



# Housing Authority of the City of Alameda

PHONE (510) 747-4300  
FAX (510) 522-7848  
TTY/TRS 711

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701 Atlantic Avenue • Alameda, California 94501-2161

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## IF YOU WISH TO ADDRESS THE BOARD:

1. Please file a speaker's slip with the Executive Director, and upon recognition by the Chair, approach the rostrum and state your name; speakers are limited to 3 minutes per item.
2. If you need special assistance to participate in the meetings of the City of Alameda Housing Authority Board of Commissioners, please contact (510) 747-4325 (TTY/TRS: 711) or [ymondo@alamedahsq.org](mailto:ymondo@alamedahsq.org). Notification 48 hours prior to the meeting will enable the City of Alameda Housing Authority Board of Commissioners to make reasonable arrangements to ensure accessibility.

## **AGENDA**

## **REGULAR MEETING OF THE BOARD OF COMMISSIONERS**

### **DATE & TIME**

**Wednesday, May 20, 2020 –**

**Closed Session – 6:00 p.m.**

**Regular Meeting – 7:00 p.m.**

**Closed Session Continued – 7:01 p.m. (Additional Time If Needed)**

## **LOCATION**

Pursuant to Executive Order Numbers N-29-20 and N-35-20 signed by Governor Gavin Newsom and guidance provided by legal counsel, a local legislative body, such as the Board of Commissioners is authorized to hold public meetings via teleconferencing and to make public meetings accessible telephonically or otherwise electronically to all members of the public seeking to observe and to address the local legislative body. All requirements in the Brown Act expressly or impliedly requiring the physical presence of members, the clerk or other personnel of the body, or the public as a condition of participation in or a quorum for a public meeting have been waived.

Public access to this meeting is available as follows:

### **Join Zoom Meeting:**

<https://us02web.zoom.us/j/712615292?pwd=TURMeVBvc21Qa3NTbUtSRU9RUIR6dz09>

Meeting ID: 712 615 292

Password: 106371



**One Tap Mobile:**

+1-408-638-0968, 712615292# US (San Jose)  
+1-669-900-6833, 712615292# US (San Jose)

Meeting ID: 712 615 292

Find your local number: <https://zoom.us/j/712615292>

Persons wishing to address the Board of Commissioners are asked to submit comments for the public speaking portion of the agenda as follows:

Send an email with your comment(s) to [vmondo@alamedahsg.org](mailto:vmondo@alamedahsg.org) and [vcooper@alamedahsg.org](mailto:vcooper@alamedahsg.org) prior to or during the Board of Commissioners meeting.

Call and leave a message at (510) 846-0952.

Public Participation

Anyone wishing to address the Board on agenda items or business introduced by Commissioners may speak for a maximum of three minutes per agenda item when the subject is before the Board. Please file a speaker's slip with the Housing Authority Executive Director if you wish to address the Board of Commissioners.

PLEDGE OF ALLEGIANCE

2. Public Comment (Non-Agenda)
3. Closed Session – 6:00 p.m. – Adjournment to Closed Session to Consider:
  - 3-A. Performance Review and Goal Setting for the Executive Director
  - 3-B. CONFERENCE WITH REAL PROPERTY NEGOTIATOR pursuant to Government Code Section 54956.8.  
Property Location: 1101 Marina Village Pkwy, Alameda, CA 94501  
APN: 74-1334-64  
Agency Negotiation: Vanessa Cooper, Executive Director, Cynthia Alvarez, Deputy Executive Director  
Negotiating Parties: Housing Authority of the City of Alameda and G&L 1x Marin Village Office Park, LP  
Property Owner: G&L 1x Marin Village Office Park, LP/ [24]7.ai, Inc.  
Under Negotiation: Property Negotiations of Sublease, rent and terms of payment
  - 3-C. Conference with Legal Counsel-Anticipated Litigation: Significant exposure to litigation pursuant to subdivision (d)(2) of Government Code Section 54956.9: One potential case
4. Adjournment of Closed Session



