



Housing Authority of the  
County of Alameda

22941 Atherton Street, Hayward, CA 94541

Tel. 510.538.8876 TDD 510.727.8551 Fax 510.537.8236 www.haca.net

**HOUSING COMMISSION AGENDA**  
**Regular Meeting: September 12, 2018**  
**Time: 8:00 a.m.**

**HACA Board Room, 22941 Atherton Street, Hayward, CA 94541**

*The public is welcome at all Housing Commission meetings. If you wish to speak on a matter NOT on the Agenda, please file a Public Comment card with the Commission Clerk. Upon recognition by the Chairperson during Public Comment, state your name, comments and/or questions. Anyone wishing to address the Commission on an agenda item or on business introduced by the Housing Commission may do so when the Chairperson calls for comments on the agenda item. Please be brief and limit your comments to the specific subject under discussion. NOTE: Only matters within the Housing Commission's jurisdiction may be addressed. To allow the opportunity for all to speak, a time limit of 3 minutes has been set for public speakers wishing to address the Housing Commission. The Chairperson has the discretion to further limit this time if warranted by the number of speakers.*

*The Housing Commission Secretary of the Housing Authority of the County of Alameda has, on Thursday, September 6, 2018, duly distributed this Agenda to the Clerk of the Board of Supervisors for posting in the office of the Alameda County Administration Building and has posted it on the bulletin board of the Housing Authority of the County of Alameda.*

*AMERICANS WITH DISABILITIES: In compliance with the Americans with Disabilities Act, if special assistance to participate in this meeting is needed, please contact the Housing Authority office at (510) 727-8511. Notification at least 48 hours prior to the meeting will enable the Housing Authority to make reasonable arrangements.*

			<u>PAGE</u>
<b>1.</b>	<b>CALL TO ORDER / ROLL CALL</b>		
<b>2.</b>	<b>APPROVAL OF THE MINUTES OF THE AUGUST 8, 2018 MEETING</b>	<b>ACTION</b>	<b>2</b>
<b>3.</b>	<b>PUBLIC COMMENT - On matters not on the Agenda</b>		
<b>4.</b>	<b>NEW BUSINESS</b>		
<b>4-1.</b>	Presentation of the 2018 HACA Scholarship Winners	<b>PRESENTATION</b>	<b>11</b>
<b>4-2.</b>	Recognize Carol Alves for 45 Years of Service	<b>PRESENTATION</b>	<b>13</b>
<b>4-3</b>	Resolution Approving Side Letter Agreement to the Memorandum of Understanding with SEIU Local 1021	<b>ACTION</b>	<b>14</b>
<b>4-4.</b>	Management Class Annual Comparability Adjustment	<b>ACTION</b>	<b>19</b>
<b>4-5.</b>	Contract with Goldfarb & Lipman LLC for Development Legal Services	<b>INFORMATION</b>	<b>22</b>
<b>4-6.</b>	Section 8 Housing Choice Voucher Payment Standards	<b>ACTION</b>	<b>24</b>
<b>4-7.</b>	Revisions to HACA's Section 8 Administrative Plan	<b>ACTION</b>	<b>27</b>
<b>4-8.</b>	Continuity of Operations Plan	<b>ACTION</b>	<b>30</b>
<b>4-9.</b>	Program Activity Report	<b>INFORMATION</b>	<b>45</b>
<b>5.</b>	<b>COMMISSIONER REPORTS</b>		
<b>6.</b>	<b>COMMITTEE REPORTS</b>		
<b>7.</b>	<b>COMMUNICATIONS</b>		
<b>8.</b>	<b>ADJOURNMENT</b>		

# **MINUTES**

## **August 8, 2018**



Housing Authority of the  
County of Alameda

HACA AGENDA ITEM NO.: 2.

22941 Atherton Street, Hayward, CA 94541

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**HOUSING COMMISSION MINUTES  
REGULAR MEETING: AUGUST 8, 2018  
HACA BOARD ROOM, 22941 ATHERTON STREET, HAYWARD, CA 94541**

**SUMMARY ACTION MINUTES**

**1. CALL TO ORDER/ROLL CALL**

**Call to Order**

Chairperson Gerry called the meeting to order at 8:04 a.m.

**Roll Call**

Present: Cmr. Ballew, Buckholz, Finley, Gacoscos, Gerry, Hannon, Olson and Patz

Excused: Cmr. Maass and Peixoto

**2. CLOSED SESSION**

*Contract Negotiations with SEIU Local 1021 and the Housing Authority of the County of Alameda  
Labor Negotiations Pursuant to Government Code 54957.6*

The Housing Commission entered into a closed session at 8:05 a.m. and reconvened in open session at 8:27 a.m. Chairperson Gerry reported that no reportable actions were taken in the closed session.

**3. ACTION: ELECTION OF OFFICERS**

Christine Gouig, Executive Director, presented the staff report. Vice Chairperson Hannon announced that the Nominating Committee has recommended that Cmr. Gerry and Cmr. Hannon continue on as the Housing Commission's Chairperson and Vice Chairperson, respectively.

Recommendation: Approve the nomination of Cmr. Gerry and Hannon to the positions of Chairperson and Vice Chairperson, respectively, of the Housing Commission.

Motion/Second: Ballew/Olson.

Ayes: All. Motion passed. **APPROVED AS RECOMMENDED.**

*Before moving on to the next item of business on the agenda, Chairperson Gerry introduced Arne Olson, a Councilmember from the City of Pleasanton, who was recently appointed to serve on the Housing Commission. Cmr. Olson shared his background, his views on the housing and transportation issues that Bay Area is faced with and commented that he is looking forward to serving on the Housing Commission.*

**4. ACTION: APPROVAL OF THE MINUTES OF THE JUNE 13, 2018 HOUSING COMMISSION**

Recommendation: Approve the minutes of the June 13, 2018 Housing Commission meeting as presented.

Motion/Second: Gacoscos

Ayes: 6; 2 abstentions: Cmr. Ballew and Olson. Motion passed. **APPROVED AS RECOMMENDED.**

5. **PUBLIC COMMENT**

Monzella Curtis, a member of the Hayward Collective, commented that he was interested in learning more about HACA and that many Section 8 Housing Choice Voucher holders are having difficulties finding landlords who are willing to rent to them. Chairperson Gerry offered to speak with Mr. Curtis after the meeting.

6. **NEW BUSINESS**

6-1. **PRESENTATION: RECOGNIZE VANESSA DIAZ AS HACA'S SHINING STAR FOR JULY-DECEMBER 2018**

Christine Gouig, Executive Director, introduced Vanessa Diaz, an Eligibility Leadworker in HACA's Programs Department, as HACA's Shining Star for July–December 2018. Ms. Gouig read the comments that were submitted by those who nominated Vanessa. Vanessa expressed gratitude for the award, praised her team and thanked the Housing Commission for the recognition. The Commission, staff and public applauded Vanessa and Chairperson Gerry presented her with a certificate.

Iris Grace, an Eligibility Technician in the Programs Department, stated that she likes working with Vanessa and commented that she is a great lead worker. Mary Rizzo-Shuman, Programs Manager, praised Vanessa's willingness to take on difficult cases and commented that Vanessa encompasses the best of what HACA is. Aimee Fisher, an Eligibility Technician in the Programs Department, said Vanessa is incredible at what she does. She takes the hardest cases and works well with the team and is a joy to work with.

Commission Discussion: Cmr. Hannon thanked Vanessa for her service to HACA, praised her for maintaining her enthusiasm day in and day out and commented that she is a shining example for HACA.

6-2. **RESOLUTION NO. 10-18: APPROVING MEMORANDUM OF UNDERSTANDING WITH SEIU LOCAL 1021**

Charla Freckmann, Human Resources Manager, presented the staff report. Ms. Freckmann stated that the Memorandum of Understanding (MOU) between HACA and SEIU Local 1021 (SEIU) expired on June 14. She reported that HACA and SEIU have reached a tentative agreement for a successor MOU. Ms. Freckmann described a substantive change to the MOU with regard to a lump-sum payment for each bargaining unit employee employed after June 18, 2018. She indicated that all other terms of the MOU remain the same and the proposed MOU, if approved, will expire on June 13, 2019.

Recommendation: Adopt Resolution No. 10-18 approving the Memorandum of Understanding with SEIU Local 1021 for the July 1, 2018 – June 30, 2019 fiscal year as presented.

Motion/Second: Hannon/Gacoscas.

Ayes: All. Motion passed. **APPROVED AS RECOMMENDED.**

6-3. **ACTION: APPROVE SALARY ADJUSTMENT FOR NON-MANAGEMENT, NON-BARGAINING UNIT EMPLOYEES**

Charla Freckmann presented the staff report. Ms. Freckmann reported that HACA has one part-time employee and one confidential, full-time employee who are not part of the SEIU Local 1021 (SEIU)

## HACA AGENDA ITEM NO.: 2.

bargaining unit. She explained that it has been HACA's practice to apply the same terms and conditions that have been negotiated in the MOU between HACA and SEIU to HACA's non-management, non-bargaining unit employees. She noted that the amount of the lump-sum payment negotiated in the MOU with SEIU would be pro-rated at 80% for the part-time employee and the full-time, confidential employee would receive the full amount. Ms. Freckmann pointed out that the Housing Commissioners have received a letter from the part-time employee in which she expresses her disagreement with the pro-ration of the lump-sum payment and outlines the reasons why she should receive the full amount.

Recommendation: Approve the same terms and conditions of employment as those that were negotiated for HACA's bargaining unit for non-management, non-bargaining classifications; approve the lump-sum payment for HACA's full-time, confidential employee; consider whether the lump-sum payment for HACA's part-time employee should be pro-rated at 80% or decide if the part-time employee should receive the lump-sum payment at 100%.

Commission Discussion: Chairperson Gerry commented that this action may require two separate motions. Cmr. Ballew commented that pro-rating the amount for the part-time employee does not mean that the part-time employee is valued any less than a full-time employee. He stated that as a public servant, the public expects him to be a good shepherd of public funds and to act with equity, so if an employee works 80% of the time that employee's amount should be pro-rated at 80%.

Cmr. Gacoscos commented that in her experience in working with the state, part-time employees often had the same amount of work as full-time employees. She indicated that she would support the employee's assertion that she should receive the lump-sum payment at 100%.

Cmr. Patz expressed his concern that the part-time employee is not a member of SEIU and commented that SEIU should be negotiating on behalf of this particular employee. He further commented that the bargaining unit employees pay dues for the services provided by SEIU, including negotiating benefits and pay, and that the employees who want the benefits of this service should contribute to SEIU. Cmr. Patz noted that the full-time, confidential employee by virtue of her classification, does not have the option to be represented by SEIU. Cmr. Patz stated that he would not support the motion and made a substitute motion, to wit:

Substitute Motion: Substitute motion to vote on the matter of the lump-sum payment for the confidential, full-time, non-bargaining, non-management employee separately from the matter pertaining to the lump-sum payment for the part-time, non-bargaining unit, non-management employee.

Substitute Motion/Second: Patz/Finley.  
Ayes: All. Substitute motion carries.

The Commission next took up the two separate motions.

Motion 1: Vice Chairperson Hannon moved to approve the same terms and conditions of employment as those that were negotiated for HACA's bargaining unit for non-management, non-

bargaining classifications, and approve a lump sum payment for HACA's full-time, confidential employee at 100%.

Motion/Second: Hannon/Olson.

Ayes: All. Motion passed. **APPROVED.**

Motion 2: Vice Chairperson Hannon moved to approve the same terms and conditions of employment as those that were negotiated for HACA's bargaining unit for non-management, non-bargaining classifications, and approve a lump sum payment for HACA's part-time employee at 80%.

Motion/Second: Hannon/Ballew.

A roll call of the votes was taken:

**Ayes:** Cmr. Ballew, Buckholz, Finley, Gerry, Hannon, and Olson

**Noes:** Cmr. Gacoscos and Patz

**Abstain:** None

**Excused:** Cmr. Maass and Peixoto

**Absent:** None

Motion passed. **APPROVED.**

Additional Commission Discussion: Chairperson Gerry, Cmr. Patz and Ms. Gouig discussed the decrease in the funding that HACA receives from HUD and the impact this has on future funding. Chairperson Gerry and Ms. Cado discussed HACA's waitlist.

**6-4. RESOLUTION NO. 11-18: AUTHORIZING SUBMISSION OF SECTION EIGHT MANAGEMENT ASSESSMENT PROGRAM CERTIFICATION TO THE U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**

Christine Gouig introduced this item. She described the Section Eight Management Assessment Program (SEMAP) and indicated that the certification is due to HUD on August 29. Jennifer Cado, Senior Administrative Analyst, presented the staff report. Ms. Cado described some of the key indicators that are used in SEMAP to measure HACA's performance in the administration of the Section 8 program. She indicated that although HACA lost a few points in one of the indicators due to the recent conversion to a new housing software system, HACA still achieved an overall rating of "High Performer." Ms. Cado praised staff for working through the various challenges that resulted from the software system conversion.

Recommendation: Adopt Resolution No. 11-18 approving Section Eight Management Assessment Program certification and authorizing submittal of it to the U.S. Department of Housing and Urban Development.

Commission Discussion: Vice Chairperson Hannon praised staff for their hard work. Cmr. Olson and Ms. Cado discussed HACA's conversion to the new housing software system. Ms. Gouig commented that HACA's conversion was not just a software update but a conversion to a completely different system. Ms. Cado commented that the previous software system was highly customized, making the data conversion process extremely difficult.

Motion/Second: Hannon/Ballew.

Ayes: All. Motion passed. **APPROVED AS RECOMMENDED.**

**6-5. RESOLUTION NO. 12-18: APPROVING A PETTY CASH POLICY**

Cathy Leoncio, Finance Director, presented the report. Ms. Leoncio reported that staff is proposing to implement a Petty Cash Fund Policy to allow for the purchase or reimbursement of minor, unanticipated expenses that generally do not exceed \$50. She explained that HACA has a Petty Cash fund that is referenced in its Procurement Policy that the Housing Commission approved in 2008 but that HUD prefers a separate policy to cover the Petty Cash fund. Ms. Gouig stated for the record that the resolution number in the staff report in the agenda packet is incorrectly shown as 11-18 and that the correct resolution number is 12-18.

Recommendation: Adopt Resolution No. 12-18 adopting the Petty Cash fund policy.

Motion/Second: Hannon/Ballew.

Ayes: All. Motion passed. **APPROVED AS RECOMMENDED.**

**6-6. ACTION: AMEND AND RENEW THE MANAGEMENT AGREEMENT WITH PRESERVING ALAMEDA COUNTY HOUSING, INC.**

Christine Gouig presented the staff report. Ms. Gouig provided the background on, and the purpose for, forming HACA's non-profit instrumentality, Preserving Alameda County Housing, Inc. (PACH). She described the management agreement between HACA and PACH and reported that staff is proposing to amend the agreement to include units from the Mission View project in Union City and the Emery Glen project in Emeryville and to renew the agreement for another 5 years.

Recommendation: Approve the proposed amendments to the Management Agreement with Preserving Alameda County Housing, Inc.

Motion/Second: Gacoscos/Buckholz.

Ayes: All. Motion passed. **APPROVED AS RECOMMENDED.**

**6-7. ACTION: APPROVE REVISIONS TO HACA'S TRAVEL POLICY**

Charla Freckmann presented the staff report. Ms. Freckmann reported that HACA's Travel Policy was last updated in 2008 and that staff is proposing to revise the Policy to update language and incorporate new provisions regarding the per diem travel allowance. She described these new provisions and recommended that the Housing Commission approve the proposed revisions as presented.

Recommendation: Approve the proposed revisions to HACA's Travel Policy.

Commission Discussion: Vice Chairperson Hannon and Ms. Freckmann discussed the timing for the reimbursement of travel expenses. Cmr. Finley asked how long it would take to be reimbursed and Ms. Freckmann indicated that it would take a few days to process reimbursement.

Motion/Second: Hannon/Finley.

Ayes: All. Motion passed. **APPROVED AS RECOMMENDED.**

**6-8. ACTION: APPROVE THE 2018 HACA SCHOLARSHIP PROGRAM AWARDS**

Daniel Taylor, Special Programs Manager, presented the staff report. Mr. Taylor thanked Cmr.

Buckholz, Gacoscos and Patz for participating on the 2018 Scholarship Committee. He reported that the Scholarship Committee reviewed 20 applications, held a meeting via phone on August 1 to discuss its selections and recommended that 17 applicants receive scholarship awards. Mr. Taylor also reported that the Scholarship Committee has recommended a change to the graduate degree award category. He explained that the Scholarship Committee is recommending that scholarships used for graduate degree programs at for-profit institutions have a maximum award amount of \$750. Mr. Taylor announced the name of the winner of the 2018 Donald C. Biddle Memorial Scholarship Award and commented that the applicant selected for this award submitted a stellar application.

Recommendation: Approve the 2018 HACA Scholarship Program awards and the proposed revision to set the maximum amount for scholarships for graduate degree programs at for-profit institutions to \$750.00.

Commission Discussion: Cmr. Patz thanked Mr. Taylor and Melissa Taesali, Executive Assistant, for putting together the applications. He praised all of the scholarship applicants for their hard work. Cmr. Gacoscos commented that she has served on this committee for a few years now and enjoys hearing the stories from the applicants. She thanked staff for their hard work in processing these applications. Cmr. Buckholz praised the applicants for working toward their goals despite the challenges that they have faced. Chairperson Gerry thanked the Scholarship Committee for their time and work in this process.

Motion/Second: Olson/Buckholz.

Ayes: All. Motion passed. **APPROVED AS RECOMMENDED.**

**6-9. INFORMATION: ALAMEDA COUNTY EMPLOYEES' RETIREMENT ASSOCIATION (ACERA) MEDICAL PLAN SUBSIDY FOR ELIGIBLE RETIREES**

Christine Gouig presented the staff report. Ms. Gouig indicated that the Housing Commission had requested information on the medical plan subsidy for retirees in the Alameda County Employees' Retirement Association (ACERA) and called attention to the ACERA information sheet that was included in the agenda packet.

Report received with no questions from the Housing Commission.

**6-10. INFORMATION: BUDGET STATUS REPORT**

Cathy Leoncio presented the staff report. Ms. Leoncio reported that staff is currently closing out HACA's year-end and described some of the challenges staff is facing with the new housing and financial software.

Commission Discussion: Cmr. Buckholz and Ms. Gouig discussed the federal budget. Ms. Gouig commented that it is unlikely that a federal budget will be passed before the November elections. Cmr. Ballew and Ms. Gouig discussed the customer support services provided by the new software vendor. Cmr. Olson and Ms. Leoncio discussed unfunded pension liability, and how this amount is calculated and reported on HACA's balance sheet. Cmr. Olson asked for an estimate on how much of the unfunded pension liability is covered and Ms. Leoncio stated that she estimates that about 75% of the amount is covered.



**6-11. INFORMATION: PROGRAM ACTIVITY REPORT**

Daniel Taylor, Special Programs Manager, presented the staff report. Mr. Taylor reported on the 2018 Family Self-Sufficiency (FSS) Health and Resource Fair. A list of vendors with a description of their services was distributed to the Housing Commission and to the public. He announced that the next FSS event is the "It's Your Time to Shine" event and that it is scheduled for November 1 in San Leandro. Mr. Taylor thanked Chairperson Gerry for his donation of gift baskets and for his attendance at the event.

Commission Discussion: Chairperson Gerry commented that the event offers a great number of excellent resources. Ms. Gouig praised Mr. Taylor and the FSS staff for all of their hard work.

**7. COMMITTEE REPORTS**

None.

**8. COMMISSIONER REPORTS**

None.

**9. COMMUNICATIONS**

Ms. Gouig announced that Mary Rizzo-Shuman, Programs Manager, is retiring and introduced Laura Broussard Rosen, HACA's new Programs Manager. Ms. Broussard Rosen introduced herself to the Housing Commission and described her background. Ms. Gouig recognized Ms. Rizzo-Shuman for her 22 years of service to HACA and Ms. Rizzo-Shuman expressed her appreciation for the recognition.

Ms. Gouig reported that HACA's Rental Assistance Demonstration (RAD) program is the subject of a compliance monitoring by the HUD Office of the Inspector General.

Ms. Gouig reported that HACA won the Emery Glen lawsuit and is waiting to hear if the plaintiff will appeal.

**10. ADJOURNMENT**

There being no further business to discuss, Chairperson Gerry adjourned the meeting at 9:38 a.m.

Respectfully Submitted,

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Melissa Taesali  
Executive Assistant

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Christine Gouig  
Executive Director/Housing Commission Secretary

**Approved:** 

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Mark Gerry  
Housing Commission Chairperson

# **NEW BUSINESS**

**September 12, 2018**

**HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA**

**AGENDA STATEMENT**

Meeting Date: September 12, 2018

Subject: Presentation of the 2018 HACA Scholarship Winners

Exhibits Attached: 2018 HACA Scholarship Winners

Recommendation: Receive Presentation and Acknowledge Winners

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**DISCUSSION**

The Housing Authority's Scholarship Program includes a presentation to the Housing Commission of the applicants who were selected by the Scholarship Committee to receive a scholarship award.

The Committee recommended \$17,500 in scholarships for 17 applicants this year. This includes a special award of \$2,500 for the applicant that the Committee selected to receive the Donald C. Biddle Memorial Scholarship that was established back in March to honor the memory of the late City of Dublin Commissioner, Don Biddle. Your Commission approved the Committee's recommendations at your June meeting.

Staff will present the scholarship winners who are in attendance at the meeting and recognize them for their achievements. The recipients are listed, by city, on the attached exhibit.

## HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

## 2018 HACA Scholarship Winners

CITY	# OF WINNERS	CITY	# OF WINNERS
Dublin	2	San Leandro	7
Emeryville	1	San Lorenzo	1
Fremont	1	Union City	3
Hayward	2		

## 2018 HACA Scholarship Award Details

## DUBLIN

NAME	SCHOOL/PROGRAM	DEGREE/FIELD OF STUDY/CERTIFICATION	AWARD
Naja Abdul-Jaami	Chabot College	Early Childhood Education	\$750
Jazmin Batts-Brooks	Las Positas College	Veterinary Sciences	\$750

## EMERYVILLE

NAME	SCHOOL/PROGRAM	DEGREE/FIELD OF STUDY/CERTIFICATION	AWARD
Jasmine Breedlove	Care & Compliance	Residential Care for the Elderly (RCFE) Certification	\$575

## FREMONT

NAME	SCHOOL/PROGRAM	DEGREE/FIELD OF STUDY/CERTIFICATION	AWARD
Stacey Troupe	Cal State East Bay	Liberal Arts	\$375

## HAYWARD

NAME	SCHOOL/PROGRAM	DEGREE/FIELD OF STUDY/CERTIFICATION	AWARD
Jacqueline Rodriguez	College of San Mateo	English	\$750
Ebony Walker	Cal State East Bay	Business Administration	\$1250

## SAN LEANDRO

NAME	SCHOOL/PROGRAM	DEGREE/FIELD OF STUDY/CERTIFICATION	AWARD
Treyvonn Chadwick	Sierra College	Health Sciences	\$750
Kassandra Johnson	Moler Barber College	Barbering	\$750
Kenneth Johnson	Chabot College	Communications	\$750
Mohamed Musa	UC San Diego	Civil Engineering	\$1750
Marcus Odom	National Driving School	Class A License	\$700
Tyneisha Smith	Uniteck College	Medical Assisting	\$750
Jamila Williams	Cal State East Bay	Healthcare	\$750
<i>Jamila Williams was also selected to receive the Donald C. Biddle Memorial Scholarship</i>			\$2500

## SAN LORENZO

NAME	SCHOOL/PROGRAM	DEGREE/FIELD OF STUDY/CERTIFICATION	AWARD
Carl Brown	Chabot College	Business	\$750

## UNION CITY

NAME	SCHOOL/PROGRAM	DEGREE/FIELD OF STUDY/CERTIFICATION	AWARD
John Paul Abaya	UC San Diego	Undeclared	\$1750
Hosai Aria-Faizi	Cal State East Bay	Sociology	\$1250
Nkechi Uzoew	Alliant International	Masters Program – Special Education	\$750

**HOUSING AUTHORITY OF ALAMEDA COUNTY**

**AGENDA STATEMENT**

Meeting: September 12, 2018

Subject: Recognition of Carol Alves for 45 Years of Service

Exhibits Attached: None

Recommendation: Receive presentation and recognize employee

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**DISCUSSION**

The Housing Authority's service awards program includes a presentation to the Housing Commission of staff who have achieved 25 years or more of service (in five year increments). Carol Alves, a 45 year Housing Authority employee, will be presented to the Housing Commission.

