

## **Block Granting 101**

The MTW funding flexibility is referred to as block granting, but this authorization is not a true block grant. Funds are allocated to agencies by HUD program (i.e. Operating Funds, Section 8 Funds, Capital Funds), but MTW allows an agency the ability to move funding between programs. Following are the three funding sources where fungibility can be utilized:

- **Operating Funds:** To date, most MTW agencies have not moved public housing operating funds from their intended purpose.
- **Capital Funds:** Public housing Capital Funds have been used for other purposes. The Capital Fund Budget has a MTW line item (1492) where all Capital Funds received can be consolidated by block grant agencies.
- **Housing Choice Voucher Funds:** Some block grant agencies have carved out funding originally allocated for vouchers, to be used to address other agency priorities.

### **Moving to a True Block Grant**

MTW is the closest that HUD has come to providing housing authorities with block grant funding. It would be ideal if all of this funding were provided in a standard way. It might someday be possible for HUD to provide one allocation and not separate allocations for each program. The Housing Innovations Program legislation from the last Congress includes this type of funding allocation. This type of allocation could prevent the problem of an agency using funding inappropriately.

### **Share Information on the Benefits**

It is important for block grant agencies to be transparent on how funding is used. Agencies should provide information on how funding fungibility has provided benefits to the agency.

### **Who Should Block Grant Their Funding?**

Agencies that have straightforward housing programs, and where the benefits of funding fungibility are not apparent, may want to delay moving to a block grant. Agencies that have a use for fungibility (for example, to help transition to property-based management) should consider the benefits of early access to this authorization.

### **When and How Can an Agency Access Block Grant Authority?**

An agency cannot begin using funding fungibility when it executes its MTW Agreement. The agency must first include this MTW activity in its Annual MTW Plan. Once the Plan is approved, the agency can then use this authorization.

## **What are the Eligible Uses of MTW Block Grant Funds?**

Some existing block grant agencies used funding to support the traditional HUD programs, whereas other agencies used funding to enter new program areas such as supporting local (non-HUD) housing programs. The new Standard Agreement indicates that funding must only be used for Section 8 or Section 9 activities. The issue on how funding can be used must be guided by the MTW statute.

## **How Can an Agency Confirm that it is Using Funding Correctly?**

The agency must indicate how it plans to use block grant flexibility in its Annual MTW Plan. If there are any issues with their proposed use, HUD can advise the agency accordingly. If the agency's intended use is included in Attachment C, the use will be authorized. Proposed funding uses should address local purposes.

## **Can Funding be Used for Development?**

Guidance is being developed by HUD on this topic, but it is not yet available. Agencies should wait for this guidance to ensure that preliminary efforts will not be wasted.

## KCHA's Local Asset Management Strategy

### A Change In Public Housing Management Approach



King County Housing Authority

## Defining Site Based Management & Maintenance

- ▶ A conventional means of managing real estate
  - Each property considered individually in terms of its operations, budgeting, long-term capital needs and property operational guidelines
- ▶ Managers are given the tools, authority and responsibility for managing property on a day-by-day basis
- ▶ Staff are dedicated to sites and held accountable for specific properties



## Outline of presentation

- ▶ Definitions
- ▶ KCHA at a Glance
- ▶ Presenting Issues for KCHA
- ▶ Process and Outcomes
- ▶ Financial Model
- ▶ Ongoing Asset Management Issues



### KCHA Snapshot-2003

- 3,384 PH Units
- 51 developments—only 6 with more than 100 units.
- Average size was 44 units
- Average age was 32 years
- Greatest distance between 2 properties is 43 miles
- 126 employees assigned to sites from 5 Regional offices
- Regional offices had large inventories
- Maintenance and Management functions were siloed, with their own directors.
- Budgeting was top down and not communicated to field staff
- KCHA has always been a high PHMAP, then PHAS performer



## Asset Management Model: Guiding Principles

- ▶ Maximize available funding and achieve Stop Loss
- ▶ Convert to decentralized model using existing personnel.
- ▶ Model staffing, portfolio size and reporting structure on private sector—KCHA has many properties managed by 3<sup>rd</sup> Party fee managers



## Asset Management Model: Guiding Principles (con't)

- ▶ Prepare staff to manage repositioned portfolio including Section 8 Project Based, unsubsidized and tax credit properties
- ▶ Take advantage of economies of scale for large owner where possible (and permissible)



## Challenges Confronting KCHA: Centralization

- ▶ Centralized purchasing with drop shipping to regional offices
- ▶ Maintenance (aka pack rats) built huge inventories
- ▶ Centralized receipt of work orders and labor dispatch—no one was responsible for individual sites
- ▶ Management focused on compliance, not livability of sites
- ▶ Size of county meant centralization created great distances to travel, adding to non-productive time as staff drove back and forth between the warehouse and sites
- ▶ Training always on the job because someone knew what you were supposed to do. Decentralization created training problems.



## Challenges Facing KCHA : Staffing

- ▶ Management and Maintenance comprised separate Empires
- ▶ Too many staff to assign directly to sites but we still knew we needed most of them!
- ▶ Existing staff—wrong skill sets
  - Property Managers had never been supervisors and lacked maintenance and budgeting experience
  - Site Based Maintenance weren't really generalists and couldn't fill "jack of all trades" roles
  - While Regional Staff needed journey level skills, we had too many of them.



## Challenges Facing KCHA: Other

- ▶ Properties were too small to support staff dedicated solely to them. Heavy reliance on “shared” resources
- ▶ Very little available space to support site offices and shops
- ▶ Huge uptick in need for technology to knit various far flung offices to computer programs, including email.
- ▶ Existing High Performer status led most staff to ask “if it ain’t broke, why fix it?”



## How KCHA Went About It

- ▶ Strategic Planning Committee
- ▶ Review operations of KCHA’s non-subsidized portfolio
- ▶ Contract with Outside Consultants
  - Use of a National Trainer
  - Use of a local Property Management company
- ▶ Demonstration Pilot to test concept



## South Area Site Based Demonstration Program, 2004

- ▶ Goals of the Demonstration were:
  - To better understand the cost to operate each property
  - To manage in a more traditional arrangement
  - To provide more authority and responsibility to on-site staff
  - To test new approaches without dramatically restructuring rest of the program

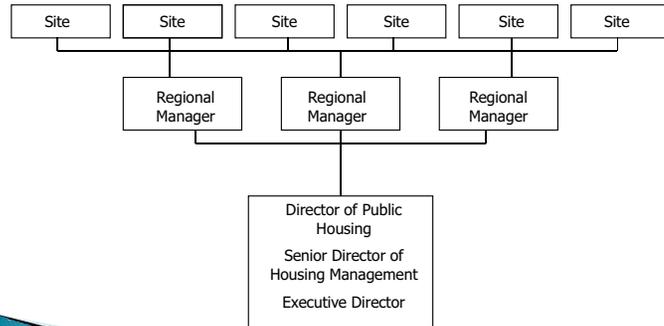


## Lessons Learned

- ▶ Training, training, training
- ▶ Communication, communication, communication (this is a much bigger project than we thought at first—effected entire HA)
- ▶ Be prepared for turnover—half of property managers didn’t stay
- ▶ Outside change agent can be very helpful
- ▶ Private sector model isn’t always better



## Outcomes: The Asset Management Organization Chart



## Outcomes: Accomplishments

- ▶ Fully site based by Spring 2006
- ▶ All managers prepare budgets, report on operations monthly
- ▶ Unions agreed to new titles and reporting structures
- ▶ KCHA achieved stop loss in August 2008



## Outcomes: Accomplishments

- ▶ Average REAC score of 92.75 in 2009, versus 90.2 in 2007
- ▶ Cost reductions
  - Through attrition, 4 fewer senior managers and no Purchasing Manager
  - Leased non-site based warehouse
  - Huge decrease in mileage, inventory costs.
  - Balanced maintenance labor costs to site needs—lower cost positions.

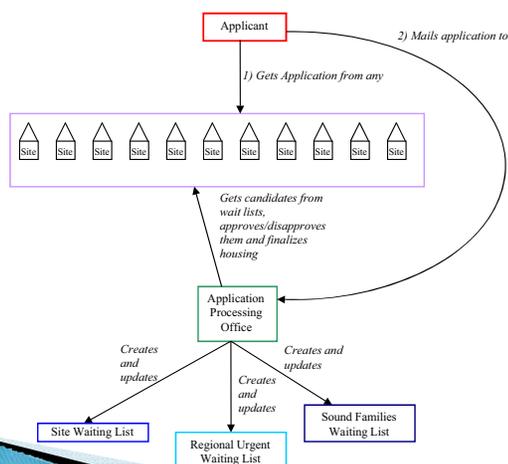


## Central Application Center

- ▶ Allowable as front line expense under HUD guidelines
- ▶ Multiple waiting lists became a nightmare for struggling PMs to manage.
- ▶ One of core compliance issues for KCHA—consistency of application process
- ▶ KCHA currently has 6200 names on its wait list



## Solution: Central Applications Process



## Asset Management Financial Model: Principles

- ▶ HUD PEL may be somewhat accurate overall but on a site by site basis had problems
- ▶ Prorate factor not known till well into year. Budgets became worthless
- ▶ No private sector owner in the world would tolerate such uncertainties in revenue streams
- ▶ Managers had costs they could control but others they couldn't (like resident services)
- ▶ Everything that can be charged to a site is charged to a site
- ▶ Factors meant PMs didn't "own" their budgets



## KCHA Solution

- ▶ Centralized receipt of all Block Granted funds for S8 and PH.
- ▶ After budgets reviewed and approved, subsidy transferred to AMPs. Subsidy sufficient to balance budget including KCHA COCC fees
- ▶ Goal is to allow PMs to "keep" excess for special projects—not there yet.
- ▶ Excess beyond baseline working capital needs currently transferred back to MTW fund at YE



## KCHA Financial Model (Con't)

- ▶ This becomes a true budget driven subsidy which should tell us what it costs to manage well run housing without major prorate constraints
- ▶ Red flag would be if subsidy need exceeds 100% of eligibility. This hasn't happened.
- ▶ MTW funds may reduce subsidy in the following year if reserves can't support
- ▶ MTW activities not associated with sites are charged directly to the MTW fund, which aggregates them for visibility.