5. RECONVENE REGULAR MEETING – 7:00 p.m.
6. Announcement of Action Taken in Closed Session, if any.
7. Public Comment (Non-Agenda)
8. CONSENT CALENDAR
  - Consent Calendar items are considered routine and will be approved or accepted by one motion unless a request for removal for discussion or explanation is received from the Board of Commissioners or a member of the public.
- 8-A. Approve Minutes of the Board of Commissioners Meeting held April 15, 2020 – **Page 1**
- 8-B. Accept the Monthly Overview Report for Operations/H.R./I.T. – **Page 9**
- 8-C. Accept the Monthly Overview Report for the Housing Programs Department – **Page 15**
- 8-D. Accept the Monthly Overview Report for the Alameda Rent Program – **Page 19**
- 8-E. Accept the Monthly Overview Report for Property Operations – **Page 22**
- 8-F. Accept the Monthly Overview Report for Housing & Community Development – **Page 31**
- 8-G. Accept the Monthly Development Report for Rosefield Village – **Page 34**
- 8-H. Accept the Monthly Development Report for North Housing – **Page 36**
- 8-I. Accept the Finance and Budget Variance Report for March 31, 2020 – **Page 39**
- 8-J. Accept the Quarterly Investment Report for Period Ending March 31, 2020 – **Page 56**
- 8-K. Receive and file a lease between the Housing Authority of the City of Alameda the owner, G&L 1x Marina Village Office Park and the sublessee LP/ [24]7.ai, Inc. for the property located at 1101 Marina Village Pkwy, Alameda, CA 94501 APN: 74-1334-64 – **Page 61**
- 8-L. Accept a Report on the Delegation of Authority to the Executive Director, or Designee, to Exercise Emergency Powers During the Local Public Health Emergency and Approve a Certain Changes in the Use of Sick Leave and Vacation Accruals Leave Related to the Current Health Crisis – **Page 62**
- 8-M. Accept Proposed Revisions to the Housing Authority Information Technology Policy – **Page 65**
- 8-N. Approve One-time Changes to the 2014 Employment Contract with the Executive Director Due the Current Health Crisis – **Page 84**
- 8-O. Approve Outside Employment of Executive Director, per 2014 Employment Contract Between the Board of Commissioners and Vanessa Cooper – **Page 86**
- 8-P. Accept the Monthly Overview Report on Procurement – **Page 88**
9. AGENDA
- 9-A. Authorize the Executive Director or Designee to Implement Waivers for the Section 8 Program as Necessary – **Page 90**
- 9-B. Approve a Revised Procurement Policy and Adopt a Housing Authority Resolution: a) Electing Under Public Contract Code Section 22030 to Become Subject to the California Uniform Public Construction Cost Accounting (Act) Procedures and the Uniform Construction Cost Accounting Commission's Cost Accounting Policies and Procedures Manual Effective July 1, 2020 I; b) Authorizing the Executive Director to Notify the State



Controller of the Election; and c) Approving the Revised Housing Authority Procurement Policy, Including all Attachments – **Page 101**

- 9-C. Accept a Presentation and Discussion on AHA’s Obligation and Options to Prefund Pension Liabilities and Provide Direction to Staff on Pre-funding of the Pension Liability Direct staff to take one of three actions: (a) Keep AHA funds in an Internal Service Fund (b) Approve a Payment of Up to \$1,000,000 to CalPERS by June 30, 2020 or (c) Create Irrevocable Supplemental Trust (IRC Section 115 Trust) by June 30, 2020 with a \$1,000,000 seed payment and select an investment Rate of Return of 4% – **Page 136**
- 9-D. Accept an Update on the Alameda City Council Referral from October 15, 2019 and Appoint an Adhoc Committee of the Board to Work with Staff in Addressing These Issues – **Page 160**
- 9-E. Establish a Nominating Ad Hoc Committee for the Appointment of the Chair and Vice Chair of the Board of Commissioners for the Period of July 1, 2020 - June 30, 2021 – **Page 164**
- 10. ORAL COMMUNICATIONS, Non-Agenda (Public Comment)
- 11. COMMISSIONER COMMUNICATIONS, (Communications from the Commissioners)
- 12. CONTINUATION OF CLOSED SESSION – IF NEEDED
- 13. Announcement of Action Taken in Closed Session, if any.
- 14. ADJOURNMENT