Carol is an Administrative Clerk in the Administrative Services Department. Details of her employment will be presented to your Commission at the meeting. We are very proud of Carol's accomplishments, work, and tenure at the Housing Authority.

## HOUSING AUTHORITY OF ALAMEDA COUNTY

### AGENDA STATEMENT

Meeting: September 12, 2018

Subject: Memorandum of Understanding (MOU) with SEIU Local 1021

Exhibits Attached:           - Resolution No. 13-18  
                                      - Signed Side Letter Agreement

Recommendations:       Adopt Resolution Approving Side Letter Agreement to MOU

Financial Statement:       \$33,280

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### BACKGROUND

The current MOU between the Housing Authority of the County of Alameda (HACA) and SEIU Local 1021 contains a section for premium pay terms. However, there is no MOU provision for standby duty pay, which is typically considered a premium pay provision.

### DISCUSSION and ANALYSIS

HACA contracts with a call service to field phone calls from tenants during non-business hours who have issues and concerns regarding their units. Currently, when a tenant calls the answering service, the answering service calls a HACA management employee on their list of managers and continues to call down the list until a manager is reached. The manager who is contacted by the answering service will call the tenant, ascertain the nature of the problem and then contact the appropriate HACA vendor to go to the tenant's unit and address the issue.

HACA managers may or may not be immediately available to receive calls from the answering service and may or may not have the requisite knowledge in order to expeditiously determine what is needed to be done to address the nature of the service call. In order to streamline and increase efficiency in responding to after-hours service calls from tenants, standby duty is being recommended for the Housing Maintenance Worker II classification. HACA's Housing Maintenance Workers have the subject matter knowledge to best determine what course of action is required to address the nature of a tenant's service call. In some cases, the issue may even be addressed by one of the Housing Maintenance Workers instead of calling upon a vendor.

On August 31, 2018, the Human Resources Manager met with a field representative from SEIU 1021 to meet and confer on the establishment of standby duty assignments for the Housing Maintenance Worker II classification. The recommended standby duty assignment is applicable

to the Housing Maintenance Worker II classification only. Currently, there are 3 employees in the Housing Maintenance Worker II classification. Agreement was reached on the same day via the execution of a side letter agreement to the current MOU. The executed side letter is attached for your reference.

**RECOMMENDATION**

Staff recommends your Commission adopt a resolution approving the terms of the side letter agreement to the current MOU with SEIU Local 1021 as reflected in the attachment. Implementation of the standby duty assignment is recommended to commence as soon as possible given the administrative tasks that will be required associated with implementing a new premium pay (e.g., obtaining approval from ACERA for a new pay code, working with our payroll vendor to include the new pay code, etc).

**HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA**

**RESOLUTION NO. 13-18**

**RESOLUTION APPROVING SIDE LETTER TO MEMORANDUM OF UNDERSTANDING (MOU)  
WITH SEIU LOCAL 1021 FOR FISCAL YEAR 2018-2019**

**WHEREAS**, the Housing Authority of the County of Alameda (“Authority”) recognizes Service Employees International Union (SEIU) Local 1021 as the exclusive representative for the Authority’s general employees bargaining unit, the classifications for which are listed in Appendix A to the Parties’ Memorandum of Understanding (“MOU”) for fiscal year 2018-2019; and

**WHEREAS**, the Parties sought agreement on a one-year contract roll-over and held discussions regarding the change in compensation for this roll-over; and

**WHEREAS**, a successor MOU for the 2018-2019 fiscal year was approved by your Commission on August 8, 2018; and

**WHEREAS**, the Authority desires to implement standby duty assignments for the Housing Maintenance Worker II classification; and

**WHEREAS**, on August 31, 2018, the Authority and SEIU met and conferred and came to agreement on the terms for standby duty assignment and executed a side letter agreement to the current MOU;

**NOW, THEREFORE, BE IT RESOLVED**, that the Housing Commission of the Housing Authority of the County of Alameda does hereby approve and authorize the Human Resources Manager to execute the August 31, 2018 side letter agreement to the Memorandum of Understanding with SEIU Local 1021 for the 2018-2019 fiscal year as presented at this meeting.

**PASSED, APPROVED AND ADOPTED** by the Housing Commission of the Housing Authority of the County of Alameda on this 12th day of September 2018 by the following vote:

**AYES:**

**NOES:**

**ABSTAIN:**

**EXCUSED:**

**ABSENT:**

**Attest:**

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Christine Gouig  
Executive Director/Housing Commission Secretary

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Mark Gerry  
Housing Commission Chairperson

**Adopted:** \_\_\_\_\_



## MEMORANDUM OF UNDERSTANDING

Between

SEIU Local 1021 and the Housing Authority of the County of Alameda

### SIDE LETTER AGREEMENT

Standby Pay – Housing Maintenance Workers

August 31, 2018

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During the term of the June 15, 2018 – June 13, 2019 Memorandum of Understanding, the Housing Authority and the Union agree to the terms of this side letter agreement:

Effective as soon as practical following agreement, the Parties agree to include a provision for standby duty pay in MOU Section 13 – Premium Conditions – applicable to the classification of Housing Maintenance Worker II only.

#### SECTION 13. PREMIUM CONDITIONS

**STAND-BY PAY.** The Housing Maintenance Worker who is required to be available on stand-by duty for possible service calls during their off-duty hours shall receive stand-by duty pay at the applicable hourly rate indicated below. There shall be one Housing Maintenance Worker on stand-by duty assignment at all times during non-working hours. An additional Housing Maintenance Worker will agree to be a back-up to the Housing Maintenance Worker on stand-by assignment. The back-up Housing Maintenance Worker will only receive stand-by duty pay if assigned to stand-by in the event that the Housing Maintenance Worker who is assigned to stand-by duty is unable to complete the assignment.

##### 1. Stand-by Duty Assignment Rotation

The stand-by duty assignment will be for one bi-weekly pay period consistent with HACA's bi-weekly pay period schedule. Stand-by duty assignments shall rotate among the 3 employees in the Housing Maintenance Worker II classification.

##### 2. Standby Cell Phone

A cell phone with a dedicated number for emergency/repair response will be issued to the Housing Maintenance Worker for standby duty assignment. HACA's call service will be instructed to call that phone number for emergency/repair response.

##### 3. Standby Response Time

The Housing Maintenance Worker who is on standby will be expected to respond to a call received on the dedicated cell phone within 30 minutes of receiving the call unless the employee is not immediately available to receive the call. In that case, the employee will

respond as soon as practical and immediately upon availability. Responding to a call means contacting the tenant to determine the nature of their service call.


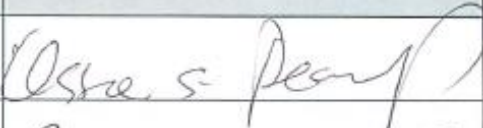

4. Stand-by Duty Hourly Rate

Stand-by duty is that amount of time that a Housing Maintenance Worker is required to be on stand-by during off-duty time. Stand-by duty pay is compensable at the rate of \$5.00 per hour.

5. Service Calls During Stand-by Duty

If a service call is received during stand-by duty, the call-back pay provision in Section 13.A. shall apply. Call-back pay applies when a response to a service call is required. A minimum of 2 hours of pay shall be provided at the overtime rate of one and one-half the regular rate of pay in accordance with MOU Sections 7.D. and 13.A. Call-back pay applies in addition to stand-by duty pay. Call-back pay applies to each service call occurring during the standby duty assignment.

If responding to a service call requires a time commitment beyond 2 hours, the Housing Maintenance Worker on stand-by duty assignment shall receive compensation for actual hours worked at the overtime rate of one and one-half the regular rate of pay in accordance with MOU Section 7.D. Standby duty pay stops when the Maintenance Worker performs actual hours worked beyond the minimum 2 hours for call-back pay.

FOR HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA:	FOR SEIU LOCAL 1021:
	
	
	Filomon Lopez
	Ramon D. Ruiz
	Alina el Lada

## HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

### AGENDA STATEMENT

Meeting: September 12, 2018

Subject: Management Class Annual Comparability Adjustment

Exhibits Attached: 2018 Management Class Comparability Survey Results – Cost of Living Adjustment (COLA)

Recommendation: Approve recommended annual salary adjustment of 3.2% retroactive to June 15, 2018, the beginning of the first pay period of the fiscal year, and continue the Management Compensation Policy

Financial Statement: \$ 43,656

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### BACKGROUND

Thirty-one years ago, in June of 1986, the Housing Commission adopted various components for setting and maintaining compensation for management employees. Taken together these components are referred to as the Management Compensation Policy. In 2003, the Commission appointed a sub-committee to review the various methodologies used for setting and maintaining compensation. The sub-committee affirmed the Management Compensation Policy and its practices with a few recommended changes regarding the then-existing comparability pool. Over the years, the comparability pool has been adjusted a few times, adding and deleting agencies. However, the underlying practice of maintaining and implementing the various components of the management compensation policy has remained consistent.

The core components of the Management Compensation Policy are:

**1. Annual Cost of Living Adjustment**

Conduct annual cost of living adjustment (COLA) surveys by assessing cost of living adjustments granted to management employees in the comparability pool, calculating the mean (average) of those adjustments and applying them to both employees' salaries and HACA's salary range structure;

**2. Triennial Salary Survey of Management Positions**

Conduct triennial surveys to review HACA's management positions and compare them to similar positions within our comparability pool to insure that they are assigned a pay range at the median (middle) rate of comparable positions within the pool or are tied to another classification internally; and

**3. Triennial Survey of Management Total Compensation**

As part of the triennial survey, review total compensation programs for management classifications to make sure that HACA's program is competitive.

**DISCUSSION and ANALYSIS**

The annual COLA comparability survey is usually conducted in the Fall of each year because public agencies adopt their annual budgets prior to granting management employee increases and often the increase is not known until July, August or even later. The results of HACA's annual survey are attached. At the October 8, 2014 meeting, with respect to COLAs, your Commission modified the methodology to allow rounding of the survey results to the nearest tenth of a percent. The average adjustment for the agencies in HACA's comparability pool providing a known cost of living adjustment to management employees is 3.2%. The proposed management employee COLA is retroactive to June 15, 2018, the first pay period in the fiscal year.

Staff recommends that your Commission approve the COLA as described above. Along with accepting the results of the survey and directing staff to implement the results, it has been your Commission's practice to direct staff to continue the practices and procedures of the Management Compensation Policy going forward.

**SURVEY SUMMARY****Management COLA – FY 2018/19**

	<b>AGENCY</b>	<b>COLA</b>	<b>DATE</b>
1	City of Alameda Housing Auth.	3.9%	effective 7/1/18
2	City of Fremont	3.0%	effective 6/26/18
3	City of San Leandro	3.0%	effective 1/1/18
4	City of San Mateo	3.0%	effective 5/7/18
5	Contra Costa County Housing Auth.	2.0%	effective 12/30/18
6	County of Alameda	3.5%	effective 1/3/18
7	Marin Housing Authority	5.0%	effective 6/1/18
8	Oakland Housing Authority	3.5%	effective 7/1/18
9	San Mateo County Housing Auth.	3.0%	effective 10/12/18
10	Santa Clara County Housing Auth.	2.5%	effective 7/4/18

Total agencies=10; excludes Richmond HA, which doesn't know when negotiations will be completed and City of Hayward, which gave a lump sum.

**Average COLA:** 3.24%

**HACA COLA:** 3.2%

(rounded to the nearest tenth)

**HOUSING AUTHORITY OF ALAMEDA COUNTY**

**AGENDA STATEMENT**

Meeting: September 12, 2018

Subject: Contract with Goldfarb & Lipman LLC for Development Legal Services

Exhibits Attached: None

Recommendation: Information only

Financial Statement: \$25,000

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**BACKGROUND**

The information below is provided in accordance with the Housing Authority's Procurement Policy, which requires that procurement actions valued between \$25,000 and \$150,000 be brought to your Housing Commission as an information item.

**DISCUSSION AND ANALYSIS**

From time to time, HACA has need of legal services related to housing development. Such services primarily revolve around our project-based voucher program and unique situations such as our purchase of surplus Caltrans property for transfer to Eden Housing for affordable housing development. The work is of a sporadic nature and doesn't exceed \$5,000 in a fiscal year.

For several years staff has used the law firm of Goldfarb & Lipman (G&L), based in Oakland and Los Angeles, for HACA development-related work. G&L is one of the premier affordable housing development law firms in the state. G&L is expert in HUD programs and regulations, real estate development law, land use law, and all sources of affordable housing finance, including tax-exempt bonds, low income housing tax credits and the various state of California programs. Our contract with G&L expired some time ago and staff proposes to renew the contract for a term of up to five years.

Intergovernmental Agreement

HUD's Procurement Handbook and our Procurement Policy both provide for Cooperative Purchasing/Intergovernmental Agreements (CPIA). CPIAs allow one housing authority to use the procurement of another instead of conducting its own

direct procurement for a particular service. Per the handbooks, the decision to use such an approach is to be based on economy and efficiency. HACA used a CPIA to retain CSG Advisors in 2013 to perform financial advisory services for our RAD application. In that instance we used a procurement done by the Tacoma (WA) housing authority and based our contract with CSG Advisors on Tacoma's contract with CSG.

Last year, the Livermore Housing Authority (LHA) undertook a procurement for general counsel, eviction counsel and real estate development counsel. LHA selected G&L for its development work. LHA has agreed that HACA may use its procurement of G&L and G&L has agreed that its contract with HACA will be based on its contract with LHA. G&L will perform work for HACA on an hourly basis at the rate of \$305 per hour for a partner, \$295 for an associate and \$145 for a paralegal/clerk, the same fees contained in the LHA contract.

## HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

### AGENDA STATEMENT

Meeting: September 12, 2018

Subject: Section 8 HCV Payment Standards

Exhibits Attached: None

Recommendation: Approve the Proposed Payment Standards for the HCV Program

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#### BACKGROUND

A housing authority's payments to landlords to subsidize the rents of Section 8 Housing Choice Voucher (HCV) Program participants are called "Housing Assistance Payments" (HAP). A formula determines the total HAP funding that HUD provides annually to each housing authority. Congress may or may not appropriate sufficient funds to fund 100% of that formula.

A housing authority must manage the HAP funds that it receives from HUD to pay landlords enough so that families can afford modest housing and yet not run out of money before the end of the year when new funding is provided. If a housing authority sets the rents that families are allowed to pay too low for its market area, families won't be able to find suitable housing and/or will have to pay too much of their income (i.e., more than 30% - 40%) for rent. If the housing authority sets rents too high, it will run out of HAP funds and will have to reduce the size of its program, possibly having to terminate the leases of participating families.

The rents that a housing authority allows participating families to pay are determined, in large part, by HUD. Every year, HUD publishes "fair market rents" for each market area in the United States to be effective on or around October 1 of that year. Fair market rent (FMR) is the rent, including the cost of utilities (except telephone and cable TV), that must be paid in the market area to rent privately owned, decent, safe and sanitary rental housing that is *modest* (i.e., non-luxury). It is not intended that the FMRs enable a participating family to rent every type of unit in a community.

After HUD publishes the FMRs, every housing authority must then adopt one or more "payment standard" schedules based on those FMRs. A housing authority may either adopt a single payment standard amount for its whole FMR area or a separate payment standard amount for each designated part of the FMR area (e.g., for each city).

The payment standard establishes the voucher amount for each unit size, i.e., the **maximum** gross rent (rent plus utilities) that will be used by the housing authority to compute the monthly HAP that it will pay the landlord on behalf of the Section 8 family. The **actual** gross rent that the housing authority will use is based on the reasonableness of the rent in comparison to that of similar units in the same general neighborhood; it is not automatically the payment standard.

The housing authority may establish the payment standard amount for a unit size at any level between 90% and 110% of the published FMR for that unit size. HUD approval is not required to establish a payment standard amount within that range (called the "basic range"), but *is* required to establish a payment standard amount that is higher or lower than the basic range.



## DISCUSSION AND ANALYSIS

HUD published the 2018-2019 FMRs for Alameda/Contra Costa counties on August 31, 2018 to become effective in October 1, 2018. Unfortunately, the FMRs have decreased from last year as illustrated below:

Final FY 2019 FMRs By Unit Bedrooms					
Year	Studio	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom
FY 2018 FMR	\$1,540	\$1,855	\$2,329	\$3,219	\$3,946
FY 2019 FMR	\$1,397	\$1,693	\$2,109	\$2,902	\$3,558
\$ Decrease	\$143	\$162	\$220	\$317	\$388
% Decrease	-9.3%	-8.7%	-9.4%	-9.8%	-9.8%

## RECOMMENDATION

1. As HACA is in shortfall and needs to realize cost savings, staff recommends maintaining our 2018 payment standards, as shown below.

### PAYMENT STANDARDS BY CITY

City	Unit Size by Bedrooms							
	Studio	1	2	3	4	5	6	7
Albany	\$1,521	\$1,826	\$2,303	\$3,198	\$3,579	\$4,116	\$4,652	\$5,190
Castro Valley (u)	\$1,521	\$1,826	\$2,303	\$3,198	\$3,579	\$4,116	\$4,652	\$5,190
Dublin	\$1,579	\$1,895	\$2,390	\$3,319	\$3,714	\$4,271	\$4,828	\$5,386
Emeryville	\$1,521	\$1,826	\$2,303	\$3,198	\$3,579	\$4,116	\$4,652	\$5,190
Fremont	\$1,550	\$1,861	\$2,347	\$3,258	\$3,646	\$4,194	\$4,740	\$5,288
Hayward	\$1,492	\$1,792	\$2,260	\$3,138	\$3,552	\$4,085	\$4,617	\$5,150
Newark	\$1,550	\$1,861	\$2,347	\$3,258	\$3,646	\$4,194	\$4,740	\$5,288
Pleasanton	\$1,579	\$1,895	\$2,390	\$3,319	\$3,714	\$4,271	\$4,828	\$5,386
San Leandro	\$1,492	\$1,792	\$2,260	\$3,138	\$3,552	\$4,085	\$4,617	\$5,150
San Lorenzo (u)	\$1,492	\$1,792	\$2,260	\$3,138	\$3,552	\$4,085	\$4,617	\$5,150
Union City	\$1,550	\$1,861	\$2,347	\$3,258	\$3,646	\$4,194	\$4,740	\$5,288

2. Staff proposes that HACA, along with the other housing authorities in our FMR area, request that HUD reevaluate the FMRs and recommends that you authorize the Executive Director to participate in the survey and pay HACA's share. (The last survey cost HACA around \$15,000.) The process for reevaluating FMRs is contained in the Federal Register Notice that announced the new FMRs:
  - By October 1, 2018, request HUD's reevaluation of the FMRs. HUD has the option to allow our current FMRs to remain in effect until it has completed its reevaluation. We will request this. If HUD denies our request, staff will return with revised payment standards.

- Supply rent survey data to HUD by January 11, 2019. HACA and up to seven other housing authorities in Alameda and Contra Costa counties and several other housing agencies in the FMR area would procure a rental market survey in order to determine what the actual FMRs should be.
  - HUD will publish revised FMRs at a to-be-determined date (staff estimates mid-February to mid-March).
3. Staff will bring the payment standards based on the revised FY 2019 FMRs to your Commission for approval prior to implementation.

## HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

### AGENDA STATEMENT

Meeting: September 12, 2018

Subject: Section 8 Administrative Plan Policy Revisions

Exhibits: Attachment A: Redline Summary of Policy Revisions

Recommendation: Approve Proposed Policy Revisions

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### BACKGROUND

HACA's Section 8 Housing Choice Voucher (HCV) Program Administrative Plan (Admin Plan) sets forth HACA's policies for administering the Section 8 Program in a manner consistent with HUD requirements and HACA's Agency Plan. HACA's Admin Plan is available for public review.

From time to time it becomes necessary to amend the Admin Plan in order to incorporate new or changed HUD regulations, new or revised HACA practices or program initiatives, or to make clarifications or corrections. Staff also periodically revises the Admin Plan for citation changes and grammatical or non-substantive edits. Only amendments that change HACA policy are brought to your Housing Commission for approval. Today, revisions to Chapters 8, 10, 11, 14, 16, 17 and 18 are being submitted for your approval.

### DISCUSSION and ANALYSIS

#### **CHAPTER 8 – HOUSING QUALITY STANDARDS AND RENT REASONABLENESS DETERMINATIONS**

##### **EXHIBIT 8-1: OVERVIEW OF HUD HOUSING QUALITY STANDARDS (page 8-27)**

Language is added to provide additional guidance on the Lead Safe Housing Rule.

#### **CHAPTER 10 – MOVING WITH CONTINUED ASSISTANCE AND PORTABILITY**

##### **10-II.B. INITIAL PHA ROLE (page 10-8)**

Language is updated for clarification purposes.

#### **CHAPTER 11 – REEXAMINATIONS**

##### **11-I.B. STREAMLINED ANNUAL REEXAMINATIONS (page 11-2)**

Language is added to provide additional clarification on HACA's streamlining options.

## **CHAPTER 14 – PROGRAM INTEGRITY**

### **14-I.A. PREVENTING ERRORS AND PROGRAM ABUSE (page 14-2)**

Language is updated to state that HACA will provide HUD's current Enterprise Income Verification (EIV) guide to its participants.

## **CHAPTER 16 – PROGRAM ADMINISTRATION**

### **16-IV.A. OVERVIEW (page 16-25)**

Updated HACA's collection methods to reflect current practice.

### **16-VII.B. REPORTING REQUIREMENT (page 16-39)**

Language is updated to clarify that the owner is responsible for certain reporting requirements under the Lead Safe Housing Rule, not HACA. In addition, language is added to clarify HACA's role in monitoring the owner's compliance with the rule.

## **CHAPTER 17 – PROJECT-BASED VOUCHERS (PBV)**

### **17-I.A. OVERVIEW (pages 17-2 through 17-3)**

Notice PIH 2017-21 requires that we define a 'project' for Project-Based Voucher (PBV) purposes. Staff has chosen to adopt the PBV statutory definition of project. Additionally, the Housing Opportunities Through Modernization Act (HOTMA) provides housing authorities with the option to project-base an additional 10 percent of its units above the 20 percent program limit under certain circumstances (e.g., for the elderly, persons with disabilities). Staff has chosen to give HACA the option to project base above the limit for these types of units in the future.

### **17-II.F. CAP ON NUMBER OF PBV UNITS IN EACH PROJECT – *Supportive Services* (page 17-14)**

HOTMA requires that our policy address the length of time, frequency and depth of supportive services that will be provided to a family. Staff has chosen to provide supportive services as long as the family is housed and the family wants the services. The frequency and depth of services will be provided depending on individual family need with consideration made for appropriateness and availability of such services. HOTMA also requires we have a policy regarding Family Self Sufficiency (FSS) participants that want to rejoin the program after not completing their original Contract of Participation. Staff has chosen to allow participants to re-join the FSS program.

### **17-III.D. INSPECTING UNITS – *Turnover Inspections* (page 20)**

HOTMA provides housing authorities with the option to adopt a policy to enter into a HAP contract for units that fail the initial HQS inspection as a result of only non-life-threatening conditions or if the unit passed an alternative inspection. Staff has chosen not to adopt this option and to continue to require that units pass initial HQS inspections before providing rental assistance.

**CHAPTER 18 – PROJECT-BASED VOUCHERS UNDER THE RENTAL ASSISTANCE DEMONSTRATION PROGRAM**

**18-II.E. CAP ON NUMBER OF PBV UNITS IN EACH PROJECT – *Supportive Services* (pages 18-9 through 18-10) (Same as for non-RAD PBVs, above)**

HOTMA requires that our policy address the length of time, frequency and depth of supportive services that will be provided to a family. Staff has chosen to provide supportive services as long as the family is housed and the family wants the services. The frequency and depth of services will be provided depending on individual family need with consideration made for appropriateness and availability of such services. HOTMA also requires we have a policy regarding Family Self Sufficiency (FSS) participants that want to rejoin the program after not completing their original Contract of Participation. Staff has chosen to allow participants to re-join the FSS program.

**18-III.D. INSPECTING UNITS – *Turnover Inspections* (page 18-13) (Same as for non-RAD PBVs, above)**

HOTMA provides housing authorities with the option to adopt a policy to enter into a HAP contract for units that fail the initial HQS inspection as a result of only non-life-threatening conditions or if the unit passed an alternative inspection. Staff has chosen not to adopt this option and to continue to require that units pass initial HQS inspections before providing rental assistance.

**18-VII.C. UTILITY ALLOWANCES (page 18-42)**

HOTMA provides housing authorities with the option to apply site specific utility allowances rather than utilizing HACA's annually established utility allowance schedule. Staff has chosen not to adopt this option and to continue to utilize its annually established utility allowance schedule.