## Son of Asset Management

- ▶ Strategic positioning of portfolio for long term viability
- ▶ Most buildings beyond their useful lives: where's the money coming from to repair?
- ▶ Seniors have more choices in affordable housing. Mixed population buildings in danger of "tipping"
- ▶ These are areas where KCHA used MTW authority most widely



## KCHA's Bag of Tricks

- ▶ **HOPE VI**
  - Used MTW to conform operating policies between three programs on site
- ▶ **CFFP**
  - Combined with tax credits to do life safety upgrades on eight senior buildings
- ▶ **Project Based Section 8**
  - Sold deteriorated PH building to TC partnership and project based replacement vouchers to provide long term funding stream to service debt. \$80 million project
  - Used RHF to underwrite non-PH replacement units
- ▶ **ESCO**
  - Internally lent MTW funds to pay for measures while retaining benefit of HUD incentives for 12 years
- ▶ **Capped younger disabled population at 22%**
  - 60% over goal at inception, now 47%



## **Guidance for Moving to Work Agencies:**

### **Impact Analysis and Hardship Policies for Rent Reform Initiatives**

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#### **1. Purpose**

This document offers guidance to Moving to Work (MTW) public housing agencies (PHAs) that are implementing rent reform initiatives as part of their MTW demonstration initiatives. The purpose of this guidance is to provide suggestions for how MTW PHAs can comply with requirements regarding reporting on MTW rent reform initiatives.

#### **2. Introduction**

Section V. G. of Attachment B of the MTW Agreement (Form-50900) includes requirements for reporting on rent reform initiatives in the Annual MTW Plan. The required elements include: the agency's board approval of the policy, impact analysis, annual re-evaluation of the rent reform initiative, hardship case criteria, transition period, and documentation of the public hearing. In addition to the rent reform requirements in Section V.G. of Attachment B, as with all MTW activities, PHAs are to describe in their Annual MTW Plan the anticipated impact of each proposed MTW activity (Section V.C.), and the baselines, proposed benchmarks, and metrics to assess outcomes, including anticipated schedules (Section V.D.). Section 3 describes steps in the rent reform impact analysis and Section 4 discusses steps to develop a rent reform hardship policy.

#### **3. Steps in the Rent Reform Impact Analysis**

There are four suggested steps for conducting an impact analysis of any rent reform initiative undertaken through the MTW demonstration. They are:

- Describe the rent reform initiative;
- Track and document the implementation of the rent reform initiative;
- Identify the intended impacts of the rent reform initiative; and
- Measure the impacts of the rent reform initiative.

The remainder of Section 3 provides suggestions for completing each step. Appendix A provides sample tables that PHAs may consider use to summarize the information suggested for each step.

##### **3.1 Describe the Rent Reform Initiative**

MTW agencies that choose to implement rent reform initiatives should provide HUD with a detailed description of the rent reform policy in the Annual MTW Plan. These agencies should include responses to the following questions in the description:

1. **What is the rent reform initiative?** When describing the policy, include information such as:

- a. Does the rent reform policy involve flat rents (uniform monthly rent based on unit size, condition, amenities and local market rates, and not based on household income)?
- b. Does the rent reform policy involve stepped rents (defined rent levels)? If yes, explain the rent levels and criteria for determining how households move from one rent to another.
- c. Does the rent reform policy involve a minimum rent?
- d. Does the rent reform policy involve other methods of determining household rent?
- e. Is a different rent reform initiative being implemented for public housing and Housing Choice Voucher households? If so, describe the features of each rent reform initiative.

**2. Does the rent reform policy also include time limits on assistance?**

**3. Which households are subject to the new rent rules?**

**4. Which households are exempt from the new rent rules?** (examples might be elderly or disabled households)

**3.2 Track and Document the Rent Reform Initiative Implementation**

In the Annual MTW Plan, PHAs implementing rent reform initiatives should describe the anticipated schedule for implementing the new policy (in Section V.G of Attachment B this is referred to as the transition). Suggestions for how this can be completed include:

**1. Anticipated Schedule for Implementing the Rent Reform Initiative.** To describe the anticipated schedule for implementing the rent reform, it is recommended that PHAs document responses to the following two questions:

- When do the first households become subject to the new rent policy?
- By what date does the PHA expect that all households subject to the new policy will be using the new rent?

**2. Status of Implementation.** PHAs can also monitor the implementation status by tracking the percentage, or fraction, of households subject to the new rent policy who have had rents adjusted to the new policy at the end of each fiscal year. The following calculation could be used to do this:

$$\frac{\text{Number of households under new policy}}{\text{Number of households to be subject to new policy}} \times 100$$

**3.3 Identify Expected Impacts of the Rent Reform Initiative**

The purpose of the rent reform impact analysis is to ensure that the alternate rent strategy does not have the unintended consequence of increasing rent burden for assisted households. In addition, the impact analysis must assess how rent reform affects the rent burden faced by protected classes

of households to ensure that any rent reform undertaken does not have a disparate impact on protected classes (defined by race, color, national origin, disability, age, and gender). Federal law prohibits discrimination on the basis of these characteristics in programs, activities, or services provided or made available by public entities.<sup>1</sup>

In some cases PHAs may choose to exempt some households from the rent reform initiative altogether. Examples might be elderly or disabled households might be excluded from rent reform and continue under income-based rent systems.

A rent reform impact analysis assesses the results of rent reform being tested by MTW agencies to provide the PHA and HUD with evidence about the impacts of an important MTW demonstration activity. The impact analysis can be done by comparing measures of items that the rent reform initiative is expected to change before and after the rent reform takes effect.

For example, some PHAs may undertake rent reform with the goal of increasing the percentage of working households. The impact analysis would compare the percentage of working households before and after the rent reform takes effect to assess whether the intended outcome is achieved. Other PHAs may anticipate that rent reform will simplify the calculation of rent, which in turn will streamline administrative functions, reducing the staff time devoted to rent determination. The impact analysis would compare measures of staff time devoted to rent calculation before and after the rent reform is implemented to assess whether the intended result is achieved.

PHAs can begin by listing the anticipated impacts of the rent reform initiative for the PHA and for participating households. This can be done by listing the reasons for undertaking the specific features of the rent reform initiative. Given that PHAs will develop varying rent reform initiatives in response to different local conditions and objectives, the list of anticipated impacts will vary from PHA to PHA. After identifying anticipated impacts, PHAs can establish quantifiable measures for each intended effect, identify data sources that can be used to measure each effect, and calculate the measures each year. For impacts of rent reform for participating households, data collected at annual recertification and reported to PIC can be used to measure impacts. PHA administrative data can be used to measure impacts of rent reform for the PHA.

Examples of the kinds of impacts for PHAs that might be expected to result from rent reform include:

1. Simplified rent calculation
2. Reduced staff time devoted to rent calculation
3. Maintenance of stable rent rolls
4. Other (PHA can specify other expected impacts for the PHA)

Examples of the kinds of impacts for participating households that might result from the rent reform include:

1. Increase work effort among participating households
2. Increase proportion of working households
3. Increase average income from employment
4. Maintain stable rent burden for assisted households (rent burden refers to the percent of adjusted monthly income the household pays in rent)
5. Other (PHAs can specify other expected impacts for households)

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<sup>1</sup> <http://www.hud.gov/offices/fheo/FHLaws/index.cfm>

To decide which of the items listed pertain to each agency's policy, PHAs may want to start by answering the following questions:

- Why did the PHA decide to implement this specific rent reform initiative?
- What were the goals of the rent reform?

It is important to note that factors other than changes to a PHA's rent policy may affect employment rates and earnings of assisted households. Examples might be local labor market conditions or personal characteristics (e.g. educational attainment, job skills) of assisted households. A change in proportion of working households might be caused by things other than the change in rent policy. The impact analysis described in this guidance would document changes in key measures over time that may be associated with the change in rent policy, but the assessment described here would not be able to control for other factors that might also influence changes in the items measured.

Appendix A, Section A.1, contains a sample table that PHAs can use to document the intended impacts of the rent reform initiatives.

### **3.4 Measure Impacts of the Rent Reform Initiative**

To assess the impacts of the rent reform initiative, PHAs can compare measures of things that are expected to change because of the rent reform initiative. The initial baseline measurement will be taken from the fiscal year before the rent reform was implemented. The baseline is the performance level that was being achieved prior to the implementation of the rent reform initiative. The baseline will be compared to the outcome—the actual, measured result of the implemented rent reform policy. These outcome measurements can then be compared to the benchmarks set for the rent reform policy. Benchmarks are the projected or anticipated outcome of the rent reform initiative. Benchmarks will be established by the PHA prior to the rent reform initiative's implementation. These terms—baseline, outcome, benchmarks—were presented in the January 29, 2009 web training session on evaluating MTW.

Examples of the kinds of items that could be measured before and after the rent reform initiative is implemented related to the PHA's operations might include:

1. Total rent roll per month
2. Staff time devoted to rent calculation
3. Labor costs devoted to rent calculation

Examples of the kinds of items that could be measured before and after the rent reform initiative is implemented related to the households the PHA serves might include:

1. Number of households served by program
2. Average gross income (annual) for all households served
3. Average adjusted income (annual) for all households served
4. Number of households employed
5. Average annual employment income
6. Average TTP (total tenant payment)
7. Average TTP/gross income (rent burden)
8. Average TTP/adjusted income (rent burden)

Appendix A, Section A.2, contains sample tables that PHAs can use to track the actual impacts of the rent reform initiatives.

#### 4. Rent Reform Hardship Policy

MTW agencies that implement rent reform initiatives should establish a hardship policy to define circumstances under which households may be exempted or temporarily waived from the new rent determination rules. If different rent reform initiatives are implemented under the public housing and Housing Choice Voucher programs, the hardship policy for each program should be documented. Questions for PHAs to answer in the description of their rent reform hardship policy could include:

1. **What are the hardship criteria?** That is, what are the allowable reasons a family could claim hardship under the new rent policy? Examples could include involuntary loss of income or unexpected medical expenses.
2. **What is the process for households to make a claim under the hardship policy?** What must the household do? What must the PHA do?
3. **How does the PHA plan to verify hardship?**
4. **How will hardship cases be resolved?** The PHA should clarify who will resolve the hardship (PHA staff, resident panel, etc.). If the hardship case is accepted, what are the possible remedies? If not accepted, what will the next step be?