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Note

- If you need special assistance to participate in the meetings of the Housing Authority of the City of Alameda Board of Commissioners, please contact (510) 747-4325 (TTY/TRS: 711) or [vmondo@alamedahsq.org](mailto:vmondo@alamedahsq.org). Notification 48 hours prior to the meeting will enable the Housing Authority of the City of Alameda Board of Commissioners to make reasonable arrangements to ensure accessibility.
- Documents related to this agenda are available for public inspection and copying at the Office of the Housing Authority, 701 Atlantic Avenue, during normal business hours.
- Know Your RIGHTS Under The Ralph M. Brown Act: Government’s duty is to serve the public, reaching its decisions in full view of the public. The Board of Commissioners exists to conduct the business of its constituents. Deliberations are conducted before the people and are open for the people’s review. In order to assist the Housing Authority’s efforts to accommodate persons with severe allergies, environmental illnesses, multiple chemical sensitivity or related disabilities, attendees at public meetings are reminded that other attendees may be sensitive to various chemical based products. Please help the Housing Authority accommodate these individuals.



DRAFT MINUTES

**REGULAR MEETING OF THE BOARD OF COMMISSIONERS  
OF THE HOUSING AUTHORITY OF THE CITY OF ALAMEDA  
HELD WEDNESDAY APRIL 15, 2020**

Due to temporary changes in the Brown Act, a zoom meeting link and call-in number were provided to the public.

The Board of Commissioners Meeting was called to order at 6:00 p.m. via a zoom online conference call.

PLEDGE OF ALLEGIANCE

Did not take place as the Board of Commissioners Meeting took place via zoom conference call.

1. ROLL CALL - Board of Commissioners

Present: Chair Kurrasch, Vice Chair Tamaoki, Commissioner Grob,  
Commissioner Hadid, Commissioner Kay, and Commissioner Weinberg

Absent: Commissioner Rickard

2. Public Comment (Non-Agenda)

None.

Staff confirmed that Closed Session would take place via conference call on a confidential AHA phone line and a brief dialogue ensued confirming the conference call details.

3. Closed Session – 6:00 p.m. – Adjournment to Closed Session to Consider:

3-A. Closed Session pursuant to Government Code Section 54956.8, Conference with Real Property Negotiators. Property: Assessor's Parcel Numbers 70-184-15; Authority Negotiators: Vanessa Cooper and Kathleen Mertz; Negotiating Parties: David Garfinkle Trust and Diana Garfinkle Trust, respectively; Under Negotiation: Price and Terms of Payment.

3-B. CONFERENCE WITH REAL PROPERTY NEGOTIATOR pursuant to Government Code Section 54956.8.



Property Location: 1101 Marina Village Pkwy, Alameda, CA 94501  
APN: 74-1334-64

Agency Negotiation: Vanessa Cooper, Executive Director, Cynthia Alvarez, Deputy Executive Director

Negotiating Parties: Housing Authority of the City of Alameda and G&L 1x Marin Village Office Park, LP

Property Owner: G&L 1x Marin Village Office Park, LP/ [24]7.ai, Inc.

Under Negotiation: Property Negotiations of Sublease, rent and terms of payment

4. Adjournment of Closed Session
5. RECONVENE REGULAR MEETING – 7:00 p.m.
6. Announcement of Action Taken in Closed Session, if any.