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Staff recommends that your Commission approve the revisions to the Admin Plan. Once approved, staff training will be conducted and the revised Plan will be implemented.

## HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

### AGENDA STATEMENT

Meeting: September 12, 2018

Subject: HACA's Continuity of Operations Plan

Exhibits Attached:

- Resolution No. 14-18
- Continuity of Operations Plan PowerPoint
- Continuity of Facility Agreement
- Attachment B: Continuity of Operations Plan

Recommendation: Adopt the attached Continuity of Operations Plan  
Adopt the attached Resolution and MOU

---

### BACKGROUND

The Bay Area is susceptible to several types of disasters, such as earthquakes, fires, floods, and hazardous material exposures. Given these threats, staff has identified the need for developing a Continuity of Operations Plan to ensure that it is capable of conducting its mission essential functions in the event of an emergency or disaster. The Plan was drafted in accordance with FEMA's *National Continuity Policy Implementation Plan*, *Continuity Guidance Circular (1 and 2)*, and *Continuity Guidance for Non-Federal Governments*.

### DISCUSSION AND ANALYSIS

The Continuity of Operations Plan is the framework staff will utilize to operate, or rapidly resume operations under all threats and conditions. Applicable HACA staff will be trained on the Plan to ensure that they are familiar with their roles and responsibilities and can execute HACA's mission essential functions upon activation of the Plan. Today's presentation provides a brief overview of some of the key components of the Plan.

In addition, HACA has established a partnership with the Livermore Housing Authority to provide reciprocal office space in the event a disaster renders HACA's office building uninhabitable.

### RECOMMENDATION

1. Staff recommends you adopt the attached resolution authorizing the Executive Director to sign the Continuity Facility Agreement MOU with the Livermore Housing Authority.
2. Staff further recommends you adopt the attached Continuity of Operations Plan and authorize the Executive Director to approve future revisions of the Plan.

**HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA**

**RESOLUTION NO. 14-18**

**AUTHORIZATION TO ENTER INTO MEMORANDUM OF UNDERSTANDING WITH THE  
LIVERMORE HOUSING AUTHORITY TO PROVIDE RECIPROCAL OFFICE SPACE IN THE EVENT  
OF A DISASTER**

**WHEREAS**, the mission of the Housing Authority of the County of Alameda (HACA) is to provide decent, safe and sanitary affordable housing to very low and extremely low income households, primarily through the federally-funded Housing Choice Voucher program; and

**WHEREAS**, HACA personnel must be capable of operating on a continual basis, even if an emergency or disaster has rendered its facility uninhabitable; and

**WHEREAS**, an off-site facility needs to be available to house HACA personnel if its facility is uninhabitable; and

**WHEREAS**, the Livermore Housing Authority (LHA) has agreed that HACA may use a portion of its office space in such event; and

**WHEREAS**, in a reciprocal arrangement, HACA is agreeable to LHA using a portion of its office in the event the LHA office is rendered uninhabitable; and

**WHEREAS**, HACA and LHA have developed a Memorandum of Understanding (MOU) that permits each to occupy the offices of the other in the event a disaster renders one or the other's offices uninhabitable;

**NOW, THEREFORE, BE IT RESOLVED**, that in consideration of the benefit to the clients of both parties to be derived by this MOU, the Housing Commission of the Housing Authority of the County of Alameda hereby approves the MOU presented at this meeting between HACA and LHA.

**RESOLVED FURTHER**, that Christine Gouig, Executive Director of HACA, acting alone on behalf of HACA, is hereby authorized, directed and empowered, on behalf of HACA and in its name, to execute the MOU and to, acknowledge, deliver, file and record any amendments or supplements thereto, or to do and to cause to be done any and all other acts and things as she may, in her sole discretion, deem necessary or appropriate in order to carry out and perform the purposes and intent of this resolution and MOU.

Housing Authority of the County of Alameda

Resolution No. 14-18: Authorization to Enter Into a Memorandum of Understanding with the Livermore Housing Authority to Provide Reciprocal Office Space in the Event of a Disaster

September 12, 2018

Page 2

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**PASSED, APPROVED, AND ADOPTED** by the Housing Commission of the Housing Authority of the County of Alameda on September 12, 2018 by the following vote:

**AYES:**

**NAYS:**

**ABSTAIN:**

**EXCUSED:**

**ABSENT:**

**Attest:**

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Christine Gouig  
Executive Director/Housing Commission Secretary

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Mark Gerry  
Housing Commission Chairperson

**Adopted:** \_\_\_\_\_





### What's in the Plan?

- Readiness and Preparedness
- Plan Activation
- Continuity/Reconstitution Operations
- Devolution of Control and Direction
- Communications
- Mission Essential Functions (MEFs)
- Orders of Succession/Delegations of Authority
- Continuity Personnel
- Essential Records Management
- Continuity Facilities
- Human Capital
- Risk Management



### Risk Assessment

Risk Score



Risk Category	Risk Score (approx.)
Earthquake	28
Hazardous Materials	24
Fire	22
Human Conflict / Toxic / Political / Hazards	18





### 4 Phases



- Readiness & Preparedness
- Activation and Relocation
- Continuity Operations
- Reconstitution Operations

5



Hayward Fault North & South N7-D Scenario Challenge

High Fire Hazard in the Hayward Area

### Readiness & Preparedness

- Organization Readiness and Preparedness
- Staff Readiness and Preparedness (Drive-Away Kits)

[www.ready.gov](http://www.ready.gov)







6

Activation		7
Level 1 – Critical Incident	Level 2 – Major Emergency	Level 3 – Disaster
An operational interruption where the damage is minor in nature and is expected to last less than 24 hours.	Interruption is anticipated to be greater than one business day, but not more than 7 business days.	Operational interruption is anticipated to be in excess of 7 days.
Actions:	Actions:	Actions:
1) Implementation of emergency procedures 2) No anticipated activation of Continuity of Operations Plan	1) Implementation of emergency procedures 2) Probable activation of Continuity of Operations Plan	1) Implementation of emergency procedures 2) Activation of Continuity of Operations Plan 3) Potential implementation of devolution protocols

## Relocation



Continuity Facility A	Continuity Facility B
City of Hayward 777 B Street Hayward, CA 94541	Livermore Housing Authority 3203 Leashy Way Livermore, CA 94550

8

## Continuity Operations

Continuity Leadership Team

<ul style="list-style-type: none"><li>• Executive Director</li><li>• Programs Manager</li><li>• Special Programs Manager</li><li>• Finance Director</li><li>• I.T. Manager</li><li>• HR Manager</li></ul>	<ul style="list-style-type: none"><li>• Facilities Manager</li><li>• Sr. Administrative Analyst</li><li>• Administrative Analyst</li><li>• Executive Assistant</li><li>• Procurement Manager</li></ul>
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9

## Mission Essential Functions (MEFs)

1. Initiate recovery of HACA's IT infrastructure to ensure that staff has access to vital data and software applications (Information Technology).
2. Ensure that essential accounting functions continue to flow uninterrupted (Accounting).
3. Initiate restoration of HACA's administration building so that staff can resume normal business operations (Maintenance and Modernization).
4. Continue essential program functions to ensure that HACA's program participants remain housed (Programs/Special Programs).
5. Provide an outline for services required to resume operations in the event of an actual or potential emergency or disaster (Procurement).
6. Provide essential Human Resources services to HACA and staff to initiate post-disaster recovery operations (Human Resources).

10

Orders of Succession & Delegation of Authority		
Position	Successor #1	Successor #2
Executive Director	Finance Director	Programs/Special Programs Manager
I.T. Manager	Administrative Analyst	Contract
Finance Director	Accountant	Account Specialist
Facilities Manager	Maintenance Worker II	Maintenance Worker II
Programs Manager	Special Programs Manager	Sr. Administrative Analyst
Special Programs Manager	Programs Manager	Sr. Administrative Analyst
Procurement Manager	Facilities Manager	Procurement Administrative Clerk
Human Resources Manager	Executive Director	Human Resources Administrative Secretary

11

### Cloud-Based Solutions

- Email
- Housing Software
- Documents and Data
- Phone System
- Website



12

Reconstitution Operations

13

Reconstitution

- The Executive Director will serve as the Reconstitution Manager for all phases of the reconstitution process.
- Each department's manager will designate a reconstitution point-of-contact (POC) to update office personnel on developments regarding reconstitution.

Devolution

Executive Director	<ul style="list-style-type: none"><li>✓ Identify and document need for devolution</li><li>✓ Brief Housing Commission and HUD on status and need for devolution</li><li>✓ Prepare devolution action plan</li><li>✓ Brief staff and receiving organizational representatives</li></ul>
Department Managers	<ul style="list-style-type: none"><li>✓ Develop and brief Executive Director on operational status and need for devolution</li><li>✓ Assist Executive Director with preparation and implementation of devolution plan</li><li>✓ Prepare staff and external clients on devolution actions</li></ul>



## **MEMORANDUM OF UNDERSTANDING – CONTINUITY FACILITY AGREEMENT**

The following Memorandum of Understanding (MOU) sets forth the terms between the Housing Authority of the County of Alameda (“HACA”) and the Livermore Housing Authority (“LHA”), hereinafter the “Parties” and each a “Party,” with regard to the activation of this continuity facility agreement in the event of an emergency or disaster.

This MOU is dated for reference purposes only as of \_\_\_\_\_, and is entered into voluntarily by and among the undersigned Parties for the purpose of providing mutual aid at the time of a disaster.

Nothing in this MOU is intended to create any relationship by or between the Parties other than that of independent entities agreeing with each other solely for the purposes set forth in this MOU.

This MOU is not legally binding on the Parties, but rather is a voluntary agreement based on the belief and commitment of the undersigned Parties that as a result of any community emergency or disaster, regardless of cause, which exceeds the effective response capabilities of either of the Parties, an affected Party may request assistance from the other Party as described herein.

### **HACA’s Mission Statement:**

HACA’s mission is to provide decent, safe and sanitary affordable housing to very low and extremely low income households, primarily through the federally-funded Housing Choice Voucher programs.

### **Livermore Housing Authority’s Mission Statement:**

LHA’s mission is to provide safe, decent, and quality affordable housing for low-income families, seniors, and persons with disabilities in the City of Livermore.

## **I. Purpose of MOU**

The purpose of this MOU is to establish responsibilities of the Parties as they relate to a mutual agreement that would require HACA and LHA personnel to operate in the other Party’s facility.

## **II. Duration of MOU**

This MOU is effective upon signature of the Parties, and shall remain in full force and effect unless cancelled by either party pursuant to the provisions set forth herein.



### **III. Program Description**

HACA and LHA personnel must be capable of operating on a continual basis, even if an emergency or disaster has rendered their respective facilities uninhabitable. In this instance, HACA and LHA personnel must be available to provide direction and guidance to staff, clients, or representative customers during emergency conditions and/or declarations. To perform these duties, an off-site facility needs to be available to house emergency personnel.

### **IV. General Provisions**

It is understood by the Parties that HACA and LHA should be capable of fulfilling their responsibilities under this MOU. If at any time either Party is unable to perform its functions under this MOU, the affected Party shall immediately provide notice to the other.

Each Party undertakes that it will not at any time use, divulge or communicate to any person, except to its professional representatives or advisers or as may be required by law or any legal or regulatory authority, any Confidential Information concerning the business or affairs of the other Party which may have come to its knowledge as a result of entering into this MOU and each of the Parties shall use reasonable endeavors to prevent the publication or disclosure of any Confidential Information concerning such matters.

For the purpose of this MOU, "Confidential Information" shall mean: All information (of whatever nature and however recorded or preserved) disclosed by one Party to the other, which: (a) is marked as or has been otherwise indicated to be confidential; or (b) derives value to a Party from being confidential; or (c) would be regarded as confidential by a reasonable business person; except to the extent that such information is already in the public domain at the time of disclosure or enters the public domain otherwise than by a breach of any obligation of confidentiality.

### **V. Responsibilities of the Parties Under MOU**

In consideration of the benefit to the clients of both parties to be derived by this MOU, LHA and HACA agree that their responsibilities are as follows:

#### **A. LHA agrees to:**

##### In the event HACA requires the use of LHA's facility

(1) LHA will provide HACA with access to parking, keys to specific facility locations and access within a prescribed time frame but no later than 12 hours, restrooms, telephone/computer connections (if available), photocopy, fax, and other supplies as deemed necessary.

(2) If there are costs associated with use of this equipment beyond that of normal usage the Parties will enter into an Inter-Agency Agreement to provide for payment as set forth in Paragraph VI.

(3) LHA will cease activities that would preclude HACA's personnel from gaining access to the room or rooms being occupied.

In the event LHA requires the use of HACA's facility

(4) When an event results in the activation of this MOU, LHA will notify HACA immediately of LHA's need to occupy HACA's facility. LHA will occupy the facility for a period not to exceed thirty (30) calendar days.

(5) LHA will provide HACA with a list of personnel who will occupy HACA's facility during an emergency or disaster situation. In addition, this listing should include the names of persons authorized to verify the activation of this MOU. The allowable number of LHA personnel will be determined by HACA.

(6) LHA will maintain the facility in a clean, sanitary, and serviceable condition.

**B. HACA agrees to:**

In the event LHA requires the use of HACA's facility:

(1) HACA will provide LHA with access to parking, keys to specific facility locations and access within a prescribed time frame but no later than 12 hours, restrooms, telephone/computer connections (if available), photocopy, fax, and other supplies as deemed necessary.

(2) If there are costs associated with use of this equipment beyond that of normal usage the Parties will enter into an Inter-Agency Agreement to provide for payment as set forth in Paragraph VI.

(3) HACA will cease activities that would preclude LHA's personnel from gaining access to the room or rooms being occupied.

In the event HACA requires the use of LHA's facility:

(4) When an event results in the activation of this agreement, HACA will notify LHA immediately of HACA's need to occupy LHA's facility. HACA will occupy the facility for a period not to exceed thirty (30) calendar days.

(5) HACA will provide LHA with a list of personnel who will occupy LHA's facility during an emergency or disaster situation. In addition, this listing should include the names of persons authorized to verify the activation of this MOU. The allowable number of HACA personnel will be determined by LHA.

(6) HACA will maintain the facility in a clean, sanitary, and serviceable condition.

#### **VI. Allocation of Costs**

There are no anticipated costs associated with this MOU. Should any costs be incurred, however, such costs will be the full responsibility of the Party that incurs them and HACA and LHA will enter into an Inter-Agency Agreement to provide for payment.

#### **VII. Amendment or Cancellation of MOU**

This MOU may be amended or cancelled in writing at any time by either LHA or HACA.

#### **VIII. Indemnification and Hold Harmless**

Each Party agrees to indemnify and hold harmless the other Party, including its commissioners, agents, or employees, for its sole negligence or willful misconduct in performing the activities described herein, including any attorneys' fees arising therefrom.

#### **VIV. Points of Contact (POC)**

##### For HACA:

Oscar Macias  
22941 Atherton Street  
Hayward, CA 94541  
510-727-8541  
oscarm@haca.net

##### For LHA:

Alfred Dulay  
3203 Leahy Way  
Livermore, CA 94550  
925-447-3600  
adulay@livermoreha.org

The Parties hereto signify their agreement with this MOU by signing below:

For HACA

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Signature

---

Title

---

Date

For LHA

---

Signature

---

Title

---

Date

# **PROGRAM ACTIVITY REPORT**

## HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

### AGENDA STATEMENT

Meeting: September 12, 2018

Subject: Programs Activity Report

Exhibits Attached: Section 8 and Housing Assistance Payments (HAP) Report; Section 8 Average Contract Rent Report; Landlord Rental Listing Report; FSS Program Monthly Report

Recommendation: Receive Report

Financial Statement: None

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### **SECTION 8 HOUSING CHOICE VOUCHERS**

- **Lease-Up:** As of September 1, 2018, the Section 8 Housing Choice Voucher program had 6,056 units under contract.
- **HCV Program Utilization:** As of September 1, 2018, the average HAP subsidy was \$1,621 and the average tenant-paid rent portion was \$501 for an average Contract Rent of \$2,123.
  - ❖ As of September 1, 2018, HACA had 122 outgoing billed portability contracts (i.e., HACA voucher holders who are housed in another housing authority's jurisdiction).
  - ❖ As of September 1, 2018, HACA billed other housing authorities for 457 incoming portability contracts.
  - ❖ As of September 1, 2018, 223 of PACH's 230 project-based voucher (PBV) units are leased. These are HACA's former public housing units converted under HUD's Section 18 or Rental Assistance Demonstration programs and transferred to PACH, HACA's instrumentality.
- **Section 8 Contract Report:** A copy of the Contract Report is attached.
- **Landlord Rental Listings:** As of September 4, 2018, there were 54 active properties listed. There were four new landlords added to the Section 8 program in August.
- **HCV Housing Quality Standards (HQS) Abatements:** During the second quarter of 2018, HACA scheduled 1,155 annual inspections. Of those, 948 (82%) passed inspection the day they were inspected, 84 (7%) failed inspection, and 123 (11%) were "no shows" that had to be rescheduled. Additionally, HACA abated three HAP contracts in Q2 2018 for non-compliance with HQS.

**FAMILY SELF SUFFICIENCY (FSS)**

In August, the FSS Department held part two of a four part workshop on homeownership. The goal is to help participants become more self-aware of their readiness to become homeowners and teach them how to become a default-resistant homeowner. The workshop was well received with 22 people in attendance.

The FSS Department also held two orientations with 55 prospective participants in total attending.

Further, the FSS Department held its quarterly PCC meeting where representatives from community-based organizations in Alameda County shared updates on their various programs and upcoming events.

**HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA**  
**Section 8 Contract and HAP Report for the Month of August 2018**

City	Certificates		Vouchers		JUNE 2018 TOTAL		JUNE 2017	JUNE 2016
	Number	HAP*	Number	HAP**	Number	HAP		
		based on avg		based on avg				
		\$ 1,634		\$ 1,617				
Albany	0	\$0	17	\$27,489	17	\$27,489	23	27
Castro Valley	14	\$22,876	200	\$323,400	214	\$346,276	209	198
Dublin	3	\$4,902	396	\$640,332	399	\$645,234	387	352
Emeryville	6	\$9,804	147	\$237,699	153	\$247,503	151	158
Fremont	22	\$35,948	1,044	\$1,688,148	1,066	\$1,724,096	1,065	1,024
Hayward	44	\$71,896	1,940	\$3,136,980	1,984	\$3,208,876	2,002	1,886
Newark	6	\$9,804	212	\$342,804	218	\$352,608	209	207
Pleasanton	3	\$4,902	207	\$334,719	210	\$339,621	181	110
San Leandro	12	\$19,608	1,343	\$2,171,631	1,355	\$2,191,239	1,379	1,424
San Lorenzo	1	\$1,634	200	\$323,400	201	\$325,034	197	190
Union City	4	\$6,536	711	\$1,149,687	715	\$1,156,223	728	749
<b>TOTALS</b>	<b>115</b>	<b>187,910</b>	<b>6,417</b>	<b>10,376,289</b>	<b>6,532</b>	<b>10,564,199</b>	<b>6,531</b>	<b>6,325</b>

\* Based on an average June Housing Assistance Payment (HAP) of \$1,634 per certificate contract

\*\*Based on an average June Housing Assistance Payment (HAP) of \$1,617 per voucher contract



## HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

Section 8 Average Contract Rent Report for the Month of August 2018

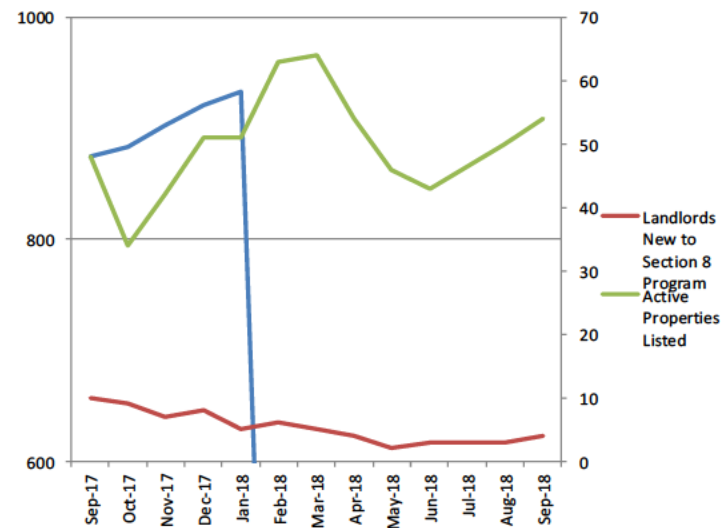
City	Number of HAP Contracts	Average Contract Rent	Average HAP Paid by HACA	Average Rent Paid by Family	Average Family-Paid Rent as a Percentage of Average Contract Rent
Albany	17	\$1,604	\$1,326	\$278	17%
Castro Valley	200	\$2,137	\$1,669	\$467	22%
Dublin	396	\$1,937	\$1,514	\$423	22%
Emeryville	147	\$1,703	\$1,202	\$501	29%
Fremont	1044	\$2,294	\$1,789	\$505	22%
Hayward	1940	\$2,040	\$1,553	\$488	24%
Newark	212	\$2,511	\$1,868	\$643	26%
Pleasanton	207	\$1,766	\$1,349	\$418	24%
San Leandro	1343	\$2,051	\$1,549	\$501	24%
San Lorenzo	200	\$2,230	\$1,716	\$584	26%
Union City	711	\$2,317	\$1,775	\$542	23%

\*Some rents may vary by \$1 due to rounding

## Landlord Rental Listing Report

### Monthly

	9/1/2017	10/2/2017	11/1/2017	12/4/2017	1/2/2018	2/5/2018	3/1/2018	4/2/2018	5/1/2018	6/4/2018	8/1/2018	9/4/2018
Registered Landlords	874	883	903	921	933	0	0	0	0	0	0	0
Landlords New to Section 8 Program	10	9	7	8	5	6	5	4	2	3	3	4
Active Properties Listed	48	34	42	51	51	63	64	54	46	43	50	54



The blue line on the chart above takes a severe drop in February as the Registered Landlords data is not available at this time. Our rental listing vendor is working toward restoring our ability to access this information. The data is still being tracked but simply isn't currently available to customers.



**To:** Christine Gouig, Executive Director  
**From:** Daniel Taylor, Special Programs Manager  
**Re:** **FSS Program Summary**  
**CC:** Linda Evans, Phyllis Harrison, Mary Sturges  
**Date:** August 30, 2018

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<b>Program Summary</b>	<b>August 2018</b>
Total Clients Under Contract:	186
MDRC:	100
Graduates:	1
Escrow Disbursed:	\$20,659.77
Ports In:	0
Ports Out:	0
Terminations:	1
New Contracts:	2

### **FSS PROGRAM NEWS:**

#### **Homeownership Workshop**

On Saturday, August 4, 2018, the FSS team hosted a homeownership workshop entitled *Orientation to Homeownership, Are You Ready?* Sheri Powers of the non-profit San Francisco Housing Development Corporation presented the workshop. This workshop was Part 2 of a series of homeownership workshops. The session included the following topics:

- Money Management & Financial Planning
- Obtaining a Mortgage Loan
- The Promissory Note & Deed Of Trust
- Down Payment Assistance Programs

Ms. Powers will present parts 3 and 4 in October and December. The goal is to help participants become more self-aware of their readiness to become homeowners and teach them how to become a default-resistant homeowner. Twenty-two people attended.

**Program Coordinating Committee Meeting (PCC)**

On Wednesday, August 15, 2018, the FSS team held its quarterly PCC meeting. The PCC is the oversight committee for the FSS program and is comprised of representatives from community-based organizations in Alameda County. During the meeting, each representative shared updates on their various programs and upcoming events.

**FSS Orientations**

The FSS team held two orientations this past month. Fifty-five prospective participants attended.

**Case Management Referrals = 11**

**Job Referrals = 50**

# ATTACHMENT A

# **ATTACHMENT B**

# ATTACHMENT A

## Interior Air Quality

The dwelling unit must be free of air pollutant levels that threaten the occupants' health. There must be adequate air circulation in the dwelling unit. Bathroom areas must have one openable window or other adequate ventilation. Any sleeping room must have at least one window. If a window was designed to be opened, it must be in proper working order.

## Water Supply

The dwelling unit must be served by an approved public or private water supply that is sanitary and free from contamination. Plumbing fixtures and pipes must be free of leaks and threats to health and safety.