Appendix A, Section A.3 contains a sample table PHAs can use to track the status of hardship requests.

#### 5. Questions

If you have questions on the information included in this guidance, please contact:

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 Office of Public Housing Investments  
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**A.1. Intended Impacts of the Rent Reform**

Note: The information in Appendix A.1 corresponds to Section 3.3 of the MTW Rent Reform Impact Analysis Guidance document.

Exhibit A-1 and A-2 illustrate a potential format PHAs could use to identify the expected impacts of the rent reform initiative, measures, and data sources. While these tables are populated with sample text for illustrative purposes, specific impacts will differ from PHA to PHA. PHAs may want to start by answering in text form the questions: Why did the PHA decide to implement this specific rent reform initiative? What were the goals of the rent reform?

**Exhibit A-1: Intended Impacts of Rent Reform Initiative for Participating Households**

<b>Anticipated Impacts of Rent Reform for Participating Households</b>		
<b>Expected Effect of Rent Reform Initiative</b>	<b>Measure</b>	<b>Data Source(s)</b>
1. Increase work effort – Increase proportion of working households – Increase average income from employment	– Proportion of working households among households subject to the rent reform initiative – Employment earnings for households subject to the rent reform initiative	PIC
2. Maintain stable rent burden (avoid excessive rent burden)	Rent burden for each household subject to rent reform initiative – (TTP/monthly adjusted income) – (TTP/monthly gross income)	PIC
3. Other (list other anticipated impacts of rent reform on households)		

**Exhibit A-2: Intended Impacts of Rent Reform Initiative for the PHA**

<b>Anticipated Impacts of Rent Reform for the PHA</b>		
<b>Expected effect of Rent Reform Initiative</b>	<b>Measure</b>	<b>Data Source(s)</b>
1. Simplify rent calculation Reduce staff time devoted to rent calculation	Staff time or labor costs	PHA administrative records
2. Maintain stable rent rolls	Monthly rent rolls	PHA Administrative/financial records
3. Other (list other anticipated impacts of rent reform for the PHA)		

## **A.2 Measuring Impacts of Rent Reform Initiatives**

Note: The information in Appendix A.2 corresponds to Section 3.4 of the MTW Rent Reform Impact Analysis Guidance document.

Exhibit A-3 and Exhibit A-4 illustrate a potential format PHAs can use to compare measures of key information for the fiscal year before the rent reform was implemented to each subsequent fiscal year to assess the impacts of the rent reform initiative. It is recommended that the exhibit be completed separately for public housing and Housing Choice Voucher programs if rent reform initiatives are being implemented for both programs. Additional rows may be needed if PHAs have identified additional anticipated impacts of its rent reform initiative. The table shows measures related to rent reform impacts for all households subject to the rent reform, and also separate summaries for elderly households, disabled households, and by race, ethnicity and gender of household head. The detail in Exhibit A-3 can be used to assess impacts by type of household, to ensure that the rent reform initiative does not have disparate impacts for protected classes of households.

**Exhibit A-3: Impacts of Rent Reform Initiative for Participating Households**

Impacts on Households												
Program: <Insert Program Type>												
	All Households Subject to Rent reform		Elderly HH		Disabled HH		Race of HH head					
							White		Black/African		American Indian/Alaskan Native	
Measure from PIC	As of last FYE before Rent Reform was Implemented	Current FYE	As of last FYE before Rent Reform was Implemented	Current FYE	As of last FYE before Rent Reform was Implemented	Current FYE	As of last FYE before Rent Reform was Implemented	Current FYE	As of last FYE before Rent Reform was Implemented	Current FYE	As of last FYE before Rent Reform was Implemented	Current FYE
Number of households served												
Average gross income (annual)												
Average adjusted income (annual)												
Number of households employed												
Income by Source												
Average annual employment income												
Average TTP (total tenant payment)												
Average TTP/gross income (rent burden) show as %												
% of TTP to gross income												
Average TTP/adjusted income (rent burden) show as %												
% TTP to adjusted Income												

**Exhibit A-3: Impacts of Rent Reform Initiative for Participating Households (continued)**

Impacts on Households												
Program: <Insert Program Type>												
Measure from PIC	Race of HH Head (continued)				Ethnicity of HH Head				Gender of HH head			
	Asian		Native Hawaiian/Other Pacific Islander		Hispanic or Latino		Not Hispanic or Latino		Male HH Head		Female HH Head	
	As of last FYE before Rent Reform was Implemented	Current FYE	As of last FYE before Rent Reform was Implemented	Current FYE	As of last FYE before Rent Reform was Implemented	Current FYE	As of last FYE before Rent Reform was Implemented	Current FYE	As of last FYE before Rent Reform was Implemented	Current FYE	As of last FYE before Rent Reform was Implemented	Current FYE
Number of households served												
Average gross income (annual)												
Average adjusted income (annual)												
Number of households employed												
Income by Source												
Average annual employment income												
Average TTP (total tenant payment)												
Average TTP/gross income (rent burden) show as %												
% of TTP to gross income												
Average TTP/adjusted income (rent burden) show as %												
% TTP to adjusted Income												

**Exhibit A-4: Impacts of Rent Reform Initiative for the PHA**

Impacts on PHA			
Program: <Insert Program Type>			
Measure from Administrative Data	As of last FYE before Rent Reform was Implemented	Current FYE	Difference
Total rent roll by month			
Staff time devoted to rent calculation			
Labor costs devoted to rent calculation			

Since it is possible that the average rent burden reported in Exhibit A-4 could mask instances of excessive rent burden, PHAs can record the number of households with rent burdens in various categories to determine whether the rent reform policy results in some households paying more than 35 percent of income toward rent under the revised policy. To do this, PHAs also may want to consider reporting on the distribution of rent burden in categories, such as those shown in Exhibit A-5.

**Exhibit A-5: Current (FY End) Distribution of Rent Burden, all households subject to rent reform**

Range	# of Households with TTP as % of Gross Income	# of Households with TTP as % of Adjusted Income
0 - 5%		
5.01 - 20%		
20.01 - 25%		
25.01 - 30%		
30.01 - 35%		
>35%		
\$0 income		
Total	<i>Note: Should equal # of households in first row of Exhibit A-3</i>	<i>Note: Should equal # of households in first row of Exhibit A-3</i>

**A.3 Assessing the Status of Hardship Requests**

Note: The information in Appendix A.3 corresponds to Section 4 of the MTW Rent Reform Impact Analysis Guidance document.

PHAs should document the hardship requests made under the Rent Reform Hardship Policy to track the number of hardship requests and the results. The following table provides a suggested format for reporting on the number and status of hardship requests under the rent reform initiative. Note that no personally identifiable information for the households should be reported in this summary. If this reporting format is adopted, it is recommended that PHAs using different hardship policies for the public housing and Housing Choice Voucher programs complete separate tables for each program.

**Exhibit A-6: Status of Hardship Requests**

Program: <Insert Program Type>					
Hardship Claim Information			Results of Hardship Claim		
Request Number	Type of Household (family; senior; etc)	Nature of Hardship Request (reason for claim)	Accepted?	If accepted, describe remedy	Declined? Reason for declining
1					
2					
3					
4					

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## **Housing Authority of the County of San Mateo Housing Readiness Program Application Process and Eligibility Criteria**

### **Background:**

The Housing Authority of the County of San Mateo (HACSM) is among approximately 30 housing agencies nationwide that participate in the Moving-To-Work (MTW) program. The program offers participating housing authorities the opportunity to test innovative, locally-designed programs and self-sufficiency strategies for low-income families by allowing exemptions from certain public housing rules with the following goals:

- Promoting self-sufficiency among assisted families
- Achieving programmatic efficiency and reducing costs
- Increasing housing choice for low-income households

In December 2007, the U.S. Department of Housing and Urban Development (HUD) developed and offered HACSM a new Amended and Restated MTW agreement. The purpose of establishing a new agreement is to provide consistent, clear, and standardized language for all MTW agencies. While the new agreement will preserve HACSM's current funding and existing program initiatives, it also gives HACSM opportunities to undertake additional program designs. As such, HACSM has written into its FY2008-09 Annual Plan a new MTW initiative wherein 60 of the existing 300 MTW vouchers are to be used to establish a Housing Readiness Program for homeless individuals and families.

HACSM plans to partner with the County's Center on Homelessness and other providers of homeless services to develop and implement a pilot housing program to serve up to 60 homeless individuals and families. Program participants may receive rent subsidies under the MTW program for up to three years. Once their housing needs are met ("Housing First"), these families are given the opportunity to achieve greater self-determination through various support programs. FSS participation is not required. At the end of the three-year term, successful graduates may be transferred as necessary to another affordable housing program. The program will be designed to include a research component.

This initiative responds to critical needs identified in San Mateo County's comprehensive 10-year plan to end homelessness and is in accordance with strategies being developed in conjunction with the County's HOPE plan for ending homelessness.

### **Program Goals**

- Target homeless who are not covered by other homeless rental assistance programs using the "Housing First" model
- Help homeless individuals and families secure and retain permanent affordable housing
- Increase income and/or employment opportunities for participants
- Link participants to mainstream services and benefits
- Increase participants level of self-sufficiency
- Conduct research on the effectiveness of the program in reducing homelessness

### **Application Process:**

The Housing Readiness Program only accepts applications by referral from recognized referring agencies. Social service agencies may become a referring agency by entering into an MOU with HACSM in which they must agree to comply with the required case management for each family. The case management will include the following activities:

- Assessment – identify the family's strengths, resources, barriers, and needs with regard to housing and self-sufficiency.
- Plan development – develop an individualized service plan for all adult family members containing specific outcomes based on the assessment.
- Connection – obtain necessary services, treatments, and support.
- Monitoring – evaluate the family's progress and needs, and adjust the plan as needed.
- Personal advocacy – intercede on behalf of the family to ensure access to timely and appropriate services.
- Crisis intervention – assist families in crisis through direct interventions and by mobilizing needed support and/or services.
- Follow up – low intensity case management for the entire voucher period
- HMIS – enter client data into the county's HMIS database.

In making a referral, the referring agency will:

1. Interview families for preliminary screening and assessment. This may require several appointments.
2. Complete the Housing Readiness Program referral packet (Agency Referral, Homeless Certification, and Consent for the Release of Client Information form).
3. Forward the referral packet to the Agency Coordinator for presentation to the Selection Committee.

