsolete public housing

The housing authority wants to research a regional approach to determine affordability and housing supply. HACSM also wants to improve outreach to current and potential housing clientele and improve dissemination of information. The Section 8 program or other programs will benefit from this outreach which has been recognized as a need for the MTW program. In addition, the housing authority specifically wants to increase assisted housing choices by providing voucher mobility counseling; connecting outreach efforts to potential voucher landlords; increasing voucher payments standards; implementing a voucher homeownership program; and converting public housing to vouchers. HACSM will also increase assisted housing choices by adjusting the payment standard as necessary to maintain full utilization and lease-ups. (See Appendix 1)

5. Primary Demand

According to the HACSM's agency plan and consolidated plan, there are 9084 families with incomes below 30 percent of the counties average median income, and 8281 families with incomes between 30 percent and 50 percent of the average median income. In addition, the greatest or most severe issues to address these needs are affordability and supply. There is also a strong indication of affordability issues since the needs section of the annual plan also indicates the length of the waiting list is currently 10,682 families wanting public housing or Section 8. The waiting list information is not summarized by either very low or extremely low categories, however the racial and ethnic character of the waiting list is that it is primarily composed of African-American, Hispanic and Asian-Pacific families which together make up 79 percent of the waiting list. In addition, 45 percent of those families are waiting for two-bedroom units, 29 percent for three-bedroom units and five percent for four- bedroom units. The waiting list is currently closed and has been for the past 7 years.

The housing authority strategies to address the shortage of affordable housing for all eligible populations include maximizing the number of affordable housing units available within its current resources by maintaining or increasing Section 8 lease-up rates through setting payment standards that will enable families to rent throughout the jurisdictions. It also will undertake measurements to ensure access to affordable housing among families assisted by the public housing agency regardless of unit size required. HACSM wants to maintain or increase Section 8 lease-up rates by marketing the program to owners, particularly those outside the areas of minority and poverty concentrations. They also want to fully utilize the project based assistance programs and maintain or increase Section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of the program.

The HACSM also wishes to increase the number of affordable housing units by pursuing resources other than public housing or Section 8 tenant-based assistance and leveraging affordable housing resources in the community through the creation of mixed finance housing. Targeting available assistance to families at or below 30 percent of the average median income, the agency wishes to exceed federal targeting requirements of families at or below 30 percent of the average median income in public housing. For addressing families with specific housing needs, the housing authority will affirmatively market to local nonprofit agencies that assist families with disabilities. The housing authority can also use this same strategy and target families under the Moving to Work program by specifically marketing to those nonprofit agencies that assist families as they transition towards self-sufficiency. There are numerous nonprofit agencies outside the scope of governmental entities that work directly with families needing employment, training, and other developmental issues, making them viable candidates for long-term success.

In the Section 8 eligibility and selection policy, the HACSM elected not to merge the waiting list for public housing and Section 8. However, if the Section 8 waiting list is open when the applicant is placed on the public housing waiting list, the HACSM must offer to place the family on both lists. If the public housing waiting list is open at the time that an applicant applies for Section 8, HACSM must offer to place them on the public housing waiting list. The HACSM has adopted waiting list preferences. However, a preference does not guarantee admission to a program. Preferences are used to establish the order of placement on the waiting list.

Every applicant must still meet HACSM's selection criteria as defined in the policy. Residency preferences are given for families who live, work or attend schools within the limits of San Mateo

County. Current members in the military, veterans, or surviving spouses of veterans also have a preference. Additional preferences for the MTW program are based on applicant criteria which includes families' income, education and employment history, childcare needs, landlord's reference, and transportation. Specific preference points and implementation are outlined in the "Applicant Criteria" Chapter.

6. Marketing Strategies

The HACSM has attempted various marketing strategies and outreach efforts to landlords with minimal success. Specifically the strategies included advertisements on the program in newspapers. The response from landlords coming forward with additional available units in the area has been minimal. The housing authority is further embarking on radio spots and television advertisement; however, these types of strategies have had minimal success in the past unless coupled with other marketing efforts. Generally, efforts of this type do not have sustaining impact, but they may be used to bring attention to the issues. (See HACSM 2-04, Chapter 2 Appendix)

In order to develop a successful long-term strategy, housing authorities in general have found personal contacts and follow up on long-term relationships to be a successful marketing strategy. HACSM is reviewing this strategy to include three self-sufficiency personnel doing part-time marketing and outreach located in the three regional offices. While this strategy is better than having no personnel allocated to the task, marketing and outreach to landlords is quite different than addressing the needs of the participants.

Landlords are concerned with prompt rent payments, quality residents that do not damage property, residents who are employed and have children in school or are properly supervised. This may not always be the same client issues that FSS staff are concentrating on with their daily limited resources. The housing authority might find that a better utilization of the financial resources would be to designate a full time staff position for marketing and outreach to landlords for the MTW initiative as well as other Section 8 programs. This full time staff position would first concentrate the marketing and outreach efforts in areas where markets have softened temporarily due to dot-com industry layoffs and general slowdown in the Silicon Valley area.

7. Marketing Staff Position

The full-time staff position should be utilized to concentrate efforts on best practice models, proven successful strategies and other Section 8 strategies such as follows:

1. Begin outreach to all existing landlords currently participating in the Section 8 program with 25 or more units under lease.
2. Answer rental ads, "For Rent" signs, rental listing agencies to introduce the Section 8 program to landlords and to establish a housing list for Section 8 clients.
3. Organize Section 8 lease up special events by regions: North, Central, and South. Create partnerships with the local rental owners and property manager associations in order to provide outreach to landlords. This housing authority position would be utilized to speak at the association meetings, Rotary, Kiwanis, and other associations where business leaders and landlords gather. The person would join the necessary housing committees to continue educating landlords on Section 8 and the MTW program.

4. Design marketing materials to provide information and newsletters that are distributed through the property manager associations with specific reference to the MTW and Section 8 programs. (Chapter 2 Appendix)
5. Establish a landlord advisory committee to address questions and concerns that the landlords may have with the Housing Authority of the County of San Mateo programs. This position would further explore opportunities to establish a web page that could be read by voucher holders and where landlords could post available units. A computer would be available at the kiosk area. Landlords would also use the housing authority's network to provide a continuous source of available units by phone or fax. Landlords may find this resource more cost effective than other costly leasing and advertising methods.
6. Establish a method to handle complaints and complex issues early to address landlord concerns on program participant payments and lease violations. This position would raise awareness of the program, provide general outreach on the events and address issues before the landlord withdraws a unit from the program. (Chapter 2 Appendix)
7. Explore other mechanisms to accommodate landlord needs such as direct deposit of housing assistance payments, cooperative advertising, establishing education forums on the application of HQS standards, and other regulatory requirements.
8. Organize Landlord Fairs that can be used to both gather and disseminate materials on their units as well as Section 8 program materials. These fairs should be held every 6 months and participation will increase over time. This is also a good time to distribute new and proposed requirements such as lead-base paint updates, new payment standards, inspection revisions, etc.

This position will provide landlords with one point of contact to address their issues internal to the organization.

8. Mass Marketing and Lease up

Another marketing strategy that has proven successful for Housing Authorities across the country who are looking to either initiate a new program with a large number of available units or to decrease the backlog of existing Vouchers has been to hold extravaganzas or large scale lease-up events. This has proven successful when 200 or more low income families have been able to obtain housing within a six-week period under such programs as Welfare to Work, or where large obligations of Section 8 Vouchers are committed. The event consists of a mass intake, orientation, and special outreach events to participants, coupled with an aggressive program on landlord outreach to make sure that all available units are utilized at that time in the market. The organization of the program usually follows a similar format as follows:

1. The program usually begins with the creation of public awareness of the need for the MTW or voucher program. This awareness is created at a press conference with County Commissioners, Mayors, community leaders, senior Housing officials, landlords and qualified participants. This forum raises awareness and publicizes the events that will be undertaken to address the issues.
2. Landlord buy-in must also be generated both at the time of the initial press conference as well as utilizing the forum to establish partnerships with the local apartment associations, smaller

landlords, housing boards, current participating landlords, and advocating groups. This forum is used as an opportunity to both explain the program as well as to get landlord buy-in early. Many times this forum is held by the housing authority and other officials at a sit down luncheon where housing authority staff describe the benefits of the program and provide other detailed materials the landlords take home explaining the benefits of participating in the Section 8 program. Landlords also are provided a sign in sheet that is further utilized as a resource and contact list for distribution to potential participants of the program.

3. The housing authority also holds mass intake events to qualify and verify family eligibility for the program. This event will also increase public awareness of the needs in the community as well as provide information on the special program being administered by the housing authority requiring special qualifying criteria. This event will also allow authority officials to generate a list of other qualified applicants for its other programs. The program and event will further create a positive image of the authority's undertaking on special programs geared towards moving families to work, as well as addressing the housing affordability issues in the community.
4. The housing authority will undertake large group orientations at which time qualified families are given the general orientation and additional marketing information. The large group orientations will include additional emphasis on marketing and outreach to landlords. Specifically the families will receive additional information on qualified landlords currently participating in the program, special methods to market themselves to the landlords, and other opportunities that may reside in the community in which they are seeking to live. The participating landlords who have available units will also be invited to attend and distribute information to the participants to further market their units.
5. Each family will also be provided a list of landlords who participated in the earlier luncheon event expressing interest in the program as well as a list of other available units in the area. Once the competitive process begins on identifying available units in the area on such a large scale by the housing authority, the Housing Occupancy Specialists should be prepared to do mass inspections and reduce turnaround time for approving a unit. They should make every effort to inspect the unit promptly and notify the landlord of any defects within a 24-hour period.
6. Because the housing authority is dealing with large quantities on a large-scale effort, follow-up is critical with both the landlords and participants to make sure that they receive some personalization and customer satisfaction. The follow-up with the landlord is critical so they can discuss the process and any changes that they feel are necessary for the housing authority to undertake in order to increase satisfaction in the program. In addition, follow-up provides a method that encourages landlords to continue participating in the program as well as identifies additional units in the future.

9. Marketing with Current Participants and Units

Another method that has proven successful for housing authorities to lease in difficult target markets is to use current participants in the program to identify available vacant units in the area. San Mateo could call the program "**neighbors assisting neighbors.**" Specifically the housing authority will also offer a cash incentive to current participants when they identify a qualifying unit to the program, and provide a phone or fax number to the housing authority. Upon lease up by another participant in the program, the housing authority will pay a cash incentive to the participant that phoned in and

identified a qualifying unit. In the past, housing authorities used \$50 as the amount paid to the participants, however San Mateo's market may require a higher cash incentive. This strategy has assisted in both identifying units, as well as increasing the general satisfaction of the residents residing in the units, since many times they will in turn also assist members and friends who have vouchers to find units. This method of marketing does not require a direct marketing interface with the landlords. This method has proven effective in difficult markets because residents are often aware of other tenants who will be vacating the property prior to the landlord even having such knowledge.

San Mateo can also use current units in the program from which participants have recently vacated. A list should be prepared to immediately identify the newly vacated or soon to be vacated units. The list should be no more than two weeks old and this list should be distributed frequently at the information sessions or briefing. This list should also be posted frequently for participants that are searching the market. This method will allow for quick turnaround of units and reduce marketing expenses of landlords. Also this method requires a greater interface between the housing authority and landlords in addressing the issues created by the previously vacating participant. It has proven successful in establishing long-term relationships between landlords and housing authorities on the continuous usage of properties. It has also provided a forum to address common issues related to HQS criteria and how to properly prepare units to reduce the need for re-inspection.

10. Business Approach

Housing authorities generally find that they have continuous success with landlords when they take a business approach to the issues. They provide a perspective to both the landlord and community that the housing authority is in fact a business and is the largest community partner in the housing assistance business. The housing authority takes this approach both from staff training and in the beginning stages with the landlords. The housing authority uses business type forms and staff members are required to conduct informal visits to the property where Section 8 recipients live. They use the visits to identify issues and problems early before they become major issues, incidents or events.

When landlords are having particular problems or a serious event occurs on the property, the housing authority has a direct follow-up with the landlord and assists them in resolving the particular problem. Other housing authorities have used this approach in tight markets and the results have been to maintain a 100 percent lease up in the program. This method also has assisted in developing long-term relationships with landlords when they see the housing authority as a business partner to provide rental assistance, not as a government agency imposing additional standards or requirements on their properties.

11. Landlord Advisory Committee

Another method to encourage landlord participation is forming a landlord advisory committee. This committee consists of between 12 and 15 members representing a full range of Section 8 landlords. There should be diversity in the membership and it should include professional management firms, nonprofit landlords, community development corporations, and small-scale single owner properties with less than 10 units. This committee meets monthly with a representative from the Section 8 program who also is a key part of the committee.

Items that are generally discussed include eligibility and screening, inspections, lease terms, follow-

up and coordination on other issues, potential expansion in the program, and other general concerns that are addressed from the landlords perspective. This committee also is used to address concerns from the housing authority's perspective on a landlord's failure to address maintenance issues and continued compliance with HQS guidelines. The forum allows the authority the opportunity to present and circulate new and additional information required by the Department of Housing and Urban Development. This allows time to discuss the information before it is circulated to other landlords. The forum is used to discuss strategies and methods to circulate the information without having a negative impact on the program. Generally this committee is used as a tool to conduct long-range planning and acts as a general advisory board to guide the housing authority in gathering feedback from the community which can then be used in future planning and development.

Sometimes the housing authority is seen as a problem within the community. The Section 8 program has been negatively perceived as having participants who are responsible for health and safety violations, criminal activity, and are generally undesirable residents in the community creating problems for private residents paying full rent. When housing authorities have investigated these issues, generally they find that the complaints are not based upon fact, but are solely based upon misconceptions of Section 8 tenants. Housing authorities generally address these issues in a timely fashion, although that information sometimes does not filter down to the proper source. The advisory committee can function as a resource to defend both the practices and the business approach the housing authority takes in addressing problems within the community. In addition, it can be a persuasive advocate for maintaining high quality standards in the program, enforcing participant obligations and maintaining high standards for the tax dollars spent in the community.

12. Daily Monitoring of the Market

Just like any market, daily monitoring of the situation is critical and requires the dedication of a staff member. In establishing a Moving to Work program or expanding housing opportunities, housing authorities have found that an individual dedicated to reading local daily and weekly newspapers and other housing classifieds both increases the awareness of the agency concerning available units, and allows monitoring of the market on a regular basis. The individual performing this task also has the responsibility of calling listings to query whether the landlords would accept rental assistance from HACSM. This more active approach provides both the opportunity to establish new markets with landlords not participating in the program and to provide further information to landlords on the entire rental assistance program. The landlords indicating that they are interested in the program or in accepting rental assistance should be immediately provided additional information. The available unit information is also forwarded to current voucher holders seeking available units in the market.

Another viable way the housing authority can provide available unit information to the MTW voucher holders is to establish a self contained informational area similar to a kiosk where landlords can leave brochures and general information about their complexes or units. In addition, a reference guide is developed by the authority and made available which includes pictures of Section 8 units, locations, rents and average utilities. This information also assists the authority in establishing rent reasonableness. It also provides a valuable free advertising tool for the landlords directly to potential tenants. The kiosk area is maintained by the housing authority, normally at the location where residents receive briefings, and is further available for common public traffic to be used any time during normal business hours. This location can also have a terminal station where voucher holders can read the web page of available units. Residents can continue to return on a daily basis as the information is updated on potential landlords and the new daily listing sheets are issued.