## Lead-Based Paint

Lead-based paint requirements apply to dwelling units built prior to 1978 that are occupied or can be occupied by families with children under six years of age, excluding zero bedroom dwellings. Owners must:

- Disclose known lead-based paint hazards to prospective tenants before the lease is signed,
- provide all prospective families with "Protect Your Family from Lead in Your Home",
- Stabilize deteriorated painted surfaces and conduct hazard reduction activities within 30 days when identified by the PHA
- Notify tenants each time such an activity is performed
- Conduct all work in accordance with HUD safe practices
- As part of ongoing maintenance ask each family to report deteriorated paint
- Maintain covered housing without deteriorated paint if there is a child under six in the family

For units occupied by elevated blood lead level (lead poisoned) children under six years of age, an environmental investigation must be conducted (paid for by the PHA). If lead hazards are identified during the environmental investigation, the owner must complete hazard reduction activities within 30 days.

See HCV GB p. 10-15 for a detailed description of these requirements. For additional information on lead-based paint requirements see 24 CFR 35, Subparts A, B, M, and R.

## Access

Use and maintenance of the unit must be possible without unauthorized use of other private properties. The building must provide an alternate means of exit in case of fire.

## Site and Neighborhood

The site and neighborhood must be reasonably free from disturbing noises and reverberations, excessive trash or vermin, or other dangers to the health, safety, and general welfare of the occupants.



## 10-II.B. INITIAL PHA ROLE

### Allowable Moves under Portability

A family may move with voucher assistance only to an area where there is at least one PHA administering a voucher program [24 CFR 982.353(b)]. If there is more than one PHA in the area, the initial PHA provides the family with the contact information for the receiving PHAs that serve the area, and the family selects the receiving PHA. The family must inform the initial PHA which PHA it has selected. If the family prefers not to select the receiving PHA, the initial PHA will select the receiving PHA on behalf of the family [24 CFR 982.255(b)].

Applicant families that have been issued vouchers as well as participant families may qualify to lease a unit outside the HACA's jurisdiction under portability. HUD regulations and PHA policy determine whether a family qualifies.

### *Applicant Families*

Under HUD regulations, most applicant families qualify to lease a unit outside the HACA's jurisdiction under portability. However, HUD gives HACA discretion to deny a portability move by an applicant family for the same two reasons that it may deny any move by a participant family: insufficient funding and grounds for denial or termination of assistance. If a PHA intends to deny a family permission to move under portability due to insufficient funding, the PHA must notify HUD within 10 business days of the determination to deny the move [24 CFR 982.355(e)].

#### HACA Policy

In determining whether or not to deny an applicant family permission to move under portability because HACA lacks sufficient funding or has grounds for denying assistance to the family, HACA will follow the policies established in section 10-I.B of this chapter. If HACA does deny the move due to insufficient funding, HACA will notify HUD in writing within 10 business days of HACA's determination to deny the move.

In addition, HACA may establish a policy denying the right to portability to nonresident applicants during the first 12 months after they are admitted to the program [24 CFR 982.353(c)].

#### HACA Policy

With the exception of CHOICES or FACT Programs Graduates as described in Section 4-III.C., Local Preferences - Section 8 Housing Choice Voucher Program (HCV), if neither the head of household nor the spouse/cohead of an applicant family had a domicile (legal residence) in the HACA's jurisdiction at the time the family was selected from the waiting list for acceptance ~~determination of eligibility for the program's application for assistance was selected for assistance~~, the family must lease a unit within HACA's jurisdiction for at least 12 months before requesting portability.

HACA will consider exceptions to this policy for purposes of reasonable accommodation (see Chapter 2) or reasons related to domestic violence, dating violence, sexual assault, or stalking.

of the source. Further, upon request of the family, the PHA must perform third-party verification of all income sources.

Fixed sources of income include Social Security and SSI benefits, pensions, annuities, disability or death benefits, and other sources of income subject to a COLA or rate of interest. The determination of fixed income may be streamlined even if the family also receives income from other non-fixed sources.

Two streamlining options are available, depending upon the percentage of the family's income that is received from fixed sources. If at least 90 percent of the family's income is from fixed sources, the PHA may streamline the verification of fixed income and may choose whether to - verify non-fixed income amounts in years where no fixed-income review is required-. If the family receives less than 90 percent of its income from fixed sources, the PHA may streamline the verification of fixed income and must verify non-fixed income annually.

#### HACA Policy

HACA will streamline the annual ~~income determination~~~~reevaluation~~ process by applying the verified COLA or interest rate to fixed-income sources. HACA will document in the file how the determination that a source of income was fixed was made.

If a family member with a fixed source of income is added, HACA will use third-party verification of all income amounts for that family member.

If verification of the COLA or rate of interest is not available, HACA will obtain third-party verification of ~~income~~ amounts.

Third-party verification of fixed sources of income will be obtained during the intake process and at least once every three years thereafter.

Third-party verification of non-fixed income will be obtained annually regardless of the percentage of family income received from fixed sources.

## PART I: PREVENTING, DETECTING, AND INVESTIGATING ERRORS AND PROGRAM ABUSE

### 14-I.A. PREVENTING ERRORS AND PROGRAM ABUSE

HUD created the Enterprise Income Verification (EIV) system to provide PHAs with a powerful tool for preventing errors and detecting program abuse. PHAs are required to use the EIV system in its entirety in accordance with HUD administrative guidance [24 CFR 5.233]. PHAs are further required to:

- Provide applicants and participants with form HUD-52675, “Debts Owed to PHAs and Terminations”
- Require all adult members of an applicant or participant family to acknowledge receipt of form HUD-52675 by signing a copy of the form for retention in the family file

#### HACA Policy

To ensure that HACA’s HCV program is administered according to the highest ethical and legal standards, HACA will employ a variety of techniques to ensure that both errors and intentional program abuse are rare.

HACA will discuss program compliance and integrity issues during the voucher briefing sessions described in Chapter 5.

HACA will provide each applicant and participant with a copy of “Is Fraud Worth It?” (form HUD-1141-OIG), which explains the types of actions a family must avoid and the penalties for program abuse.

HACA will provide each applicant and participant with a copy of “What You Should Know about EIV,” a guide to the Enterprise Income Verification (EIV) system published by HUD as an attachment to Notice PIH 2010-192017-12.  
~~HACA will provide each applicant and participant with a copy of its publication entitled “EIV & YOU”, its guide to the personally identifiable information contained in the HUD Enterprise Income Verification (EIV) system.~~

HACA will place a warning statement about the penalties for fraud (as described in 18 U.S.C. 1001 and 1010) on key HACA forms and form letters that request information from a family or owner.

HACA staff will be required to review and explain the contents of all HUD- and HACA-required forms, upon participant request, prior to requesting family member signatures.

At every regular reexamination, HACA staff will explain any changes in HUD regulations or HACA policy that affect program participants.

HACA will offer first-time owners (or their agents) information regarding HAP contract requirements.

## PART IV: OWNER OR FAMILY DEBTS TO HACA

### 16-IV.A. OVERVIEW

The PHA is required to include in the administrative plan, policies concerning repayment by a family of amounts owed to the PHA [24 CFR 982.54]. This part describes the PHA's policies for recovery of monies owed to the PHA by families or owners.

#### HACA Policy

When an action or inaction of an owner or participant results in the overpayment of housing assistance, HACA holds the owner or participant liable to return any overpayments to HACA.

HACA will enter into repayment agreements in accordance with the policies contained in this part as a means to recover overpayments.

When an owner or participant refuses to repay monies owed to HACA, HACA will utilize other available collection alternatives including, but not limited to, the following:

Collection agencies

Small claims court

Civil law suit

~~State income tax set-off program~~

## PART VII: REPORTING AND RECORD KEEPING FOR CHILDREN WITH ELEVATED BLOOD LEAD LEVEL

### 16-VII.A. OVERVIEW

The PHA has certain responsibilities relative to children with elevated blood lead levels that are receiving HCV assistance. The notification, verification, and hazard reduction requirements are discussed in Chapter 8. This part deals with the reporting requirements, and data collection and record keeping responsibilities to which the PHA is subject.

### 16-VII.B. REPORTING REQUIREMENT [24 CFR 35.1225(e); Notice PIH 2017-13]

The ~~owner~~PHA must report the name and address of a child identified as having an elevated blood lead level to the public health department within ~~five~~5 business days of being so notified by any other medical health care professional. The owner must also notify the HUD field office and the -HUD Office of Lead Hazard Control and Healthy Homes (OLHCHH) of the child's address within five business days. The PHA may collaborate with the owner on the notification process, such as by agreeing with the owner to provide the required notifications on the owner's behalf.

#### HACA Policy

The owner must provide HACA with a carbon copy of the notifications it provides to the public health department, the HUD field office, and the OLHCHH.

HACA will monitor the owner's compliance with all reporting requirements. HACA will provide the public health department written notice of the name and address of any child identified as having an elevated blood lead level.

### 16-VII.C. DATA COLLECTION AND RECORD KEEPING [24 CFR 35.1225(f)]

At least quarterly, the PHA must attempt to obtain from the public health department(s) with a similar area of jurisdiction, the names and/or addresses of children less than 6 years old with an elevated blood lead level.

If the PHA obtains names and addresses of elevated blood lead level children from the public health department(s), the PHA must match this information with the names and addresses of families receiving HCV assistance, unless the public health department performs such a procedure. If a match occurs, HACA must carry out the notification, verification, and hazard reduction requirements discussed in Chapter 8, and the reporting requirement discussed above.

At least quarterly, the PHA must also report an updated list of the addresses of units receiving assistance under the HCV program to the same public health department(s), unless the public health department(s) states that it does not wish to receive such a report.

#### HACA Policy

The public health department has stated that it **does not** wish to receive a report of an updated list of the addresses of units receiving assistance under the HCV program, on a quarterly basis. Therefore, HACA is not providing such a report.

## PART I: GENERAL REQUIREMENTS

### 17-I.A. OVERVIEW [24 CFR 983.5; FR Notice 1/18/17; Notice PIH 2017-21]

The project-based voucher (PBV) program allows public housing authorities (PHAs) that already administer a tenant-based voucher program under an annual contributions contract (ACC) with HUD to take up to 20 percent of its authorized units and attach the funding to specific units rather than using it for tenant-based assistance [24 CFR 983.6]. The PHA may only operate a PBV program if doing so is consistent with the PHA's Annual Plan, and the goal of deconcentrating poverty and expanding housing and economic opportunities [42 U.S.C. 1437f(o)(13)].

#### HACA Policy

HACA will operate a project-based voucher program using up to a maximum of 20 percent of its authorized units for project-based assistance. This assistance will be allocated over a multi-year period.

PBV assistance may be attached to existing housing or newly constructed or rehabilitated housing [24 CFR 983.52]. If PBV units are already selected for project-based assistance either under an agreement to enter into a HAP contract (Agreement) or a Housing Assistance Payments contract (HAP), the PHA is not required to reduce the number of these units if the amount of budget authority is subsequently reduced. However, the PHA is responsible for determining the amount of budget authority that is available for project-based vouchers and for ensuring that the amount of assistance that is attached to units is within the amounts available under the ACC, regardless of whether the PHA has vouchers available for project-basing [24 CFR 983.6 and FR Notice 1/18/17].

#### HACA Policy

HACA will use the PBV statute definition of "project" which is a single building, multiple contiguous buildings, or multiple buildings on contiguous parcels of land.

### Additional Project-Based Units [FR Notice 1/18/17; Notice PIH 2017-21]

The PHA may project-base an additional 10 percent of its units above the 20 percent program limit. The units may be distributed among one, all, or a combination of the categories as long as the total number of units does not exceed the 10 percent cap. Units qualify under this exception if the units:

- Are specifically made available to house individuals and families that meet the definition of homeless under section 103 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11302) and contained in the Continuum of Care Interim Rule at 24 CFR 578.3.
- Are specifically made available to house families that are comprised of or include a veteran.
  - *Veteran* means an individual who has served in the United States Armed Forces.
- Provide supportive housing to persons with disabilities or elderly persons as defined in 24 CFR 5.403.
- Are located in a census tract with a poverty rate of 20 percent or less, as determined in the most recent American Community Survey Five-Year Estimates.

~~For these projects, the project cap is the greater of 25 units or 40 percent (instead of 25 percent) of the units in the project [FR Notice 7/14/17].~~

HACA Policy

~~HACA will not set aside units above the 20 percent program limit~~may project base one or more of the above unit types at its discretion after submitting information to the HUD field office on the number of units and the exception categories HACA will set aside.

## **Units Not Subject to the PBV Program Limitation [FR Notice 1/18/17; Notice PIH 2017-21 Attachment F]**

PBV units under the RAD program and HUD-VASH PBV set-aside vouchers do not count toward the 20 percent limitation when PBV assistance is attached to them.

In addition, units that were previously subject to certain federal rent restrictions or were receiving another type of long-term housing subsidy provided by HUD are not subject to the cap. The unit must be covered under a PBV HAP contract that first became effective on or after 4/18/17 to qualify for this exemption.

~~In order to be excepted, the unit must meet the following conditions:~~

- ~~• The unit must be covered under a PBV HAP contract that first became effective on or after 4/18/17; and~~
- ~~• In the five years prior to the date the PHA either issued the RFP or selected the project, the unit either:~~
  - ~~— Received Public Housing Capital or Operating Funds, Project-Based Rental Assistance, Housing for Elderly (Section 202), Housing for Persons with Disabilities (section 811), Rent Supplement (Rent Supp), or Rental Assistance Program (RAP); or~~
  - ~~— Was subject to a rent restriction through a loan or insurance program as a result of Section 236, Section 221(d)(3) or (d)(4) BMIR, Housing for Elderly Persons (Section 202), or Housing for Persons with Disabilities (Section 811)~~
  - ~~— Received assistance under the Flexible Subsidy Program (Section 201 of the Housing and Community Development Amendments of 1978)~~

~~Units that have previously received either PBV or HCV assistance are not covered under the exception.~~

### HACA Policy

HACA may project-base one or more of the above unit types at its discretion.

## **17-I.B. TENANT-BASED VS. PROJECT-BASED VOUCHER ASSISTANCE [24 CFR 983.2]**

Much of the tenant-based voucher program regulations also apply to the PBV program. Consequently, many of the PHA's policies related to tenant-based assistance also apply to PBV assistance. The provisions of the tenant-based voucher regulations that do not apply to the PBV program are listed at 24 CFR 983.2.

### HACA Policy

Except as otherwise noted in this chapter, or unless specifically prohibited by PBV program regulations, HACA's policies for the tenant-based voucher program contained in this administrative plan also apply to the PBV program and its participants.

## **17-I.C. RELOCATION REQUIREMENTS [24 CFR 983.7]**

Any persons displaced as a result of implementation of the PBV program must be provided relocation assistance in accordance with the requirements of the Uniform Relocation Assistance



## PART II: PBV OWNER PROPOSALS

### 17-II.A. OVERVIEW

With certain exceptions, the PHA must describe the procedures for owner submission of PBV proposals and for PHA selection of PBV proposals [24 CFR 983.51]. Before selecting a PBV proposal, the PHA must determine that the PBV proposal complies with HUD program regulations and requirements, including a determination that the property is eligible housing [24 CFR 983.53 and 983.54], complies with the cap on the number of PBV units per project [24 CFR 983.56], and meets the site selection standards [24 CFR 983.57]. The PHA may not commit PBVs until or unless it has followed the proposal selection requirements defined in 24 CFR 983.51 [Notice PIH 2011-54].

### 17-II.B. OWNER PROPOSAL SELECTION PROCEDURES [24 CFR 983.51(b); Notice PIH 2017-21]

The PHA must select PBV proposals in accordance with the selection procedures in the PHA administrative plan. The PHA must select PBV proposals by either of the following two methods.

- PHA request for PBV proposals. The PHA may solicit proposals by using a request for proposals (RFP) to select proposals on a competitive basis in response to the PHA request. The PHA may not limit proposals to a single site or impose restrictions that explicitly or practically preclude owner submission of proposals for PBV housing on different sites.
- The PHA may select proposals that were previously selected based on a competition. This may include selection of a proposal for housing assisted under a federal, state, or local government housing assistance program that was subject to a competition in accordance with the requirements of the applicable program, community development program, or supportive services program that requires competitive selection of proposals (e.g., HOME and units for which competitively-awarded LIHTCs have been provided), where the proposal has been selected in accordance with such program's competitive selection requirements within three years of the PBV proposal selection date, and the earlier competitive selection proposal did not involve any consideration that the project would receive PBV assistance. In such cases, the PHA need not conduct another competition.

### Units Selected Non-Competitively [FR Notice 1/18/17; Notice PIH 2017-21]

For certain public housing projects where the PHA has an ownership interest or control and will spend a minimum amount per unit on rehabilitation or construction, the PHA may select a project without following one of the two processes above.

#### HACA Policy

~~HACA will not attach PBVs to projects owned by HACA as described above.~~

### Solicitation and Selection of PBV Proposals [24 CFR 983.51(c)]

PHA procedures for selecting PBV proposals must be designed and actually operated to provide broad public notice of the opportunity to offer PBV proposals for consideration by the PHA. The public notice procedures may include publication of the public notice in a local newspaper of

HUD, or a HUD-approved housing credit agency (HCA), has conducted any required subsidy layering review and determined that the PBV assistance is in accordance with HUD subsidy layering requirements. However, in order to satisfy applicable requirements, HCAs must conduct subsidy layering reviews in compliance with the guidelines set forth in the *Federal Register* notice published July 9, 2010.

The HAP contract must contain the owner's certification that the project has not received and will not receive (before or during the term of the HAP contract) any public assistance for acquisition, development, or operation of the housing other than assistance disclosed in the subsidy layering review in accordance with HUD requirements.

## 17-II.F. CAP ON NUMBER OF PBV UNITS IN EACH PROJECT

### 25 Percent/25 Unit per Project Cap [24 CFR 983.56, FR Notice 1/18/17, and Notice PIH 2017-21]

In general, the PHA may not select a proposal to provide PBV assistance for units or enter into an Agreement or a HAP contract to provide PBV assistance for units, if the total number of dwelling units that will receive PBV assistance during the term of the PBV HAP contract is more than the greater of 25 units or 25 percent of the number of dwelling units (assisted or unassisted) in the project.

### Exceptions to 25 Percent/25 Unit per Project Cap [FR Notice 1/18/17; Notice PIH 2017-21]

~~As of April 18, 2017, Exceptions are allowed and PBV~~ units are not counted against the 25 percent or 25-unit per project cap if:

- ~~• The units are in a single family building (one to four units);~~
- The units are exclusively for elderly families
- The units are for households eligible for supportive services available to all families receiving PBV assistance in the project (“Supportive Services Household”)
- ~~If the project is located in a census tract with a poverty rate of 20 percent or less, as determined in the most recent American Community Survey Five-Year estimates, the project cap is the greater of 25 units or 40 percent (instead of 25 percent) of the units in the project [FR Notice 7/14/17].~~
- ~~—For these projects, the project cap is the greater of 25 units or 40 percent (instead of 25 percent) of the units in the project [FR Notice 7/14/17].~~

The Housing Opportunity Through Modernization Act of 2016 (HOTMA) eliminated the project cap exemption for projects that serve disabled families and modified the exception for supportive services. Projects where these caps were implemented prior to HOTMA (HAP contracts executed prior to 4/18/17) may continue to use the former ~~exceptionseptions~~ and may renew their HAP contracts under the old requirements, unless the PHA and owner agree to change the conditions of the HAP contract. However, this change may not be made if it would jeopardize an assisted family's eligibility for continued assistance in the project.

### *Supportive Services*

PHAs must include in the PHA administrative plan the type of services offered to families for a project to qualify for the exception and the extent to which such services will be provided. As of

- Parenting skills
- Computer access and training
- Library access
- Work skills development, job training and employment counseling
- Educational/vocational opportunities
- Case management services and/or counseling
- Access to Health and Psychiatric Services, i.e. nurse/medical staff, mental health professional, etc.
- Life skills training
- Access to on-site/off-site social activities
- Meal service adequate to meet nutritional need
- Personal assistance
- Health-related services
- Other services designed to help the recipient live in the community as independently as possible
- Employment assistance and job training
- Mental health services
- Assistance with activities of daily living
- Outpatient health services
- Services provided by State Medicaid programs to promote community based settings for individuals with disabilities
- Other services are permitted with HACA approval.

Supportive services will be provided to a family throughout their tenancy unless the family no longer needs or wants the services. The frequency and depth of services will depend on individual family need with consideration made for appropriateness and availability of such services.

HACA's FSS Action Plan allows families who have previously participated in a FSS program but did not complete the FSS contract to re-enroll in the FSS program. HACA will allow such families ~~that have failed to complete their supportive services requirements to re-enroll in the FSS program and thereby re-qualify for supportive services units.~~

#### **Projects not Subject to a Project Cap [FR Notice 1/18/17; Notice PIH 2017-21]**

PBV units under the RAD program and HUD-VASH PBV set-aside vouchers are exempt from the project cap.

In addition, ~~PBV~~ units that were previously subject to certain federal rent restrictions or receiving another type of long-term housing subsidy provided by HUD are exempt from the project cap. In

other words, 100 percent of the units in these projects may receive PBV assistance. ~~To qualify for the exception, the unit must:~~

~~Be covered by a PBV HAP contract that first became effective on or after 4/18/17; and~~

~~In the five years prior to the date the PHA either issued the RFP under which the project was selected or the PHA selected the project without competition, the unit met at least one of the two following conditions:~~

~~The unit received Public Housing Capital or Operating Funds, Project Based Rental Assistance, Housing for the Elderly (Section 202), Housing for Persons with disabilities (Section 811), the Rental Supplement program,~~

~~The unit was subject to a rent restriction as a result of one of the following HUD loans or insurance programs: Section 236, Section 221(d)(3) or (d)(4) BMIR, Housing for the Elderly (Section 202), or Housing for Persons with Disabilities (Section 811)~~

~~Units that were previously receiving PBV assistance are not covered by the exception. Both existing and rehabilitation units are eligible for this exception. Newly constructed units qualify if they meet the definition of replacement unit described in FR Notice 4/18/17.~~

#### HACA Policy

HACA does not have any PBV units that are subject to the per project cap exception other than RAD units and HUD-VASH PBV units.

### **Promoting Partially-Assisted Projects [24 CFR 983.56(c)]**

A PHA may establish local requirements designed to promote PBV assistance in partially assisted projects. A *partially assisted project* is a project in which there are fewer units covered by a HAP contract than all residential units [24 CFR 983.3].

A PHA may establish a per-project cap on the number of units that will receive PBV assistance or other project-based assistance in a multifamily project containing excepted units or in a single-family building. A PHA may also determine not to provide PBV assistance for excepted units, or the PHA may establish a per-project cap of less than 25 percent.

#### HACA Policy:

HACA will not impose any cap beyond HUD regulations on the number of PBV units assisted per project.

## **17-II.G. SITE SELECTION STANDARDS**

### **Compliance with PBV Goals, Civil Rights Requirements, and HQS Site Standards [24 CFR 983.57(b)]**

The PHA may not select a proposal for existing, newly constructed, or rehabilitated PBV housing on a site or enter into an Agreement or HAP contract for units on the site, unless the PHA has determined that PBV assistance for housing at the selected site is consistent with the goal of deconcentrating poverty and expanding housing and economic opportunities. The standard for deconcentrating poverty and expanding housing and economic opportunities must be consistent with the PHA Annual Plan under 24 CFR 903 and the PHA administrative plan.

## PART III: DWELLING UNITS

### 17-III.A. OVERVIEW

This part identifies the special housing quality standards that apply to the PBV program, housing accessibility for persons with disabilities, and special procedures for conducting housing quality standards inspections.

### 17-III.B. HOUSING QUALITY STANDARDS [24 CFR 983.101]

The housing quality standards (HQS) for the tenant-based program, including those for special housing types, generally apply to the PBV program. HQS requirements for shared housing, manufactured home space rental, and the homeownership option do not apply because these housing types are not assisted under the PBV program.

The physical condition standards at 24 CFR 5.703 do not apply to the PBV program.

#### Lead-based Paint [24 CFR 983.101(c)]

The lead-based paint requirements for the tenant-based voucher program do not apply to the PBV program. Instead, The Lead-based Paint Poisoning Prevention Act (42 U.S.C. 4821-4846), the Residential Lead-based Paint Hazard Reduction Act of 1992 (42 U.S.C. 4851-4856), and implementing regulations at 24 CFR part 35, subparts A, B, H, and R, apply to the PBV program.

### 17-III.C. HOUSING ACCESSIBILITY FOR PERSONS WITH DISABILITIES

The housing must comply with program accessibility requirements of section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and implementing regulations at 24 CFR part 8. The PHA must ensure that the percentage of accessible dwelling units complies with the requirements of section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), as implemented by HUD's regulations at 24 CFR 8, subpart C.