### **Eligibility Criteria:**

To be eligible for participation in the Housing Readiness Program, an applicant family must meet the following eligibility criteria established by HUD and HACSM policies. The criteria are:

- The applicant must be homeless as defined by HACSM's policy
- The total annual gross income for the applicant family must be within the appropriate Income Limits (see table below)
- The head of household or spouse is at least 18 years of age or an emancipated minor under California law
- The applicant must furnish Social Security numbers for all family members age six and older
- The applicant must furnish Declaration of Citizenship or Eligible Immigrant Status and verification where required. At least one member of the applicant family must either be a U.S. citizen or have eligible immigration status
- No family members have had a conviction for the manufacture or production of methamphetamine on the premises of an assisted housing project
- No family members are subject to a lifetime registration requirement under a sex offender registration program
- No family member has been subject to prior termination from a Federal housing program for program violations within the last three years of eligibility determination
- No family member has committed fraud, bribery, or any other corrupt or criminal act in connection with any Federal housing program in the last three years of eligibility determination
- No family member has a history of violent criminal activities, including domestic violence within the last three years.
- No family member has a history of drug or alcohol related criminal activities within the last three years. Further assessment will be required and consideration may be given to families who have successfully completed a drug and alcohol rehabilitation program within the last three years
- The family does not have outstanding debts with HACSM or any other housing authority, unless a repayment agreement is in force and current
- The family has been in compliance with the TANF or any work program requirements

### **Income Limits (effective 1/1/08)**

Household size	1	2	3	4	5	6	7	8
50% AMI	\$39,600	\$45,250	\$50,900	\$56,550	\$61,050	\$65,600	\$70,100	\$74,650

#### **Selection Preference:**

HACSM has established a system of preferences for the selection of families admitted to the program. These preferences are based on local housing needs and priorities, and are consistent with the program goals and objectives. The selection preferences affect only the order of selecting applicants. They do not make any family ineligible which would otherwise be eligible. Preference will be given to families that:

- have members who reside, work, are hired to work, or attend school in San Mateo County
- are not a prior MTW participant

One preference point will be given for each of the verifiable preferences. HACSM will select families with the highest total preference points for eligibility interviews first. Families who have the same total preference points will be selected based on the time and date that the completed referral packet was received by HACSM.

Applicants who claim a preference must submit verifiable documents with their referral packet. Below are some examples of acceptable documents:

- Residency: signed lease, utility bills, governmental benefit notices prior to becoming homeless. Certification from supportive service agencies.
- First time program participant: HACSM will verify this preference.

#### **Accepting an Application**

Upon receipt of a referral packet, HACSM will:

1. Review the referral packet for completeness. If the required information is missing or incomplete, HACSM will contact the referring agency for the needed information. The referral packet will be returned to the referring agency if the information is not received within 30 days. Placement on the Housing Readiness waitlist will be established only upon receipt of a completed packet. If the application is flawed or incomplete, HACSM will notify the *referring agency* in writing of the reason(s) for the rejection.

2. Select applicants in accordance with HACSM's selection preference  
Note: HACSM will not have direct communication with the applicant family up to this point.
3. Conduct eligibility interview with applicants
4. Verify income and other eligibility factors
5. Issue vouchers to eligible families if vouchers are available
6. Issue denial letter if the applicant is found ineligible
7. Conduct inspection and complete lease-up process
8. Execute Family Self-Sufficiency Contract of Participation if the family elects to participate in the FSS Program

When funding is not sufficient to serve all eligible applicants or all 60 vouchers are in current use, HACSM will place families on the Housing Readiness Program waitlist, in the order of preference points and the time and date that the referral was received. HACSM may close its waitlist at any time. Referring agencies will be notified of the waitlist closing. Referral packets received after the closing will be returned to the referral agency.



**HOUSING OUR PEOPLE EFFECTIVELY**

# **HOPE**

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**Ending Homelessness In San Mateo County**



**10-Year Plan to End Homelessness**

# letter to community

# HOPE VISION

*Homelessness will end  
by ensuring that safe,  
accessible, affordable  
housing is available in  
San Mateo County for  
those in greatest need.*

HOPE is a call to action for our community. Every year in San Mateo County an estimated 4,000 children, men and women are homeless and another 26,000 are just one paycheck or medical emergency away from losing their home. The human and financial costs of homelessness are enormous. People who are homeless struggle to meet basic human needs for food and clothing, finding jobs and participating in community life. The costs of not solving this problem are great and are borne by everyone: by people who are in crisis because they have no place to live and by the entire community in the form of diminished community well being including the financial burden of paying for emergency and social services that generally do not end homelessness for those served.

Housing Our People Effectively (HOPE) – The 10-Year Plan to Prevent and End Homelessness in San Mateo County – has been created because of an emerging consensus among political and civic leaders, business people, community activists, homeless people and their families, housing and service providers, and other stakeholders in San Mateo County that homelessness must be ended. Beginning in April 2005, we initiated HOPE by bringing together approximately 150 representatives from all sectors of the community with a mandate to create a plan to end homelessness.

HOPE is a milestone in our community's approach to homelessness. It sets forth a ten-year plan of action that will change the way the community works together to solve this problem. It is focused to achieve a single, specific result: preventing and ending homelessness in San Mateo County.

The people of San Mateo County are invited to join our effort to turn this vision into reality. Working together as a community, we can give hope to those with the greatest need and ensure that safe, accessible, affordable housing is available to everyone in San Mateo County.

Sincerely,

Jerry Hill, President  
*San Mateo County Board of Supervisors  
Co-Chair, HOPE Leadership Committee*

Mark Church, Member  
*San Mateo County Board of Supervisors  
Co-Chair, HOPE Leadership Committee*



*Michelle and Fernando*

◀ After losing her job, **Michelle and Fernando** were unable to pay rent on their home in San Bruno. After resources ran out, Michelle, Fernando, and their children became homeless. Through the support of a local family shelter, they were able to move into a place of their own in just five months.



*Ken*

# RESULTS

## DESIRED RESULTS BY 2015

- 7,900 individual and family households in San Mateo County who have been homeless or at severe risk of homelessness due to extremely low incomes, chronic disabilities and/or other health or special needs, will secure and maintain safe, permanent, accessible, affordable, and where needed, supportive housing:
  - 2,400 units for individuals and families who are homeless; and,
  - 5,500 units for individuals and families who have extremely low incomes and high rent burdens.
- 4,300 individual and family households will receive short-term assistance to secure or maintain housing.

## recommendations

### RECOMMENDATIONS

- ① **Increase housing opportunities** for people who are homeless or at imminent risk of homelessness.
- ② **Prevent and end homelessness** by delivering timely, flexible services to support stability and independence.
- ③ **Create system performance standards**, track progress towards ending and preventing homelessness, and report results to stakeholders and the broader community.
- ④ **Develop long-term leadership** and community will to prevent and end homelessness.

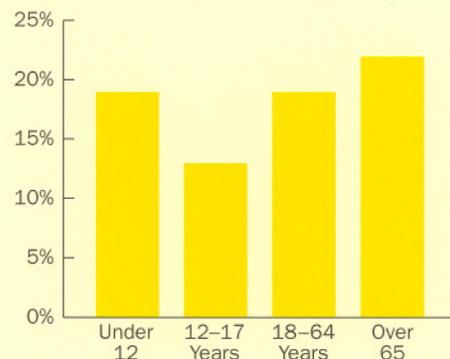
◀ Forty-five-year-old **Ken** suffered from mental illness, substance abuse, homelessness and had brushes with the criminal justice system. Now clean and sober, Ken is an example of a homeless individual with multiple problems who turned his life around thanks to permanent supportive housing. Currently attending school, Ken wants to become a mental health counselor.



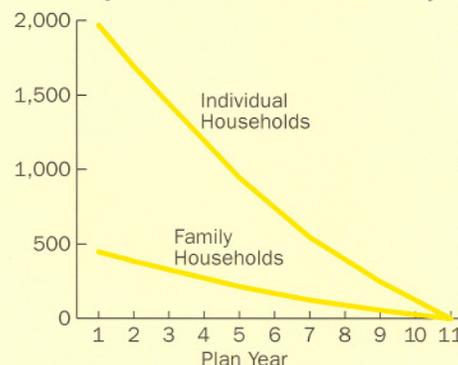
*Adaluz*

◀ A single mom who takes care of her developmentally and physically disabled child, **Adaluz** became homeless a few years after her marriage ended. Transitional housing and a work-study program helped Adaluz get back on her feet. She graduated with a degree in Dental Assistance and found a job. Her child's health has improved and they are now in their own apartment in Belmont.

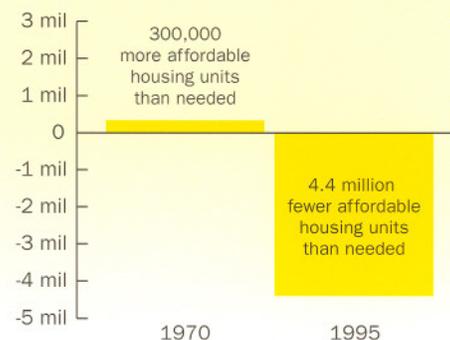
**People with Extremely Low Incomes in San Mateo County**  
% of Total Population vs. Age Group



**Projected Decrease Homeless Individual and Family Households in San Mateo County**



**Affordable Housing Related to Need Nationwide**



## ACKNOWLEDGEMENTS

The HOPE Plan is the result of the dedication and commitment of many individuals and organizations in San Mateo County. Thanks are extended to the HOPE Planners:

**San Mateo County Supervisors Mark Church and Jerry Hill for their leadership in convening the HOPE planning process and co-chairing the HOPE Leadership Committee.**

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**The Members of the HOPE Leadership Committee for their oversight and guidance of the planning process and resulting plan:**