13. Co-op Advertising

Another successful tool in establishing a long-term relationship with landlords is to provide a mechanism for cooperative advertising. This method is primarily used for the landlords with 25 or more units in the program and generally is restricted to larger complexes. However, it can be modified to meet the needs of a specific area such as smaller scale complexes as seen in San Mateo County. The housing authority completes the initial outreach to these landlords based upon the landlords current level of participation and leasing efforts. HACSM would offer an incentive to the landlords who publish specific information in their marketing and advertising program. Specifically the landlords will include such language as "we accept rental assistance participants" and/or "fair housing logos". For including this additional information in the advertisement, the housing authority assists the landlords by defraying the cost of the advertisement; paying for one-third or one-half of the ad cost for a period not to exceed 30 to 90 days. The housing authority also requires specific parameters on the advertisements in terms of size, cost and types of media that will be utilized for the program. Normally the assistance is limited to local newspapers and trade magazines and other accepted advertisements. The total program has restrictions based upon the Authority budget.

This method of marketing has proven successful for lease ups, since participants can readily identify landlords that accept rental assistance in the area. The housing authority is seen as a partner and gets its message on the street directly with the landlord. Search time for the participant is reduced and the authority has now established an additional working relationship with the landlord by offsetting their operating costs. This cooperative advertising tool could be instituted or discussed during other promotional or incentive marketing plans and could further be used on yard signs, banners and brochures.

14. Presentation of MTW Rental Assistance

Landlords in the area have become confused over the years because of the ever-changing and evolving programs administered by the Housing Authority and HUD. Specifically, landlords have been faced with the certificate program, the voucher program, the conforming rules, and now the merged Housing Choice Voucher Program and San Mateo's own MTW program — all with different rules and requirements. Because of this continuously evolving process and as the housing authority begins to roll out one program after another, information given in general terms is better than provided in detail in the early stages. It would be better to describe the program in general terms to the landlord. Landlords basically do not care about the specific terminology (Certificate or Voucher) but are primarily concerned with the benefits that they will receive: form and time of payments, quality of residents or participants, and what assistance in other areas is provided by the local housing authority.

"Rental assistance" is a more marketable term, and still accurately describes what the housing authority provides. This term should be emphasized during outreach to landlords and participant orientation. The participant should not be asking the landlords on whether they accept vouchers or Section 8, but asking whether the landlords accept rental assistance. The term, rental assistance, further allows the program to quickly mainstream, closely paralleling the private rental market terms. This term reminds them that they are the one who screens the resident, uses their leases, and perform the duties as a landlord. The housing authority's function is to provide rental assistance to the landlords with timely payments. The participant's requirements are to continue movement towards an unassisted level over a specific duration of time.

2B. Participant Outreach

1. Introduction

The journey of a thousand miles begins with the first step. For the MTW voucher program, like the Housing Choice voucher program, the first step is getting HACSM's vouchers into the hands of eligible families. Despite the scarcity of rental units, the high cost of rents, and the difficulty of setting aside the money required for security deposits, some families will receive their vouchers and lease units – quite possibly the units they are living in now – with little fanfare. Other families will work harder, and take longer. Some families will experience difficulties that HACSM and Abt haven't even thought about, but in so doing will raise issues that program managers can and will address.

HACSM's HUD-approved Implementation Plan anticipated that the majority of MTW program participants would be referred by the County's Human Service Agency's (HSA) case managers. Since the submission of the plan, however, two things have happened:

- **Time has passed**, and the County's welfare rolls have been reduced to the point where they can no longer provide a sufficient number of applicants to fill available program slots
- **The most highly motivated families have found employment**, and the remaining welfare families are, overall, less motivated and/or more in need of extended support to achieve self-sufficiency.

Historically, fewer than 1 in 10 voucher holders has been successful in finding a unit to lease under the Housing Choice Voucher program. To fill 300 MTW program slots, HACSM can expect to issue 3000+ housing vouchers to eligible applicants. Further, if HACSM expects to fill these slots with applicants who meet its preferred applicant profile – with one or more of the preferences established in the MTW participant selection policy – the number will be even larger. Recruiting an applicant pool of this size will require outreach not only to HSA, but also to all other sources as well. This chapter focuses on outreach procedures for four groups of potential participants:

- Referrals from the County Human Services Agency
- Referrals from other County agencies providing services to participants in the SUCCESS Program
- Applications from WTW-eligible families on HACSM's Section 8 Waiting List
- Applications from low-income working families employed in the County of San Mateo

2. Referrals from the County Human Services Agency

HACSM has envisioned the County Human Services Agency as a full partner in the MTW program since the beginning. As the Housing Authority prepares to begin accepting applications for the MTW program, it is asking HSA's case managers to:

- Review their files to identify families suitable for participation in MTW
- Complete the MTW Referral Form, HACSM-2-05, for prospective participants
- Provide third-party verification of the family's situation, to the greatest extent possible, from information already in the HSA's case files
- Transmit the referral packets to HACSM

During this first phase of the program, HACSM staff should be in contact with their counterparts at HSA on a regular basis to ensure that HSA staff understand what is expected of them, and the urgency of HACSM's need for prompt identification of prospective program applicants.

HACSM, in turn, will be responsible for

- Reviewing the referral packets for completeness and accuracy when received
- Placing the applicants referred on HACSM's waiting list, in order of the date/time that the referral was received and the preference information provided:
- Selecting applicants from the waiting list in accordance with HACSM's participant selection policies, interviewing the applicants, and completing the verification of their eligibility and preferences, if any
- Issuing vouchers to eligible applicants in accordance with HACSM's schedule for voucher issuance

In addition to utilizing the current welfare rolls, HACSM has requested that the HSA research past TANF files and attempt to locate families that have received benefits since October 1, 1998. These former recipients may be currently employed, enrolled in school, or have other reasons for their termination from TANF benefits. Even though they are not receiving current TANF benefits, these families may still qualify for rental assistance through the MTW program. HSA has not yet indicated whether, or when, it will be able to provide this information.

3. Referrals from other County agencies providing services to participants in the SUCCESS Program

Families that do not currently receive, or have not previously received, TANF benefits may nevertheless be eligible to participate in the MTW program if they are receiving, or are eligible to receive, services through the County's SUCCESS program. These agencies should be encouraged to refer qualified families.

The process for receiving referrals from other County agencies serving SUCCESS participants differs from the corresponding process for HAS referrals in several ways:

- Agency staff may be less familiar with the MTW program

- Referrals may be initiated by the applicants themselves, based on their own knowledge of the MTW program
- Agency staff will not have access to detailed information about the applicant's family, and applicants may be reluctant to share personal information with non-counseling staff

For these reasons, the Referral Form for prospective participants from non-HSA agencies, HACSM-2-06, has been simplified to provide only the information required to initiate the application process and verify the applicant's status as a SUCCESS participant. Further, the form is printed as a self-mailer, to facilitate its submission by referral sources who do not interact on a regular basis with HACSM/HSA.

To familiarize the various agencies with the MTW program and its potential for assisting families who are working toward self-sufficiency, HACSM will distribute the agency outreach flyer, HACSM-2-07, to a list of agencies identified by HACSM in collaboration with HSA. Agencies that should be contacted include:

- **Educational Institutions** – Community Colleges, Vocational Schools, State Universities, and Apprenticeship Training Programs
- **Child Care Agencies and Providers**
- **Workforce Partnerships** – Workforce Development Board, Private Industry Council, Homebuilders Association
- **Community Service Providers** – Community Action Agencies, One Stop, Rapid Response, Community Development Corporations, Neighborhood Networks, Urban League
- **Governmental Agencies** – SUCCESS program offices, Unemployment Compensation, CALWORKS/California Welfare Reform Initiative, Immigration and Naturalization Services
- **Cultural Organizations** – Hispanic, African American, Asian American

After the flyers are sent, HACSM should follow up with a call to each SUCCESS agency to be sure that the flyers were received and understood, to suggest arrangements for their distribution to field staff, and to identify a contact person for future contacts. If the agency is willing, HACSM may wish to schedule a meeting, or a presentation at a regular agency meeting, to talk about the program and encourage these agencies to screen their client populations for likely candidates.

The agency list, and the names and phone numbers of designated contact persons, should be retained to facilitate periodic mailings to the agency updating information regarding program services and availability. It should also be used to track the number of referrals received from each agency, to determine the level of activity at each site and the desirability and/or need for further follow-up.

When SUCCESS referrals are received, HACSM staff will:

- Review the referral form for completeness and accuracy when received. Date and time stamp the completed referral form.
- Schedule an eligibility interview with the applicant, and complete all information required on the HACSM-2-05. If there is no waiting list for MTW vouchers, or if the list is short enough and/or the applicant qualifies for a preference, the interviewer may also complete the HUD-50058 at this time and begin the verification process.
- Place the applicants referred on HACSM's waiting list, in order of the date/time that the referral was received and the preference information provided
- Select applicants from the waiting list, if any, in accordance with HACSM's participant selection policies, interview the applicants, and complete the verification of the their eligibility and preferences.
- Issue vouchers to eligible applicants in accordance with HACSM's schedule for voucher issuance

4. Applications from MTW-eligible families on HACSM's Section 8 Waiting List

Currently there are over 10,000 families on HACSM's Section 8 waiting list. The housing authority is purging the waiting list, and this activity could easily be combined with outreach to prospective applicants for the MTW program. Letters should be sent to all families on the waiting list, inquiring about their continued interest in tenant-based housing assistance and advising them of the availability of limited-term housing assistance through the MTW program.

The letter should clearly state the differences between the MTW program and the Housing Choice Voucher program for which the applicants initially applied. The letter should describe the time limits on program participation, differences in the calculation of the tenant payment, and the requirement for participation in the FSS program. The letter should also advise the applicant that assistance may be available sooner through the MTW program than through the Housing Choice Voucher program. Finally, the letter can include information about other services available through MTW, or a program brochure can be included. A sample purge letter, HACSM-2-08, can be found in Chapter 2 Appendix.

As purge letters are returned, applicant data for families indicating an interest in the MTW program should be forwarded to MTW staff. The processing of the MTW application should be initiated in the same manner as the processing of SUCCESS referrals. MTW staff should:

- Schedule an eligibility interview with the applicant, and complete all information required on the HACSM-2-05. If there is no waiting list for MTW vouchers, or if the list is short enough or the applicant qualified for a preference, the interviewer may also complete the HUD-50058 at this time and begin the verification process. The completed application should be date and time stamped at the conclusion of the applicant interview.
- Place the applicants referred on HACSM's waiting list, in order of the date/time that the referral was received and the preference information provided

- Select applicants from the waiting list, if any, in accordance with HACSM’s participant selection policies, interviewing the applicants, and completing the verification of the their eligibility and preferences.
- Issue vouchers to eligible applicants in accordance with HACSM’s schedule for voucher issuance

Self-referrals will be accepted from families on the HACSM waiting list who may not yet have received their purge letters. The application process for these families will begin with the eligibility interview described above.

5. Applications from low-income working families employed in the County of San Mateo

Low-income working families are prime candidates for the MTW program. They have already demonstrated the motivation needed to achieve self-sufficiency, and the stabilization of their housing situation can most reasonably be expected to have a positive impact on their future successes. These families pose a challenge for outreach, however, precisely because they are not otherwise tied into the government/service agency network.

The obvious first step in reaching these families is to obtain information about families who have left the welfare rolls from HSA. This avenue should be explored immediately, both because of the high value of the information in targeting outreach to clearly eligible families and because of the difficulty other sites have experienced in obtaining this kind of information. When, or if, a list of families who have gone off welfare since October 1998, the cutoff date for HACSM’s MTW program, is received, a direct mailing should be sent to those families. The mailing should include a program brochure and instructions for families to call HACSM to schedule an eligibility interview.

The two foreseeable difficulties with this approach are:

- That the information will not be available from HSA within the time frame required by HACSM.
- That the HSA data will not include potentially eligible low-income working families who have not received welfare assistance within the target period, but who may qualify for MTW because of their participation in or eligibility for services through the SUCCESS program.

To address the latter concern, HACSM must reach out to these families where they work. In the same way that HACSM has compiled listings of the agencies and organizations providing services to SUCCESS participants, HACSM should compile a directory of the major minimum-wage employers in the County of San Mateo. Outreach to these employers will focus on encouraging them to post and distribute MTW materials at worksites throughout the county. Employers to be contacted include:

- Corporate Employers
 - United Airlines
 - Fed Ex
 - Safeway
 - UPS
 - Marriott
 - McDonalds
 - Retailers

Nursing/Medical
Manufacturing

- Small Businesses
 - Lawn Maintenance
 - Construction Firms
 - Service Industry Providers (Cleaning, Security, Laundry and Uniform, and Auto Repair)

Outreach materials for private employers should emphasize the benefits of the MTW program to the employer -- that a worker who does not have to worry or miss work because of housing problems is a happier and more productive worker. Unlike the outreach to public agencies, the outreach to private employers will request only the posting and distribution of program materials. The materials will direct prospective applicants to contact the housing authority to schedule an eligibility interview. Private employers should NOT be asked to refer families, or to solicit personal information about their employees. Sample Employer Outreach Letter(s), HACSM-2-09, and an MTW Poster, HACSM-2-10, can be found in the Chapter 2 Appendix.

6. Mass Marketing and Outreach

If participation remains low after the initial marketing and outreach, more extensive mass marketing and outreach will be conducted. Other forms of marketing to be used in these cases include:

- Cable TV
- Public Service Radio
- Newspaper advertisements
- Billboards

Chapter 2 Appendix: Forms

HACSM 2-01	Full Leasing Checklist
HACSM 2-02	Landlord Information Sheet - Contacts
HACSM 2-03	Landlord Information Sheet – Common Fail Items
HACSM 2-04	Radio Scripts
HACSM 2-05	Applicant Referral (long)
HACSM 2-06	Applicant Referral (short)
HACSM 2-07	Partners in Self-Sufficiency
HACSM 2-08	Purge Letter
HACSM 2-09	Employer Outreach Letter
HACSM 2-10	Employee Information Poster

HACSM 2-01

MTW Program	Necessary Conditions for Full Leasing		
HACSM Actions Needed to Address the Necessary Conditions for Full Leasing Checklist	Willing Landlords with Sufficient Units meeting HQS Available at Affordable Rents	Sufficient Eligible Applicants with the Ability to Find and Lease Units	HACSM Management Capacity
Landlord Outreach/Education - Landlord seminars and fairs, attending Apartment Assoc. Meetings, newsletters, etc.			
Setting Payment Standard - Determining level of PS needed to reach extended areas of the market. Could include seeking exception rents and or use of the 50 th percentile FMRs. In addition, this helps mitigate the 40 th percent of income rent burden limit, which would otherwise limit the rent payable by participants in first time units.			
Rent Reasonableness - RR process must be sound and flexible in order to pay a fair rent to landlords.			
Maximum use of Tax Credit Properties - Enforcement of required acceptance of vouchers by Tax Credit properties.			
Customer Service for Landlords - <ul style="list-style-type: none"> • prompt and professional responses to inquiries, • initial inspections conducted speedily after landlord Request for Tenancy Approval, • on time checks each month, • minimal delay in initial check, • periodic landlord satisfaction survey 			
Establishing Sec 8 Landlord Group - Used to obtain feedback, input on policy and process development, problem solving.			
HACSM Screening of Participants and Terminating program violators - At minimum, criminal backgroundcheck can consider more. Program will get reputation for having good tenants, or at least will not have negative reputation.			
Participant Outreach - Particularly where demand for program is weak.			
High Quality Briefings of Participants - Informing and equipping participants with information about how the program works, and about the housing market, resources, etc., some including role playing on selling a landlord on Sec 8, and coaching participants.			
Case Management/ Customer Service - HACSM organizes staff around the client, which often leads to greater success by the participant. This case management provides for better follow-up.			
Security Deposit Assistance – HACSM operates or facilitates use of a revolving loan fund.			
Search Assistance/Counseling - Providing assistance beyond the briefing to link participants with landlords, including transportation, support, etc., particularly in locations outside poverty or minority concentrations.			