Chair Kurrasch commented that Closed Session discussed a property issue and the Commission gave direction to the Executive Director and other AHA staff. One Closed Session item will be discussed later as an Agenda Item and the other Closed Session item will be brought back at a later date.

7. Public Comment (Non-Agenda)

None.

8. CONSENT CALENDAR

- Consent Calendar items are considered routine and will be approved or accepted by one motion unless a request for removal for discussion or explanation is received from the Board of Commissioners or a member of the public.

**Items accepted or adopted are indicated by an asterisk.**

Vice Chair Tamaoki commented on page 18, Consent item 8-C regarding some tenants receiving unemployment benefits and their employment exceeding the \$10,000 limit and asked what the impact will be for these tenants.

Ms. Vanessa Cooper, Executive Director, explained that tenants can submit documentation to recalculate their rent portion and the Housing Programs Department (HPD) is currently recalculating for decreases in tenant incomes. Households at the lower end of the income bracket will receive full unemployment benefits, plus an additional \$600 a month for 4 months which changes the household income. Ms. Cooper explained participant payment scenarios and explained the process of income increases and decreases. Ms. Cooper commented that in conversations with other Housing Authorities, it is thought that HUD may decide to not include this 4-month payment as it would trigger an income increase and, 4 months later, an income decrease. If the additional \$600 per month is not calculated as an increase, this means that more HAP will be spent and AHA may fall into shortfall, but this is similar to many Housing Authorities.



Vice Chair Tamaoki asked if there is any chance that the additional income would make a tenant ineligible for section 8 and Ms. Cooper explained it is highly unlikely and explained ineligibility within the Section 8 Program.

Commissioner Rickard joined the zoom conference call meeting.

Vice Chair Tamaoki referenced page 52 on the Development Report on Rosefield and mentioned that the report says that there is one unit waiting to be permanently located but asked what is happening with the other 6 tenants. Ms. Cooper explained that there are 13 units that will be remodeled during the project and when AHA did the full relocation of tenants, the tenants in units which were not being demolished had the choice to stay in their unit or move off-site. Ms. Cooper explained that staff does not expect many of these households to move now, but once construction starts, this may change.

Commissioner Kay recused herself from voting on Item 3-A: "Approve Minutes of the Board of Commissioners Meeting held March 18, 2020" since she did not attend the meeting.

Commissioner Rickard noted that he had to recuse himself from the Closed Session discussion.

Vice Chair Tamaoki moved to accept the motion and Commissioner Hadid seconded the motion. This meeting took place via teleconference, so a roll call vote was taken; all were in favor and the motion passed unanimously:

Yes: 6 Chair Kurrasch, Vice Chair Tamaoki, Commissioner Grob, Commissioner Hadid, Commissioner Kay, and Commissioner Weinberg

Abstained: 1 Commissioner Rickard

- \*8-A. Approve Minutes of the Board of Commissioners Meeting held March 18, 2020 and the Special Board of Commissioners Meeting held April 8, 2020
- \*8-B. Accept the Monthly Overview Report for Operations/H.R./I.T.
- \*8-C. Accept the Monthly Overview Report for the Housing Programs Department
- \*8-D. Accept the Monthly Overview Report and Business Activity Assessment Report for the Alameda Rent Program
- \*8-E. Accept the Monthly Overview Report for Property Operations and Approve Property Transfers to JSCo
- \*8-F. Accept the Monthly Overview Report for Housing & Community Development
- \*8-G. Accept the Monthly Development Report for Rosefield Village
- \*8-H. Accept the Monthly Development Report for North Housing
- \*8-I. Authorize the Executive Director to Negotiate and Approve a Retroactive Contract Extension of One (1) Year and Five (5) Months for the Contract Between the Alameda Housing Authority to September 30, 2020 and Nunes Painting and Decoration in the Amount of a Total Not to Exceed \$500,000