Housing first occupied after March 13, 1991, must comply with design and construction requirements of the Fair Housing Amendments Act of 1988 and implementing regulations at 24 CFR 100.205, as applicable. (24 CFR 983.102)

### 17-III.D. INSPECTING UNITS

#### Pre-selection Inspection [24 CFR 983.103(a)]

The PHA must examine the proposed site before the proposal selection date. If the units to be assisted already exist, the PHA must inspect all the units before the proposal selection date, and must determine whether the units substantially comply with HQS. To qualify as existing housing, units must substantially comply with HQS on the proposal selection date. However, the PHA may not execute the HAP contract until the units fully comply with HQS, ~~unless the PHA has adopted a policy to enter into a HAP contract for units that fail the initial HQS inspection as a result of only non life threatening conditions.~~

#### Pre-HAP Contract Inspections [24 CFR 983.103(b); ~~FR Notice 1/18/17~~]

The PHA must inspect each contract unit before execution of the HAP contract. The PHA may not enter into a HAP contract covering a unit until the unit fully complies with HQS, ~~unless the PHA has adopted a policy to enter into a HAP contract for units that fail the initial HQS inspection as a result of only non-life threatening conditions.~~

HACA Policy

~~HACA will not enter into a PBV HAP contract until all units that will be under contract fully comply with HQS.~~

**Turnover Inspections [24 CFR 983.103(c), FR Notice 1/18/17, and Notice PIH 2017-20]**

Before providing assistance to a new family in a contract unit, The PHA must inspect the unit. The PHA may not provide assistance on behalf of the family until the unit fully complies with HQS, unless the PHA has adopted a policy to enter into a HAP contract for units that fail the initial HQS inspection as a result of only non-life-threatening conditions or if the unit passed an alternative inspection.

HACA Policy

HACA will not provide assistance in turnover units until the unit fully complies with HQS.

**Annual/Biennial Inspections [24 CFR 983.103(d); FR Notice 6/25/14; PIH-2015-05]**

At least once every 24 months during the term of the HAP contract, the PHA must inspect a random sample, consisting of at least 20 percent of the contract units in each building, to determine if the contract units and the premises are maintained in accordance with HQS. Turnover inspections are not counted toward meeting this inspection requirement.

HACA Policy

Once every 24 months, HACA will inspect, at a minimum, a random sample consisting of at least 20 percent of the contract units in each building to determine if the contract units and the premises are maintained in accordance with HQS.

If more than 20 percent of the sample of inspected contract units in a building fails the initial inspection, the PHA must re-inspect 100 percent of the contract units in the building.

**Other Inspections [24 CFR 983.103(e)]**

The PHA must inspect contract units whenever needed to determine that the contract units comply with HQS and that the owner is providing maintenance, utilities, and other services in accordance with the HAP contract. The PHA must take into account complaints and any other information coming to its attention in scheduling inspections.

The PHA must conduct follow-up inspections needed to determine if the owner (or, if applicable, the family) has corrected an HQS violation, and must conduct inspections to determine the basis for exercise of contractual and other remedies for owner or family violation of HQS.

In conducting PHA supervisory quality control HQS inspections, the PHA should include a representative sample of both tenant-based and project-based units.

**Inspecting PHA-Owned Units [24 CFR 983.103(f)]**



assistance is not immediately available upon termination of the family's lease in the PBV unit, the PHA must give the family priority to receive the next available opportunity for continued tenant-based assistance.

#### HACA Policy

Prior to assisting currently housed PBV holders who have priority to receive the next available opportunity for continued tenant-based assistance, HACA will set aside PBVs committed for new projects coming on-line (if applicable) and assist applicants for 1.) Targeted Funding and 2.) Shortfall Terminated families, Shortfall Recalled families, and CHOICES, FACT or MHSA Graduates as described in section 4-III.C.-Local Preferences-Section 8 Housing Choice Voucher Program (HCV) as these forms of tenant-based assistance have previously been committed and are not available.

If the family terminates the assisted lease before the end of the first year, the family relinquishes the opportunity for continued tenant-based assistance.

#### **Emergency Transfers under VAWA [Notice PIH 2017-08]**

Except where special consideration is needed for the project-based voucher program, the PHA will follow VAWA policies as outlined in Chapter 16 Part IX of this administrative plan, including using the Emergency Transfer Plan as the basis for PBV transfers under VAWA (Exhibit 16-4).

HUD requires that the PHA include policies that address when a victim has been living in a unit for less than a year or when a victim seeks to move sooner than a tenant-based voucher is available.

#### HACA Policy

See Chapter 16 Part IX (Exhibit 16-3) of this administrative plan for HACA's policy on transfers for victims that have been living in a unit for less than a year or seek to move sooner than a tenant-based voucher is available.

#### **17-VI.D. EXCEPTIONS TO THE OCCUPANCY CAP [24 CFR 983.262; PIH 2017-21]**

~~The~~ As of April 17, 2018 the PHA may not pay housing assistance under a PBV HAP contract for more than the greater of 25 units or 25 percent of the number of dwelling units in a project unless:

- The units are exclusively for elderly families
- The units are for households eligible for supportive services available to all families receiving PBV assistance in the project

~~If t~~ The project is located in a census tract with a poverty rate of 20 percent or less, as determined in the most recent American Community Survey Five-Year estimates, the project cap is the greater of 25 units or 40 percent (instead of 25 percent) of the units in the project [FR Notice 7/14/17].

~~—For these projects, the project cap is the greater of 25 units or 40 percent (instead of 25 percent) of the units in the project [FR Notice 7/14/17].~~

### HACA Policy

Upon written request by the owner, HACA will consider using the FMR or utility allowances in effect during the 30-day period before the start date of the HAP or redetermination of rent. The owner must explain the need to use the previous FMRs or utility allowances and include documentation in support of the request. HACA will review and make a decision based on the circumstances and merit of each request.

In addition to considering a written request from an owner, HACA may decide to use the FMR or utility allowances in effect during the 30-day period before the start date of the HAP, or redetermination of rent, if HACA determines it is necessary due to HACA budgetary constraints.

### **Use of Small Area FMRs (SAFMRs) [24 CFR 888.113(h)]**

While small area FMRs (SAFMRs) do not apply to PBV projects, PHAs that operate a tenant-based program under SAFMRs ~~(either by HUD designation or because the PHA requested HUD approval to use SAFMRs)~~ may apply SAFMRs to all future PBV HAP contracts. If the PHA adopts this policy, it must apply to all future PBV projects and the PHA's entire jurisdiction. The PHA and owner may not subsequently choose to revert back to use of the FMRs once the SAFMRs have been adopted, even if the PHA subsequently changes its policy.

Further, the PHA may apply SAFMRs to current PBV projects where the notice of owner selection was made on or before the effective dates of ~~both the SAFMR designation and the PHA administrative plan policy implementation~~, provided the owner is willing to mutually agree to doing so and the application is prospective. The PHA and owner may not subsequently choose to revert back to use of the FMRs once the SAFMRs have been adopted, even if the PHA subsequently changes its policy. If rents increase as a result of the use of SAFMRs, the rent increase may not be effective until the first anniversary of the HAP contract.

### HACA Policy

HACA will not apply SAFMRs to HACA's PBV program.

### **Redetermination of Rent [24 CFR 983.302]**

The PHA must redetermine the rent to owner upon the owner's request or when there is a 10 percent or greater decrease in the published FMR.

### ***Rent Increase***

If an owner wishes to request an increase in the rent to owner from the PHA, it must be requested at the annual anniversary of the HAP contract (see Section 17-V.D.). The request must be in writing and in the form and manner required by the PHA. The PHA may only make rent increases in accordance with the rent limits described previously. There are no provisions in the PBV program for special adjustments (e.g., adjustments that reflect increases in the actual and necessary expenses of owning and maintaining the units that have resulted from substantial general increases in real property taxes, utility rates, or similar costs).

### HACA Policy

An owner's request for a rent increase must be submitted to HACA 90 days prior to the anniversary date of the HAP contract, and must include the new rent amount the owner is proposing.



## PART II: PBV PROJECT SELECTION

### 18-II.A. OVERVIEW

Unlike in the standard PBV program where HACA typically selects the property through an owner proposal selection process, projects selected for assistance under RAD PBV are selected in accordance with the provisions in Notice PIH 2012-32, REV-2. Therefore, 24 CFR 983.51 does not apply since HUD selects RAD properties through a competitive selection process.

### 18-II.B. OWNERSHIP AND CONTROL [Notice PIH 2012-32, REV-2]

During both the initial term and renewal terms of the HAP contract, ownership must be either of the following:

- A public or nonprofit entity that has legal title to the property. The entity must have the legal authority to direct the financial, legal, beneficial, and other interests of the property; or
- A private entity, if the property has low-income tax credits. HACA must maintain control via a ground lease.

### 18-II.C. HACA-OWNED UNITS [24 CFR 983.59, FR Notice 1/18/17, and Notice PIH 2017-21 and Notice PIH 2012-32, REV-2]

If the project is HACA-owned, rent-setting and inspection functions set out in 24 CFR 983.59 must be conducted by an independent entity approved by HUD.

The definition of control/ownership provided under Notice PIH 2012-32, REV-3 (listed above) is used specifically to determine whether a PHA retains control over a project for purposes of HUD's requirement for ownership or control of the covered project under RAD. For purposes of determining whether an independent entity will perform certain functions for the project, the definition of PHA-owned under Notice PIH 2017-21 is used. This is the same definition used for standard PBV units. In some cases, a project may meet the RAD definition of ownership or control, but may not be considered PHA-owned for purposes of requiring an independent entity.

The independent entity that performs these program services may be the unit of general local government for HACA's jurisdiction (unless HACA is itself the unit of general local government or an agency of such government), or another HUD-approved public or private independent entity.

HACA may compensate the independent entity from HACA's ongoing administrative fee income (including amounts credited to the administrative fee reserve). HACA may not use other program receipts to compensate the independent entity for its services. HACA, and the independent entity, may not charge the family any fee for the services provided by the independent entity.

project, but the family does not actually have to accept and receive supportive services for the exception to apply to the unit, although the family must be eligible to receive at least one of the supportive services offered at the project.

If such services are declined by the household or the household later chooses to no longer participate in a service the unit shall remain under the HAP contract, the household shall not be terminated from the PBV program, and the decision to decline an offer to receive supportive services shall not represent a ground for lease termination.

If a family at the time of initial tenancy is receiving, and while the resident of an excepted unit has received, FSS supportive services or any other supportive services as defined in HACA's administrative plan, and successfully completes the FSS contract of participation or the supportive services requirement, the unit continues to count as an excepted unit for as long as the family resides in the unit.

If a family becomes ineligible for all the supportive services available to the family other than successfully completing the supportive services objective, the unit loses its excepted status.

#### HACA Policy

HACA will assist housing for occupancy by Supportive Services Households. This may include disabled families, families in need of particular supportive services, or families participating in the Family Self-Sufficiency (FSS) program. With the exception of in-place families at the time of conversion who decline services, families must be eligible for continued occupancy. Families will not be required to accept and receive supportive services for the exception to apply to the unit.

The following types of services may be provided depending on the needs of the family, to the extent the family needs the services:

- Participation in HACA's FSS Program;
- Training and development of housekeeping and homemaking skills;
- Family budgeting;
- Parenting skills;
- Computer access and training;
- Work skills development, job training and employment counseling;
- Educational/vocational opportunities;
- Case management services and/or counseling;
- Life skills training; and
- Other as appropriate and available

Supportive services will be provided to a family throughout their tenancy unless the family no longer needs or wants the services. The frequency and depth of services will depend on individual family need with consideration made for appropriateness and availability of such services.

HACA's FSS Action Plan allows families who have previously participated in a FSS program but did not complete the FSS contract to re-enroll in the FSS program. HACA will allow ~~non-FSS~~ such families ~~that have failed to complete their supportive services requirements~~ to re-enroll in the FSS program and thereby re-qualify for supportive services units.

### **Promoting Partially Assisted Projects [24 CFR 983.56(c)]**

HACA may establish local requirements designed to promote PBV assistance in partially assisted projects. A *partially assisted project* is a project in which there are fewer units covered by a HAP contract than residential units [24 CFR 983.3].

HACA may establish a per-project cap on the number of units that will receive PBV assistance or other project-based assistance in a multifamily project containing excepted units, or in a single-family building. HACA may also determine not to provide PBV assistance for excepted units, or HACA may establish a per-project cap of less than 50 percent.

#### HACA Policy:

HACA will not impose any further cap on the number of PBV units assisted per project in projects with excepted units.

## 18-III.D. INSPECTING UNITS

### Initial Inspection [Notice PIH 2012-32, REV-2]

HACA enters into the HAP contract when financing closes for the property. All units that are undergoing rehabilitation must meet HQS by dates set in the conversion commitment with HUD.

### Turnover Inspections [24 CFR 983.103(c), FR Notice 1/18/17, and Notice PIH 2017-20]

Before providing assistance to a new family in a contract unit, HACA must inspect the unit. HACA may not provide assistance on behalf of the family until the unit fully complies with HQS, unless the PHA has adopted a policy to enter into a HAP contract for units that fail the initial HQS inspection as a result of only non-life-threatening conditions or if the unit passed an alternative inspection.

#### HACA Policy

HACA will not provide assistance in turnover units until the unit fully complies with HQS.

### Annual/Biennial Inspections [24 CFR 983.103(d) and FR Notice 6/25/14]

At least once every 24 months during the term of the HAP contract, HACA must inspect a random sample consisting of at least 20 percent of the contract units in each building, to determine if the contract units and the premises are maintained in accordance with HQS. Turnover inspections are not counted toward meeting this inspection requirement.

#### HACA Policy

Once every 24 months, HACA will inspect, at a minimum, a random sample consisting of at least 20 percent of the contract units in each building to determine if the contract units and the premises are maintained in accordance with HQS.

If more than 20 percent of the sample of inspected contract units in a building fail the initial inspection, HACA must reinspect 100 percent of the contract units in the building.

### Other Inspections [24 CFR 983.103(e)]

HACA must inspect contract units whenever needed to determine that the contract units comply with HQS and that the owner is providing maintenance, utilities, and other services in accordance with the HAP contract. HACA must take into account complaints and any other information coming to its attention in scheduling inspections.

HACA must conduct follow-up inspections needed to determine if the owner (or, if applicable, the family) has corrected an HQS violation, and must conduct inspections to determine the basis for exercise of contractual and other remedies for owner or family violation of HQS.

In conducting HACA supervisory quality control HQS inspections, HACA should include a representative sample of both tenant-based and project-based units.

### Inspecting HACA-Owned Units [24 CFR 983.103(f)]

In the case of HACA-owned units, the inspections must be performed by an independent agency designated by HACA and approved by HUD. The independent entity must furnish a copy of each

**18-VI.J. INFORMAL REVIEWS AND HEARINGS [Notice PIH 2012-32, REV-2]**

Unlike in the standard PBV program, residents in converted projects have the right to request an informal hearing for issues that adversely affect the resident's rights, obligations, welfare, or status with both HACA and the project owner.

In addition to reasons for an informal hearing listed at 24 CFR 982.555(a)(1)(i)–(vi) (See 16-III.C. Informal Hearings for Participants), an opportunity for an informal hearing must be given to residents for any dispute that a resident may have with respect to an owner action in accordance with the individual's lease or the contract administrator in accordance with RAD PBV requirements that adversely affect the resident's rights, obligations, welfare, or status.

- For any hearing required under 24 CFR 982.555(a)(1)(i)–(vi), the contract administrator will perform the hearing, as is the current standard in the program.
- For any additional hearings required under RAD, HACA (as owner) will perform the hearing.

An informal hearing will not be required for class grievances or for disputes between residents not involving HACA (as owner) or contract administrator. This hearing requirement does not apply to and is not intended as a forum for initiating or negotiating policy changes between a group or groups of residents and HACA (as owner) or contract administrator.

HACA (as owner) must give residents notice of their ability to request an informal hearing as outlined in 24 CFR 982.555(c)(1) for informal hearings that will address circumstances that fall outside of the scope of 24 CFR 982.555(a)(1)(i)–(vi). (See Chapter 16)

HACA (as owner) must provide an opportunity for an informal hearing before an eviction.

**Noncompliance with Supportive Services Requirement [24 CFR 983.257(c) and FR Notice 11/24/08]**

Under RAD, the requirement that a family must ~~actually receive~~qualify for services to reside in a unit ~~where families receive supportive services~~ differs. Families living in units that will convert under RAD must be given the option to receive supportive services. If such services are declined by the household, the unit shall remain under the HAP contract, the household will not be terminated from the PBV program, and the decision to decline an offer to receive supportive services will not represent a ground for lease termination. Once the initial household residing in the excepted unit under RAD vacates such unit, all PBV program requirements related to the required ~~receipt of~~eligibility for supportive services shall apply.

**18-VII.C. UTILITY ALLOWANCES [Notice PIH 2012-32, REV-~~3, 2~~ and PBV Quick Reference Guide (10/14), and Notice PIH 2018-11]**

When contract rent amounts are set initially, the amount does not include a utility allowance. In general, the utility allowances that are used on the initial HAP contract at closing are the public housing utility allowances that are in effect prior to conversion. The CHAP must be updated prior to conversion to reflect current public housing utility allowances. At its discretion, a PHA may use the FMRs and utility allowances in effect during the 30-day period immediately before the beginning date of the HAP contract. A PHA may request a waiver from HUD in order to establish a site-specific utility allowance schedule.

After conversion, ~~\_, unless a waiver is requested and approved by HUD, the PHA~~ HACA ~~may~~ must maintain a utility allowance schedule for tenant-paid utilities in accordance with standard PBV and HCV utility allowance regulations at 24 CFR 983.301(f)(2)(ii) and 24 CFR 982.517 respectively. The PHA may instead, however, apply site specific utility allowances in accordance with Notice PIH 2018-11. These utility allowances are effective for in-place families at recertification.

HACA Policy

HACA will use the HCV utility allowance schedule for the RAD developments.

# ATTACHMENT B

# Housing Authority of the County of Alameda Continuity of Operations Plan



September 2018

ATTACHMENT B



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## TABLE OF CONTENTS

### Contents

A. PROMULGATION STATEMENT.....	1
B. RECORD OF CHANGES .....	2
C. PURPOSE.....	3
D. SCOPE .....	3
E. SITUATION OVERVIEW .....	3
F. PLANNING ASSUMPTIONS .....	5
G. OBJECTIVES .....	6
H. CONCEPT OF OPERATIONS .....	6
I. PHASE I: READINESS AND PREPAREDNESS.....	7
J. PHASE II: ACTIVATION.....	8
K. PHASE III: CONTINUITY OPERATIONS.....	11
L. PHASE IV: RECONSTITUTION OPERATIONS .....	13
M. DEVOLUTION OF CONTROL AND DIRECTION.....	15
N. DIRECTION, CONTROL, AND COORDINATION .....	16
O. DISASTER INTELLIGENCE.....	16
P. COMMUNICATIONS.....	17
Q. PLAN DEVELOPMENT AND MAINTENANCE.....	19
ANNEX A. MISSION ESSENTIAL FUNCTIONS (MEFs) .....	21
ANNEX B. IDENTIFICATION OF CONTINUITY PERSONNEL.....	29
ANNEX C. ESSENTIAL RECORDS MANAGEMENT .....	31
ANNEX D. CONTINUITY FACILITIES.....	35
ANNEX E. LEADERSHIP AND STAFF.....	37
ANNEX F. HUMAN CAPITAL.....	45
ANNEX G. RISK MANAGEMENT.....	47

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## A. PROMULGATION STATEMENT

The Housing Authority of the County of Alameda's (HACA) mission is to deliver housing, housing assistance and related services to persons in need. To accomplish this mission, HACA must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the HACA Continuity of Operations Plan and programs to ensure the organization is capable of conducting its essential mission and functions under all threats and conditions.

Key HACA personnel who are relocated under this plan are collectively known as the Continuity Leadership Team. Upon plan activation, members will deploy to the City of Hayward or the Livermore Housing Authority, as determined by the Continuity Leadership Team. Upon arrival, continuity personnel will establish an operational capability and perform essential functions within 12 hours from the time of the activation of the Continuity of Operations Plan, for up to a 30-day period or until normal operations can be resumed.

This plan is developed in accordance with guidance in the *National Continuity Policy Implementation Plan*; Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Governments (States, Territories, Tribes, and Local Government Jurisdictions)*, dated July 2013; Continuity Guidance Circular 2 (CGC 2), *Continuity Guidance for Non-Federal Governments*, dated October 2013; and other related Directives and guidance.

---

Christine Gouig  
Executive Director  
Housing Authority of the County of  
Alameda

**B. RECORD OF CHANGES**

**Document Change Table**

Change Number	Section	Date of Change	Individual Making Change	Description of Change
1	All	Sept 2018	Oscar Macias	Initial Release

## **C. PURPOSE**

This document provides planning and program guidance for implementing HACA's Continuity of Operations Plan and programs to ensure the organization is capable of conducting its essential mission and functions under all threats and conditions. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on HACA's mission, personnel, and facilities.

The Continuity of Operations Plan is the framework HACA will utilize to operate, or rapidly resume operations, during an actual or potential emergency. The current changing threat environment and recent emergencies, including acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, have increased the need for viable continuity capabilities and plans that enable organizations to continue their essential functions in an all-hazards environment and across a spectrum of emergencies. These conditions have increased the importance of having continuity programs that ensure continuity of essential functions.

## **D. SCOPE**

This Continuity of Operations Plan applies to the functions, operations, and resources necessary to ensure the continuation of HACA's essential functions in the event its normal operations at its office building are disrupted or threatened with disruption. This plan applies to all HACA personnel. HACA staff should be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

This document ensures HACA is capable of conducting its essential mission and functions under all threats and conditions, with or without warning.

## **E. SITUATION OVERVIEW**

According to the National Continuity Policy Implementation Plan, it is the policy of the United States to maintain a comprehensive and effective continuity capability. To that end, by continuing the performance of essential functions through a catastrophic emergency, the non-Federal Governments support the ability of the Federal Government to perform National Essential Functions (NEFs), continue Enduring Constitutional Government, and ensure that essential services are provided to the Nation's citizens. A comprehensive and integrated continuity capability will enhance the credibility of our national security posture and enable a more rapid and effective response to, and recovery from, an emergency.

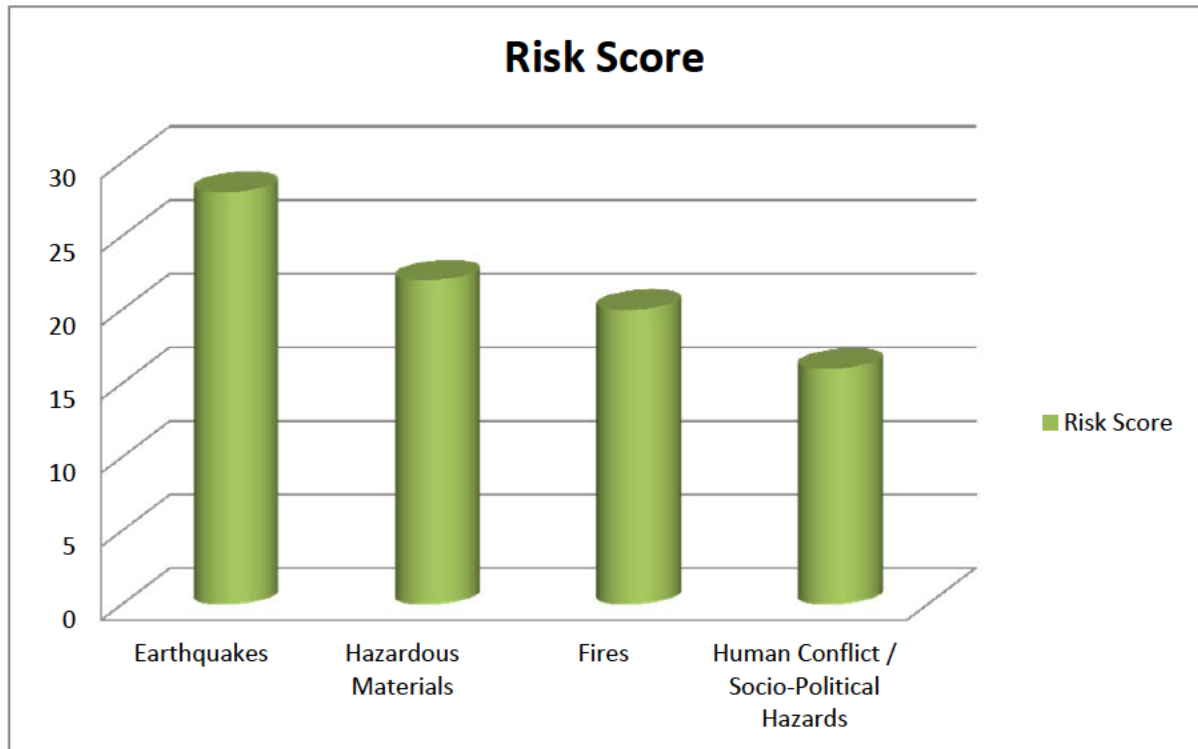
Further, continuity planning should be based on the assumption that organizations will not receive warning of an impending emergency. As a result, a risk assessment is essential to continuity planning. Risk-specific appendices that address the results of HACA's risk assessment are found in Annex G.