MTW Program	Necessary Conditions for Full Leasing		
HACSM Actions in Support of Leasing	Willing Landlords with Sufficient Units meeting HQS Available at Affordable Rents	Sufficient Participants with the Ability to Find and Lease Units	HACSM Management Capacity
<p>Managing the Voucher Issuance Process - HACSM track: <u>unit months under lease</u>, <u>participant turnover</u>, <u>participant success rate</u>, <u>average time to lease a unit</u>, at least monthly to determine the number of vouchers that must be issued to reach a target number of unit months leased for the year. PHAs may also use this information to attempt to influence these factors, e.g. increasing success rate.</p>			
<p>Managing the Waiting List - Maintains sufficient number of eligible applicants to meet needed voucher issuance volume and annually purge the applicant waiting list.</p>			
<p>Managing Budget Process - Finance staff and Sec 8 Program staff collaborate to track program costs and Annual Budget Authority to fully utilize dollars to issue vouchers.</p>			
<p>Managing Human Resources - PHA staff are sufficient in number, skills and provided with support to handle the workload and give excellent service.</p>			
<p>Managing Processes and Procedures - Effective procedures are developed covering key leasing and related processes. Quality control checks are used to ensure process is working or is fixed.</p>			

**Housing Authority of the County of San Mateo
Landlord Information Sheet
Who Do I Contact When I Have a Question?**

Please contact the Family Self-Sufficiency Coordinators at:

North Region: Sharleen Lai (650) 802-3345

Central Region: Tammy Slaughter (650) 802-3347

South Region: Faith Garica (650) 599-3860

These are commonly asked questions:

1. Questions regarding payments-when will I receive payment, how much will it be; how was it calculated?
2. Main switchboard-directs you to the appropriate person?
3. Questions regarding terminations, lease violations, what do I do when I have a problem resident?
4. Questions regarding Housing Assistance Payments contracts, terminations due to debts owed to the Housing Authority of the County of San Mateo?
5. Questions regarding submitting or submitted Request for Lease Approvals?
6. Questions regarding tenants moving from another area (portables), Mod Rehab Units, Project Based Assistance, general questions on other programs?
7. Questions regarding rent increases rent determinations, courtesy inspections, and general inspection problems?
8. Questions regarding scheduling inspections, HQS violations or re-inspections?
9. Questions regarding services, conduct of employees, or other questions about the program?
10. General questions about the Moving to Work (MTW) program, Section 8 rental assistance, Family Self-Sufficiency or other special programs administered by the housing authority?

**Housing Authority of the County of San Mateo
Landlord Information Sheet
10 Most Common Items that Fail During Rental Assistance Inspection**

1. **Smoke detectors**-there should be at least one operable smoke detector per floor level, including basements
2. **Handrails**-required on any stairs with more than four or more steps
3. **Windows**-each room requires one window with the screen that opens, closes, and locks. Broken ropes or other mechanical devices should be replaced or window controls installed. Broken windows will not be accepted.
4. **Utilities are required to be turned on for the inspection**
5. **Gutters and downspouts**-should be clean with water flowing away from the building
6. **Hot water tanks**-relief valves with discharge lines running three to five inches from the floor or discharging to the outside. Metal restraining strips for earthquake safety.
7. **Appliances**-must be fully operational
8. **Paint**-any units constructed prior to 1978, which houses a child, 6 or younger must be free of peeling or chipping paint. All paint that is chipping or peeling should be removed and repainted. Special caution should be taken on disposing of paint on any pre 1978 units. **Note: watch for areas between windows and screens, door thresholds and casings.**
9. **Bathrooms** -must have a window which opens to the outside or a vent fan.
10. **Garage**-should be secured and lockable

This is a brief listing of items that are inspected to qualify for the assisted housing program. This is not a complete listing of items, however it does contain general items we frequently see failing a unit and requiring re-inspection. Please use it as a guide for preparing for a unit for inspection and greater detail can be obtained by contacting the Housing Authority of the County of San Mateo at 650-802-3300.

**Housing Authority of the County of San Mateo
Marketing and Outreach
Radio Script**

Business Script

(Alternate)

Calling all landlords! Become a member of the team dedicated to providing decent, safe, and affordable housing in our community. Guaranteed tenant availability, free advertising, and a portion of the rent paid by the rental assistance program thus reducing your cost. You select the resident; use your lease, and other forms. For more information contact the Housing Authority of the County of San Mateo at 111 -- 111 -- 111.

(Selected)

Are you a landlord in San Mateo County? Join the team professionals in our community dedicated to providing decent, safe and affordable housing. Guaranteed availability of tenants, free advertising, low vacancy turnaround time, and a portion of the rent paid directly to you through the rental assistance program. You select the resident, use your lease and other forms. For more information contact the Housing Authority the County of San Mateo at 111 -- 111 -- 111.

(Alternate)

Apartments available? If you're a landlord in San Mateo County and wish to learn more on ways to guarantee available tenants, reduce advertising costs, and have a portion of the rent paid directly to you while still using your lease and other documents; contact the Housing Authority of the County of San Mateo at 111 -- 111 -- 111 and become part of the winning team of professionals dedicated to providing affordable housing in our community. That's 111-111-111.

Civic Duty Script (Alternate)

Reach out and build a stronger community by helping families in the rental assistance program. If you're a landlord in San Mateo County who's interest is providing decent, safe and affordable housing, so all areas can grow and flourish across all incomes, contact the Housing Authority the County of San Mateo at 111 -- 111 -- 111 to become involved and play your critical part in building a stronger community for everyone. That's 111-111-111. Call today!

Are you playing your role in building an affordable housing community? If you're a landlord even with only 1 apartment or home, we can show you a way to participate and also save you money. Help all families remain and be a critical part of our community by contacting the Housing Authority the County of San Mateo at 111 -- 111 -- 111. You hold the key. We have some tools that can make affordable housing work for. That's 111 -- 111 -- 111. Call today!

HACSM 2-05

HACSM use only	
Eligible	Y / N
Points	_____

**Housing Authority of the County of San Mateo
Moving to Work Applicant Referral**

Instructions: This form is to be completed in full by the case manager and submitted to the FSS Coordinator at the FSST or at the regional offices of the Housing Authority of the County of San Mateo:

North Region: 1487 Huntington Ave, So. San Francisco, CA 94080

Central Region: 550 Quarry Rd, San Carlos, CA 94070

South Region: 2500 Middlefield Rd, Redwood City, CA 94063

The application date will be determined by the date and time of HACSM's receipt of the application.

*Items marked ** require third-party documentation, which should be attached to this referral. Shaded areas will be completed by HACSM staff.*

Applicant Name

Address

Telephone _____ **Home** _____
Work _____

If no home or work phone, name/number where applicant can receive a message:

Referred by	
Name, Title	_____
Agency, Office	_____
Telephone	_____
Date of Referral	_____

Eligibility

Applicants selected for participation in the Moving to Work program are required to demonstrate that they are eligible for participation based on the following factors: participation in Work First/SUCCESS or similar program, good standing with the Housing Authority of the County of San Mateo, and no history of drug or alcohol abuse, domestic violence, or violent criminal activity within the last three years, or evidence of rehabilitation.

NO	YES	Participation in TANF/Work First, SUCCESS or Similar Programs
		<ul style="list-style-type: none"> Is applicant currently receiving TANF (Temporary Assistance for Needy Families)?
		<ul style="list-style-type: none"> Has applicant received TANF at any time on or after October 1, 1998? If "YES" give dates. _____ to _____.
		<ul style="list-style-type: none"> Is applicant currently participating in the SUCCESS program?
		<ul style="list-style-type: none"> Is applicant currently participating in a similar job readiness/self sufficiency program? If "YES", name program. _____
		<ul style="list-style-type: none"> Has applicant received SUCCESS or similar job readiness/self sufficiency at any time on or after October 1, 1998? If "YES" give dates. _____ to _____.
<i>If the answer to all questions above is "NO", the applicant is ineligible.</i>		
NO	YES	Good Standing with the Housing Authority of the County of San Mateo
		<ul style="list-style-type: none"> To the best of your knowledge, does the applicant have any outstanding debts to HACSM or to any Federal housing program, which has not been or is not being repaid?
		<ul style="list-style-type: none"> To the best of your knowledge, is the applicant delinquent in, or has the applicant ever defaulted on, any repayment agreement with HACSM or any Federal housing program?
		<ul style="list-style-type: none"> To the best of your knowledge, has the applicant ever been terminated for violation of family obligations in any Federal housing program?
<i>If the answer to any of the three questions above is "YES", the applicant is ineligible.</i>		
NO	YES	No Active Drug or Alcohol Abuse
		<ul style="list-style-type: none"> Has applicant been free of drug and/or alcohol abuse for the last three years?
		<ul style="list-style-type: none"> Has applicant completed a certified/licensed rehab/recovery program for drug and/or alcohol abuse within the last three years? If "yes", name program _____ **
		<ul style="list-style-type: none"> Is applicant currently enrolled in a certified/licensed rehab/recovery program for drug and/or alcohol abuse? If "yes", name program _____ **
<i>If the answer to all of the three questions above is "NO", the applicant is ineligible.</i>		

NO	YES	No Active Domestic Violence
		<ul style="list-style-type: none"> Has applicant been free from committing domestic violence for the last three years?
		<ul style="list-style-type: none"> Has applicant completed a counseling or anger management program for domestic violence within the last three years? If "yes", name program _____ **
		<ul style="list-style-type: none"> Is applicant currently enrolled in a counseling or anger management program for domestic violence? If "yes", name program _____ **
		If the answer to <i>all</i> of the three questions above is "NO", the applicant is ineligible.
NO	YES	No Violent Criminal Activity
		<ul style="list-style-type: none"> Has applicant participated in any violent criminal activity for the last three years?
<i>If the answer to the question above is "YES", the applicant is ineligible.</i>		

PREFERENCES

(These factors are NOT mandatory, but will be used to determine placement on the waiting list)

Family Composition _____ **Adult(s)** _____
 Children (*under 18 years old*)

Annual Income	Amount	Source
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

_____ Low Income	_____ Very Low Income	_____ Extremely Low Income
------------------	-----------------------	----------------------------

Employment

Are applicant and or other adult family members currently employed?

OTHER ADULT APPLICANT

If so, give Name of employer

Date hired

Number of hours worked per week

Do the applicant and other adult family members have prior employment during past 3 years?

OTHER ADULT APPLICANT

If so, give Name of employer

Dates employment started / ended _____

Number of hours worked per week _____

Name of employer

Dates employment started / ended _____

Number of hours worked per week _____

List additional employers, dates, and hours, if any, on attachment sheet.

<p>___ Current full-time employment (1 point) plus ___ 12-23 months full time (2 points) or ___ 24-36 months full time (4 points)</p>	<p><i>Total Points</i></p>
---	----------------------------

Education

NO Does applicant have a High School Diploma or GED? YES

How many semesters (or six month periods) of post high school education or job training has applicant *completed*?

___ Semesters	Program(s)/school(s)
_____	_____
_____	_____
_____	_____
_____	_____

Is applicant *currently enrolled* in education or job training program? YES NO

If yes, name of program and school _____

___ <i>Diploma/GED</i>	(5 points)
___ <i>Semesters post-high</i>	(@ 2 points each semester or 6 months)
___ <i>Current enrollment in education or job training</i>	(1 point)

Earning Potential

What career field is the applicant preparing to enter? _____

Is the applicant's current employment in a field with high starting salaries (construction, public sector, high tech, or administrative or professional positions in medical field requiring at least a high school education, etc.)?

___ YES ___ NO

Is the applicant's education preparing him/her for employment in a field with high starting salaries (construction, medical, high tech, etc.)?

___ YES ___ NO

___ *Employment or education in high-salary field*

2 points

Child Care

___ Number of pre-school children in child care

___ Number of school age children in afterschool care

___ Number of elderly or disabled family members in daycare

Daycare/Preschool/afterschool provider(s)

___ Number of children enrolled in school

School(s) _____

___ *Daycare or afterschool enrollments*
___ *School enrollments*

(@ 2 points)

(@ 1 point for each school-aged child enrolled in school)

Total Points

Transportation

Does applicant have an automobile or other reliable mean of transporation?

If so, give make, year _____

Does applicant live near public transportation?

If so, give line/route _____

**

___ *Own automobile, or other reliable transportation*

1 point

Motivation

Give two examples of actions taken by applicant that demonstrate a desire to improve him/herself or to become self-sufficient

1 _____

2 _____

HACSM use only	
Eligible	Y / N
Points	_____

**Housing Authority of the County of San Mateo
Moving to Work Applicant Referral
SUCCESS Agency Referral**

Instructions: This form is to be completed in full by an agency staff member and submitted to the MTW Program Coordinator at the central offices of the Housing Authority of the County of San Mateo, 264 Harbor Boulevard, Building A, Belmont CA 94002-4017. The application date will be determined by the date and time of HACSM's receipt of the application.

Applicant Name

Address

**Telephone
Work**

Home

If no home or work phone, name/number where applicant can receive a message:

<p>Referred by</p> <p>Name, Title</p> <p>_____</p> <p>Agency, Office</p> <p>_____</p> <p>Telephone</p> <p>_____</p>

Eligibility

Applicants selected for participation in the Moving to Work program are required to demonstrate that they are eligible for participation, based in part on participation in Work First/SUCCESS or a similar program. To help us determine the applicant's eligibility, please fill out the following as fully as possible.

NO	YES	Participation in TANF/Work First, SUCCESS or Similar Programs
		<ul style="list-style-type: none">• Is applicant currently participating in the TANF/Work First, SUCCESS, or similar program(s)?
		<ul style="list-style-type: none">• Describe the program services the applicant receives from your agency:
<i>If the answer to the first question above is "NO", the applicant is ineligible.</i>		

Motivation

Give two examples of actions taken by applicant that demonstrate a desire to improve him/herself or to become self-sufficient

1. _____

2. _____

Partners in Self-Sufficiency

Passing the course!
Getting the job!
Being there for the kids!

The families you serve have enough to worry about without worrying about their housing!

The Housing Authority of the County of San Mateo is pleased to announce the availability of time-limited **Section 8 housing assistance** for families that are working their way off welfare. Participating families get help with their rent, access social services, and save money toward the purchase of their own homes!

To qualify for this special program, families must be

- current or former welfare or SUCCESS program participants
- drug-, alcohol-, crime- and domestic-abuse free
- in good standing with HACSM

Preference will be given to families who are

- working, or enrolled in educational or training programs
- have made suitable arrangements for school or daycare
- have reliable transportation
- are motivated to get ahead

Referrals are being accepted **NOW**.

Referral forms are available at **YOUR** agency's business offices, or from the Housing Authority of the County of San Mateo, 650-802-3300.