- \*8-J. Accept the Finance and Budget Variance Report for February 29, 2020
- \*8-K. Accept a Revised Budget Process for Fiscal Year 2020-2021
- \*8-L. Review and Approval of Consent to Potential Conflict of Interest Regarding Housing Authority of the City of Alameda and City of Alameda
- \*8-M. Receive and File an Update on the City Council Recommendations from October 15, 2019

9. AGENDA

- 9-A. Approve an Extension to the Delegation of Authority to the Executive Director, or Designee, to Exercise Emergency Powers During the Local Public Health Emergency Relating to Operations, Tenant and Employee Safety, and HUD or Other Compliance Issues, to No Later than the Next Regular Board of Commissioners Meeting after the Shelter in Place is Lifted

Ms. Cooper explained that when staff came before the Board last month, they discussed Emergency Powers and explained that while Emergency Powers were extended to the May meeting, staff wanted to come back with the change that these powers would extend through the first Board Meeting following the end of the Shelter in Place orders.

Ms. Cooper mentioned that staff is bringing the Executive Power items which have been executed since the last Board meeting before the Board for ratification.

Ms. Cooper commented that on Friday, HUD released several waivers which will impact the AHA Administrative Plan and explained that these changes will come back before the Board for ratification in May. Ms. Cooper explained the changes within AHA’s departments, the changes to the Administrative Plan, and the implications of Emergency Powers taken between the March meeting and the April meeting.

Commissioner Kay moved to accept the motion and Commissioner Grob seconded the motion. This meeting took place via teleconference, so a roll call vote was taken; all were in favor and the motion passed unanimously:

Yes:	7	Chair Kurrasch, Vice Chair Tamaoki, Commissioner Grob, Commissioner Hadid, Commissioner Kay, Commissioner Rickard, and Commissioner Weinberg
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- 9-B. Adopt the Resolution to Amend the Housing Authority’s Revised Employee Policies and Procedures Handbook, Last Revised 12/21/2016, effective 1/8/2017 to Adopt Temporary Revisions to the Paid Time Off and Unpaid Time Off and Leaves of Absence Policies of the Housing Authority’s Employee Policies and Procedures Handbook

Ms. Janet Basta, Director of H.R. and Operations, explained that the memo and resolution before the Board and commented that these changes are based on practices to address the COVID-19 crisis. Ms. Basta explained that the changes





affect the paid time off policies, an increase to the vacation accrual cap and commented on how these changes will help staff.

Ms. Basta explained that emergency paid sick leave grants up to 80-hours for a variety of COVID-19 reasons and The Families First legislation came into effect on April 1, 2020. Ms. Basta commented that AHA is subject to this legislation and explained the policy changes.

Ms. Basta mentioned that the other AHA revision is to request an advance of leave prior to accrual to assist with staff with low balances, and Ms. Basta explained what this process entails.

Ms. Basta commented that leave changes are due to new legislation and these changes provide for expanded family medical leave. Ms. Basta explained the different changes relating to sick, paid, and family leave which have been put in place due to COVID-19. Ms. Basta explained that leave has been offered to AHA staff on an intermittent basis which allows staff to be out of the office when needed, and in the office as much as they are able. Ms. Basta commented that further changes to the AHA policies in the Employee Handbook will come back before the Board should they arise.

Commissioner Grob moved to accept the motion and Vice Chair Tamaoki seconded the motion. This meeting took place via teleconference, so a roll call vote was taken; all were in favor and the motion passed unanimously:

Yes: 7 Chair Kurrasch, Vice Chair Tamaoki, Commissioner Grob, Commissioner Hadid, Commissioner Kay, Commissioner Rickard, and Commissioner Weinberg

9-C. Adopt a Resolution Authorizing Submission of Funding Applications for the North Housing Project

Ms. Kathleen Mertz, Director of Housing and Community Development, explained that this resolution came before the Board last month and there were language concerns in the authorizing resolution, so this item is back before the Board with additional language. Ms. Mertz explained the resolution and how this staff will come back before the Board for the acceptance of the award.