**John Adams**, Executive Vice President, Division Manager, Wells Fargo Bank

**Bill Allen**, Chair, San Mateo County Workforce Investment Board

**Tom Bailard**, Housing Nachos

**Duane Bay**, Director, San Mateo County Department of Housing

**Mary Boughton**, Executive Director, Peninsula Habitat for Humanity

**Deborah Bringelson**, President & CEO, SAMCEDA / Peninsula Policy Partnership

**Glen H. Brooks, Jr.**, Interim Director, San Mateo County Human Services Agency

**Loren Buddress**, Chief Probation Officer, San Mateo County Probation Department

**Chris Carpenter**, General Manager, San Mateo County Expo Center

**Ellen Clear**, Vice President of Community Programs, Peninsula Community Foundation

**Ron Crates**, Superintendent, Redwood City School District

**Arne Croce**, City Manager, City of San Mateo

**David Cropper**, TMG Partners

**Jan Epstein**, Mayor, City of San Mateo

**Ron Galatolo**, Chancellor, San Mateo Community College District

**Linford Gayle**, Consumer & Family Affairs Coordinator, SMC Mental Health Services

**Ray Green**, Former Council Member, City of South San Francisco

**Helen Greggans**, Member, National Alliance on Mental Illness

**Don Horsley**, Sheriff, San Mateo County Sheriff's Office

**Jeff Ira**, Mayor, City of Redwood City

**Dennis Israelski**, Chief Research Officer, San Mateo Medical Center

**Michele Jackson**, Executive Director, Shelter Network

**Linda Jansen**, Siebel Systems

**Max Keech**, BKF Engineers

**John Kelly**, Community Member

**Shelly Kessler**, Secretary/Treasurer, SMC Central Labor Council

**Carol Klatt**, Mayor, City of Daly City

**John Maltbie**, County Manager, County of San Mateo

**Rabbi Jay Miller**, Executive Director, Peninsula Clergy Network

**David Mineta**, Executive Director, Asian American Recovery Services

**Chris Mohr**, Executive Director, Housing Leadership Council

**Lorraine Moriarty**, Executive Director, St. Vincent de Paul

**Robert Muehlbauer**, Neighborhood Improvement and Housing Manager, City of San Mateo

**Richard Napier**, Executive Director, City/County Association of Governments

**Mike Pacelli**, Bay Relations, Inc.

**Mario Panoringan**, CEO, Daly City-Colma Chamber of Commerce

**Marcia Raines**, Director, San Mateo County Environmental Services

**Mike Scanlon**, General Manager/CEO, San Mateo County Transit District (SamTrans)

**Charlene Silva**, Director, San Mateo County Health Services Department

**Randall Smith**, Vice President of Real Estate, Oracle

**Evelyn Stanton**, Senior Administrator, Mental Health Association of San Mateo County

**Nancy Steiger**, CEO, San Mateo Medical Center

**April Vargas**, Legislative Advocate, Committee for Green Foothills

**Fran Wagstaff**, Executive Director, Mid-Peninsula Housing Coalition

**Robert Webster**, President & CEO, Bohannon Development Company

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**The Members of the HOPE Stakeholder Committee for their willingness to share their knowledge and work tirelessly towards the development of the Plan. (A detailed list of all Stakeholder Committee Task Force members is provided in the complete HOPE Plan, Appendix A.)**

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**The co-chairs of the four Stakeholder Committee Task Forces for their leadership throughout the plan development process:**

**Teri Chin**, City of Redwood City Human Services Manager, Fair Oaks Community Center

**Elizabeth Gheleta**, Executive Director, Service League of San Mateo County

**Peter Loeb**, Evaluator, Allen/Loeb Associates

**Kitty Lopez**, Executive Director, Samaritan House

**Chris Mohr**, Executive Director, Housing Leadership Council

**Andrea Papanastassiou**, Development Manager, Mid-Peninsula Housing Coalition

**Melissa Platte**, Executive Director, Mental Health Association of San Mateo County

**Selina Toy-Lee**, Management Analyst, San Mateo County Human Services Agency

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**All the individuals who participated in HOPE focus groups, particularly homeless and formerly homeless persons who provided their input and shared their experiences. (A list of focus groups is provided in the complete HOPE Plan, Appendix B.)**

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**San Mateo County staff for overseeing the day-to-day management of the planning process, and for providing administrative and logistical support:**

**Judy Davila**, Manager, Substance Abuse and Shelter Services, San Mateo County Human Services Agency

**Wendy Goldberg**, Coordinator, Center on Homelessness, San Mateo County Human Services Agency

**Stephen Kaplan**, Director, Northern Region and Substance Abuse & Shelter Services, San Mateo County Human Services Agency

**Susan Naylor**, Legislative Aide to Supervisor Mark Church

**Mario Rendon**, Legislative Aide to Supervisor Jerry Hill

**Juda Tolmasoff**, Legislative Aide to Supervisor Jerry Hill

**Tish Birkby**, Administrative Assistant, San Mateo County Human Services Agency

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**Debbie Greiff, Debbie Greiff Consulting, and Kate Bristol, Kate Bristol Consulting for design and facilitation of the HOPE planning process, research on evidence-based practices, and preparation of the HOPE Plan.**

Be part of HOPE. Contact the County of San Mateo Human Services Agency, Center on Homelessness at (650) 802-7656 or log on to [www.smchsa.org/HOPE](http://www.smchsa.org/HOPE).



# [www.smchsa.org/HOPE](http://www.smchsa.org/HOPE)

The personal stories are true. However, pictures included do not depict factual families to protect children from the stigma of being homeless.

# HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO

## HOMELESS CERTIFICATION

### For Housing Readiness Program

Client name \_\_\_\_\_, SSN \_\_\_\_\_ is currently:

(Check one)

- In places not meant for human habitation, such as cars, parks, sidewalks, abandoned buildings (on the street).
- In an emergency shelter.
- In transitional or supportive housing for homeless persons who originally came from the streets or emergency shelters.
- In any of the above places but is spending a short time (up to 30 consecutive days) in a hospital or other institution.
- Is being discharged within 30 calendar days from an institution, such as a mental health or substance abuse treatment facility or a jail/prison, in which the person has been a resident for more than 30 consecutive days and no subsequent residence has been identified and the person lacks the resources and support networks needed to obtain housing.
- Is fleeing a domestic violence housing situation and no subsequent residence has been identified and lacks the resources and support networks needed to obtain housing.

**The following do NOT meet the definition of homeless for the Housing Readiness Program:**

- Persons living in housing, even though they are paying an excessive amount for their housing, the housing is substandard and in need of repair, or the housing is crowded.
- Persons living with relatives or friends.
- Persons staying in a residential hotel.
- Persons living in a Board and Care, Adult Congregate Living Facility, or similar place.
- Wards of the State.

**WARNING:** Section 1001 of Title 18 of the U.S. Code states that a person is guilty of a **felony** for knowingly and willingly making **false or fraudulent statements** to any department or agency of the United States.

I certify that the above information is correct to the best of my knowledge and that I have the appropriate documentation on file. Verification of homelessness will be available upon request.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Agency Name

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Address

\_\_\_\_\_  
Title

\_\_\_\_\_  
City, State, Zip

\_\_\_\_\_  
Date

(      )  
\_\_\_\_\_  
Phone Number

**MEMORANDUM OF UNDERSTANDING  
BY AND BETWEEN  
HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO  
AND**

This Memorandum of Understanding (hereinafter referred to as MOU), dated \_\_\_\_\_ is between the Housing Authority of the County of San Mateo (hereinafter referred to as HA) and \_\_\_\_\_(hereinafter referred to as Provider).

WHEREAS, pursuant to the Moving-To-Work agreement with HUD under Section 204(a) of the 1996 Appropriations Act, HA has vouchers available through its Moving-To-Work Program (hereinafter referred to as the Program);

WHEREAS, the Moving-To-Work agreement gives HA the flexibility to design and test various approaches for providing and administering housing assistance that accomplish three primary goals:

- Reduce costs and achieve greater cost effectiveness in Federal expenditures;
- Give incentives to families with children where the head of household is working, is seeking work, or is preparing for work by participating in job training, educational programs, or programs that assist people to obtain employment and become economically self-sufficient; and
- Increase housing choices for low-income families.

WHEREAS, the Provider is currently serving the target population and desires to collaborate with the HA in the delivery of affordable housing and on-going supportive services to their clients;

WHEREAS, the parties desire to state the terms and conditions under which the HA will accept referrals of clients from the Provider to participate in the Program;

NOW, THEREFORE, in reliance upon and in consideration of the mutual representations and obligations hereunder, the parties agree to the following:

**A. Scope of Services**

Each party agrees to provide the Services set forth in Exhibit A to the other party, and to their mutual clients.

**B. Record Keeping and Reporting**

The Provider agrees to maintain current documentation of the on-going Service Plan and keep records of the client's self-sufficiency activities. The Provider agrees to provide these records to the HA upon request.

**C. Indemnity and Insurance**

The Provider shall indemnify the HA, its officers and employees, against any and all liability for injury or damage caused by any negligent or willful act or omission of the Provider or any of the Provider's employees or volunteers in the performance of the duties specified in this MOU. The HA shall likewise indemnify and hold the Provider harmless.

The Provider shall have General Liability, Workers Compensation, Automobile & Professional Insurance coverage in the amount of \$1,000,000 for the duration of this MOU. Proof of coverage will be provided to the HA upon request.

**D. Compliance with Federal Regulations**

The Provider agrees to comply with all applicable requirements which are now, or which may hereafter be, imposed by the U. S. Department of Housing & Urban Development for the Program. The Provider will also comply with the requirement to maintain a Drug-free Workplace, pursuant to Section 401 of the McKinney Act and the Drug-free Workplace Act of 1988, and will comply with all statutes and regulations applicable to the delivery of the Provider’s services.

**E. Nondiscrimination and Equal Opportunity**

The Provider agrees to comply with all applicable nondiscrimination and equal opportunity requirements set forth in 24 CFR 5.105(a), and will administer its supportive services and activities in a manner affirmatively to further fair housing.

**F. Term of Agreement**

The term of this MOU is from the execution date of this MOU until cancellation by either party.

**G. Changes and Cancellation**

Both parties may amend this MOU upon mutual written agreement of the parties. Either party may terminate this agreement at any time with a 60-day advance written notice of cancellation. The Provider is responsible to place Program participants with other qualified service agencies who will provide supportive services to Program participants to ensure their continued eligibility in the Program.