HACSM 2-08

Dear Applicant:

Your application for Section 8 Housing Assistance is currently on file with the Housing Authority of the County of San Mateo. This letter is intended to confirm that you are still interested in receiving housing assistance, and to inform you of a **new program that will enable qualified households to receive assistance sooner than they would under the Housing Choice Voucher Program.**

The new program – **Moving to Work** – is designed to help 300 households in the County of San to become self-sufficient. The program is similar to the Section 8 Housing Choice Voucher in many ways. Some provisions are different, however –

- Assistance to any family is limited to six years
- In calculating the rent a family will pay, generous allowances are made for increases in earned income and the income from new family members
- All participants are required to participate in the Family Self-Sufficiency Program.
- Escrow accounts are established for all families, and funds are added as the family's earned income increases

To be eligible for the MTW (Moving to Work program, you must be

- current or former welfare or SUCCESS program participants
- drug-, alcohol-, crime- and domestic-abuse free
- in good standing with HACSM

Preference will be given to families who

- are working, or enrolled in educational or training programs
- have made suitable arrangements for school or daycare
- have reliable transportation
- are motivated to get ahead

If you think that you qualify, and are interested in being considered, check the appropriate box on the other side of this form. A staff member will contact you about your MTW application when openings are available. Checking this box **WILL NOT** affect your application for Section 8 or Public Housing. However, you should be aware that **families that enroll in the MTW program and receive housing assistance will be removed from the regular Section 8 waiting list.**

If you have any questions about this program, or the status of your application, you may call the housing authority at 650-802-3361

[HACSM Continued Interest return letter on Side 2]

HACSM 2-09

Dear Employer:

As part of San Mateo County's welfare reform efforts, the Housing Authority of the County of San Mateo is pleased to announce the availability of the Moving to Work program -- housing assistance for working families who previously received welfare and/or other assistance from the county. The assistance provided helps families with modest incomes to pay their rent in privately-owned rental housing throughout the county.

We believe that this program will be beneficial to employers as well. With the help available, eligible employees will be able to

- Move closer to work, or to reliable public transportation, cutting down on travel time and time lost to transportation delays and failures
- Stabilize their housing situation, so that less work time is lost through "family emergencies"

Eligible families will have combined incomes below 50 percent of the county median, or \$37,450 (for a family of four: smaller and larger families have proportionally lower – and higher – income limits). As program participants, they will pay approximately 30 percent of their income toward their rent, and the balance will be paid by the Housing Authority. As participants' income increases, the participants will pay more.

We are not, of course, asking you to decide who is eligible for the program. What we are asking is that you post the attached notice in a prominent place (employee bulletin boards, for example) and/or reproduce the notice and distribute it to your employees.

If you, or your employees, would like more information about the program, you may contact the Housing Authority at 650-802-3300. Ask to speak to an MTW (Moving to Work) staff member. All calls will remain confidential.

Thank you for your help in making this program work.

Sincerely,

Frank Salmeron
Manager of Housing Operations

Save Money on Housing Expenses !!!

Are you

- Having a hard time paying your housing expenses?
- Unable to afford a place of your own?
- Wasting your valuable time on a long commute?

The Housing Authority of the County of San Mateo can help you with your rent if you

- Live or work in the County of San Mateo
- Have ever received welfare or other services through the County
- Earn less than \$37,450 a year (for a family of four:
- Are willing to set and meet goals for achieving financial independence

The Housing Authority's MOVING TO WORK PROGRAM can provide

- Lower rental payments in rental units of your choice – where you live now, or where you want to live!
- Help finding educational, job training and placement, daycare and other supportive services
- The opportunity to save money toward homeownership or other goals

Families who qualify pay approximately one-third of their income toward rent and utilities. Families live in privately-owned rental units throughout the county. Help is available finding the other work-related services you need. As your income increases, a portion of your rent payment is placed in an escrow account that you receive when your goals for financial independence have been met.

CALL NOW to find out if you qualify for this EXCITING OPPORTUNITY !!

Call 650-802-3300

Ask the operator for the MOVING TO WORK office

(all inquiries will be kept confidential)

[FAIR HOUSING LOGO]

Chapter 3: Application and Verification

3A. Application Procedures

1. General

These procedures are designed to provide clear guidance to the Section 8 staff responsible for the critical functions of receiving and processing applications for the Housing Authority of the County of San Mateo (HACSM) Section 8 Moving to Work (MTW) program. **Although many of the steps in these procedures are similar to those used in other Section 8 programs at HACSM, these procedure ONLY apply to the MTW program.**

Application is the point at which most families first encounter the HACSM and the crucial first impression they gain from the way they are treated is likely to carry forward for their residency. Furthermore, of all the activities the HACSM carries out, Section 8 intake is the one that has the heaviest burden of statutory compliance and the greatest possibility for an inadvertent error resulting in Civil Rights violations.

At HACSM, some of the functions below are performed by HACSM staff and some of the functions are performed by the Human Services Agency, County of San Mateo. These functions are to be performed as outlined in these procedures to ensure compliance with law and regulation, regardless of whether staff or contractors are performing the functions. Throughout this document, the word “staff” is used; it refers to both HACSM employees or other service providers.

The Procedure explains **how** staff are to perform the various tasks required to carry out the HACSM’s Section 8 Administrative Plan by describing the specific steps and methods to ensure that the process is:

- In full compliance with HUD requirements and HACSM’s policies;
- Clear and understandable to applicants; and
- As convenient as possible for applicants.

This Procedure is designed to be used in conjunction with other HACSM procedures covering Verification, Opening and Closing Waiting Lists, Updating the Waiting List and Removing Applications from the Waiting List, Applicant Screening, Orientation Classes, and Informal Hearings for Rejected Applicants. In total, these procedures provide a clear roadmap to lead staff through the entire process in a manner that answers the majority of staff questions and eliminates, as much as possible, the likelihood that two applicants in similar circumstances would be treated differently. The best way to prevent disparate treatment (and Civil Rights violations) is first to ensure that the underlying policy is sound and then to implement that policy in a manner that is fair and consistent.

2. Reduction in Duplication of Work

Many of the MTW applicants also are TANF or SUCCESS clients. To participate in these programs, applicants have submitted much of the same documentation required for an MTW Section 8 voucher. In order to reduce the burden on the applicant and to avoid asking for the same information for

different programs, HACSM and the Human Services Agency will share common information. When Human Services Agency staff complete a referral on Section 8 applicants, it is assumed that much of the information needed for verification is already available in the Human Services Agency files. Therefore, when a referral is made to HACSM by the Human Services Agency, copies of the required verifications should be attached to the referral. If a verification is not available, the Human Services Agency staff should note that the verification is not available.

3. Communicating with Applicants

The first step in HACSM's application process is for HACSM staff to ask all applicants how to communicate with them and whether they need a form of communication other than written materials because of a disability. If the applicant expresses a need for some other form of communication, it will be noted in the application file and staff will use that manner of communication in the future¹.

Unless applicants with disabilities request some other form of communication, all initial communications with applicants will be first class mail sent to the applicant's last reported address. Even when contacts are made by telephone, confirmations will be mailed, when possible, because written communications help reinforce the information provided by telephone and provide better file documentation than notes of telephone calls.

Failure to respond to HACSM letters (or other method designated by an applicant with disabilities) will result in withdrawal of an application from further processing. See the **Procedure on Updating the Waiting List and Removing Applications from the Waiting List** for the correct method to withdraw applications.

4. Accepting Applications/Referrals

HACSM will accept both applications from applicants and referrals from the Human Services Agency of the County of San Mateo. Applications and referrals will be accepted until all of the MTW Section 8 vouchers are leased.

Written applications for open waiting lists must be accepted from anyone who wishes to apply. Subsequent review will eliminate applications of families that do not qualify. **(Required, REV-2 ¶ 2-1(a)(2))**.

Every referral must be signed by a staff member of the Human Services Agency, County of San Mateo. Every application must be completed and signed by the head of the household, spouse, and any other adult members who will be a part of the household. Staff must be prepared to assist any applicants who might have trouble completing the application. This assistance might take the form of answering questions about the application, helping applicants who might have literacy, vision, hearing or language problems and, in general, making it possible for interested parties to apply for Section 8 assistance.

1 The HACSM must bear the expenses of alternative forms of communication for applicants with disabilities, which might include but not be limited to staff taping or reading written materials for persons with vision impairments, providing Telecommunication Device for the Deaf or qualified sign language interpreters for persons with hearing impairments, and staff reading and explaining materials to applicants or their designees for persons with cognitive impairments or learning disabilities.

HACSM is required to assist any applicants with disabilities that ask for assistance in the completing the application process. **(Required, 24 CFR § 8.6)**

If any applicant needs assistance in filling out the application, a Section 8 staff person will provide assistance. If applicants need help because they are not fluent in English, the bilingual staff will help, but if applicants' first language is neither Spanish nor English, the applicant will be requested to return with an individual who can interpret. HACSM, while required to provide reasonable accommodations to persons with disabilities, is not required to employ staff skilled in every language applicants might need.

5. Taking Applications

Only the approved HACSM Application for Section 8 will be used. This form collects only information sufficient to make a preliminary determination of eligibility and to place an applicant on the correct waiting list. The detailed information necessary to verify an applicant's eligibility, rent and compliance with screening requirements will not be collected until the application nears the top of the waiting list. This eliminates pointless duplication of efforts by both applicants and staff.

6. Creating Applicant Files and Waiting List Placement

On a daily basis, HACSM will receive applications or referrals in each of the three Regional offices. The applications and referrals must be given date and time stamped and to the Family Self Sufficiency Coordinator (FSSC) in the office for initial processing. Applications or referrals received in the wrong office, should be date and time stamped and forwarded to the regional office with jurisdiction over the current address of the applicant/referral. At this stage in the process, the FSSC is responsible for ensuring that the paper file is created, the correct information is entered into the automated waiting list system, the applicant is placed on the correct waiting list and the paper file is filed correctly.

Once staff has received the application, she/he will input the information from the application into the computer system. If there is any missing or inconsistent information that may affect the applicant's placement on the appropriate waiting list, the staff is responsible for obtaining the necessary information. If, while entering the family information in the computer, it is found that the applicant or any family member owes HACSM a balance, the family will be found ineligible, unless fifty (50) percent of the balance is paid within 30 days and an agreement to repay the balance within two years is signed within 30 days. No family will be found eligible until the initial fifty percent is paid..

Each of the three regional office will maintain its own waiting list.

Once the above steps are completed, the application will be placed on the Section 8 waiting list based on HACSM's local MTW preferences for admission and the date and time of application or application number. **(See 24 CFR Part 5.405)**

7. Ineligible Applicants

It is possible at this stage to find an applicant ineligible based upon the information supplied on the application (income is higher than allowable, no citizens or eligible immigrants in family) or referral. Only HACSM staff may make eligibility determinations; Human Services Agency staff may not make eligibility determinations. It is the responsibility of the staff to review the application for initial

eligibility based upon the applicant's self-certification. If the applicant is not eligible, the staff will follow the steps for applicants who are found ineligible.

8. Notification of Applicants

Applicants will be notified by mail of their place on the waiting list based upon their self-certification, and how long a wait they may reasonably expect on the list before getting to the top, being screened, and being offered a Voucher. Additionally, the letter will state that the information supplied by the applicant will be verified and the applicant screened using HACSM procedures prior to an offer of a voucher. Finally, the letter will stress the importance of the applicant staying in touch with HACSM and reporting any changes in family circumstances such as a new address, telephone number, additional or fewer family members and any change in employment or training status or income. The reason to stress the importance of keeping this information up to date is because it may change the sub-list on which the applicant should be placed.

9. The Applicant's Paper File

Once the application has been entered into the system and placed on the waiting list, the staff will create a folder for the applicant containing the application, a copy of the letter sent, and any other additional notes or correspondence; and label the folder with the applicant's application number. The folder will then be filed with the other active folders in the appropriate sub-list category.

10. Waiting List Update

Section 8 staff will update individual applicant information upon request by the applicant family, e.g. change of address or telephone number, change in family size or composition, change in employment status, etc. The staff will also document any changes to the applicant's file.

11. Applicant Interview and Eligibility Verification

If there is little or no waiting list for the MTW Section 8 Vouchers, the applicant will be interviewed when he/she submits the application. Referrals do not have to be re-interviewed by HACSM staff, if all information on the referral is complete and all verifications present.

The FSSC will conduct an eligibility interview.. Duties are not to be subdivided among staff and folders are not to be transferred from one to another unless a staff is unable to complete his/her duties, in which case, work will be re-assigned.

The first step in the eligibility verification is that the staff will schedule an interview with the applicant. There are two purposes served by the application interview: Up-to-date information is collected from the applicant and information is provided to the applicant.

This is the point in the application process when the annual income, adjustments to income, assets, preferences, citizenship/eligible immigration status, family composition and relationships, full-time student status, disability, age, and social security numbers will be verified using the **Procedure on Verification**

The application interview will be conducted using the following checklists, in order:

- Application

- Annual Income Checklist
- Asset Checklist
- Adjusted Income Checklist

Using the checklists ensures that all applicants are asked all required questions, triggers the signing of all appropriate releases for third party verification forms, and may stimulate applicant questions about HACSM, the rest of the application process, or other information important to the applicant family. All adult family members should be asked the questions from the checklists and should sign and date each checklist. This protects all parties by ensuring that all parties are asked important questions, and none were omitted.

At the application interview, all adult members of the applicant's family are required to sign the appropriate releases, including the release of criminal history information, so that HACSM may obtain the verifications necessary for certification. Refusal to sign releases will cause the applicant to be in non-compliance, and therefore rejected². The releases signed at this stage also include those required for applicant screening.

Once the criminal history release form has been signed, the staff will order the criminal history report immediately because of the length of time required to obtain this information. Upon receipt, the criminal history report goes directly to the Housing Programs Supervisor who is responsible for reviewing this information within one working day. The Manager will notify the FSS coordinator, in writing, that the applicant has passed the criminal screening or has not passed the criminal screening. The Housing Programs Supervisor may designate, in writing, another staff person who is responsible for this review when he/she is out of the office. Should any person other than the Housing Programs Supervisor inadvertently receive criminal history information, it should promptly be delivered to the Housing Programs Supervisor or the Manager of Housing Operations or designee. This information is confidential and will be stored securely (separate from the application), used appropriately and disposed of appropriately.

Immediately following the application interview, the appropriate verification forms will be mailed or faxed out to the third party verification sources. Clerical support staff may be used to fax information. All outgoing faxes must be faxed immediately. All incoming faxes must be placed in the appropriate FSS coordinator's in box immediately. If faxing is not possible, the verifications will be mailed. Each such mailing will include a stamped, self-addressed return envelope. The Section 8 staff will follow-up any third-party verifications not received with telephone verifications that are properly documented.

² Under the provisions of the federal privacy act, neither agencies nor individuals are supposed to release information about an applicant without the applicant's written consent. Since screening is performed on the family as a whole, releases will be needed from all adults. The HACSM is within its rights to make signing releases a condition of application so that anyone who refuses to sign is rejected for admission.

12. Updating the Electronic File

As verification forms are received (at least daily) the Section 8 staff will update the electronic file of each applicant assigned to him/her. Thus, by the time all information has been received, a complete electronic profile will have been constructed.

13. Eligibility Determination

If, as a result of the verification process, it is discovered that the applicant's preference status has changed in a way that impacts the waiting list position, the applicant will be so notified and the waiting list position will be adjusted based on the verified preference, and date and time of application. At this point, processing may be suspended until the application again nears the top of the now corrected sub-list.

At the conclusion of the verification process, the staff will review the applicant's file and check for eligibility. The checklists will be reviewed to ensure that all information triggered by the checklists has been received and that everything is available to determine eligibility and compute rent. Following the file review, the applicant will be sent one of three letters described below in 1.14.

14. Notification of Applicants about eligibility and preferences

(a) Any applicants found to be **ineligible** as a result of the verification process will be sent a rejection letter by the Section 8 staff. **(Required, 24 CFR § 913.109 & § 960.206)** They will get a letter headed "Based upon the information you supplied in your application for assistance, you are not eligible for admission...".