HACA's continuity facilities were selected following an all-hazards risk assessment. This

risk assessment addresses the following:

- Identification of all hazards specific to the area
- A *Business Impact Analysis* to determine the:
  - Rating of probability of each hazard's likelihood of occurrence;
  - Rating to determine the vulnerability to each hazard; and
  - Rating of the severity of overall impact if failure occurs.

During the risk assessment the following risks were identified as the top risks for HACA.



As a result of the assessments and analyses described above it was concluded that the impact of disruption experienced by HACA can be classified into one of three possible levels:

Level 1 – Critical Incident	Level 2 – Major Emergency	Level 3 - Disaster
An operational interruption where the damage is minor in nature and is expected to last less than 24 hours.	Interruption is anticipated to be greater than one business day, but not more than 7 business days.	Operational interruption is anticipated to be in excess of 7 business days.
Actions:	Actions:	Actions:
<ol style="list-style-type: none"> <li>1) Implementation of emergency procedures</li> <li>2) No anticipated activation of Continuity of Operations Plan</li> </ol>	<ol style="list-style-type: none"> <li>1) Implementation of emergency procedures</li> <li>2) Probable activation of Continuity of Operations Plan</li> </ol>	<ol style="list-style-type: none"> <li>1) Implementation of emergency procedures</li> <li>2) Activation of Continuity of Operations Plan</li> <li>3) Potential implementation of devolution protocols</li> </ol>

## F. PLANNING ASSUMPTIONS

This Continuity of Operations Plan is based on the following assumptions:

- HACA operates within a geographical area that is subject to natural, technological, and human conflict hazards;
- HACA conducts operations that require the sustainment of essential functions that could be adversely affected by impacts associated with identifiable and unknown threat conditions;
- Any substantive impact to HACA essential functions could have a detrimental effect on business continuity internally, which would have a corresponding negative effect on staff, clients, allied organizations, and the general community;
- Development of an effective and realistic plan for maintaining HACA business continuity during periods of crises or emergency represents a meaningful and valid policy;
- Emergencies or threatened emergencies may adversely affect HACA's ability to maintain identified essential functions;
- Staff may become disaster victims as a result of the event and not be available to respond to or provide support to HACA;
- Staff and other resources outside the area affected by the emergency can be made available, if required, to continue essential functions;
- An emergency condition may require the relocation of the HACA personnel to the continuity facility at the City of Hayward or the Livermore Housing Authority; and
- The continuity facilities will support HACA personnel and the continuation of HACA's essential functions by available communications and information systems within 12 hours from the time the Continuity of Operations Plan is activated, for potentially up to a 30-day period or until normal operations can be resumed.



## G. OBJECTIVES

A series of planning objectives have been identified for the Continuity of Operations Plan. As a guidance document, the Continuity of Operations Plan was developed as a resource to assist HACA leadership and staff in managing impacts to, and disruptions of, the essential functions. The objectives of HACA's Continuity of Operations Plan are to:

1. Develop a system for sustaining HACA operations during a crisis;
2. Reduce loss of life and minimize property damage and loss;
3. Reduce or mitigate disruptions to operations;
4. Ensure the performance of HACA's essential functions under all conditions;
5. Ensure the efficient succession of leadership in the event a disruption renders key HACA leaders unavailable to perform their responsibilities;
6. Develop a relocation plan where HACA can continue to perform its essential functions, as appropriate, in the event of a disruption;
7. Protect critical facilities, equipment, vital records, and other assets, in the event of a disruption; and
8. Execute a timely and orderly recovery and reconstitution from an emergency.

The continuity planning objectives for non-federal agencies are identified in CGC 1, *Continuity Guidance for Non-Federal Governments (States, Territories, Tribal, and Local Government Jurisdictions)*, dated July 2013.

## H. CONCEPT OF OPERATIONS

There are four (4) phases of implementation for the Continuity of Operations Plan. If phases 1-4 cannot be executed due to an event that has rendered HACA leadership and staff unavailable to support, or incapable of supporting, the execution of the plan, devolution of control and direction will be necessary.

Phase 1	Readiness and Preparedness are activities to ensure personnel can continue essential functions.
Phase 2	Activation and Relocation are the initial processes used between 0-12 hours of plan activation.
Phase 3	Continuity Operations describes the operational procedures for the continuation of essential functions up to day 30 or until resumption of normal operations can occur.
Phase 4	Reconstitution describes the process to begin recovery, mitigation, and termination of the Continuity of Operations Plan activation.
Devolution of Control and Direction are the processes necessary to transfer all HACA essential functions and responsibilities to personnel at a different location if Phases 1-4 cannot be executed.	

## I. PHASE I: READINESS AND PREPAREDNESS

HACA will participate in the full spectrum of readiness and preparedness activities to ensure personnel can continue essential functions in an all-hazard/threat environment. HACA readiness activities are divided into two key areas:

- Organization readiness and preparedness
- Staff readiness and preparedness

### Organization Readiness and Preparedness

HACA preparedness incorporates hazard/threat warning systems, which include:

- [AC Alert System](#)
- [United States Geological Survey \(USGS\) Earthquake Notification Service \(ENS\) updates](#)
- Reverse 9-1-1
- California Health Alert Network
- Various news reporting sources

### Staff Readiness and Preparedness

HACA personnel will prepare for a continuity event and plan in advance for what to do in an emergency. Personnel should also develop a Family Support Plan to increase personal and family preparedness. The [www.ready.gov](http://www.ready.gov) website provides guidance for developing a Family Support Plan and includes a “Get Ready Now” pamphlet that explains the importance of planning and provides a template that can be tailored to meet family-specific planning requirements.

HACA continuity personnel will create and maintain drive-away kits. Continuity personnel are responsible for carrying the kits to the continuity facility or pre-positioning the kits at the continuity facility. A typical drive-away kit should contain those items listed in the table below.

### Drive-Away Kit

Drive Away Kit	
<ul style="list-style-type: none"> <li>• Identification and charge cards               <ul style="list-style-type: none"> <li>– Organization identification card</li> <li>– Driver's license</li> <li>– Organization travel card</li> <li>– Health insurance card</li> <li>– Personal charge card</li> </ul> </li> <li>• Communication equipment               <ul style="list-style-type: none"> <li>– Pager</li> <li>– Organization cell phone</li> <li>– Personal cell phone</li> </ul> </li> <li>• Hand-carried Essential Records</li> <li>• Continuity of Operations Plan</li> <li>• Directions to continuity facility</li> <li>• Maps of surrounding area</li> <li>• Business and leisure clothing</li> <li>• Flashlight</li> </ul>	<ul style="list-style-type: none"> <li>• Business and personal contact numbers               <ul style="list-style-type: none"> <li>– Emergency phone numbers and addresses (relatives, medical doctor, pharmacist)</li> </ul> </li> <li>• Toiletries</li> <li>• Chargers/extra batteries for phones, GPS, and laptop</li> <li>• Bottled water and non-perishable food (i.e., granola, dried fruit, etc.)</li> <li>• Medical needs               <ul style="list-style-type: none"> <li>– Insurance information</li> <li>– List of allergies/blood type</li> <li>– Hearing aids and extra batteries</li> <li>– Glasses and contact lenses</li> <li>– Extra pair of eyeglasses/contact lenses</li> <li>– Prescription drugs (30-day supply)</li> <li>– Over-the-counter medications, dietary supplements</li> </ul> </li> </ul>

In addition, HACA will conduct the following continuity readiness and preparedness activities:

- Annual refresher training on Continuity of Operations Plan basics;
- Annual assessment of personal computer availability for telecommuting

#### J. PHASE II: ACTIVATION

To ensure the ability to attain operational capability at continuity facilities and with minimal disruption to operations, HACA will execute activation plans as described in the following sections.

##### Decision Process Matrix

Based on the type and severity of the emergency situation, HACA's Continuity of Operations Plan may be activated by one of the following methods:

- (1) The governor of California, Alameda County executive, city mayor, or city administrator may declare a state or local emergency which would require continuity activation

- (2) The Executive Director, or a designated successor, may initiate the Continuity of Operations Plan activation for the entire organization, based on an emergency or threat directed at the organization

Continuity Plan activation is a scenario-driven process that allow flexible and scalable responses to the full spectrum of all-hazards/threats that could disrupt operations with or without warning and during work or non-work hours. Continuity of Operations Plan activation will not be required for all emergencies or disruptions, since other actions may be more appropriate.

The decision to activate HACA's Continuity of Operations Plan and related actions will be tailored for the situation and based on projected or actual impact and whether or not there is warning. To support the decision-making process regarding plan activation, key organization personnel will use the decision matrix below to support that process.

Decision Matrix for Continuity Plan Implementation		
	Work Hours	Non-Work Hours
Event With Warning	<ul style="list-style-type: none"> <li>• Is the threat aimed at the facility or surrounding area?</li> <li>• Is the threat aimed at organization personnel?</li> <li>• Are employees unsafe remaining in the facility and/or area?</li> </ul>	<ul style="list-style-type: none"> <li>• Is the threat aimed at the facility or surrounding area?</li> <li>• Is the threat aimed at organization personnel?</li> <li>• Who should be notified of the threat?</li> <li>• Is it safe for employees to return to work the next day?</li> </ul>
Event Without Warning	<ul style="list-style-type: none"> <li>• Is the facility affected?</li> <li>• Are personnel affected? Have personnel safely evacuated or are they sheltering-in-place?</li> <li>• What are instructions from first responders?</li> <li>• How soon must the organization be operational?</li> </ul>	<ul style="list-style-type: none"> <li>• Is the facility affected?</li> <li>• What are instructions from first responders?</li> <li>• How soon must the organization be operational?</li> </ul>

As the decision authority, the Executive Director will be kept informed of the threat environment using all available means, including HACA's Emergency Communications Center, regional notification systems, local operations and State and

local reporting channels and news media. The Executive Director will evaluate all available information relating to:

- (1) Direction and guidance from higher authorities
- (2) The health and safety of personnel
- (3) The ability to execute essential functions
- (4) Changes in threat advisories
- (5) Intelligence reports
- (6) The potential or actual effects on communications systems, information systems, office facilities, and other vital equipment
- (7) The expected duration of the emergency situation

#### Alert and Notification Procedures

HACA's Continuity Leadership Team will initiate notification of status and operability any time an internal or external impact affects business continuity and mission effectiveness.

Notification	Level 1 – Critical Incident	Level 2 – Major Emergency	Level 3 - Disaster
Housing Staff	Yes	Yes	Yes
Housing Sites	Yes	Yes	Yes
Commission	Yes	Yes	Yes
HUD	Yes	Yes	Yes
Local Government		Yes	Yes
Corporate Partners		Yes	Yes
Utility & Service		Yes	Yes
Primary Vendors	Yes	Yes	Yes
Compliance Agencies	Yes	Yes	Yes
Media & Press		Yes	Yes
Continuity Facilities		Yes	Yes

#### Relocation Process

Once the Continuity of Operations Plan is activated and personnel are notified, HACA will relocate continuity personnel and Essential Records to one or both of its continuity facilities, if necessary. HACA continuity personnel will deploy/relocate to the continuity facilities to perform HACA's essential functions and other continuity-related tasks. Two continuity facilities have been identified for HACA:

Continuity Facility A	Continuity Facility B
City of Hayward 777 B Street Hayward, CA 94541 Point of Contact: Laurel James (510) 583-4303	Livermore Housing Authority 3203 Leahy Way Livermore, CA 94550 Point of Contact: Alfred Dulay (925) 447-3600

Emergency procedures during work hours with or without a warning will be implemented as follows:

- Continuity personnel will depart to the designated continuity facility from the

primary operating facility or current location.

- Non-continuity personnel present at the primary operating facility or another location will receive instructions from the Executive Director or designee. In most scenarios, non-continuity personnel will be directed to proceed to their homes to wait for further guidance.
- At the time of notification, if available, information will be provided regarding safety precautions and routes to use when leaving the primary operating facility.
- Continuity personnel will assess the functionality of the digital information systems needed for operations and will give a time estimate to repair/relocate digital equipment.

Emergency procedures during non-working hours with or without a warning will be implemented as follows:

- Continuity personnel will depart to the assigned continuity facility from their current location.
- Continuity personnel will assess the functionality of the digital information systems needed for operations and will give a time estimate to repair/relocate digital equipment.
- Non-continuity personnel will remain at their residence or other designated facility to wait for further instructions.

Non-continuity personnel may be required to replace or augment continuity personnel during activation. These activities will be coordinated by the Continuity Leadership Team with the replacement staff on a case-by-case basis. Non-continuity personnel will remain available to replace or augment continuity personnel, as required.

In the event of an activation of the Continuity of Operations Plan, HACA may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. The Executive Director maintains the authority for emergency procurement.

#### **K. PHASE III: CONTINUITY OPERATIONS**

Upon activation of the Continuity of Operations Plan, HACA will continue to operate at its primary facility until ordered to cease operations by the Executive Director. At that time, essential functions will transfer to the continuity facility. HACA should ensure that the continuity plan can be operational within 12 hours of plan activation.

The Continuity Leadership Team will be first to arrive at the continuity facility to prepare the site for the arrival of the continuity personnel. Upon arrival at the continuity facility, the team will:

- Ensure infrastructure systems, such as power and heating, ventilating, and air conditioning are functional
- Address telephone inquiries from staff
- Create an emergency call center forwarded from HACA's main telephone line

- Contact the United State Post Office to put a “hold” or “forward” mail order on HACA’s mail (if necessary)
- Identify any documents which may be missing due to loss during the event

As continuity personnel arrive, the Continuity Leadership Team will conduct in-processing to ensure accountability. In addition, the office will identify all organization leadership available at the continuity facility.

Upon arrival at the continuity facility, HACA continuity personnel will:

- Report immediately for check-in and in-processing
- Receive all applicable instructions and equipment
- Report to their respective workspace as notified during the activation process
- Retrieve pre-positioned information and activate specialized systems or equipment
- Monitor the status of HACA’s personnel and resources
- Continue HACA’s essential functions
- Prepare and disseminate instructions and reports, as required
- Comply with any additional continuity reporting requirements
- Notify family members, next of kin, and emergency contacts of preferred contact methods and information

The continuity facility will be staffed HACA personnel on an as needed basis, for the purpose of ensuring that continuity operations are properly supported, that resources are allocated, goals are met, and to serve as a central point of information dissemination and agency contact. The functions of the continuity facility may include:

- Receive, analyze, and disseminate situational information affecting business continuity
- Order, track, and manage resource orders and requests from impacted departments
- Maintain staffing schedules
- Function as the single point of contact on issues of business continuity
- Monitor facility safety and stability
- Monitor external conditions
- Develop and formulate periodic action plans, status reports, and communications for internal and external dissemination
- Continue HACA’s essential functions
- Ensure safety, sustainability, and status HACA’s vehicle fleet
- Other duties as assigned by the Executive Director or Continuity Leadership Team

A requirement of the Continuity Leadership Team is to account for all HACA personnel. The team will use a call-down telephone tree and/or automated telephonic call-back system to account for all personnel. In the instance that a personnel member cannot be reached using either of these systems, the next of kin will be contacted to ensure the



person's safety.

During continuity operations, HACA may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. The Executive Director maintains the authority for emergency acquisition.

#### **L. PHASE IV: RECONSTITUTION OPERATIONS**

Within 30 of an emergency relocation, the following individuals will initiate and coordinate operations to salvage, restore, and recover HACA's primary operating facility after receiving approval from the appropriate state and local law enforcement and emergency services:

- The Executive Director will serve as the Reconstitution Manager for all phases of the reconstitution process.
- Each department's Continuity Leadership Team member will designate a reconstitution point-of-contact (POC) to update office personnel on developments regarding reconstitution.

During continuity operations, the Executive Director should determine the status of the primary operating facility affected by the event by completing a damage assessment. Upon obtaining the status of the facility, the Facilities Manager will determine how much time is needed to repair the primary operating facility and/or acquire a new facility. Should HACA decide to repair the facility, the Facilities Manager has the responsibility of supervising the repair process and should notify the Executive Director of the status of repairs, including estimates of when the repairs will be completed.

Reconstitution will commence when the Executive Director or other authorized person ascertains that the emergency situation has ended and is unlikely to reoccur. These reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the Continuity of Operations Plan. Once HACA has made this determination in coordination with other state, local and/or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

- Continue to operate from the continuity facility
- Reconstitute HACA's primary operating facility and begin an orderly return to the facility
- Relocate to another facility, if necessary

Before relocating to the primary operating facility or another facility, the Continuity Leadership Team will conduct appropriate security, safety, and health assessments to determine building suitability. In addition, the I.T. Manager will verify that all systems, communications, and other required capabilities are available and operational and that HACA is fully capable of accomplishing all essential functions and operations at the new or restored primary operating facility.



Upon a decision by the Executive Director or other authorized person that HACA's primary operating facility can be reoccupied or that HACA will be reestablished in a different facility:

- HACA's Continuity Leadership Team should notify its partners and other applicable operations centers with information regarding continuity activation status, HACA's continuity facility, operational and communication status, and anticipated duration of relocation.
- The Continuity Leadership Team will develop space allocation and facility requirements.
- The Continuity Leadership Team will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process.
- The Continuity Leadership Team will coordinate with outside agencies and/or other applicable facility management group to obtain office space for reconstitution, if the primary operating facility is uninhabitable.
- The Continuity Leadership Team will develop procedures, as necessary, for restructuring staff.

Upon verification that the required capabilities are available and operational and that HACA is fully capable of accomplishing all essential functions and operations at the new or restored facility, the Executive Director will begin supervising a return of personnel, equipment, and documents to the primary operating facility or a move to a temporary or new permanent primary operating facility. The Continuity Leadership Team will develop return plans based on the incident and facility within 24 hours of plan activation.

HACA will continue to operate at its continuity facility until ordered to cease operations by the Executive Director. At that time, essential functions will transfer to the primary operating facility. The Continuity Leadership Team will develop resumption plans based on the incident and facility within 24 hours of plan activation.

The I.T. Manager will identify any records affected by the incident. In addition, the I.T. Manager will effectively transition or recover Essential Records and databases, as well as other records that had not been designated as Essential Records, using the plan outlined below; the Continuity Leadership Team will develop Essential Records transition and recovery plans based on the incident and facility within 24 hours of plan activation.

When the continuity personnel, equipment, and documents are in place at the new or restored primary operating facility, the remaining HACA staff at the continuity facility or devolution site will transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. The Continuity Leadership Team will oversee the orderly transition from the continuity facility of all HACA functions, personnel, equipment, and records to a new or restored primary operating facility. The Human Resources Manager will develop a process for receiving and processing employee claims during the continuity event, including processing Human Resources claims (such as, Workers' Compensation, compensation for injuries, overtime pay, etc.) and replacing lost or broken equipment.

HACA will conduct an After Action Review (AAR) once back in the primary operating facility or in a new primary operating facility. HACA is responsible for initiating and completing the AAR and all departments within HACA will have the opportunity to provide input to the report. The AAR will address the effectiveness of the continuity plans and procedures, identify areas for improvement, document these in HACA's corrective action program (CAP), and then develop a remedial action plan as soon as possible after the reconstitution. HACA is responsible for documenting areas for improvement in the CAP and developing a remedial action plan. In addition, the AAR will identify which, if any, records were affected by the incident, and will work with the I.T. Manager to ensure an effective transition or recovery of Essential Records and databases and other records that had not been designated as Essential Records. AAR and CAP documentation are maintained by HACA.

#### M. DEVOLUTION OF CONTROL AND DIRECTION

Devolution is the capability to transfer statutory authority and responsibility for critical functions from HACA's primary operating staff and facilities to another organization. It also is the ability to sustain that transferred operational capability for an extended period. Devolution is a way of ensuring capability in the event that leadership or staff are unavailable to support the execution of HACA's essential functions.

As part of continuity planning, HACA has identified the following conditions under which devolution may be necessary:

- HACA has lost the ability to perform essential services and functions as a result of substantial impact.
- HACA has lost key operating personnel which renders the performance of essential functions impossible.
- HACA has lost core leadership personnel and requires a transfer of operating authority to ensure continued baseline functioning.
- HACA has lost capacity in one or more essential functions, and must transfer operating authority to another agency until capability can again be assured.

The following responsibilities have been identified for selected HACA staff pertaining to the authorization and implementation of program devolution during emergency conditions:

<b>Executive Director</b>	<ul style="list-style-type: none"><li>✓ Identify and document need for devolution</li><li>✓ Brief Housing Commission and HUD on status and need for devolution</li><li>✓ Prepare devolution action plan</li><li>✓ Brief staff and receiving organizational representatives</li><li>✓ Develop and brief Executive Director on operational status and need for devolution</li></ul>
<b>Department Managers</b>	<ul style="list-style-type: none"><li>✓ Assist Executive Director with preparation and implementation of devolution plan</li><li>✓ Prepare staff and external clients on devolution actions</li></ul>

HACA maintains responsibility for ensuring appropriate agreements, processes, and training exists for devolution.

#### **N. DIRECTION, CONTROL, AND COORDINATION**

During activation of the Continuity of Operations Plan, the Executive Director maintains responsibility for control and direction of HACA. Should the Executive Director become unavailable or incapacitated; the organization will follow the directions laid out in Annex E.

The contents and procedures laid forth in this Continuity of Operations Plan are consistent with the direction found in CGC 1.

#### **O. DISASTER INTELLIGENCE**

The following general conditions will warrant activation of the Continuity of Operations Plan and implementation of specific continuity management actions. The following list is not all inclusive, but represents conditions that are recognized as presenting realistic impacts to HACA's operations and essential functions, and will require immediate actions to assure business continuity:

- Power and access to external communication networks have been disrupted
- The administrative office facility has been damaged and is not currently habitable
- Essential utilities and other critical infrastructure systems have been disrupted
- HACA personnel are unable to reach work as a result of ongoing threats and emergency operations within the community
- Prevailing external threats have forced the evacuation of the administrative office requiring work space reorganization
- Large segments of HACA's workforce have become personally impacted by an external threat and cannot perform their assigned duties
- Loss of operating data and information, disruption of communication systems and networks, and inability to access financial pathways that affect business operations have occurred
- Any other condition or factor that poses a direct threat to the continuity of HACA's business operations for an extended period has occurred

It will be necessary and appropriate for the Continuity Leadership Team to monitor both external and internal conditions to determine how HACA is being impacted and the level of performance for essential functions. The information received and analyzed will be used to assist HACA's leadership in setting priorities, developing solutions, and directing continuity management efforts.

Depending upon conditions, an ongoing assessment of external threats and potential sources of impact to HACA's facilities and operations should be maintained. External threats may involve both direct and indirect impacts.

Using existing program performance metrics, HACA's leadership and personnel will assess

the level of internal operability and the need to implement specific continuity procedures to maintain organizational efficacy. In many instances, internal operability will be tied to one or more of the following criteria:

- Staffing levels and technical expertise
- Availability and access to critical communication and information technology
- Habitability of HACA's primary work spaces
- Extent of damage to HACA's facilities and resources
- Information on external conditions
- Speed at which continuity measures are implemented
- Operational and administrative priorities that may affect goal setting

By using HACA staff and communicating with property managers and community resources, staff will survey and assess conditions at all HACA owned property sites that may be impacted.

Each department or functional area within HACA will need to perform internal assessments as to current levels of operability, identified gaps, impact consequences, resource needs, and the need to implement specific business solutions. This information will need to be reviewed continuously, updated regularly, and communicated effectively to HACA's leadership and involved staff.

## **P. COMMUNICATIONS**

HACA has identified available and redundant critical communications systems that are located at the primary operating facility and continuity facility. Further, HACA maintains fully capable continuity communications that support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. In addition, HACA maintains communications equipment for use by employees with disabilities and hearing impairment.

All of HACA's necessary and required communications and IT capabilities should be operational within 24 hours of continuity activation.