**Signatures:**

HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO

By \_\_\_\_\_  
William Lowell Title: Deputy Director

Date: \_\_\_\_\_

PROVIDER

By \_\_\_\_\_  
Title

Date: \_\_\_\_\_

**MEMORANDUM OF UNDERSTANDING  
BY AND BETWEEN  
HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO  
AND**

**Exhibit A**

The Provider shall assist their clients in housing related matters, which may include but are not limited to:

- Refer qualified individual and families according to HA policy
- Make complete and accurate referrals
- Assist in housing application process
- Gather required documents
- Attend eligibility interview
- Attend orientation session
- Assist in searching of housing units
- Facilitate in move-in
- Respond to crisis or issues brought to their attention through either HA or the property owner
- Monitor and document clients' stability in housing through monthly home visit for at least first 12 months and reevaluate annually
- Report to HA on the client's progress in activities that lead to self-sufficiency and/or change in the Service Plan
- Create linkages
- Participate in the evaluation of the program

The HA shall:

- Review and coordinate all referrals
- Provide technical assistance and training to Providers on issues relative to the Program
- Determine individuals and families' eligibility
- Administer rental assistance to owners on behalf of eligible families
- Administer the Program according to HUD's requirements

# HOUSING AUTHORITY OF THE COUNTY OF SAN MATEO

Phone: (650) 802-3300 ♦ Fax: (650) 802-3372

## HOUSING READINESS PROGRAM

### Agency Referral

To be completed by Approved Referring Agency only. Please type or print neatly

Instructions: This form is to be jointly completed by the case manager with input from the client (head of house). Attach additional pages if more space is needed.

Head of Household: \_\_\_\_\_ Phone No. \_\_\_\_\_  
Address: \_\_\_\_\_

Race:  White  Black  American Indian/Alaskan Native  Asian  Native Hawaiian/Other Pacific Islander  
Ethnicity:  Hispanic  Non-Hispanic

A. List all family members who will be in the household:

Last Name	First Name	Relationship To Head	Soc. Sec. #	Date of Birth	Monthly Income	Income Type*
		Head				

\*Income Type: TANF/GA, wages, SS/SSI/Pension, unemployment, family/Child support, self-employment, other (please explain)

B. If the client has no income, will the client qualify for:  TANF  GA  SS/SSI?  
Will the referring agency assist the client in the application process of the benefit(s) stated above?  
 Yes  No

C. The client has completed:  
 High School/GED  ESL Classes  College Courses  Job Training  
 Vocational School  Apprenticeship Program  Other: \_\_\_\_\_

D. The client is currently enrolled in:  
 Certificate  GED  AA/AS Degree  BA/BS Degree  Other \_\_\_\_\_

Name of school: \_\_\_\_\_ Expected completion date: \_\_\_\_\_

E. Does the client, and or any family member have a history of drug or alcohol abuse?  Yes  No  
If yes, please explain and identify drug or alcohol treatment programs the individual has attended and date:  
\_\_\_\_\_

F. Has the client been a victim of domestic violence?  Yes  No  
If yes, give dates, any counseling for, and length of current period away from batterer:  
\_\_\_\_\_

G. Can the client understand written or spoken English?  Yes  No  
 If no, what is the primary language? \_\_\_\_\_.

H. Does the client or any persons who will live in the unit have a disability?  Yes  No  
 If accommodation is needed, please describe: \_\_\_\_\_.

I. Needs Assessment:

Type of Service	Will be Provided By (name of person or agency)	Unmet - Included in Service Plan Below
Housing search		<input type="checkbox"/>
Move-in costs		<input type="checkbox"/>
Transportation		<input type="checkbox"/>
Child care		<input type="checkbox"/>
Health care		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

J. Service Plan (main goals) during Housing Readiness Program participation:

1. Maintain stable housing	4.
2. Increase income	5.
3. Establish Savings	6.

K. Housing plan after Housing Readiness Program participation:


**I declare under penalty of perjury that the foregoing is true and correct.**

**I understand being referred to the Housing Authority of the County of San Mateo for the Housing Readiness Program does not give me any rights to be admitted to the program, guarantee my future eligibility or assure funding will be available.**

\_\_\_\_\_  
 Head of House (print name)

\_\_\_\_\_  
 Signature

\_\_\_\_\_  
 Date

**I declare under penalty of perjury that the foregoing is true and correct.**

\_\_\_\_\_  
 Agency Name

\_\_\_\_\_  
 Agency Address

\_\_\_\_\_  
 Phone

\_\_\_\_\_  
 Print Name & Title

\_\_\_\_\_  
 Signature

\_\_\_\_\_  
 Date

## Assembling Quality MTW Plans and Reports

April 29, 2009  
Laurel Davis  
Optimal Solutions Group, LLC



### Introduction



- Purposes of this Session
  - Review why clear and complete reporting is important
  - List basic to-do's
  - Discuss and brainstorm how to present information clearly in the new reporting format
  - Determine how agencies can make reporting a more effective tool
- Session Participants

### Why is clear and complete reporting important?



- Provides understandable, transparent information for stakeholders
- Describes what works and what doesn't
- Speeds up the review/approval process
- Others?

### Basic Plan/Report Development To-Do's



- Determine your audience(s) and write to that audience – perceive and address their needs and concerns
- Make the document **easily navigable**
  - Page numbers, Section headings, sub-headings
- Order must match 50900, according to instructions
- **Clearly state basic information** in your introduction

## Basic Plan/Report Development To-Do's (cont)



- **Create appendices**
  - Required supporting documentation/forms
  - Public process documentation
  - Items you refer to repeatedly in the main document
  - Supporting information that is lengthy
- QC the document before finalizing it

## Basic Plan/Report Development To-Do's (cont)



- **Mix up the formats** you use to present information
- What other basic tips/tricks have you found that work?

## Form 50900 Information



- I. Introduction
  - What time period does the Plan/Report cover?
  - **Linking goals, objectives, activities**
- II. General Housing Authority Operating Information
  - Numeric values – as of when?
  - 'Planned' in the Plan and Report should be the same value
  - Using tables
  - Old reporting information on households served

## Form 50900 Information (cont)



- III. Non-MTW Related Housing Authority Information
  - Place for information that otherwise does not have a home in the new Plan/Report format
  - Describe other PHA initiatives
    - many may not be MTW activities but may work hand in hand with MTW activities to improve conditions for residents
- IV. Long-term MTW Plan
  - Different from goals/objectives listed in Section I

## Form 50900 Information (cont)



- V. Proposed MTW Activities
  - Variables should be grouped by each MTW activity
  - Discuss, then summarize
  - Rent reform required under Standard Agreement
    - definition of rent reform is fuzzy, clarify with your coordinator
    - rent reform activities require additional information
    - guidance forthcoming on this
- VI. Ongoing MTW Activities
  - Metrics for existing ongoing activities

## Form 50900 Information (cont)



- VII. Sources and Uses of Funding
  - Simple information is all that is required
  - Guidance forthcoming from HUD
- VIII. Administrative
- Submission of forms required for receipt of funds, other required HUD forms.

## Electronic Submission



- Standard Agreement requires electronic submission
- Guidance forthcoming
- Preferred formats
  - PDF
  - MS Word doc
- File size
- Hard copies

## How can we make reporting a more effective tool?



- Recognizing that...
  - Attachment B (Form 50900) is not a perfect tool
  - Agencies can include information in excess of the 50900 requirements
  - The MTW Plan/Report submissions are in lieu of the 5-Year and Agency Plans required by Section 5A of the 1937 Act
  - Various stakeholders are reviewing these documents

## Open Discussion



**Laurel Davis**  
**Research Analyst**  
**Optimal Solutions Group, LLC**

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Baltimore, MD 21224  
[ldavis@optimalsolutionsgroup.com](mailto:ldavis@optimalsolutionsgroup.com)  
[www.OptimalSolutionsGroup.com](http://www.OptimalSolutionsGroup.com)

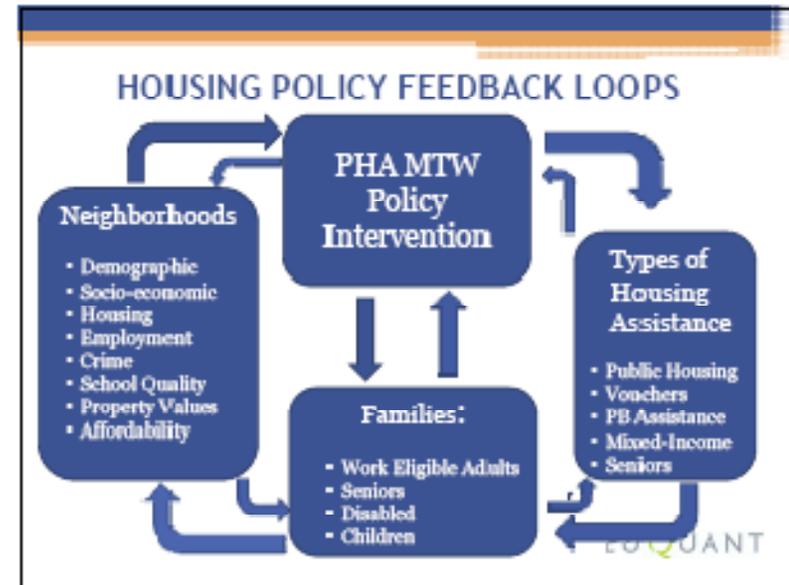
Evaluating the Effects of MTW Policy Changes on Neighborhoods, Local Communities and Agency Operations