Vice Chair Tamaoki commented that the new wording on the resolution correctly addresses the comments from the last meeting and confirmed that he agrees with the changes.

Vice Chair Tamaoki moved to accept the motion and Commissioner Grob seconded the motion. This meeting took place via teleconference, so a roll call vote was taken; all were in favor and the motion passed unanimously:



Yes: 7 Chair Kurrasch, Vice Chair Tamaoki, Commissioner Grob, Commissioner Hadid, Commissioner Kay, Commissioner Rickard, and Commissioner Weinberg

9-D. Approve and Provide Feedback on the Housing Authority's Policy on the Release of Tenant, Participant, Applicant, Vendor, and Landlord Personally Identifiable Information

Ms. Cooper commented that this item is back before the Board as it has come up during the recent health situation. Ms. Cooper explained that some of these policies were in different areas throughout the organization, but now have been compiled into one document. Ms. Cooper explained that tenant information is private and not released unless the proper approval has been given to AHA. Ms. Cooper provided scenarios of releasing information and explained how information is often requested.

Ms. Cooper walked through the memo step-by-step and commented how, after the proper approval, information is provided to the requested party. Ms. Cooper commented that Ms. Jhaila R. Brown, Attorney at Goldfarb & Lipman LLC, is on the zoom conference line should legal questions arise regarding this private information.

Ms. Cooper stated that staff is asking the Board to approve or provide feedback on this memo and explained the process if the Board provided feedback items which lead to edits in the policy.

Commissioner Rickard asked how often AHA receives law enforcement requests, and if they are usually from the Alameda Police Department or if the requests come from different agencies. Ms. Cooper explained that requests are made infrequently, but tend to come in waves, so staff may receive two requests in a month, and then zero requests for several months. Ms. Cooper explained that requests come from several law enforcement offices and regulatory bodies..

Ms. Brown added that the most prudent way of dealing with release of information requests, is through getting a subpoena. AHA does not know if the reason for the information request is legal, so the safest way to provide information is through a subpoena.

Vice Chair Tamaoki commented that it is very timely that staff is revisiting this policy and added that the information AHA has on tenants is incredibly valuable. Vice Chair Tamaoki added that it is unclear what kind of liability AHA has if there is a release of information that leads to identity theft or a loss, and AHA needs to be thoughtful about this process and is glad this is a topic of discussion.

Ms. Brown commended Ms. Cooper for standing firm in the protection of the PII of her clients and tenants.

Vice Chair Tamaoki moved to accept the motion and Commissioner Kay seconded the motion. This meeting took place via teleconference, so a roll call vote was taken; all were in favor and the motion passed unanimously:



Yes: 7 Chair Kurrasch, Vice Chair Tamaoki, Commissioner Grob, Commissioner Hadid, Commissioner Kay, Commissioner Rickard, and Commissioner Weinberg

- 9-E. Authorize and Direct the Executive Director or Designee to Sign and Negotiate a Sub-Lease Agreement, Including Final Terms and Payment with G&L 1x Marin Village Office Park, LP/sub lessee [24] 7.ai, Inc. APN: 74-1334-64. Approve Costs Related to Opening and Moving the Office

After the closed session was adjourned Chair Kurrasch reported out that the negotiating terms of the proposed sub-lease were discussed by the Board.