### **Employees**

During both activation and reconstitution, the Continuity Leadership Team will utilize the staff contact roster. The Continuity Leadership Team will communicate with employees using any of the following available methods:

- Text messages to staff members with cell phones
- Landline telephones
- Utilization of radios
- Email messaging
- Physical contact at employee's home, if necessary

### **Residents & Clients**

Non-emergency communications with residents & clients during periods of business interruption should be undertaken as soon as practicable, using available direct and

technology-based methods. HACA's Programs Manager, Leasing Services Leadworker and/or property aides will communicate with residents to provide status updates as necessary throughout the event.

When communicating with residents/clients, the following information should be disseminated:

- What has occurred
- Anticipated impact to residents and clients
- Generalized plan of action to restore and recover affected residential services (if any)
- Anticipated timelines
- Actions that residents/clients need to take during this period
- Contact information and any changes in business hours or locations

### **Primary Vendors**

The Continuity Leadership Team will contact primary suppliers and service providers as necessary using available communication methods (e.g. phone, email, FAX, message, etc.). Reports on business status, purchasing (P.O. or other methods), requests for essential service support, or modification of existing contract terms or service schedules will ordinarily make up most communication with existing critical vendors.

Communication with critical vendors should include the following information as it applies to impact and future service expectations:

- Current business continuity situation
- Status of supported systems, equipment, or processes
- Current and projected service and support needs
- Changes in operational direction
- Need to modify existing contractual terms and conditions as appropriate
- Changes in contact methodology, business location, or other modifications in HACA's operation that will affect vendor communication and support

### **Regulatory Agencies & Corporate Partners**

The Executive Director, or designated alternate, will contact those state and federal agencies that have regulatory or oversight responsibility associated with HACA operations, administration, financing, and program assurance. Such communication will be undertaken in accordance with HACA and external organization protocol and processes, and will occur at the earliest possible opportunity. Regular status updates will also be provided during the period that continuity is affected.

As with all other communications, HACA will endeavor to provide that information which directly relates to the business continuity condition including:

- real time operational status
- actions being taken to affect recovery
- current and projected operational and resource needs
- associated timelines and recovery schedules
- potential or emerging threats

- requested modifications to requirements or contractual agreements
- any other matter deemed necessary and appropriate

#### **Q. PLAN DEVELOPMENT AND MAINTENANCE**

The Administrative Analyst is responsible for maintaining HACA's Continuity of Operations Plan.

This plan will be reviewed by HACA staff on a periodic basis to ensure accuracy and operability. The Continuity of Operations Plan will be updated when it has been determined that modifications and corrections are necessary to ensure its completeness, accuracy, functionality, and timeliness. Substantive changes to the Continuity of Operations Plan will be undertaken by assigned staff members, approved by the Executive Director, and presented to the Housing Commission for consideration and adoption.

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## ANNEX A. MISSION ESSENTIAL FUNCTIONS (MEFs)

### IDENTIFICATION OF ESSENTIAL FUNCTIONS

HACA has completed the MEF process as specified in CGC 2 to identify those functions that HACA must continue in the event of an emergency or disaster.


Organizational MEFs are a limited set of functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities. Using CGC 2 guidance, HACA implemented the MEF identification process to identify and prioritize its organizational MEFs. HACA's MEFs, as validated and approved by the Executive Director, are listed below in no particular order.

1. Initiate recovery of HACA's IT infrastructure to ensure that staff has access to vital data and software applications (**Information Technology**).
2. Ensure that essential accounting functions continue to flow uninterrupted (**Accounting**).
3. Initiate restoration of HACA's administration building so that staff can resume normal business operations (**Maintenance and Modernization**).
4. Continue essential program functions to ensure that HACA's program participants remain housed (**Programs/Special Programs**).
5. Provide an outline for services required to resume operations in the event of an actual or potential emergency or disaster (**Procurement**).
6. Provide essential Human Resources services to HACA and staff to initiate post-disaster recovery operations (**Human Resources**).


Within each of these MEFs are sub-tasks and activities that will be performed to provide business continuity. These sub-tasks are identified in the following MEF Data Sheets.



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<p align="center"><b>Mission Essential Function (MEF) #1 Data Sheet (Information Technology)</b> 9-2018</p>				
<p><b>Organization:</b> Housing Authority of the County of Alameda</p>				
<p><b>MEF #1:</b> Initiate recovery of HACA's IT infrastructure to ensure that staff has access to vital data and software applications.</p>				
<p><b>Descriptive Narrative:</b> HACA's operational capability relies heavily on fully functional communication/IT systems to keep its mission-critical information and applications up and running. In the event that HACA's servers, network, and communication systems are adversely affected by an emergency or disaster, HACA's Information Technology Department must ensure the following functions are completed so that HACA may continue to carry out its mission:</p> <ul style="list-style-type: none"> <li>• Damage Assessment — Assess damage to HACA's IT infrastructure and review status of vital records, files, applications, and databases. <ul style="list-style-type: none"> <li>○ Initiate repairs, restoration, and/or relocation of computer hardware, servers, and other equipment.</li> </ul> </li> <li>• Relocation — Implement HACA's relocation plan. <ul style="list-style-type: none"> <li>○ Assess functionality of HACA's communication/IT systems needed for operations and begin necessary restoration and data recovery procedures.</li> <li>○ Ensure staff is able to access mission-critical information and applications.</li> <li>○ Ensure functionality of HACA's communication systems.</li> </ul> </li> </ul>				
<p><b>Impacts if not Conducted:</b> Interruption of and/or failure to perform these functions would result in staff being unable to access vital data and software applications. Further, such failures would leave HACA's applicants, tenants, landlords, vendors, and other stakeholders unable to communicate or conduct business with HACA.</p>				
<p><b>Recovery Time Objective:</b> 0-24 hours</p>				
<p><b>Partners:</b></p> <table border="1"> <tr> <td>Tenmast   877-359-5492 (Support)   <a href="mailto:support@tenmast.com">support@tenmast.com</a></td> </tr> <tr> <td>NEKO Industries   916-774-7125 (OnBase Support)   <a href="mailto:nekosupport@nekoind.com">nekosupport@nekoind.com</a></td> </tr> <tr> <td>Carbonite   877-222-5488 (Support)   <a href="mailto:support@carbonite.com">support@carbonite.com</a></td> </tr> <tr> <td>Maverick Networks   925-931-1900 (Support)   <a href="mailto:service@mavericknetworks.net">service@mavericknetworks.net</a></td> </tr> </table>	Tenmast   877-359-5492 (Support)   <a href="mailto:support@tenmast.com">support@tenmast.com</a>	NEKO Industries   916-774-7125 (OnBase Support)   <a href="mailto:nekosupport@nekoind.com">nekosupport@nekoind.com</a>	Carbonite   877-222-5488 (Support)   <a href="mailto:support@carbonite.com">support@carbonite.com</a>	Maverick Networks   925-931-1900 (Support)   <a href="mailto:service@mavericknetworks.net">service@mavericknetworks.net</a>
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Maverick Networks   925-931-1900 (Support)   <a href="mailto:service@mavericknetworks.net">service@mavericknetworks.net</a>				
<p><b>Point of Contact:</b> Irv Aragon — I.T. Manager Email: <a href="mailto:irva@haca.net">irva@haca.net</a> Phone: 510-727-8539 </p>				

September 2018

<b>Mission Essential Function (MEF) #2 Data Sheet (Accounting)</b> 9-2018									
<b>Organization:</b> Housing Authority of the County of Alameda (HACA)									
<b>MEF #2:</b> Ensure that essential accounting functions continue to flow uninterrupted.									
<p><b>Descriptive Narrative:</b> Carrying out HACA's mission relies on its ability to perform essential accounting functions. In the event that HACA's staff or administration building is adversely affected by an emergency or disaster, HACA's Accounting Department must continue to perform the following functions so that HACA may continue to carry out its mission:</p> <ul style="list-style-type: none"> <li>• Data Access — Coordinate with HACA's IT Department to ensure continued access to essential payroll and accounting software, data, and other applications.</li> <li>• Payments — Ensure staff, owners, landlords, and vendors are paid.           <ul style="list-style-type: none"> <li>○ Coordinate with vendors to ensure check stock is available.</li> <li>○ Set up expedited direct deposit enrollment procedures.</li> <li>○ Ensure continued access to bank accounts and payroll vendors.</li> <li>○ Keep track of rent receipts and delayed/past due payments.</li> </ul> </li> <li>• Communication — Maintain active communication with important stakeholders.           <ul style="list-style-type: none"> <li>○ Continue HUD reporting and funding access procedures.</li> <li>○ Communicate status updates, delays, and other issues.</li> </ul> </li> </ul>									
<p><b>Impacts if not Conducted:</b> Interruption of and/or failure to perform these functions would hinder HACA's ability to collect funds and/or pay staff, owners, landlords, and vendors, which could result in participants losing assistance and various parties unable to meet financial obligations.</p>									
<p><b>Recovery Time Objective:</b> 0-24 hours</p>									
<p><b>Partners:</b></p> <table border="1"> <tr> <td>Pacific Color Graphics (check stock-envelopes)   Cindi Davis   925-600-3006   <a href="mailto:cdavis@pacificcolor.com">cdavis@pacificcolor.com</a></td> </tr> <tr> <td>Ceridian (payroll)   888-607-3333 or 800-607-3333</td> </tr> <tr> <td>Union Bank (bank)   Coleen Sullivan   415-314-0813   Government Services - 800-798-6466   <a href="mailto:Coleen.sullivan@unionbank.com">Coleen.sullivan@unionbank.com</a></td> </tr> <tr> <td>Tenmast   877-359-5492 (Support)   <a href="mailto:support@tenmast.com">support@tenmast.com</a></td> </tr> <tr> <td>NEKO Industries   916-774-7125 (OnBase Support)   <a href="mailto:nekosupport@nekoind.com">nekosupport@nekoind.com</a></td> </tr> <tr> <td>ACERA   Dave Nelsen, CEO   510-628-3000   <a href="mailto:allapplicationsupport@acera.org">allapplicationsupport@acera.org</a></td> </tr> <tr> <td>HUD   Diane Chan, Financial Analyst   415-489-6496   <a href="mailto:Diane.m.chan@hud.gov">Diane.m.chan@hud.gov</a></td> </tr> <tr> <td>HUD   Gerard Windt, Director   415-489-6444   <a href="mailto:Gerard.Windt@hud.gov">Gerard.Windt@hud.gov</a></td> </tr> <tr> <td>HUD   Carol M. Joseph, Portfolio Management Specialist   415-489-6455   <a href="mailto:carol.m.joseph@hud.gov">carol.m.joseph@hud.gov</a></td> </tr> </table>	Pacific Color Graphics (check stock-envelopes)   Cindi Davis   925-600-3006   <a href="mailto:cdavis@pacificcolor.com">cdavis@pacificcolor.com</a>	Ceridian (payroll)   888-607-3333 or 800-607-3333	Union Bank (bank)   Coleen Sullivan   415-314-0813   Government Services - 800-798-6466   <a href="mailto:Coleen.sullivan@unionbank.com">Coleen.sullivan@unionbank.com</a>	Tenmast   877-359-5492 (Support)   <a href="mailto:support@tenmast.com">support@tenmast.com</a>	NEKO Industries   916-774-7125 (OnBase Support)   <a href="mailto:nekosupport@nekoind.com">nekosupport@nekoind.com</a>	ACERA   Dave Nelsen, CEO   510-628-3000   <a href="mailto:allapplicationsupport@acera.org">allapplicationsupport@acera.org</a>	HUD   Diane Chan, Financial Analyst   415-489-6496   <a href="mailto:Diane.m.chan@hud.gov">Diane.m.chan@hud.gov</a>	HUD   Gerard Windt, Director   415-489-6444   <a href="mailto:Gerard.Windt@hud.gov">Gerard.Windt@hud.gov</a>	HUD   Carol M. Joseph, Portfolio Management Specialist   415-489-6455   <a href="mailto:carol.m.joseph@hud.gov">carol.m.joseph@hud.gov</a>
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<p><b>Point of Contact:</b>          Cathy Leoncio — Finance Director          Email: <a href="mailto:cathyl@haca.net">cathyl@haca.net</a>          Phone: 510-727-8521  </p>									

September 2018

**Mission Essential Function (MEF) #3 Data Sheet (Maintenance and Modernization)**  
9-2018

**Organization:** Housing Authority of the County of Alameda (HACA)

**MEF #4:** Initiate restoration of HACA's administration building so that staff can resume normal business operations.

**Descriptive Narrative:** In the event that HACA's administration building is adversely affected by an emergency or disaster and its Continuity of Operations Plan and relocation plan are activated, HACA would only be equipped to perform its mission essential functions. In order for HACA to resume normal business operations and perform all of the duties HUD requires a housing authority to perform, it is essential that HACA's administration building is restored. HACA's Department of Maintenance & Modernization must ensure that the following functions are completed so that HACA is able to resume normal operations:

- Damage Assessment — Perform a field assessment of the damage sustained to HACA's administration building in coordination with utility and infrastructure providers. Assess:
  - Structural, electrical, gas line, telephone service, alarm system, plumbing, HVAC, landscaping & irrigation, trees, concrete, and asphalt damage.
- Repairs and Purchase Orders — Schedule/prioritize repairs and execute necessary purchase orders and other procurement activities in coordination with HACA's Procurement Manager.
- Monitoring — Monitor all repairs and manage invoices for work performed in coordination with HACA's Procurement Manager.
  - Ensure repairs are done properly and on schedule.

**Impacts if not Conducted:** Interruption of and/or failure to perform these functions in a timely manner would prevent HACA from resuming normal business operations. Such failures would result in leaving HACA's applicants, tenants, and landlords without access to its full array of services.

**Recovery Time Objective:** 0-24 hours, 30-60 days to complete

**Partners:**

PG&E   510-772-8244	Diamond Blacktop   510-770-1151
AT&T   866-253-6122	Trinity EMCS   707-800-2075
Security Engineers   925-478-5707	Prime Mechanical   877-635-4328
Plumbing the Bay   510-346-8400	Enviser   707-771-6112
LandCare   925-462-2193	Filomon Lopez   510-604-5177
AAA Tree Service   510-538-8761	Jesus Flores   510-604-5207
TSM Construction   415-573-6688	Ron Kidd   510-851-6953

**Point of Contact:**

George Smith — Facilities Manager  
Email: georges@haca.net  
Phone: 510-727-8510  
[REDACTED]

<b>Mission Essential Function (MEF) #4 Data Sheet (Programs/Special Programs)</b> 9-2018																			
<b><u>Organization:</u></b> Housing Authority of the County of Alameda (HACA)																			
<b><u>MEF #6:</u></b> Continue essential program functions to ensure that HACA's program participants remain housed.																			
<b><u>Descriptive Narrative:</u></b> HACA's Programs Department and Special Programs Department must ensure that the following functions are completed so that HACA may continue to assist its program participants: <ul style="list-style-type: none"> <li>• Housing Assistance                             <ul style="list-style-type: none"> <li>○ Schedule and conduct inspections of units that may have been affected.</li> <li>○ Set up a team to handle emergency HCV and portability requests.</li> </ul> </li> <li>• Communications                             <ul style="list-style-type: none"> <li>○ Coordinate with HACA's I.T. Manager to ensure that an emergency call center is in place.</li> <li>○ Coordinate with emergency services to provide additional support to program participants.</li> <li>○ Actively communicate with program participants about developments, updates, and issues.</li> </ul> </li> </ul>																			
<b><u>Impacts if not Conducted:</u></b> Interruption of and/or failure to perform these functions could result in HACA's program participants losing housing assistance.																			
<b><u>Recovery Time Objective:</u></b> 0-24 hours																			
<b><u>Partners:</u></b> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 50%; text-align: center; padding: 5px;">Internal</th> <th style="width: 50%; text-align: center; padding: 5px;">External</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">Irv Aragon   510-727-8539</td> <td style="padding: 5px;">Sterling (Inspection Services)</td> </tr> <tr> <td style="padding: 5px;">Michelle Aragon   510-727-8568</td> <td style="padding: 5px;">Michael Petragallo   530-277-7555</td> </tr> <tr> <td style="padding: 5px;">Linda Morgan-Lyles   510-727-8540</td> <td style="padding: 5px;"><b><u>Property Aides:</u></b></td> </tr> <tr> <td style="padding: 5px;">Vanessa Diaz   510-727-8572</td> <td style="padding: 5px;">Lamonte Mack (Emery Glen)   510-499-1636</td> </tr> <tr> <td style="padding: 5px;">Meranda Jones   510-727-8555</td> <td style="padding: 5px;">Paul Hunt (Nidus Court)   510-520-5549</td> </tr> <tr> <td style="padding: 5px;">Dina Lada   510-727-8544</td> <td style="padding: 5px;">Francis Perez (Dyer Senior)   415-430-8301</td> </tr> <tr> <td style="padding: 5px;">Linda Evans   510-727-8589</td> <td style="padding: 5px;">Cheryl Valdriz (Mission View)   510-714-9965</td> </tr> <tr> <td style="padding: 5px;">Jamshid Galehzan   510-727-8532</td> <td style="padding: 5px;"></td> </tr> </tbody> </table>		Internal	External	Irv Aragon   510-727-8539	Sterling (Inspection Services)	Michelle Aragon   510-727-8568	Michael Petragallo   530-277-7555	Linda Morgan-Lyles   510-727-8540	<b><u>Property Aides:</u></b>	Vanessa Diaz   510-727-8572	Lamonte Mack (Emery Glen)   510-499-1636	Meranda Jones   510-727-8555	Paul Hunt (Nidus Court)   510-520-5549	Dina Lada   510-727-8544	Francis Perez (Dyer Senior)   415-430-8301	Linda Evans   510-727-8589	Cheryl Valdriz (Mission View)   510-714-9965	Jamshid Galehzan   510-727-8532	
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<b><u>Point of Contact:</u></b> Laura Broussard Rosen – Programs Manager Email: <a href="mailto:Laurabr@haca.net">Laurabr@haca.net</a> Phone: 510-727-8570 Cell:	<b><u>Point of Contact:</u></b> Daniel Taylor – Special Programs Manager Email: <a href="mailto:danielt@haca.net">danielt@haca.net</a> Phone: 510-727-8507 <div style="background-color: black; width: 100px; height: 15px; margin-top: 5px;"></div>																		

**Mission Essential Function (MEF) #5 Data Sheet (Procurement)**  
9-2018

**Organization:** Housing Authority of the County of Alameda (HACA)

**MEF #5:** Provide an outline for services required to resume operations in the event of an actual or potential emergency or disaster.

**Descriptive Narrative:** Should an emergency or disaster render HACA's office uninhabitable or ineffective in serving its clients, HACA's Procurement Department would work closely with HACA's Facilities Manager to ensure that essential goods and services are provided.

**Impacts if not Conducted:** Interruption of and/or failure to perform these functions would hinder HACA's ability to procure essential goods and services from external contractors.

**Recovery Time Objective:** 0-24 hours

**Partners:** Contracts are either in place or will be in place for a primary/secondary contractor to perform most services. Contractors are subject to change. Contact list maintained by Procurement Manager.

Services	Primary	Secondary
Plumbing	Plumbing the Bay	Bonetti Plumbing
Electrical / Alarm Systems	Security Engineers	Will be bid / Bay Alarm
Computer Related	Dell Computer	CDW Corp.
HVAC	Prime Mechanical	Will be bid
Glass	Bay Wide Glass	Will be bid
Window Covering	Builder's Drapery	Will be bid
Flooring	East Bay Flooring	Will be bid
Furniture	Sam Clar	All Steel
Appliances	APD	General Electric
Towing	Jack James	Berry Brothers
Painting	Will be bid	Will be bid
Janitorial	Greene Janitorial	Will be bid
Landscaping	LandCare	RMT Landscaping
Tree Trimming	AAA Tree Service	Will be bid
General Hauling	TSM Construction	Will be bid
Basic Office Supplies	Staples	AAA Office Supplies
Temp Employment	AppleOne	Will use any available company

**Point of Contact:**

Beverly Brewer – Procurement Manager

Email: beverlyb@haca.net

Phone: 510-727-8505



<p align="center"><b>Mission Essential Function (MEF) #6 Data Sheet (Human Resources)</b> 9-2018</p>					
<p><b>Organization:</b> Housing Authority of the County of Alameda (HACA)</p>					
<p><b>MEF #3:</b> Provide essential Human Resources services to HACA and staff to initiate post-disaster recovery operations.</p>					
<p><b>Descriptive Narrative:</b> Carrying out HACA's mission relies on staff establishing an operational capability to perform mission essential functions. In the event that HACA's staff or administration building is adversely affected by an emergency or disaster, HACA's Human Resources Department must ensure that the following functions are completed so that HACA may continue to carry out its mission:</p> <ul style="list-style-type: none"> <li>• Injury Response – Report employee injuries to ICS within 24 hours of incident; ensure employee(s) receive claim form.</li> <li>• Insurance Implementation – Notify and coordinate with HARRP, AHRP and CHWCA to initiate claims process, if needed.</li> <li>• Advice and Implementation – Respond as necessary to employee ADA requests or complaints related to emergency or disaster.</li> <li>• Staffing – Coordinate with HACA's Accounting Department in processing any emergency employment transactions.</li> </ul>					
<p><b>Impacts if not Conducted:</b> Interruption of and/or failure to perform these functions would hinder staff's ability to execute the Continuity of Operations Plan and perform HACA's mission essential functions. Further, such failures would slow HACA's disaster recovery efforts.</p>					
<p><b>Recovery Time Objective:</b> 0-24 hours</p>					
<p><b>Partners:</b></p> <table border="1"> <tr> <td>Innovative Claims Solutions - Laura Saleh, Claims Examiner   925-904-2440   lsaleh@ics-claims.com</td> </tr> <tr> <td>Innovative Claims Solutions - Lisa Miller, Unit Manager   925-904-2418   lmiller@ics-claims.com</td> </tr> <tr> <td>CHWCA/Bickmore - Jackie Miller, Workers' Comp Services   916.290.4615   jmill@bickmore.net</td> </tr> <tr> <td>HARRP - Al Alvarez, Director of Risk Management   (360) 574-9035 ext. 104   al@harrp.com</td> </tr> <tr> <td>HACA Managers</td> </tr> </table>	Innovative Claims Solutions - Laura Saleh, Claims Examiner   925-904-2440   lsaleh@ics-claims.com	Innovative Claims Solutions - Lisa Miller, Unit Manager   925-904-2418   lmiller@ics-claims.com	CHWCA/Bickmore - Jackie Miller, Workers' Comp Services   916.290.4615   jmill@bickmore.net	HARRP - Al Alvarez, Director of Risk Management   (360) 574-9035 ext. 104   al@harrp.com	HACA Managers
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HARRP - Al Alvarez, Director of Risk Management   (360) 574-9035 ext. 104   al@harrp.com					
HACA Managers					
<p><b>Point of Contact:</b> Charla Freckmann – Human Resources Manager Email: <a href="mailto:charlaf@haca.net">charlaf@haca.net</a> Phone: 510-727-8518 [REDACTED]</p>					

## ANNEX B. IDENTIFICATION OF CONTINUITY PERSONNEL

The Continuity Leadership Team is comprised of senior management and personnel who may have additional recovery duties. The team has the authority to activate the Continuity of Operations Plan, and to act on behalf of the Housing Authority in all response and recovery efforts. The team is authorized to expedite recovery in the event of a declared disaster. The team assumes oversight responsibility and will be the final decision point for any issues that may arise. The Continuity Leadership Team is comprised of the following individuals:

- Executive Director
- Programs Manager
- Special Programs Manager
- Finance Director
- I.T. Manager
- HR Manager
- Facilities Manager
- Sr. Administrative Analyst
- Administrative Analyst
- Executive Assistant
- Procurement Manager

In order to continue its essential functions, HACA has determined the staff positions necessary to relocate under Continuity Plan activation. The Executive Assistant is responsible for maintaining roster currency and ensuring personnel are matched against needed positions.

Each continuity member is selected by the Executive Director based upon:

- The predetermined essential functions that must be performed, regardless of the operational status of HACA's primary operating facility
- The member's knowledge and expertise in performing these essential functions
- The member's ability to rapidly deploy to the relocation site in an emergency situation

Function	Primary	Secondary	Tertiary
#1	I.T. Manager	Administrative Analyst	Contract
#2	Finance Director	Accountant	Account Specialist
#3	Facilities Manager	Maintenance Worker II	Maintenance Worker II
#4	Programs Manager	Special Programs Manager	Sr. Administrative Analyst
#5	Procurement Manager	Facilities Manager	Procurement Administrative Clerk
#6	Human Resources Manager	Executive Director	Human Resources Administrative Secretary



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## ANNEX C. ESSENTIAL RECORDS MANAGEMENT

Within 24 hours of activation, continuity personnel at the continuity facilities for HACA should have access to the appropriate media for accessing vital records, including:

- A local area network (LAN)
- Electronic versions of vital records
- Supporting information systems and data
- Internal and external email and email archives
- Paper copies of vital records
- Centralized administrative computing servers and network routers
- Cloud network connections for offsite electronic data storage and retrieval
- Standardized computer work program applications
- Networked printing

Technical support for HACA's information technology systems is provided internally using assigned staff. External support may be available through commercial vendors under existing contracts. In the event of an immediate and short-term interruption of business operations, it is anticipated that technical support will be afforded by internal personnel. Should the term of the interruption extend beyond a few days, move beyond the capabilities of internal HACA personnel, or when internal staff is not available, external technical support may be required.