Ineligible applicants will be informed of their right to an informal hearing if requested within 10 working days of the receipt of the rejection letter. (See **Procedure on Informal Hearings for Rejected Applicants**) They will also be advised of their right to due process in a court of law if they feel the ineligibility decision was based upon illegal discrimination. Once the decision to reject is final, the application will be filed with other rejected applications. Rejected applications will be held in the regional office for three years and archived after three years or until the next HUD Section 8 Review, whichever is sooner.

(b) Applicants who are **eligible** but **do not qualify** for a preference will be sent a letter headed "You are eligible for housing, but do not qualify for a Local/Ranking Preference for Admission at this time...". This letter will also provide an estimate of the date the family can expect to receive an offer of housing.

Applicants who do not qualify for preferences will be given 10 working days in which to request an informal meeting to discuss their failure to qualify for preferences. They will also be advised of their right to due process in a court of law if they feel the decision to deny a preference was based upon illegal discrimination. The informal meeting, if it occurs, will be conducted by the Agency employee who denied the Preference and one other HACSM employee. **(Required, 24 CFR 960.211(k))**

At the informal meeting, HACSM is under no obligation to justify or defend either its definitions of the Preference categories, or its verification requirements relating to the Preferences. The Agency need only justify its decision to award or deny the Preferences.

(c) Applicants who are **eligible** and **qualify** for the preference will be sent a letter headed “You are eligible and qualify for a Local/Ranking Preference for Admission.”. This letter will also describe the timetable for the next steps in the application process, so that applicants will begin assembling the money needed for a security deposit, preparing to give notice to their current landlord and be expecting to hear from the FSS coordinator to schedule a briefing appointment.

15. Review of Applicant File

The final step to be performed by each FSS coordinator will be a review of the file. The staff will go back over all the checklists to be certain that all verification forms required for the family’s circumstances have been received or that alternate forms of verification have been received. Next, the staff should review the internal consistency of materials in the file. For example, if the applicant stated a certain income in the interview and the information received is significantly different, the staff should be sure that he/she understands the underlying reason for the difference. Such an anomaly could be a result of a change in circumstances, a misunderstanding at the interview (by either the staff or the family), or fraud. It is important to be certain that no such changes are fraudulent, since fraud is grounds for rejection. Finally, the staff will review all the financial information to make sure that everything the Housing Specialist will need to determine annual income and adjusted income and compute rent is included in the file.

The Housing Programs Supervisor will review a random set of completed files each week for each Section 8 staff to ensure that all work is correct, complete, and timely. The quantity of work completed by each staff will also be monitored. Work that is done incorrectly or insufficient amounts of work completed will be followed up, initially with training and counseling, and, following training, with progressive discipline.

Once the FSS coordinator has determined that the applicant has met all criteria for receiving a voucher, the data is input into the computer, and the applicant is notified in writing as to approximately when a voucher may be issued.

3B. Verification Procedures

1. What Must be Verified

All information relative to the following items must be verified as described in these procedures: **(Required, 24 CFR § 960.206)**

Eligibility for admission, such as:

- Income, assets and asset income, (§ 5.617)
- Family composition, (§ 5.617)
- Social Security numbers (§5.216)
- Citizenship or Eligible Immigration Status (§ 5.508)
- Receiving TANF or participating in SUCCESS
- Good standing with HASCM
- No active Drug or Alcohol Abuse

- No Active Domestic Violence
 - No Violent Criminal Activity
- Preferences, such as: (§ 960.206)

- Income
- Employment
- Education
- Earning Potential
- Child care
- Transportation
- Motivation

Allowances, such as: (§ 5.617)

- Age, or disability of family head or spouse,
- Full time student status,
- Child care costs,
- Disability assistance expenses (working families only),
- Medical costs (Elderly and Disabled Families only)

All the above information must be documented and appropriate verification forms or letters placed in the applicant or participant file.

2. Period for Verification³

Only verified information that is less than 90 days old may be used for certification or recertification. Verified information obtained after application intake that is less than 90 days old need not be reverified. Verifications may be extended for an additional 30 days with a telephone update. (A record of the update must be placed in the applicant's file.) Verified information not subject to change (such as a person's date and place of birth) need not be re-verified.

Information obtained that is subject to change, and for which verifications are more than 120 days old, must be re-verified.

3. Forms of Verification

Documentation employed as part of the verification process may include:

- Checklists completed as part of the interview process and signed by the applicant and interviewer,
- Verification forms completed and signed by third parties,

³ HUD requires that verification forms to support the HACSM's admission decisions be placed in the applicant (and, subsequently, the participant) files. Information that is subject to change, such as income, assets, family composition, etc. should be verified close to certification or recertification. Other information, such as birth dates of family members, will not change and need only be verified once.

- Reports of interviews,
- Letters,
- Notes of telephone conversations with reliable sources.

At a minimum, such reports will indicate the date of the conversation, source of the information, name and job title of the individual contacted, and a written summary of the information received. (See 7465.1 REV-2, ¶ 4-1)

HACSM staff will be the final judge of the credibility of any verification submitted by an applicant. If staff consider documentation to be doubtful, it will be reviewed by the Supervisor who will make that determination. Staff will continue to pursue credible documentation until it is obtained or the applicant is rejected for failing to produce it.

4. Attempted Fraud

Any information provided by the applicant that verification proves to be untrue may be used to disqualify the applicant for admission on the basis of attempted fraud. The HACSM considers false information about the following to be grounds for rejecting an applicant:

- Income, assets, family composition
- Social security numbers
- Preferences
- Allowances
- Previous participant history or criminal history

Unwitting errors or errors that do not secure an advantage with regard to program eligibility, preferences, or rent will not be used as a basis for applicant rejection.

5. Sources of Information

Sources of information to be checked may include, but are not limited to: (See 24 CFR § 960.206(b))

- The applicant by means of interviews, and home visits;
- Present and former landlords, or housing providers;
- Present and former employers;
- Credit checks and landlord record services;
- Family social workers, parole or probation officers, court records, drug treatment centers, clinics, physicians, clergy;
- Police departments and criminal record repositories (Local and state, and the National Crime Information Center).

6. Verifications and Rent Computations

Income and rent computations: Annual Income, used to determine eligibility, and Adjusted Income, the income upon which rent is based, will be computed in accordance with the definitions and procedures established in federal law and set forth in the Administrative Plan. (Required, 24 CFR §5.617)

7. Preferred Forms of Verification

Verifications shall be attempted in the following order:

- (a) Third-party written;
- (b) Third-party oral with a record kept in the file;
- (c) Review of documents provided by the family;
- (d) In the absence of any of the above: affidavits from the family.

Each file will be documented to show that the HACSM staff attempted to obtain third-party written documentation before relying on some less acceptable form of information. **(Also, see 7465.1 REV-2 ¶ 2-14)**

8. Verifying Annual Income

- (a.) Projections of Annual Income shall be based on the best available information, with due consideration to the past year's income, current income rate and effective date; and shall include estimates for each income recipient in the family group. **(§5.617)**
- (b.) The income of irregular workers will be estimated on the basis of the best information available, with due consideration to earning ability and work history⁴.
- (c.) When a participant or applicant reports zero income, the HACSM will visit the participant in the unit to determine the likelihood of the participant's report. If the participant has a car, a telephone, smokes, uses disposable diapers on a baby or has other evidence of some form of income, the applicant will be asked to explain the source of income supporting cash expenditures when zero income is present.

Many applicants and participants may be unaware that regular contributions (even non-cash contributions) to the household would be considered income if they are not for medical expenses. For example, if someone who is not a household member pays the telephone bill every month, or buys gas, tires and insurance for the car, these contributions would be considered income for the purposes of the Section 8 program.

A family budget or statement of financial responsibility may be required from the applicant. Investigations may include ordering a credit report on the participant⁵.

⁴ Estimating the income of irregular workers is difficult at best. Some PHAs have success in requiring the resident to report actual income quarterly and adjusting the rent to reflect that actual (albeit one quarter behind). It is obviously dangerous to base the current year's rent on last year's income, since the two years can be radically different.

⁵ Under HUD's definition of income it is possible that an applicant may have income which is not considered in arriving at Annual Income, on which rent is based. As an example, if a family's sole source of income were money received for the foster care of children, the family would, in fact, have income, but would be a zero income family for the HACSM's purposes.

- (d.) Overtime income will be computed in accordance with verification obtained from the employer, in the absence of more reliable or accurate information.
- (e.) Income is the most important factor in determining a family's eligibility and rent. The Authority has established methods of verifying income which include: **(7465.1 REV-2 ¶ 2-14(a))**
 - (1) Written third-party verification (with an appropriate release) through an employer or public agency. HACSM staff may update this verification by phone provided a memorandum to the file is prepared.
 - (2) Authority review of documentation provided by the family such as:
 - (i) benefit checks⁶
 - (ii) income tax return
 - (iii) W-2 forms
 - (3) In the absence of any of the above, affidavits from the family describing the amount and type of income are acceptable documentation.

9. Limitations on Verifications related to disabilities, handicaps and medical information

- (a.) In general HACSM is not permitted to inquire about and should not verify detailed information related to the disability, handicap or medical history of applicants and participants.
- (b.) The HACSM is permitted to require verification of the presence of a disability that meets the Federal definitions of those terms before extending to applicants or participants the special rights and protections guaranteed to persons with disabilities. Such rights and protections include units with special features, modifying units, buildings or programs to make them accessible, and providing reasonable accommodations.
- (c.) Applicants or participants with disabilities have the right to withhold the fact that they have a disability, but, in this case, the HACSM is not required to extend the protections available to persons with disabilities to such applicants or participants.
- (d.) The HACSM should inquire of all applicants whether a unit with special features is needed because of a disability. In this instance, the HACSM would verify the

That is not the situation this ¶ addresses. HACSM encounter a certain number of applicants who claim to have no income at all over a substantial period of time. This is only credible if the applicant has a very Spartan lifestyle indeed. HACSM is within its rights to document what the family's actual lifestyle is when the family claims zero income. Applicants who smoke are spending money on cigarettes. Applicants who drive have to buy gas, tires, and (maybe) insurance. If someone outside of the household is giving the applicant money or paying their bills, it is income.

⁶ The Authority will not copy checks issued by the U.S. Government.

presence of a disability or handicap and whether the special unit features requested by the applicant were needed.

- (e.) Similarly, if an applicant or participant requests the Disability Deduction for rent computation, the HACSM would verify the presence of a disability, whether the expense claimed is needed to permit a family member (including the family member with the disability) to work, and the annual amount of the deduction claimed.
- (f.) When HACSM is performing screening it typically examines the housing histories of applicants for the past three to five years. As a general rule this is a good practice. The HACSM should, however, permit applicants with disabilities who have spent some or all of the past three to five years in medical facilities⁷ receiving treatment to provide only third-party verification of the dates (beginning to end) when they were receiving treatment and were not living in housing.

Persons in this situation may not be required to document the nature of the condition for which they were being treated, nor may they be required to divulge any other medical information, including the name of the medical treatment facility.⁸

Since medical treatment facilities are not equivalent to housing, there being no rent charged, no responsibility for unit maintenance, no opportunity to engage in criminal conduct, and no lease in effect, the housing provider loses nothing by not being able to verify future lease compliance through medical facilities.

- (g.) HACSM may require an applicant to provide other verification of ability to comply with the essential provisions of the lease, if the applicant verifies only the dates during which the applicant was in a medical facility and the period covered by the medical treatment is recent or of significant duration.

Other verification of ability to comply with the essential provisions of the lease might include proof of some form of financial responsibility (making a regular monthly payment other than rent), some demonstration of ability to care for property or proof of training in how to care for an apartment, verification that the applicant is not engaged in criminal activity, and other documented evidence that the applicant can comply with sensible rules or the housing provider's lease. A housing provider need not offer housing to an applicant who can provide no documentation of ability to comply with the essential obligations of the lease.

- (h.) Another instance in which verification of information related to a disability or handicap would be permitted relates to the HACSM's consideration of mitigating

⁷ The term "medical facilities" means hospitals, clinics, or other institutions whose primary purpose is medical or clinical care. In addition, the term might include half-way houses, group homes or transitional living facilities that might sometimes include a service component, but which are primarily housing facilities.

⁸ In some instances the applicant may wish to use a medical facility as a reference for some aspect of lease compliance, but such a choice rests with the applicant.

circumstances during screening. Nothing would prohibit the housing provider from seeking verification of medical information presented by an applicant with disabilities who would otherwise be unable to comply with the participant selection criteria. Such medical information is usually offered either to explain mitigating circumstances or in seeking a reasonable accommodation.

For example, if an applicant had a poor rental history but stated that the previous history was caused by a disability that is now being successfully treated, the housing provider would be permitted to verify:

- that the applicant did, in fact, have a disability; and
- that the former problems were caused by the disability; and
- that the present treatment can reasonably be expected to prevent the recurrence of the problems.

If an applicant's former housing problems were due to the applicant's resisting or refusing treatment, the housing provider would be justified in verifying whether the applicant would be reasonably likely to continue with the current treatment. In this instance it still would not be necessary for the housing provider to obtain medical information beyond verifying the applicant's assertions about the reasons for past problems, the likelihood of continuing treatment and that the treatment will remedy the problem.

- (i.) A difficult issue in verification is that raised by applicants whose history suggests that they may be users of illegal drugs but who are claiming to be in recovery. No housing provider wants to admit a current user of illegal drugs, both because the law forbids such admissions and because of the potential for attracting drug related crime. The Fair Housing Act explicitly states that current users of illegal drugs are not a protected class and permits providers to reject such applicants.

At the same time housing providers may not engage in screening that has a disparate impact on **former** users of illegal drugs (people in recovery). Former users who are in recovery and whose housing histories reveal no problems that would point to future lease compliance problems are typically admitted without fanfare because, very often, screening staff are never aware of the applicants' status as former substance abusers.

The HACSM may require an applicant to document that he or she is in recovery if objective evidence⁹ raises a question about whether the applicant is a current user of illegal drugs. Documentation that an applicant is not illegally using a controlled substance could include:

⁹ Objective evidence could include but is not limited to information obtained in screening such as statements of the applicant or landlord, home visit reports, police reports, or claims by the applicant seeking consideration of mitigating circumstances.

- Verification from a reliable¹⁰ drug treatment counselor or program administrator stating that the applicant is in treatment, complying with the requirements of the treatment program and not currently using a controlled substance;
 - Verification from a self help program (e.g. Narcotics Anonymous - trusted servant) stating that the applicant is participating in their program, how long the applicant has been participating, and is not currently using a controlled substance;
 - Verification from a probation or parole officer that the applicant has met or is meeting the terms of probation or parole and with respect to illegal use of a controlled substance;¹¹
 - A voluntary interview with a substance-abuse screening team made up of local professionals; and
 - Voluntary drug testing. Testing should be an option, not a requirement and several parameters must guide a housing provider’s use of the option:
 - * Drug tests must be conducted at facilities that use the National Institute of Drug Abuse Guidelines; and
 - * The test must screen for illegal drugs only and applicant’s use of prescription drugs that contain controlled substances must be taken into account; and
 - * The housing provider must pay for all costs associated with drug testing unless the costs are otherwise reimbursed.
- (j.) The questions about alcohol abuse and screening are different from those posed by illegal drug use. Alcohol is a legal drug, so simple use or even abuse of alcohol is not grounds for rejecting an applicant. Does this mean that housing providers are, therefore, unable to exercise any discretion in screening and verifying the histories of applicants whose histories include alcohol abuse?