# IS SOCIETY BETTER OFF BECAUSE OF MTW?

ATLANTA CASE STUDY

Dr. Thomas "Danny" Boston  
EuQuant & Georgia Tech

Presented to US HUD,  
April 29, 2009



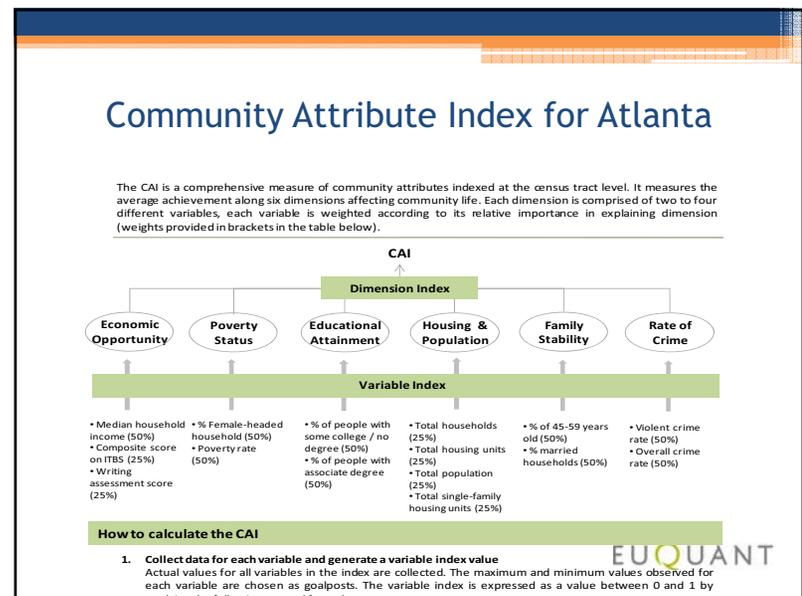
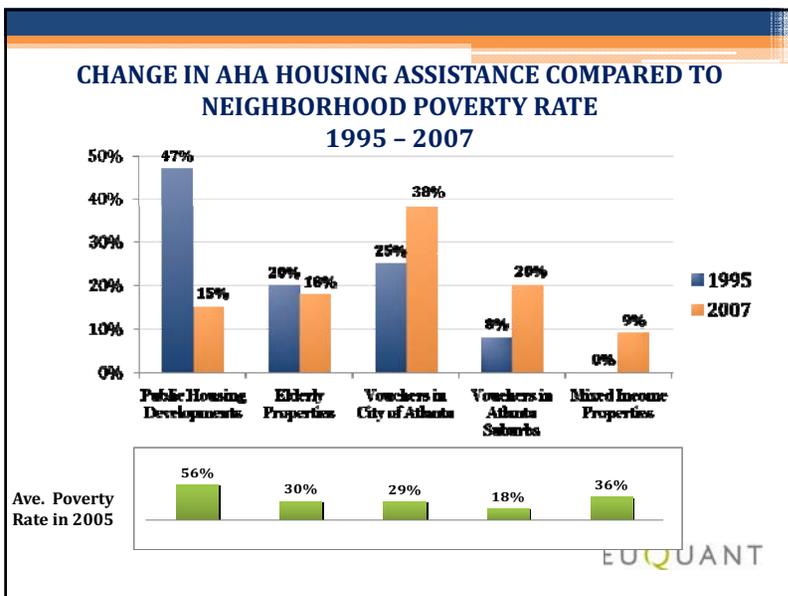
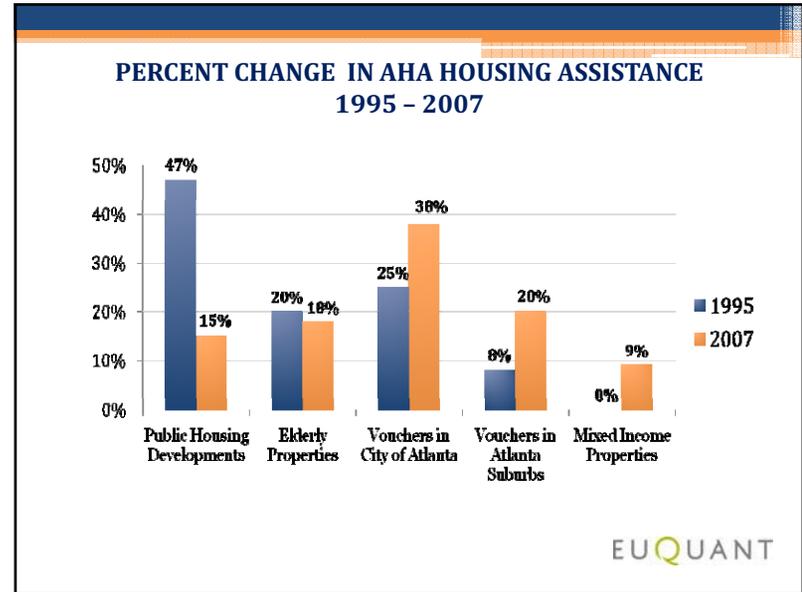
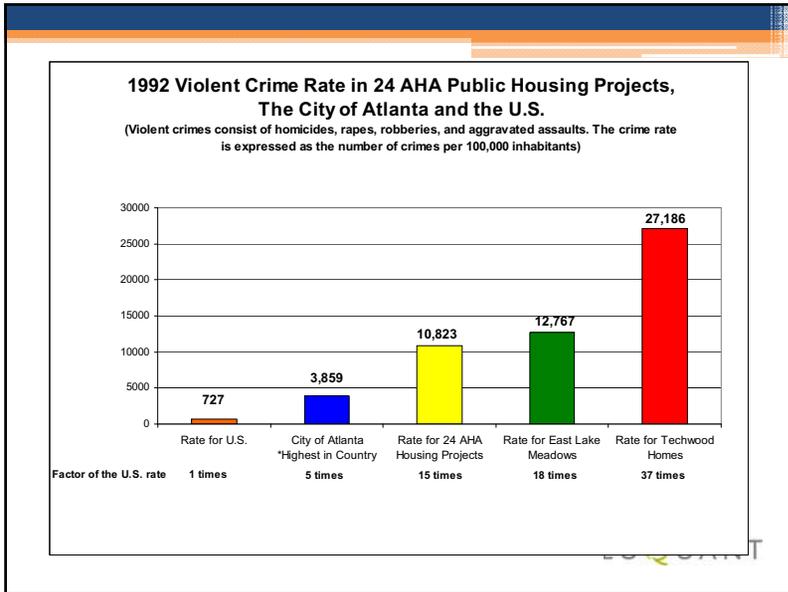
- Environment Matters!!!!



## CENTRAL QUESTIONS WE ANSWERED

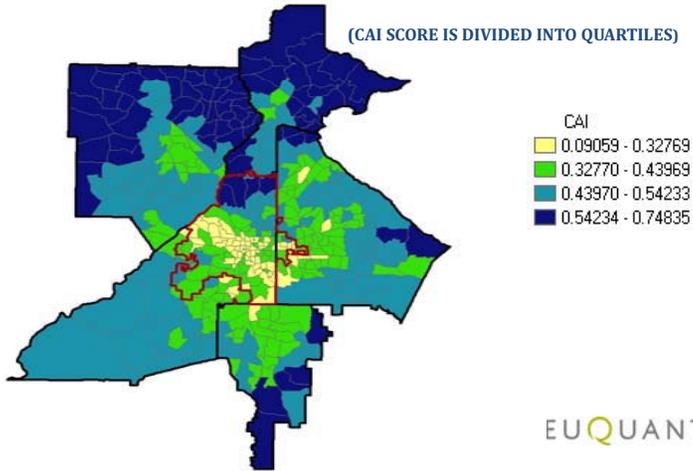
Did families lose housing assistance?  
Where did families relocate?  
Did they move to better neighborhood?  
Did they become more self-sufficient?  
Do housing policies influence school performance?  
Have vouchers influenced violent crime in destination neighborhoods?  
IS SOCIETY BETTER OFF????



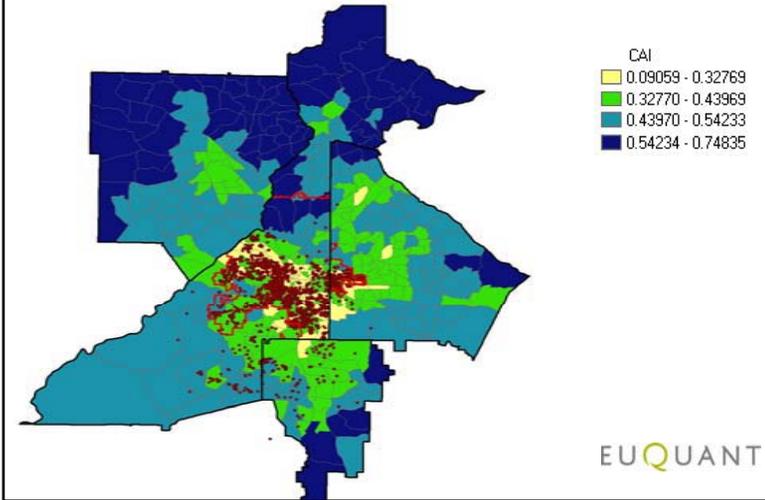


### CENSUS TRACTS IN METRO ATLANTA COLOR CODED BY CAI SCORE

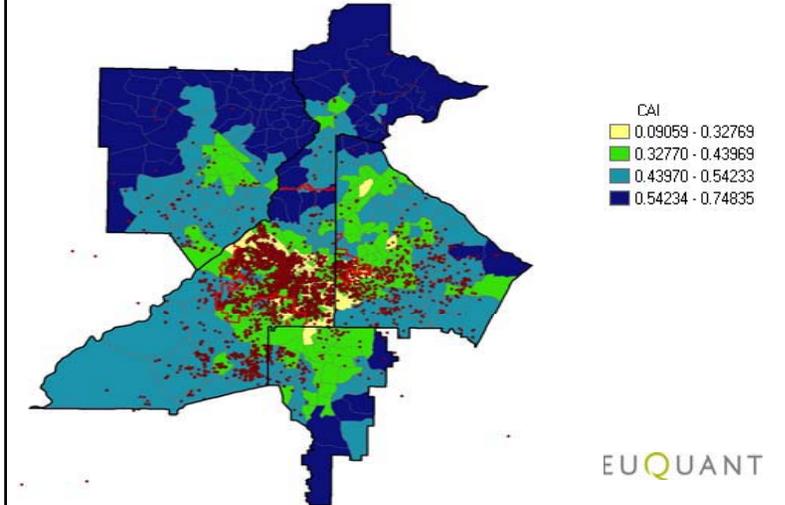
(CAI SCORE IS DIVIDED INTO QUARTILES)