### Identifying Vital Records

"Vital records" refers to information systems and applications, electronic and hard copy documents, references, and records, to include classified or sensitive data, needed to support essential functions during a continuity event. HACA has identified the following as vital to its operations, and has assigned responsibility for those records to the I.T. Manager.

Emergency Operating Records	Legal & Financial Records
<ul style="list-style-type: none"><li>• Continuity of Operations Plan with appendices</li><li>• Emergency and safety programs</li><li>• Emergency contact records for employees and residents</li></ul>	<ul style="list-style-type: none"><li>• Personnel and volunteer records</li><li>• Resident information</li><li>• Social Security records</li><li>• Payroll records</li><li>• Retirement records</li><li>• Insurance records</li><li>• Contract Records</li><li>• Tenmast Records</li></ul>

HACA has taken the following actions to ensure that vital records, and associated critical information management systems are protected so that potential damage or loss is minimized, even in catastrophic situations. Protection of vital records and data is a key component to safeguarding HACA's operating information and administrative legacy files.

Protection of vital data includes the following measures:

- Off-site physical storage of hard copy records
- Multiple backups of electronic data

- Enhanced physical protection methods and capabilities
- Redundant points of secure data access
- Protection of proprietary software
- Protection of critical operating hardware
- High order, anti-intrusion, cyber security software
- Formalized data protection and security standards and protocols

### Protecting Vital Records

The protection of vital records is essential to ensuring the records are available during a continuity event, thus enabling an organization to perform their essential functions. The I.T. Manager regularly assesses vital records systems and databases to:

- Identify the risks involved if vital records are retained in their current locations and media, and the difficulty of reconstituting those records if they are destroyed
- Identify offsite storage locations and requirements
- Determine if alternative storage media are available
- Determine requirements to duplicate records and provide alternate storage locations to provide readily available vital records under all conditions

Appropriate protections for vital records will be provided by the I.T. Manager and will include dispersing those records to other organization locations or storing those records offsite.

When determining and selecting protection methods, HACA takes into account the specific protections needed by different kinds of storage media. Microforms, paper photographs, computer disks, tapes, and drives all require different methods of protection. Some of these media also may require equipment to facilitate access.

The following table shows a list of vital records, files, and databases for HACA.

Vital Record, File, or Database	Support to Essential Function	Form of Record (e.g., hardcopy, electronic)	Multiple Storage Location(s) Y/N	Maintenance Frequency
Master Contact List	All	Electronic (HR)	Y = Cloud / Local Storage	As needed
Vital Records	All	Electronic/ Hardcopy	Y = Cloud / Local Storage	Daily
E-mail Mailbox	All	Electronic	Y = Cloud / Local Storage	As needed
Tenmast DB	All	Electronic	Y = Cloud / Local Storage	Daily
OnBase DB and Images	All	Electronic	Y = Cloud / Local Storage	Daily
Misc. User Storage	N	Electronic	Y = Cloud / Local Storage	Daily

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## ANNEX D. CONTINUITY FACILITIES

### Continuity Facility Information

HACA has designated two continuity facilities, one located at the City of Hayward City Hall and the other at the Livermore Housing Authority, for the possibility of unannounced relocation to the sites to continue performance of essential functions.

HACA maintains MOUs with its continuity facilities and reviews the MOUs as needed.

Copies of the MOUs are maintained by the Administrative Analyst.

HACA's continuity facilities provide the following in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed:

- (1) Space and equipment, including computer equipment and software. The continuity facilities are able to accommodate up to 15 personnel at each location.
- (2) Capability to perform MEFs within 24 hours of plan activation for up to 30 days or until normal operations can be resumed.
- (3) Reliable logistical support, services, and infrastructure systems.
- (4) Consideration for health, safety, security, and emotional well-being of personnel.
- (5) Interoperable communications for effective interaction.
- (6) Capabilities to access and use Essential Records.
- (7) Systems and configurations that are used in daily activities.
- (8) Emergency/back-up power capability.

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## ANNEX E. LEADERSHIP AND STAFF

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision-making authority. HACA has identified successors for the positions of the Executive Director, Finance Director, I.T. Manager, Facilities Manager, Programs Manager, Procurement Manager, and the Human Resources Manager. The Administrative Analyst is responsible for ensuring orders of succession are up-to-date. When changes occur, the Administrative Analyst distributes the changes to management staff.

HACA's orders of succession are:

- At least two positions deep, where possible, ensuring sufficient depth to ensure HACA's ability to manage and direct its essential functions and operations
- Geographically dispersed, where feasible
- Described by positions or titles, rather than by names of individuals holding those offices

Position	Successor #1	Successor #2
Executive Director	Finance Director	Programs/Special Programs Manager
I.T. Manager	Administrative Analyst	Contract
Finance Director	Accountant	Account Specialist
Facilities Manager	Maintenance Worker II	Maintenance Worker II
Programs Manager	Special Programs Manager	Sr. Administrative Analyst
Special Programs Manager	Programs Manager	Sr. Administrative Analyst
Procurement Manager	Facilities Manager	Procurement Administrative Clerk
Human Resources Manager	Executive Director	Human Resources Administrative Secretary

In the event of a change in leadership status, HACA must notify the successors, as well as internal and external stakeholders. In the event HACA's leadership becomes unreachable or incapable of performing their authorized legal duties, roles, and responsibilities, the Executive Director will initiate a notification of the next successor in line.

### DELEGATIONS OF AUTHORITY

Generally, HACA's pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed. Pre-determined delegations of authority may be particularly important in a devolution scenario.



HACA has identified the following delegations of authority:

- Orderly succession of officials to the positions of Executive Director, Finance Director, I.T. Manager, Programs Manager, Special Programs Manager and Facilities Manager in the case of their absence, a vacancy at that office, or the inability of these officials to act during an emergency or national security emergency.

HACA's delegations of authorities are found below and:

- (1) Are included as Vital Records
- (2) Are written in accordance with applicable laws and organization policy ensuring that the organization's MEFs are performed
- (3) Outline explicitly in a statement the authority of an official to re-delegate functions and activities, as appropriate
- (4) Delineate the limits of and any exceptions to the authority and accountability for officials

HACA has informed those officials who might be expected to assume authorities during a continuity situation. Further, HACA has trained those officials who might be expected to assume authorities during a continuity situation for making policy determinations.

September 2018

**Delegation of Authority**

Housing Authority of the County of  
Alameda (HACA)  
Issue Date: 7-10-2018

**DELEGATION OF AUTHORITY  
AND SUCCESSION FOR THE  
Executive Director**

**PURPOSE**

This is a delegation of authority for the continuity of essential functions through the orderly succession of officials at HACA to the Office of the Executive Director in case of the Executive Director's absence, a vacancy at that office, or the inability of the Executive Director to act during a disaster or national security emergency.

**DELEGATION**

I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the Executive Director in case of my absence, inability to perform, or vacancy of the office and until that condition ceases. Persons below, who are in their positions on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

1. Finance Director
2. Programs Manager
3. Special Programs Manager

If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the Executive Director, but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the Office of the Executive Director shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only officials specifically designated in the approved order of succession are eligible.

  
Christine Godig  
Executive Director  
Housing Authority of the County of Alameda

September 2018

**Delegation of Authority**

Housing Authority of the County of  
Alameda (HACA)  
Issue Date: 7-12-2018

**DELEGATION OF AUTHORITY  
AND SUCCESSION FOR THE  
I.T. Manager**

**PURPOSE**

This is a delegation of authority for the continuity of essential functions through the orderly succession of officials at HACA to the Office of the I.T. Manager in case of the I.T. Manager's absence, a vacancy at that office, or the inability of the I.T. Manager to act during a disaster or national security emergency.

**DELEGATION**

I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the I.T. Manager in case of my absence, inability to perform, or vacancy of the office and until that condition ceases. Persons below, who are in their positions on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

**1. Administrative Analyst**

If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the I.T. Manager, but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the Office of the I.T. Manager shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only officials specifically designated in the approved order of succession are eligible.

  
Irv Aragon  
I.T. Manager  
Housing Authority of the County of Alameda

September 2018

**Delegation of Authority**

Housing Authority of the County of  
Alameda (HACA)  
Issue Date: 7-12-2018

**DELEGATION OF AUTHORITY  
AND SUCCESSION FOR THE  
Facilities Manager**

**PURPOSE**

This is a delegation of authority for the continuity of essential functions through the orderly succession of officials at HACA to the Office of the Facilities Manager in case of the Facilities Manager's absence, a vacancy at that office, or the inability of the Facilities Manager to act during a disaster or national security emergency.

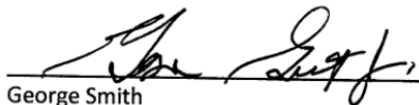
**DELEGATION**

I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the Facilities Manager in case of my absence, inability to perform, or vacancy of the office and until that condition ceases. Persons below, who are in their positions on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

1. Maintenance Worker II

If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the Facilities Manager, but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the Office of the Facilities Manager shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only officials specifically designated in the approved order of succession are eligible.



George Smith  
Facilities Manager  
Housing Authority of the County of Alameda

**Delegation of Authority**

Housing Authority of the County of  
Alameda (HACA)  
Issue Date: 8-30-2018

**DELEGATION OF AUTHORITY  
AND SUCCESSION FOR THE  
Programs Manager**

**PURPOSE**

This is a delegation of authority for the continuity of essential functions through the orderly succession of officials at HACA to the Office of the Programs Manager in case of the Programs Manager's absence, a vacancy at that office, or the inability of the Programs Manager to act during a disaster or national security emergency.

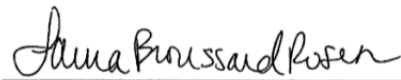
**DELEGATION**

I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the Programs Manager in case of my absence, inability to perform, or vacancy of the office and until that condition ceases. Persons below, who are in their positions on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

1. Special Programs Manager
2. Sr. Administrative Analyst

If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the Programs Manager, but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the Office of the Programs Manager shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only officials specifically designated in the approved order of succession are eligible.



Laura Broussard-Rosen  
Programs Manager  
Housing Authority of the County of Alameda

**Delegation of Authority**

Housing Authority of the County of  
Alameda (HACA)  
Issue Date: 7-12-2018

**DELEGATION OF AUTHORITY  
AND SUCCESSION FOR THE  
Finance Director**

**PURPOSE**

This is a delegation of authority for the continuity of essential functions through the orderly succession of officials at HACA to the Office of the Finance Director in case of the Finance Director's absence, a vacancy at that office, or the inability of the Finance Director to act during a disaster or national security emergency.

**DELEGATION**

I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the Finance Director in case of my absence, inability to perform, or vacancy of the office and until that condition ceases. Persons below, who are in their positions on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

1. Accountant
2. Account Specialist

If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the Finance Director, but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the Office of the Finance Director shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only officials specifically designated in the approved order of succession are eligible.



Cathy Leoncio  
Finance Director  
Housing Authority of the County of Alameda

**Delegation of Authority**

Housing Authority of the County of  
Alameda (HACA)  
Issue Date: 8-30-2018

**DELEGATION OF AUTHORITY  
AND SUCCESSION FOR THE  
Special Programs Manager**

**PURPOSE**

This is a delegation of authority for the continuity of essential functions through the orderly succession of officials at HACA to the Office of the Special Programs Manager in case of the Special Programs Manager's absence, a vacancy at that office, or the inability of the Special Programs Manager to act during a disaster or national security emergency.

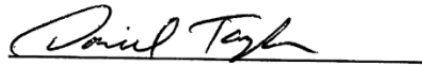
**DELEGATION**

I hereby delegate authority to the following officials, in the order listed below, to exercise the powers and perform the duties of the Special Programs Manager in case of my absence, inability to perform, or vacancy of the office and until that condition ceases. Persons below, who are in their positions on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

1. Programs Manager
2. Sr. Administrative Analyst

If this position is vacant, the next designated official in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the Office of the Special Programs Manager, but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the Office of the Special Programs Manager shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only officials specifically designated in the approved order of succession are eligible.



Daniel Taylor  
Special Programs Manager  
Housing Authority of the County of Alameda



## **ANNEX F. HUMAN CAPITAL**

### **Continuity Personnel**

People are critical to the operations of any organization. Selecting the right people for an organization's staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a continuity event, emergency employees and other special categories of employees will be activated by HACA to perform assigned response duties. One of these categories is continuity personnel. In respect to continuity personnel, HACA has:

- Identified and documented its continuity personnel. Continuity personnel possess the skills necessary to perform essential functions and supporting tasks. A roster of continuity personnel is maintained by the Administrative Analyst and is found at Annex A.
- Officially informed all continuity personnel of their roles or designations to ensure that continuity personnel know and accept their roles and responsibilities.
- Provided guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event.

### **All Staff**

It is important that HACA keeps all staff, especially individuals not identified as continuity personnel, informed and accounted for during a continuity event. HACA's employees are expected to remain in contact with their supervisors during any facility closure or relocation situation. Communication methods include via cell phone, email, and through HACA's emergency notification system.



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## ANNEX G. RISK MANAGEMENT

HACA applies a risk-based framework across all continuity efforts in order to identify and assess potential hazards, determine what levels of relative risk are acceptable, and prioritize and allocate resources and budgets to ensure continuity under all manner of incident conditions.

### RISK ASSESSMENT

HACA is situated in the city of Hayward, a mid-sized, culturally diverse community that is centrally located within the San Francisco Bay Area. The city covers an area of approximately 63.7 square miles ranging from the shore of San Francisco Bay eastward toward the Hayward hills. The area is susceptible to several types of disasters, such as earthquakes, fires, floods, landslides, tsunamis, sea level rises, droughts, and hazardous material exposures. However, the following disasters pose the biggest threat to HACA:

#### Earthquakes

Hayward is exposed to ground shaking, liquefaction, surface rupture, and landslides from seismic activity along the Hayward Fault, San Andreas Fault, San Gregorio Fault, and other Bay Area faults. The hills are susceptible to earthquake-induced landslides, while the flatlands are at risk of liquefaction. Tsunami and fire following an earthquake also threaten the city.

A major earthquake along the Hayward Fault, predicted to have a greater than 70% probability of occurrence in the next 30 years, would be particularly catastrophic.

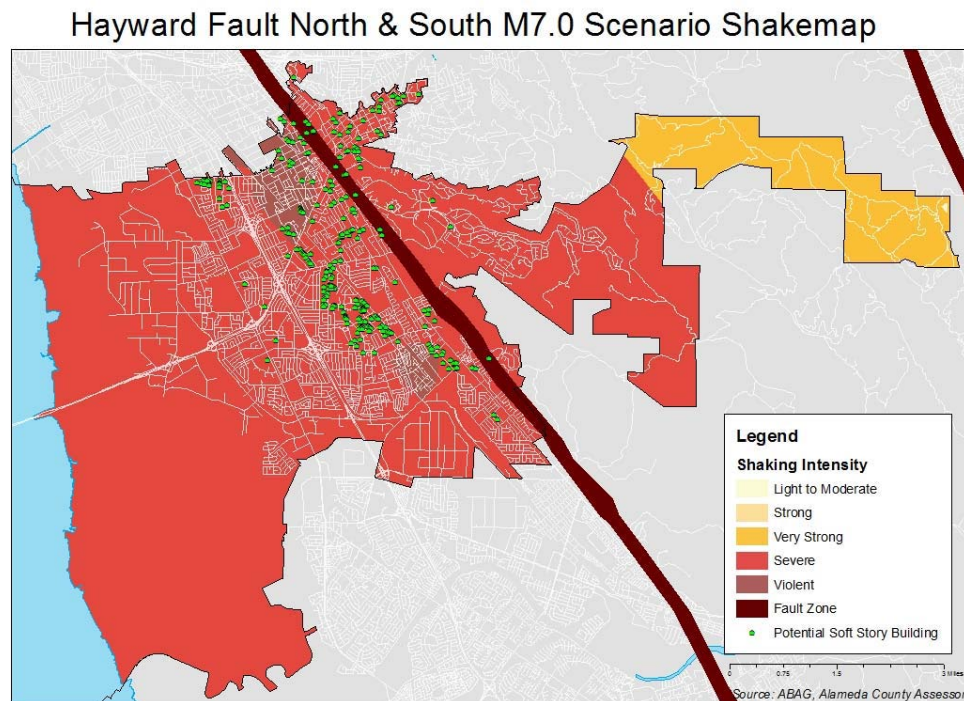


Figure 1 (Map from City of Hayward's 2016 Local Hazard Mitigation Plan)

### Hayward Fault North & South M7.0 Scenario Liquefaction Hazard

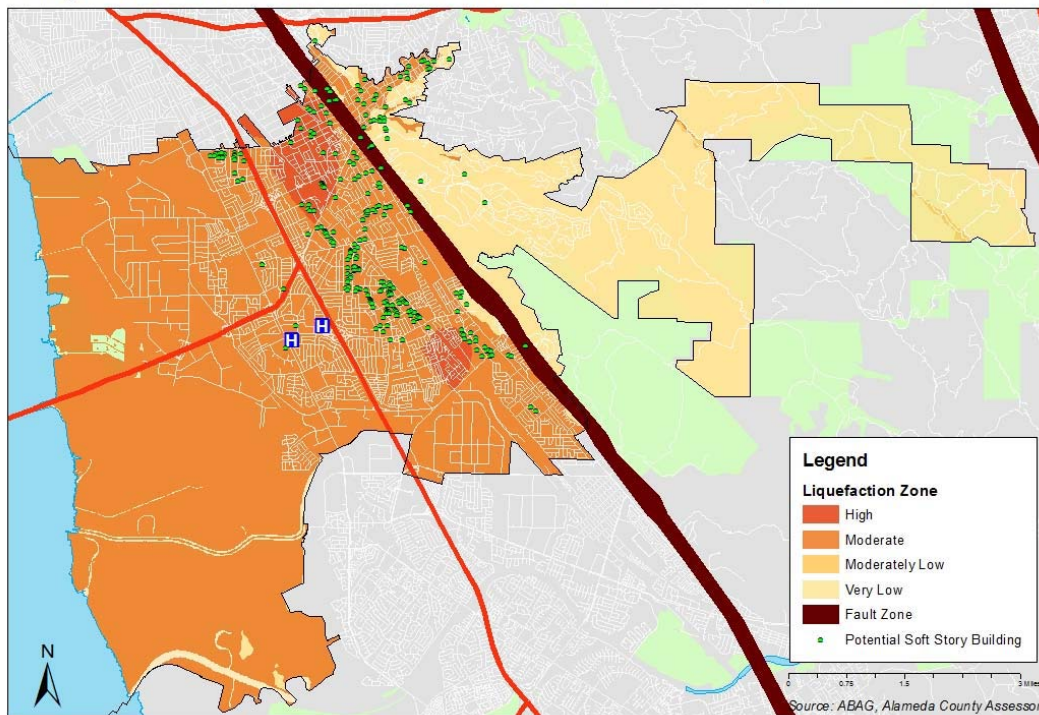


Figure 2 (Map from City of Hayward's 2016 Local Hazard Mitigation Plan)

### Hazardous Materials

Hayward is home to nearly 1000 businesses throughout the city that house various hazardous materials. Hazardous materials have the potential to become a crucial complicating factor in emergency situations. Flooding, earthquakes, and fires can all cause or be made worse by hazardous materials release.

The location, dispersion, amount and rate of a substance spilled, and the chemical characteristics of the substance, determine the effects of a hazardous materials release — but an atmospheric release could potentially affect the entire city. Exposure to hazardous materials can have public health impacts ranging from difficulty breathing or mild chemical irritation to even death. A hazardous materials release can also threaten property and have long-lasting effects on the environment.

### Fires

The Hayward hills are at risk of wildland-urban interface fires. Dry grassland adjacent to residential properties and the seasonal "Diablo winds" can result in large, rapidly-spreading fires that cause widespread damage to hillside properties and potentially HACA given its proximity to the Hayward hills.

However, fires following an earthquake could impact any part of Hayward — both urban and rural. The problem is heightened for urban environments, where many simultaneous ignitions can lead to a firestorm, and single fires can more quickly and easily move structure to structure. Risks also increase as existing fire protection systems, including

sprinklers, fire doors, and fire alarms may malfunction or be incapacitated as a result of the preceding earthquake.

### High Fire Hazard in the Hayward Area

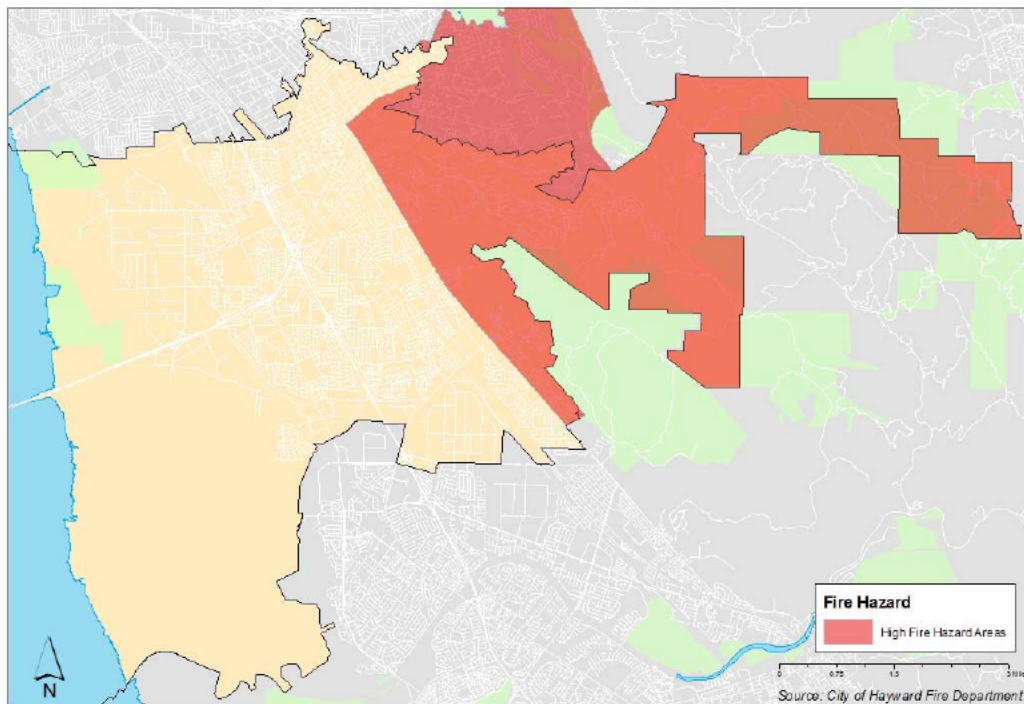


Figure 3 (Map from City of Hayward's 2016 Local Hazard Mitigation Plan)

### Human Conflict /Socio-Political Hazards

While there is no way to predict the occurrence of human conflict/socio-political hazards, there is always a possibility of their occurrence. Human conflict hazards relate to human based threats such as war, terrorism, civil disorder, workplace violence, and other violent encounters or conflicts. Socio-political hazards represent threats associated with sudden and unexpected social disruption/destabilization or loss of government.

### BUSINESS IMPACT ANALYSIS WORKSHEET

BUSINESS IMPACT ANALYSIS WORKSHEET Threat and Hazard Analysis						
Entry #	Threat Hazard	Threat or Hazard Characteristics	Threat or Hazard Likelihood (0-10)	Vulnerability (0-10)	Failure Impact (0-10)	Risk Value (0-30)
1.	Earthquakes	See Annex G	8	10	10	28
2.	Hazardous Materials	See Annex G	6	8	8	22
3.	Fires	See Annex G	6	6	8	20
4.	Human Conflict/Socio-Political Hazards	See Annex G	6	5	5	16

VALUE CHART	
Value	Likelihood of Threat Occurrence
9-10	Extremely Likely- Happens often
7-8	Highly Likely- Happens occasionally
5-6	Probable-Happened before; More than once
3-4	Possible-Happened many years ago
1-2	Unlikely-No recent memory of this happening
0	Does not happen