The answer should be obvious. An applicant who is an alcoholic must meet the same screening criteria as any other applicant. If an applicant’s housing history demonstrates behavior that would be a lease violation, screening staff would have grounds to reject the application, even if the behavior were related to the applicant’s alcoholism.

On the other hand, if screening revealed past tenancy problems, but the applicant asserted that those problems had been caused by alcohol abuse that was no longer occurring, staff would verify the applicant’s assertions. This would entail several

¹⁰ The term “reliable” is used solely to address the concern that housing providers should not have to rely on the expertise of persons who have demonstrated a pattern of providing inaccurate or unreliable information.

¹¹ If applicants have been arrested for drug-related crimes, the terms of their probation or parole very often require drug testing, so such a verification is quite worthwhile

steps: first, verifying that the negative behavior was, in fact, caused by alcohol abuse, next, documenting (using methods similar to those described above for former users of illegal drugs) that the applicant was no longer abusing alcohol, and, finally, looking at the applicant's housing history since entering recovery to ensure that no other screening problems still exist.

The point here is that alcoholism must be treated like every other condition – screening must look at each applicant's behavior, not his or her condition. Some persons who abuse alcohol still never engage in behavior that would violate the lease.

Chapter 3 Appendix: Forms

HACSM 3-01	Asset Verification
HACSM 3-02	Full-Time Student Verification
HACSM 3-03	Applicant/Participant Certification for Childcare Expenses
HACSM 3-04	Childcare Verification
HACSM 3-05	Childcare Expenses Verification
HACSM 3-06	Medical Verification
HACSM 3-07	Prescription Verification
HACSM 3-08	Checklist for Disability Assistance Expense Verifications
HACSM 3-09	Disability Expense Allowance Verification
HACSM 3-10	Certification of Need for Person with Disabilities
HACSM 3-11	Attendant Care Verification
HACSM 3-12	Employer's Certification of Need for Auxiliary Apparatus to Permit Employment
HACSM 3-13	Auxiliary Apparatus Cost Verification Sheet
HACSM 3-14	Family Certification for Disability Expense Reimbursement
HACSM 3-15	Screening Cover Letter
HACSM 3-16	Review of Document or Affidavit Verification
HACSM 3-17	Attendant Care Verification
HACSM 3-18	Asset Checklist
HACSM 3-19	Asset Divestiture Data-Gathering Sheet
HACSM 3-20	Asset Income Worksheet
HACSM 3-21	Verification of Income from Employment
HACSM 3-22	Verification of Receipt of Public Assistance Income
HACSM 3-23	Verification of Receipt of Social Security Income
HACSM 3-24	Verification of Receipt of Child Support Income
HACSM 3-25	Verification of Military Pay
HACSM 3-26	Verification of Receipt of V.A. Benefits
HACSM 3-27	Verification of Receipt of Unemployment Benefits
HACSM 3-28	Verification of Pension or Annuity Income
HACSM 3-29	Self Employment Income Verification Form
HACSM 3-30	Zero Income Checklist and Worksheet: Verification of Non-case Contribution
HACSM 3-31	Worksheet for Income from Contributions

Chapter 4: MTW Program Policies and Special Procedures

4A. Participant Selection

The Housing Authority of the County of San Mateo (HACSM) has been a participant in HUD's Moving to Work demonstration program since the execution of its MTW Agreement in May 2000. Under its MTW Agreement with HUD, HACSM is authorized to design and carry out a demonstration program for 300 families receiving tenant-based assistance. The demonstration exempts the housing authority from most of the regulatory requirements that would otherwise apply to these families. This Chapter implements the provisions of the revised Chapter 20 of HACSM's Section 8 Administrative Plan, which deals with provisions unique to the MTW program. For items **not** addressed in this Chapter the regular Section 8 program policies apply.

1. Admission

Applicants must apply in the Regional Office that serves the address where the family lives (or works for those who do not have a residence in San Mateo County). HACSM will use a two-tiered process for participant selection. The first tier consists of criteria that are considered to be the minimum standards for program eligibility. The second tier consists of eight point-based criteria that give applicants a preference for demonstrating a willingness to help themselves become self-sufficient. Applicants who pass the initial screening will submit verification to support their claims for preference points.

2. Tier I - Eligibility

In order to be found eligible for the MTW Section 8 program, applicants must be able to demonstrate that they meet all of the criteria in Tier I.

1. Residency

The family must be a resident of San Mateo County. Residency includes living in San Mateo County, any adult family member working in San Mateo County or any adult member having a verified job offer in San Mateo County.

2. Status with Work First/SUCCESS or Similar Program

Families must be current participants in the County's TANF or SUCCESS program; any other HAS or Community Based Assistance Program. A current TANF participant is defined as someone who is currently receiving TANF, or received TANF at some time on or after October 1, 1998.

3. Good Standing

Families must have no outstanding debts with HACSM or any other housing authority, or must be current with any repayment agreement. Fifty percent of the obligation must be repaid within 30 days before the family is found to be eligible and an agreement to repay the balance within two

years must be signed within 30 days. Families must have no prior terminations for violation of family obligations in any housing programs.

4. Drug and Alcohol History

Families must have no history of drug and/or alcohol abuse within the last three years, or have successfully completed a rehabilitation/recovery program within the last three years, or be currently enrolled in a rehabilitation/recovery program.

5. Domestic Violence

Family members must have no history of committing domestic violence, or have successfully completed an appropriate counseling or anger management program within the last three years, or be currently enrolled in counseling or anger management program.

6. Criminal Activities

Family members must have no history of drug-related or violent criminal activity within the last three years. Family members involved in the manufacture of methamphetamines or who are listed on the State list of sex offenders are permanently barred from participating in HACSM's housing programs.

3. Tier II - Preference

Once an applicant has successfully been screened and meets all of the criteria contained in Tier I, they may be awarded preference points for placement on the waiting list. HACSM must be able to independently verify any applicant's claim for preference points.

1. Motivation

Applicants must show a desire to become self-sufficient, or a commitment to self-improvement. Motivation may be demonstrated by the applicant's prompt attendance at appointments and informational meetings, setting and meeting self-help goals, following through on instructions, or other actions.

2. Income Levels

The Moving to Work Agreement requires the agency to target at least 75% of the families assisted to be very low income. Preference for admission to the MTW program will be, to the extent consistent with this limitation, given to families who are considered low income – with incomes between 51 percent and 80 percent of the area median. Next in order of preference will be the very low-income families, with incomes between 31 and fifty percent of the median. No additional preference points will be given to very low-income families, with incomes at or below 30 percent of median. This is intended to give preference for HACSM's MTW slots to families who have made the most progress toward self-sufficiency, and who are least likely to be served by the housing authority's other programs.

3. Employment

Current employment status and the ability to achieve greater employment are also factors in applicant selection. If current employment has been achieved and maintained for a minimum of 1 year, the family has taken some initial steps to become self-sufficient. Conversely, the longer a

family has remained on TANF as an entitlement benefit, the higher the level of case management that will be required in order to guarantee any degree of success. Accordingly preference will be given to MTW applicants who have one year or more of full-time employment.

For purposes of this preference, full-time employment is defined as working at least 32 hours per week.

4. Education

Earning a high school diploma or a GED, and the completion of additional training or education beyond the high school level, will increase the applicant's probability of success. While the program must guard against the professional student, education or lack thereof has been shown to have correlation to the success or failure of participants. Many individuals enrolled in educational programs also have built in career support systems within the educational or training program. Accordingly, preference will be given to applicant families whose head of household has earned a diploma or GED, completed additional semesters of education or job training, or is currently enrolled in a certified program that has been verified and accepted by the authority.

5. Earning Potential

The type of employment that the applicant currently holds or is preparing for will also be a determining factor in who is considered a good candidate for the MTW program, since some fields have higher starting salaries and/or higher earning potential. These fields include, among others, construction, public sector, technology, and administrative or other professions in the medical field requiring at least a high school education. Education, training programs or current employment in these fields will increase the applicant's probability of success, and preference will be given to applicants who meet these criteria.

6. Childcare

Because the target population will either be employed, in training, or within an educational program, a quality childcare and/or afterschool care program should be part of the overall plan and part of the selection for success. If the family is currently using a reliable day care provider or the children are currently enrolled in and attending school, the applicant's chance for success increases. Accordingly, preference will be given to applicants who have made adequate provision for childcare and/or afterschool care or who have a childcare plan and a commitment of support from HSA or the Council.

7. Transportation

Potential applicants should have reliable transportation. Lack of adequate transportation remains a barrier to achieving economic independence. The average transportation time from affordable housing to employment is 1.5 to 2 hours one way within this region. Applicants that currently have adequate transportation will have a higher degree of success. "Adequate transportation" can range from employment and housing on a public transportation route to reliable individual transportation. Preference will be given to applicants who have adequate transportation.

8. Landlord References

To successfully move from program applicant to program participant, families must be able to lease units eligible for assistance. Because of the tight housing market, this is difficult for all families, especially those with poor – or no – landlord references. Accordingly, preference will be given to applicants with one or more satisfactory landlord references.

4. Preference Points

The chart below describes the points to be awarded for each verified preference. Points will be combined and those applicants with the highest point score will be placed at the top of the waiting list. Those applicants with identical points will be ranked by date and time the application or referral was received by HASCM. Applicants may appeal assignment of preference points or denial of admission using the informal grievance process.

CATEGORY	DESCRIPTION	POINTS AWARDED
Income	<i>Low Income (51 percent to 80 percent of median)</i>	<i>3 points</i>
	<i>Very Low Income (31 percent to 50 percent of median)</i>	<i>1 point</i>
	<i>Extremely low income (at or below 30 percent of median)</i>	<i>0 points</i>
Employment	Currently employed, plus either 12 to 23 months of accumulated full-time employment in the last 36 months, OR	1 point 2 points
	24 to 36 months of accumulated full-time employment in the last 36 months	4 points
Education	High School Diploma or GED, plus Each semester, 2 quarters or 6 months of post-high school education or certified job training completed OR	5 points 2 points
	Current enrollment in education or job training	1 point
Earning Potential	Employment or education in high-salary field	2 points
Child/Adult Care	Each child is in reliable childcare	2 points
	Each school-aged child enrolled in school	1 point
	Each school-aged child age 12 and under enrolled in school is in a reliable afterschool care program	2 points
	Each disabled family member requiring care is enrolled in a care program	2 points
Transportation	Have own transportation or access to public transportation	1 point
Landlord References	Favorable references	3 points
	No references or no prior leasing experience	0 points
	One unfavorable reference	-1 point
	More than one unfavorable reference	-3 points

4B. Voucher Issuance

All applicants selected to receive MTW vouchers will receive a briefing on how the program operates and what he/she as an applicant must do to achieve and maintain participant status. Whether delivered individually or in a group setting, the briefing must contain all pertinent information about the voucher program in general and the MTW voucher program in particular. The staff member conducting the briefing should place special emphasis on non-traditional aspects of the program, particularly

- The 72-month time limit on receipt of housing assistance.
- The fact that MTW vouchers are not portable.
- The requirement for participation in the MTW/FSS program by the head of household and all other adult members of the household.

A Briefing Checklist, HACSM 403 has been included in the Chapter 4 Appendix. The checklist should be used as an outline for the briefing presentation to ensure that all necessary information is covered. At the conclusion of the briefing, the applicant may be required to sign a copy of the briefing checklist as an acknowledgement that he/she has been given all the necessary information. The conventional Briefing Packet should also be given to MTW applicants at the briefing.

Finally, to ensure that the applicant fully understands the differences between an MTW voucher and a Housing Choice Voucher, the applicant **MUST** sign the MTW Voucher Addendum, HACSM-4-04, before he/she receives their MTW voucher.

4C. Subsidy Calculation

1. General Definitions

All definitions used in the Housing Choice Voucher Program will apply to MTW families, except as noted below:

1. Income Exclusions

HACSM will exclude the imputed or actual income from assets up to \$20,000 accumulated after the family qualifies for housing assistance

HACSM will exclude seventy-five percent of the income earned by a member of the household receiving assistance who was not a member of the household at or up to one year prior to the time the family qualified for assistance. This exclusion is for two years only.

2. Deferred Rent Increases, Escrow Accounts and Rebates

The participant will be responsible for increases in tenant payment resulting from increases in earned income. However, an amount equal to the additional amounts charged will be divided between an escrow account for the participant (75 percent) and a rebate to the wage earner (25 percent).

3. Reduction in TANF

If TANF sanctions are imposed as a result of noncompliance with SUCCESS program requirements or fraud, HACSM will not adjust its level of housing assistance.

The participant portion of the rent will be calculated using the Subsidy Calculation Form, HACSM 4-01. The form can be found in the Chapter 4 appendix.

Shown below are examples of completed subsidy calculation forms for the initial subsidy determination and the first annual reexamination for a typical MTW family.

- At admission, the family has an income of \$12,000: \$8000 from Julia's part-time employment and \$4000 from child support. She has two children.
- At the first reexam, the father of Julia's younger child has re-joined the household. He earns \$15,000 a year, but only \$3750 is counted toward the family's TTP. Julia herself is working more hours, and now earns \$11,000 per year. The family's earned income has increased by \$6750 -- \$3000 for Julia and \$3750 for her partner. Twenty-five percent of this increase is excluded from the income used to calculate the family's TTP (the MTW "rebate"). Seventy-five percent is used to calculate the family's escrow credit.

Subsidy Calculation Form : Example 1**Moving to Success Program****Housing Authority of the County of San Mateo**Name **Julie Smith**Date **06/01/01**

1. Current annual gross income of all family members. ¹²	1. \$12,000
2. Current earned income.	2. \$8,000
3. Is this the family's initial subsidy calculation? <i>If yes, skip to line 13.</i>	3. YES
4. Has a family member been added since the family's initial qualification? <i>If no, skip to line 10.</i>	4.
5. Has a family member been added during the last 23 months? <i>If no, skip to line 10.</i>	5.
6. Current earned income of added family member in line 5.	6.
7. Income disregard for added family member in line 5. <i>(0.75 times line 6.)</i>	7.
8. Current annual income <i>less</i> amount on line 7.	8.
9. Current earned income <i>less</i> amount on line 7.	9.
10. Earned income on effective date of Contract of Participation.	10.
11. Change in earned income since effective date of Contract of Participation. <i>(Line 2, or line 9 if new member, minus line 10. If the result is less than 0, enter "0".)</i>	11.
12. 25% of change in earned income. <i>(0.25 times line 11.)</i>	12.
13. Annual income used for subsidy calculation. <i>(Line 1, or line 8 if new member, minus line 12.)</i>	13. \$12,000
14. Adjustments to income – dependent allowance, child care, etc. <i>(Specify.)</i>	14. \$960
15. Adjusted annual income <i>(Line 13 minus line 14.)</i>	15. \$11,040
16. Adjusted monthly income. <i>(Line 15 divided by 12.)</i>	16. \$920
17. Total tenant payment (TTP). <i>(Line 16 times 0.3.)</i>	17. \$276
18. Payment standard for <u>2</u> bedroom unit.	18. \$1459
19. Maximum HAP subsidy. ¹³ <i>(Line 18 minus line 17.)</i>	19. \$1183
20. 75% of change in earned income <i>(0.75 times line 11.)</i>	20. N/A
21. Escrow credit. <i>(0.3 times line 20, divided by 12.)</i>	21. N/A

¹² All family income should be included in this figure. Adjustments consistent with the Moving to Success subsidy calculation formula will be made on this form.

¹³ Actual HAP may be lower, depending on gross rent for the unit leased. This will not change the TTP or the escrow credit.