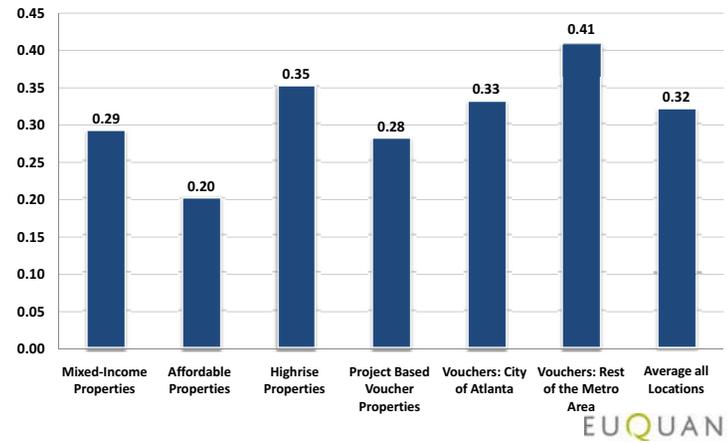
### 1995 VOUCHERS IN ATLANTA OVERLAID ON CAI COLOR CODED MAP



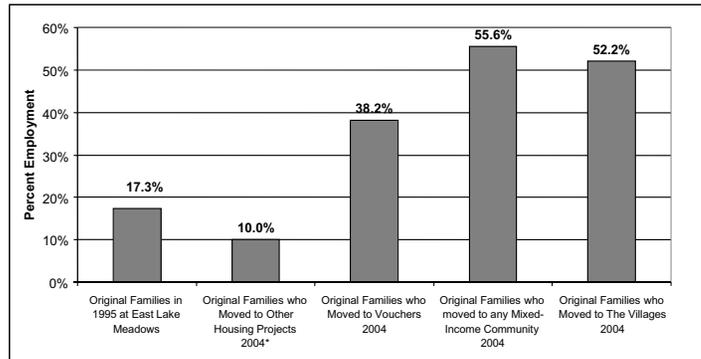
### 2007 VOUCHERS IN ATLANTA OVERLAID ON CAI MAP



### BY 2007 MOST FAMILIES LIVED IN BETTER NEIGHBORHOODS

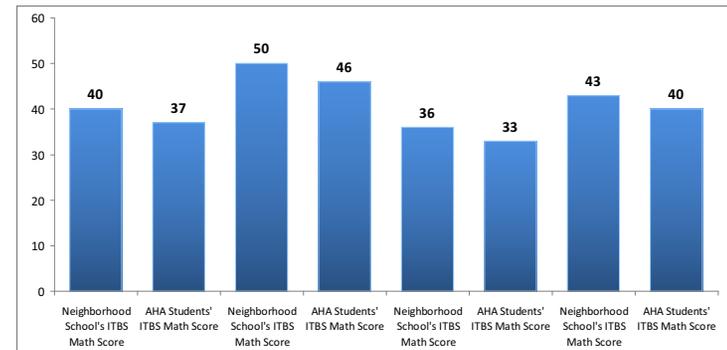


### 2004 Employment Rate of Families Relocated from East Lake Meadows in 1995



EUQUANT

### SCHOOL PERFORMANCE VARIED BY ENVIRONMENT: APS VERSUS AHA ELEMENTARY KIDS' ITBS MATH SCORE



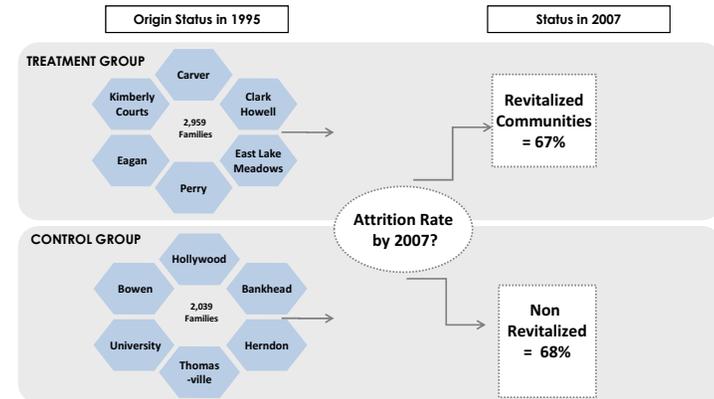
EUQUANT

### Schools where AHA Assisted Students Achieved the Highest on 5<sup>th</sup> Grade Math and Reading

School	% AHA Stu Math	Math	Reading
Gideon	35%	79	77
Stanton	53%	67	46
Cascade	27%	63	56
Venetian	27%	58	57
Centennial	24%	57	50
Bethune	58%	53	41

EUQUANT

### ATTRITION RATES IN TREATMENT AND CONTROL GROUPS



EUQUANT

## Average Census Tracts Characteristics where AHA Properties are Located

Table 5.

Neighborhood Characteristics where Families Lived in 2007

	Median HH Income	Neighborhood Poverty Rate	ITBS 3 <sup>rd</sup> Grade Composite	ITBS 5 <sup>th</sup> Grade Composite	2004 Average Price of Single Family Home
Mixed Income Properties	\$22,138	35%	45	42	\$232,027
Affordable Properties	\$17,584	56%	37	40	\$193,554
High-rise Properties	\$30,099	30%	55	52	\$269,385
Project Based Vouchers	\$20,384	33%	40	44	\$177,441
Vouchers: City of Atlanta	\$27,698	29%	43	44	\$190,542
Vouchers: Rest of the Metro	\$35,350	18%	44	46	\$157,481
<b>Average all locations</b>	<b>\$27,331</b>	<b>32%</b>	<b>44</b>	<b>45</b>	<b>\$201,645</b>

EUQUANT

CONVENTIONAL MIXED INCOME VOUCHERS

Category	CONVENTIONAL	MIXED INCOME	VOUCHERS
No. Observations on AHA Students	754	79	1154
Average Absences Per School Year	8	5	6
Ave. No. of 3rd and 5th Graders at School	383	401	460
% AHA Students of 3rd and 5th	54%	28%	27%
% of Students with Free/Reduced Lunches	95%	95%	89%
Student Teacher Ratio at School	13.8	14.3	14.3
Average Age of HOH in 2004	36	35	35
Average Bedroom Size of Household	3.3	2.7	2.9
Average Family Size in Household	5.1	3.7	4.6
Monthly Rent Paid (excluding subsidy)	142	335	232
Average Earned Income	3,168	10,460	6,719
Average Household Income	7,462	14,410	10,519
% of Household Heads Married	2%	1%	1%
% of Households Headed by Females	97%	100%	99%
% of Household Heads on TANF	31%	19%	26%
Percent of Employed Household Heads	25%	59%	45%
Poverty Rate for AHA Households	94%	68%	83%
Poverty Rate, Census Tract	52%	40%	28%
Median Household Income, Census Tract	16,133	24,200	30,761
Average Sale Price, Census Tract	176,577	221,867	165,539

EUQUANT

## MODEL 2. EXPLAINS FACTORS THAT INFLUENCE TEST SCORE OF AHA STUDENTS (SCHOOL QUALITY IS CONTROLLED DIRECTLY)

	Unstandardized Coefficients	Standardized Coefficients	Sig.
	Beta	Beta	
(Constant)	9.411		.007
Total Absences during Year	-.325	-.102	.001
Mixed Income vs. Public Housing	2.828	.027	.242
Voucher vs. Public Housing	1.790	.042	.094
Size of Family	-.735	-.060	.005
Married HOH vs. Unmarried HOH	5.197	.027	.196
Female Students vs. Male Students	3.017	.071	.001
% of AHA Students in same Grade	6.919	.092	.003
Total Student Enrollment	-.007	.042	.100
Total Household Income	6.28E-005	.024	.266
Performance of Non-AHA Students	.700	.444	.001

EUQUANT

## MODEL 1. AHA STUDENT PERFORMANCE ON NATIONALLY STANDARDIZED TESTS (TYPE OF HOUSING ASSISTANCE PROXIES SCHOOL QUALITY)

	Unstandardized Coefficients	Standardized Coefficients	Sig.
	Beta	Beta	
(Constant)	48.251		.001
Total Absences during Year	-.387	-.122	.001
Mixed Income vs. Public Housing	9.403	.088	.001
Voucher vs. Public Housing	3.915	.092	.001
Size of Family	-.693	-.057	.016
Married HOH vs. Unmarried HOH	9.679	.050	.026
Female Students vs. Male Students	2.609	.062	.007
% of AHA Students in same Grade	-9.964	-.133	.001
Total Student Enrollment	-.025	-.513	.001
Total Household Income	.001	.041	.079

EUQUANT

**2009 MTW Conference**  
**Meeting with HUD Field Staff**  
**April 30, 2009 at 3:45 PM**

The purpose of this session is to bring together HUD field staff from field offices that have MTW agencies in their jurisdiction. There is no specific agenda or message for this session; rather the purpose is to have an opportunity to meet and brainstorm the role of field staff in the oversight of MTW agencies. Since many of the field staff that initially planned to come to this conference had to back out (lack of budget) it may be a very small meeting. The meeting will definitely include the following HQ staff:

- MTW Office – Ivan Pour, Marianne Nazzaro
- Field Operations – Tawanna Preston – Handon, Floyd May, Candace Simms (soon to be the POC)

The following is an overview of potential discussion topics:

- First have introductions – everyone say who they are, which field office they are in, which MTW agencies they have, and how long they have been the POC re MTW
- Have Ivan/Marianne explain that MTW is administered by HQ. All Plans, Reports, amendments, etc., are approved from HQ (OPHI) but field involvement is critical because they know the specific agencies, the communities (politic, residents, advocates, etc) and we need their involvement to successfully oversee the MTW demonstration. The FOs being the front line of interaction with the agencies? HQ can only visit the site once a year (if travel funds permit) and that makes the field's day-to-day interaction and oversight of MTW agencies critical to the demonstration's success.
- Have each field staff share how they, to this point, of how they have been involved (or not) in the oversight of the MTW agencies. Do they feel part of the process? Do they feel out of the loop? Do they have recommendations for how the process between HUD and FO could work better?
- Have Ivan/Marianne discuss their experience in working with FOs in the oversight of MTW agencies and to share how they perceive the role of the field offices – discuss examples (without stating names!) of FOs that have been extremely helpful in the oversight of MTW.
- Discuss the FO role in reviewing the MTW Plans and Reports, amendments, IG findings and any other documents that come in.
- Reinforce that it's important that MTW agencies receive ONE answer when they ask HUD a question, whether they have the FO or HQ. It is important for FOs to dialogue with HQ, and vice versa, if there is any question. At minimum, we should do our best to copy each other on correspondence with the agencies as it relates to MTW.
- We could discuss the roles/responsibilities that were presented at the April 2008 training (may need to be updated). We could use this as a starting point to brainstorm what actual guidance should be.
- Discuss next steps – Need to provide same message to all MTW FOs. Perhaps monthly/quarterly calls between MTW Office and MTW FOs? Other thoughts? How to make sure we're all on the same page?