Subsidy Calculation Form: Example 2
Moving to Success Program

Housing Authority of the County of San Mateo

Name **Julia Smith**

Date **06/01/02**

2. Current annual gross income of all family members. ¹⁴	1. \$30,000
3. Current earned income.	2. \$26,000
5. Is this the family's initial subsidy calculation? <i>If yes, skip to line 13.</i>	3. NO
6. Has a family member been added since the family's initial qualification? <i>If no, skip to line 10.</i>	4. YES
6. Has a family member been added during the last 23 months? <i>If no, skip to line 10.</i>	5. YES
7. Current earned income of added family member in line 5.	6. \$15,000
8. Income disregard for added family member in line 5. <i>(0.75 times line 6.)</i>	7. \$11,250
9. Current annual income <i>less</i> amount on line 7.	8. \$18,750
22. Current earned income <i>less</i> amount on line 7.	9. \$14,750
23. Earned income on effective date of Contract of Participation.	10. \$8,000
24. Change in earned income since effective date of Contract of Participation. <i>(Line 2, or line 9 if new member, minus line 10. If the result is less than 0, enter "0".)</i>	11. \$6,750
25. 25% of change in earned income. <i>(0.25 times line 11.)</i>	12. \$1,688
26. Annual income used for subsidy calculation. <i>(Line 1, or line 8 if new member, minus line 12.)</i>	13. \$17,062
27. Adjustments to income – dependent allowance, child care, etc. <i>(Specify.)</i>	14. \$960
28. Adjusted annual income <i>(Line 13 minus line 14.)</i>	15. \$16,102
29. Adjusted monthly income. <i>(Line 15 divided by 12.)</i>	16. \$1,342
30. Total tenant payment (TTP). <i>(Line 16 times 0.3.)</i>	17. \$403
31. Payment standard for ___ bedroom unit.	18. \$1747
32. Maximum HAP subsidy. ¹⁵ <i>(Line 18 minus line 17.)</i>	19. \$1344
33. 75% of change in earned income <i>(0.75 times line 11.)</i>	20. \$5063
34. Escrow credit. <i>(0.3 times line 20, divided by 12.)</i>	21. \$422

¹⁴ All family income should be included in this figure. Adjustments consistent with the Moving to Success subsidy calculation formula will be made on this form.

¹⁵ Actual HAP may be lower, depending on gross rent for the unit leased. This will not change the TTP or the escrow credit.

2. Exclusion of Income from Assets

HACSM's MTW program further allows the exclusion of imputed or actual income from assets up to \$20,000 accumulated AFTER the family qualifies for housing assistance. To determine how much of the family's income should be excluded, it is important to track changes in the family's assets during their participation in the program. The Income from Assets form, HACSM-4-02, allows the case manager to track the participants' income and to correctly determine the asset income to be used in the calculation of the participant's TTP. The form can be found in the Chapter 4 Appendix.

The family's assets at admission should be entered on the Income from Assets form, and the form retained in the participant file. If the family has no assets at admission, that information should be recorded as well. New information on the family's assets is entered on the same form each year, and the amount of excluded income, if any, included in Line 14 -- Adjustments to Income -- on the family's Subsidy Calculation Form.

The following is an example of a completed Income from Assets form for a family in its third year of program participation.

Income from Assets: Example 1

Name Julia Smith_____

Date of Admission 06/01/01_____

Baseline:

(a) Assets at Admission _____\$1000_____

	(b) Current Assets	(c) Current Income From Assets	(d) Adjustment to Assets <i>(Current assets (b) minus baseline (a): if negative, use 0)</i>	(e) Pro-Rata Exclusion of Asset Income <i>(adjustment (d) divided by current assets (b), times current income (c))</i>
Year 2	\$500	\$25	\$0	\$0
Year 3	\$3000	\$300	\$2000	\$200
Year 4				
Year 5				
Year 6				

4D. Security Deposit Assistance

Too often prospective Housing Choice Voucher families discover late in the housing search and leasing processes that the cost of the security deposit is not covered under the Housing Choice Voucher program, as noted in The Welfare to Work - Learning From Each Other case study on the Marin County WTW program. Not having budgeted for this expense, the family fails to lease under the program. This situation results in loss of time and money for the family, the housing authority, and the landlord. When a family is securing housing and employment at the same time, the financial hardship and expenses can be tremendous, including the cost of childcare, transportation, security deposit, utility deposits and moving expenses. HACSM understands the needs of low-income families, and wants to design a program that's realistic to their budget yet addresses landlords concerns and participants needs.

1. New MTW Security Deposit Guarantee Program

Similar to the method of reimbursing landlords in the former Section 8 Certificate Program, HACSM will reimburse landlords for actual damages for unpaid rent or property damages at the time of move-out, up to a specified limit.

In lieu of collecting the total security deposit amount, landlords participating in the Section 8 Program will accept a guarantee certificate issued by the HACSM at the time of the initial lease execution. The maximum value for the security deposit guarantee certificate is the lesser of:

- 50% of the security deposit required; or
- One-month contract rent.

The security deposit amount and the value of the security deposit guarantee certificate may not exceed the maximum security deposit amount allowed under State and local law. The total security deposit amount should also be the same as comparable units leased by the landlord at that complex, or amount paid by the previous tenant. (See Appendix 1- Security Guarantee Calculation Form)

It is still the responsibility of the landlord to collect the security deposit agreed upon from the family in accordance with the lease. The family will be responsible for coming up with their share of the security deposit, whether from their own resources or through one or more of the programs discussed below. The HACSM will guarantee the difference between the required tenant paid portion and the total security; up to the maximum value. Reimbursement under the guarantee will only be made for actual damages after deducting the required resident portion. In other words, if the landlord fails to collect the security deposit as stated in the lease agreement from the family, HACSM will deduct the amount the landlord should have collected from the unpaid rent and/or damages before processing any claim for payment.

The maximum claim for actual damage payment by HACSM is the lesser of:

- The amount owed to the owner minus the security deposit the landlord actually collected or should have collected; or

- The value of the security deposit guarantee certificate.

The landlord may claim the guarantee at the end of the tenancy after the tenant vacates, if (and when) the tenant is determined liable for damages to the unit or for unpaid rent beyond what the tenant paid or should have paid. In order to process a claim against the guarantee at the end of tenancy, the landlord must request a move-out inspection by HACSM within 3 business days from the vacate date. Inspections will not be required if the claim is for unpaid rent only.

If HACSM determines that the landlord is entitled to reimbursement under the security deposit guarantee program, the claim will be processed in 30 calendar days after receipt of the claim. See Appendix 2- Damage Claim Form

Once a claim payment is made to the landlord, the tenant is required to reimburse HACSM for the amount paid. If the tenant is unable to pay the total amount at once, HACSM may enter into a repayment agreement with the tenant. Satisfactory repayment is a condition for the tenant's continued eligibility to participate in any Section 8 program including the MTW program.

2. Existing Programs in San Mateo County

Family Loan Program (FLP)

In addition to HACSM's security deposit guarantee program, the County's Human Services Agency has agreed that eligible MTW participants can receive loans not to exceed \$3,000 or 50% of the total deposit requested by the landlord, whichever is less. The amount of the security deposit will be subject to state and local laws. The loan period will be between 6 to 24 months and there will be no interest on the loan if paid on time and in accordance to the repayment schedule. If the family does not pay in accordance with the repayment schedule, interest and penalties will be assessed and the family will also be terminated from the housing assistance program if they are receiving housing benefits. The family may request a hardship to extend the duration of payment or adjust the monthly payment, however the loan amount will not be waived.

For eligible Moving-to-Work clients, HACSM will assist the client in completing the necessary documentation. A HACSM designated point person pre-approves the applicant based on written criteria and the pre-approval is forwarded by HACSM to the Family Loan Program (FLP) for final disposition and approval.

Upon pre-approval of a MTW client, HACSM will forward to FLP the following:

- A written authorization statement confirming to FLP the pre-approval of the participant. The authorization will include the participant's name, current San Mateo County address, home and work phone number(s), social security number, maximum loan amount, loan period, whether the loan is secured or unsecured, and any other provisional loan conditions.
- Once FLP approves/disapproves the loan requests, they will notify HACSM of the outcome and HACSM will notify the participant. See Appendix 3- Pre-approval Request Form

3. Agencies Providing Emergency Housing Assistance

The following is a listing of non-profit agencies within San Mateo County that provide emergency housing and security deposit assistance to San Mateo residents and persons seeking housing in San Mateo County. These agencies have confirmed that they are currently providing funds for security deposits to clients of HACSM. They also have available unobligated funds. Consequently, providing security deposit assistance to an additional 300 clients targeted for HACSM's MTW program will not be a problem for these agencies.

Agency	Maximum Assistance
• Family Support Center of the Mid Peninsula (formerly Bayshore)	Varies between \$500 - \$800
• Fair Oaks Community Center	Generally \$800
• Daly City Community Services	\$800 (SOS) \$1,000(HIF)
• Samaritan House	\$800
• Pacifica Resource Center	No absolute limits; Max determined on a case by case basis. Generally \$800
• Coastside Opportunity Center	\$800
• North Peninsula Neighborhood Services	\$800, but can go as high as \$1,000
• St. Vincent de Paul	No limit

4. Summary of the Program and Plan

There are a significant number of resources within San Mateo County to obtain security deposit assistance. However, the dollar amount normally obtained from the above non-profit agencies surveyed is limited to approximately \$800. The Security Deposit Guarantee Program, in combination with the County's Family Loan Program and non profit resources, bridges the gap between what families have or can raise through other sources, and what is needed to lease a unit in the County of San Mateo.

HACSM must continue to develop flexible and comprehensive programs to meet the changing conditions in this tight housing market. These programs must also be designed to maximize the participant's responsibility to ultimately become independent from assistance.

5. Recommendations

The following are general recommendations for HACSM's security deposit plan:

1. Applicants for the MTW program should provide some portion of the security deposit to maintain accountability for their actions. They should have some personal financial impact (stake) should they default in the program.
2. Applicants should be encouraged to exhaust all existing funding resources for security deposit assistance in the County before utilizing HACSM's new program. The new program is intended to supplement current programs.
3. Maintain the program as a mechanism to provide reimbursement for actual damages with fixed limits where no up-front cash is expended.
4. Monitor the program closely. This program needs to be especially closely monitored since it is making future obligations based on historical data and projected damage claims. The impact of the fiscal decisions may not be recognized until 1 or 2 years into operation. Monthly reports between HACSM and FLP must be maintained and reconciled. A cost/benefit analysis should be reconciled annually.

4E. Term of Assistance

Voucher issued to MTW families are limited to six years of subsidy. When MTW families receive their vouchers they will also be given an MTW addendum describing time limits on MTW assistance and other aspects of the program that differ from the Housing choice Voucher Program (see Chapter 4 appendix). MTW families will also be required to sign a statement regarding time remaining in the program at each annual reexamination.

4F. MTW Plan and Contract of Participation

All TANF-eligible family who apply for Section 8 housing assistance will be required to enter into self-sufficiency contracts based on self-sufficiency plans which describe a realistic process for achieving economic self-sufficiency within six years.

Each new TANF-eligible participant will be required to develop a Preliminary Action Plan, which describes agreed self-sufficiency activities and objectives. The PA Plan must be developed within 30 days of execution of the lease. TANF-eligible families must also participate in the County's Welfare Reform Program, SUCCESS.

Each new participant also will be required to enter in to a Family Self-Sufficiency (FSS) contract within 30 days of execution of the lease.

Families participating in FSS will be issued an FSS contract for a period up to six years, or the termination date of the voucher, whichever is sooner.

Families will be eligible to earn escrow deposits even if their income exceeds the lower income limit. The amount of such deposits will continue to be subject to the 30 percent exclusion rules, which will have the effect of gradually reducing the amount of escrow deposits as a participant's income rises.

Escrow account balances will be released to the participant only for purposes related to self-sufficiency as determined by HACSM, such as purchase of a home or education expenses.

4G. Termination of Assistance

MTW families may have their assistance terminated for failure to develop an agreed Preliminary Action Plan or for failure to sign a MTW Contract of Participation. Termination of TANF due to non-compliance or fraud will lead to termination of Section 8 assistance.

Chapter 4 Appendix: Forms

- HACSM-4-01 Subsidy Calculation Form
- HACSM-4-02 Excluded Income from Assets
- HACSM-4-03 Briefing Script
- HACSM-4-04 MTW Voucher Addendum
- HACSM-4-05 Security Guarantee Calculation
- HACSM-4-06 Damage Claim Form
- HACSM-4-07 Pre-approval Request
- HACSM-4-08 MTW Contract of Participation
- HACSM-4-09 Voucher Addendum

HACSM-4-01**Subsidy Calculation Form :****Moving to Success Program****Housing Authority of the County of San Mateo**

Name	Date
3. Current annual gross income of all family members. ¹⁶	1.
4. Current earned income.	2.
7. Is this the family's initial subsidy calculation? <i>If yes, skip to line 13.</i>	3.
8. Has a family member been added since the family's initial qualification? <i>If no, skip to line 10.</i>	4.
7. Has a family member been added during the last 23 months? <i>If no, skip to line 10.</i>	5.
8. Current earned income of added family member in line 5.	6.
9. Income disregard for added family member in line 5. <i>(0.75 times line 6.)</i>	7.
10. Current annual income <i>less</i> amount on line 7.	8.
35. Current earned income <i>less</i> amount on line 7.	9.
36. Earned income on effective date of Contract of Participation.	10.
37. Change in earned income since effective date of Contract of Participation. <i>(Line 2, or line 9 if new member, minus line 10. If the result is less than 0, enter "0".)</i>	11.
38. 25% of change in earned income. <i>(0.25 times line 11.)</i>	12.
39. Annual income used for subsidy calculation. <i>(Line 1, or line 8 if new member, minus line 12.)</i>	13.
40. Adjustments to income – dependent allowance, child care, etc. <i>(Specify.)</i>	14.
41. Adjusted annual income <i>(Line 13 minus line 14.)</i>	15.
42. Adjusted monthly income. <i>(Line 15 divided by 12.)</i>	16.
43. Total tenant payment (TTP). <i>(Line 16 times 0.3.)</i>	17.
Payment standard for ___ bedroom unit.	18.
44. Maximum HAP subsidy. ¹⁷ <i>(Line 18 minus line 17.)</i>	19.
45. 75% of change in earned income <i>(0.75 times line 11.)</i>	20.
46. Escrow credit. <i>(0.3 times line 20, divided by 12.)</i>	21.

¹⁶ All family income should be included in this figure. Adjustments consistent with the Moving to Success subsidy calculation formula will be made on this form.

¹⁷ Actual HAP may be lower, depending on gross rent for the unit leased. This will not change the TTP or the escrow credit.

HACSM-4-02

Income from Assets

Name _____

Date of Admission _____

Baseline:

(a) Assets at Admission _____

	(b) Current Assets	(c) Current Income From Assets	(d) Adjustment to Assets <i>(Current assets (b) minus baseline (a): if negative, use 0)</i>	(e) Pro-Rata Exclusion of Asset Income <i>(adjustment (d) divided by current assets (b), times current income (c))</i>
Year 2				
Year 3				
Year 4				
Year 5				
Year 6				

**Housing Authority of the County of San Mateo
Briefing Session Points**

- ✓ How the TTP is determined, how housing assistance payments are determined, and the operation of the Rent Reasonableness
- ✓ Housing Quality Standards
- ✓ The general locations and jurisdictional boundary for HACSM
- ✓ How to find a suitable unit
- ✓ Lead Base Paint and Brochure
- ✓ Obligations of the Participant under the Lease and Contract
- ✓ Significant Aspects of State and Local Laws
- ✓ Significant Aspects of Federal, State and Local Fair Housing Laws
- ✓ Security Deposit Program
- ✓ Special Provisions of MTW – Time Limits, Non-Portability, Required Participation in MTW/FSS
- ✓ Reporting Changes and Annual Recertification
- ✓ Employment and Training Opportunities
- ✓ Request for Lease Approval
- ✓ Utility Allowances/Schedule
- ✓ Informal Hearing

I agree that all items listed above were discussed during the briefing session and I fully understand my obligations and responsibilities as a MTW Section 8 Voucher Holder.

Signature of Participant

Date

**Moving to Work
Housing Choice Voucher Addendum**

A Moving to Work Voucher differs in several significant respects from a Voucher received under the Housing Choice Voucher program. These differences have been explained as part of the MtW briefing process. The Head of Household and all adult family members must initial each of the following statements and sign this form before issuance of their MtW voucher:

_____ I understand that the Moving to Work Voucher program is time limited to 72 months of assistance, and that my assistance will terminate 72 months following the signing of my initial lease.

_____ I understand that my Moving to Work Voucher is not portable, and that my assistance can only be used in the County of San Mateo.

_____ I understand that, as a condition of receiving a Moving to Work Voucher, all adult family members will be required to enter into a Contract of Participation and develop goals designed to achieve self-sufficiency. I further understand that the failure of myself or any member of my family to actively work toward the goals I/they have established for achieving self-sufficiency may result in termination of my assistance.

Head of Household

Date

HACSM 4-06

**Housing Authority of the County of San Mateo
Security Deposit Guarantee Program
Moving to Work
Damage Claim Form**

Date _____

Participant's Name _____ / _____ / _____
First MI Last

Participant's Address _____ / _____ / _____
Street City Zip

Landlord's Name _____ / _____ / _____
First MI Last

Landlord's Address _____ / _____ / _____
Street City Zip

Landlord's Phone # _____

Move Out Date ____/____/____

Date of Inspection ____/____/____*

- attach copy of inspection and est.

Part 1 Security Deposit Collected and Guarantee (Landlord completes)

1. Security Deposit Amount Required by Lease _____
2. Security Deposit Amount Required by Participant _____
3. Actual Deposit Paid By the Participant _____
4. Participant's Security Deposit (greater of 2 or 3) _____

Part 2 Damage Claim (HACSM completes)

1. Damage Claim (rent) _____
2. Damage Claim (other) _____
3. Damage Claim Total _____
4. Actual Damages verified by HACSM* _____
5. Damages subject to payment (Lesser of 3 or 4) _____

Part 3 Damage Payment after Participant Security (HACSM)

1. Damages subject to payment (Part 2 #5) _____
2. Less: Participant's Security Deposit (Part 1 #4) _____
3. Net: Actual Damages before Guarantee _____

Part 4 Payment Due Landlord (HACSM)

1. HACSM Security Deposit Guarantee Maximum _____
2. Actual Damages before Guarantee (Part 3 #3) _____
3. **Payment Due Landlord (lesser of 1 or 2)** _____

Calculate by _____ Payment Amount _____ Ck # _____ Date _____

Copy to Participant, HACSM and Accting

HACSM 4-07

**Housing Authority of the County of San Mateo
Security Deposit Loan Authorization
Pre-approval Request**

Date _____

Participant's Name _____ / ____ / _____
First MI Last

Current Address _____ / _____ / _____
Street City State

Resides in San Mateo County Yes/No _____

Program

- Section 8 Voucher
- MTW
- FSS
- Other

Annual Income _____

Source of Income _____

Social Security Number ____ - ____ - ____

Maximum Loan Amount \$_____.00

Secured- Yes/No _____

Type and Value _____

Repayment Loan Period

- 6 months ____
- 12 months ____
- 18 months ____
- 24 months ____
- other _____

Approximate Monthly Repayment _____ .00

Penalties _____

Interest _____ %

Special Conditions/Terms

I fully understand that this is a loan program and requires repayment in accordance to the terms of the HACSM and FLP. Failure to make payments in accordance to the terms of either program will be grounds for termination of housing assistance and disqualification from further benefits. I further understand that should I be terminated from the program, any unpaid balance, penalties and interest still remains payable to the HACSM.

Date

Signature

HACSM Recommend Approval Yes/No _____

FPL Approval Yes/ No ____ Check # _____

Date of Issue _____

Moving to Work Contract of Participation

Housing Authority of the County of San Mateo

This Contract of Participation for the Moving to Work (MTW) Program is between (list all adult family members)

and the Housing Authority of the City of San Mateo (HACSM).

The MTW family includes everyone in the household, and is referred to in this contract as "family". The family is participating in HACSM's MTW program.

Purpose of Contract

The purpose of this contract is to state the rights and responsibilities of the family and HACSM, the resources and supportive services to be provided to the family and the activities to be completed by the family.

Term of Contract

This contract is effective on: _____

This contract expires on: _____

Resources and Supportive Services

During the terms of the contract, HACSM will try to provide resources and services listed in the Preliminary Action Plan. If the resources and services are not available, HACSM will try to substitute other resources and services. However, HACSM has no liability to the family if the resources and services are not provided.

MTW Escrow Account

HACSM will establish an MTW escrow account for the family. A portion of the increases in the family's rent because of increases in earned income will be credited to the MTW escrow account in accordance with HUD requirements.

Listed below are the family's annual income, earned income, and family rent when the family begins the MTW program. These amounts will be used to determine the amount credited to the family's MTW escrow account because of future increases in earned income.

Annual Income: _____

Earned Income: _____

Family Rent: _____

HACSM will invest the MTW escrow funds in HUD-approved investments. HACSM will provide the family with a report on the amount in the family's MTW escrow account once a year.

Withdrawal of Funds from MTW Escrow Account

HACSM may permit the family to withdraw up to fifty (50) percent of the funds accumulated in the MTW escrow account before completion of the contract if the family has completed specific interim goals, designated by HACSM, and needs some of the MTW escrow account funds to complete the contract.

HACSM will pay the head of the family the amount in the family's MTW escrow account, less any amount owed to HACSM when:

- 1) HACSM determines that the family has completed this contract; and
- 2) at the time of contract completion, the head of the family certifies in writing that no member of the family is receiving welfare assistance. Welfare assistance includes income from Federal or state welfare programs including AFDC, TANF, SSI that is subject to an income eligibility test, Medicaid, food stamps, and general assistance. It does not include transitional Medicaid or childcare for SUCCESS participants or SSI payments to guardians of disabled children or MediCAL health insurance for children.

If the head of the family leaves the assisted unit, the remaining family members may, after consulting with HACSM, name another member to receive the MTW escrow funds.

Loss of Escrow Account

The family will not receive the funds in its MTW escrow account if:

- 1) the contract of participation is terminated
- 2) the contract of participation is declared null and void
- 3) the family has not met its family responsibilities within the timeframes specified in this contract.

Family Responsibilities

All adult family members must:

- Seek and maintain suitable employment after completion of the job training programs listed in the individual training and services plan. HACSM after consulting with the adult family members, will determine what employment is suitable based on the skills, education and job training of each individual and available job opportunities.

The head of the family and all adult family members who execute an individual training and services plan, must:

- Complete the activities within the dates listed in each plan
- Provide HACSM and HUD with information about the family's participation in the MTW program in order to help evaluate the program. This could include information regarding employment, job interviews,

training, educational attendance and other MTW services and activities.

All family members must:

- Comply with the terms of the lease.
- If receiving welfare assistance, become independent of welfare assistance and remain independent of welfare assistance for at least 12 consecutive months before the contract expires.
- Live in the jurisdiction of HACSM throughout the term of the contract.

Corrective Actions for Failure to Meet Family Responsibilities

If any member of the family does not meet his or her responsibilities under this contract, the family will not receive the money in the MTW escrow account and HACSM may:

- 1) stop supportive services for the family;
- 2) terminate the family’s participation in the MTW program; and
- 3) terminate the family’s Section 8 Housing Choice Voucher.

HACSM Responsibilities

- Attempt to obtain commitments from public and private sources for supportive services for families.
- Establish an MTW escrow account for the family, invest the escrow account funds, and give the family a report on the amount in the MTW escrow account at least once a year.
- Determine which, if any, interim goals must be completed before any MTW escrow funds may be paid to the family; and pay a portion of the MTW escrow to the family if HACSM determines that the family has met these specific interim goals and needs the funds from the MTW escrow account to complete the contract.
- Determine if the family has completed this contract.
- Pay the family the amount in its MTW escrow account, if the family has completed the contract and the head of the family has provided written certification that no member of the family is receiving welfare assistance.

Completion of the Contract of Participation

Completion of the contract occurs when HACSM determines that:

Signatures:

(Head of Household) (Date Signed)

(Adult Family Member) (Date Signed)

(Adult Family Member) (Date Signed)

(Adult Family Member) (Date Signed)

- 1) the family has fulfilled all of its responsibilities under the contract; or
- 2) the tenant portion of the rent is equal to or greater than the contract amount for the unit size for which the family qualifies for 180 days or more.

Termination of the Contract of Participation

HACSM may terminate this contract if:

- 1) the family and HACSM agree to terminate the contract;
- 2) HACSM determines that the family has not fulfilled its responsibilities under this contract;
- 3) the family withdraws from the MTW program;
- 4) an act occurs that is inconsistent with the purpose of the MTW program;
- 5) the family’s assistance is terminated under the Section 8 Housing Choice Voucher program or assistance expires; or
- 6) HACSM is permitted in accordance with HUD requirements.

HACSM may declare this contract null and void if the resources and services necessary to complete the contract are not available.

HACSM must give notice of termination or nullification to the head of the family. The notice must state the reasons for HACSM’s decision to terminate or nullify the contract.

If the contract is terminated or declared null and void, the family has no right to receive funds from the family’s MTW escrow account. HACSM must close the family’s MTW escrow account and may use the funds for purposes in accordance with HUD requirements.

This contract is automatically terminated if the family’s Section 8 Housing Choice Voucher assistance is terminated in accordance with HUD requirements.

Compliance with HUD Regulations and Requirements

The contract of participation must be interpreted and administered in accordance with HUD regulations and requirements. Terms and figures, such as the income and rent amount on page 1 are subject to correction by HACSM for compliance with HUD regulations and requirements. HACSM must notify the family in writing of any adjustments made to the contract.

(HACSM Official)

(Title)

(Date Signed)

Chapter 5: Program Monitoring and Reporting

Congress' intention in authorizing the Welfare to Work demonstration was to evaluate the extent to which deregulation of high-performing PHAs would allow them to

- Improve program efficiency and effectiveness
- Help families to achieve self-sufficiency

For that evaluation to occur, participating PHAs must retain and monitor detailed information at both the family and program levels. This chapter will discuss the various types of data that HACSM must collect and provide to HUD.

1. Family Information

Information on families participating in the Housing Choice Voucher program is provided to HUD by electronic transmission of the Family Report, HUD-50058. The family data is submitted initially when a family is admitted to the program – that is, when the family leases a unit and officially becomes a program participant. Thereafter, the information is updated whenever a transaction affecting the family takes place. Transactions requiring the submission of an updated 50058 include interim and annual reexams, moves, enrollment in the FSS program or changes in the family's FSS status, and terminations.

PHAs participating in the MTW program have been temporarily exempted from the requirement to report MTW participant admissions and changes on the 50058, although they are still required to maintain the information about participating families that would otherwise be transmitted. The reason for the exemption is to allow HUD to complete revisions to the 50058 that will, among other things, allow MTW PHAs to successfully report data that is unique to their MTW programs. Without these revisions, the edits that are performed by MTCS (HUD's Multifamily Tenant Characteristics System) when 50058 data is received from a PHA would otherwise flag certain MTW data as errors, and the reports would be rejected.

The implementation of the new (non-MTW) 50058 is scheduled for June 2001. In January 2001, HUD released the draft MTW 50058, which can be found in the Chapter 5 Appendix. The pages numbered in Arabic numerals (1,2,3 ...) are pages of the actual form. The pages numbered in Roman numerals (i,ii,iii ...) are HUD's instructions for completing the form. However, HUD is not prepared to receive electronic transmission of MTW data at this time.

As families enter the MTW program, family data should be entered manually on the MTW 50058, and the completed form retained in the participant file. Otherwise, critical baseline data will be lost, and it will not be possible to measure the effectiveness of the program in helping families move toward self-sufficiency. This procedure will change when HUD issues the new 50058 in final form, and when HACSM has the new form programmed into its automated system (MLS).

2. FSS/MTW Program Information

For reporting purposes, the Family Self Sufficiency/MTW Self Sufficiency Addendum, pages 9 and 10 of the MTW 50058, will be used to report on the family's MTW program participation (counseling, education/training, employment, and other services received) and escrow status.

For program enrollments and exits, the form is to be completed at the time the action occurs. Program progress reports can be completed in conjunction with the family's annual reexamination.

3. Supplemental Family Information

Because of its participation in the MTW program, HACSM is required to collect some additional family data that is not required on the MTW 50058. The data includes information on the family's progress toward self-sufficiency, specifically on their educational participation and attainment, the number of absent parents rejoining participant families, and – for families leaving the MTW program -- their post-MTW housing. A form for collecting this information, HACSM 5-01, has been included in the Chapter Appendix.

4. Program Reporting/PHA Plan

All PHAs administering the Housing Choice Voucher Program are required to submit a PHA Plan (HUD-50075) to HUD annually, prior to the beginning of their fiscal year. The plan summarizes community housing needs, the resources available to the PHA, and the agency's plans, policies, and proposed uses of funds for the upcoming year. MTW PHAs are required to include a separate section fully describing the activities and uses of funding the agency is undertaking through the MTW demonstration.

Generally, the plan is developed by PHA staff, but a public hearing and the opportunity for the receipt and evaluation of public input must be provided. Once the plan has been finalized, the plan document and supporting documents are required to be maintained at a location accessible to the public.

5. Program Monitoring

HUD has contracted with several organizations to provide ongoing program monitoring and evaluation. Baseline data on all MTW sites was collected by the Urban Institute and presented to HUD in July 2000. At the conclusion of its first year of participation in MTW (June 2001), and every year thereafter, HACSM's program will be reviewed to determine the extent to which the following program goals have been met:

- Increase the share of residents who are working
- Increase the share of residents making progress toward self-sufficiency
- Increase homeownership among residents
- Increase the number of residents moving out of assisted housing
- Enhance HACSM's capacity to plan and deliver effective programs
- Increase resident satisfaction with their housing and with HACSM programs
- Improve community leaders' assessment of HACSM and its programs
- Improve employees' morale and their assessment of HACSM and its programs
- Expand housing opportunities and choices by providing security deposit guarantees
- Engender collaboration with the County's Welfare to Work program

- Encourage and reward the reuniting of families

A draft of the evaluation instrument that will be used by Abt staff responsible for conducting the evaluation can be found in the Chapter 5 Appendix.

Chapter 5: APPENDIX

HUD- 50058 MTW

MTW Family Report

HACSM 5-01

Supplemental Family Information

DRAFT – HACSM Evaluation Instrument

[Insert MTW 50058 (20 pages)]

HACSM 5-01

Supplemental Family Information

Name _____

Date _____

Family members engaged in skills development or educational programs:

___ Head

___ Spouse

___ Other adults (give number)

Family members with high school diploma or GED:

___ Head

___ Spouse

___ Other adults (give number)

Family members with some college:

___ Head

___ Spouse

___ Other adults (give number)

Have any absent parents rejoined the family?

___ Yes

___ No

For Program Terminations Only:

Is the family moving

___ into non-Section 8 housing?

___ into a home purchased by the family?