Ms. Cooper asked the Board to clarify the delegated authority granted in connection with the negotiation and execution of the sub-lease and asked if the sub-lease would need to be ratified by the Board at the next Board meeting before being executed. A dialogue ensued regarding terminology and Commissioner Weinberg stated that Ms. Cooper will be delegated the authority to negotiate and execute the sub-lease, subject to review and approval by legal counsel, and the executed sub-lease should be presented to the Board at the next May 2020 Board meeting. Vice Chair Tamaoki asked about the purpose of the ratification and discussion on this topic ensued. Ms. Brown explained that the ratification would also approve the sub-lease, after it had been executed by the Executive Director, which procedurally would not be necessary if delegated authority to negotiate and execute the sub-lease is authorized and approved by the Board. Ms. Brown explained that if the Board's intent in bringing the sub-lease back is to include it in the public record, not to review and approve it, then adding the executed sub-lease on the next May 2020 agenda as a receive and file item, was sufficient, since the sub-lease would already be executed by all parties.

It was agreed to bring back the item to a "Receive and File item at the next regular Board Meeting."

Vice Chair Tamaoki added that the delegation of authority for the sub-lease is for Ms. Cooper to negotiate and execute a contract at terms, not worse than what was discussed in Closed Session.

Commissioner Weinberg moved to accept the motion and Commissioner Kay seconded the motion. This meeting took place via teleconference, so a roll call vote was taken; all were in favor and the motion passed unanimously:

Yes: 7 Chair Kurrasch, Vice Chair Tamaoki, Commissioner Grob, Commissioner Hadid, Commissioner Kay, Commissioner Rickard, and Commissioner Weinberg

10. ORAL COMMUNICATIONS, Non-Agenda (Public Comment)

None.



11. COMMISSIONER COMMUNICATIONS, (Communications from the Commissioners)

This is Ms. Mertz's last Board of Commissioners meeting as the Director of Housing and Community Development and she was thanked by the Board for her contributions to the Housing Authority.

12. CONTINUATION OF CLOSED SESSION – IF NEEDED

Continuation not needed.

13. Announcement of Action Taken in Closed Session, if any.

None.

14. ADJOURNMENT

There being no additional Closed Session or further business, Chair Kurrasch adjourned the meeting at 7:51 p.m.

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Vanessa M. Cooper  
Executive Director/Secretary

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Arthur Kurrasch, Chair  
Board of Commissioners





# Housing Authority of the City of Alameda

PHONE (510) 747-4300  
FAX (510) 522-7848  
TTY/TRS 711

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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Janet Basta, Director of Human Resources and Operations

Date: May 20, 2020

Re: Accept the Monthly Overview Report for Operations, H.R., and I.T

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## **BACKGROUND**

This memo provides a high-level overview of agency activities in the prior month for agency Operations, Human Resources, and I.T.

### Human Resources and Operations

A summary of unfilled positions that are on the Schedule of Authorized positions is presented below. Positions are listed by department, and information about current and recent recruitments is included, including any positions on the current Schedule of Authorized Positions that Management is electing not to fill or that have been outsourced.

<u>Department</u>	<u>Position</u>	<u>Number of Vacant Positions</u>	<u>Recruitment Status</u>	<u>Other Updates</u>
Administration	Management Analyst	1 FTE	One position open due to turnover	Recruitment to start in late May
	Communications Manager	1 FTE	Initial interviews completed, will resume in May	
	Risk Manager	1 FTE	In interview phase	
	Executive Assistant	1 FTE	Recruitment with outside recruiter; in interview phase	



Finance		0 FTE		Department is fully staffed
Housing Programs	Housing Programs Supervisor			Position filled; department now fully staffed
Property Operations	Director of Property Operations	1 FTE	Position newly vacant	Will be opened with amended job title to reflect changes in property management
	Facilities Supervisor	1 FTE	Position newly vacant	On hold
	Assistant Resident Managers: IP and China Clipper	.25 FTE	Initial postings not successful; CC transitioning to JSCo	Security guard at China Clipper & Parrott Village in evenings
Housing and Community Development	Director of Housing Development	1 FTE	Outside recruiter conducting recruitment	Interviews scheduled for mid may
Rent Program	Rent Program Specialist	1 FTE	Phone and video interviews in progress	

Summary: Total FTE's approved for FY 2020: 58.50  
Number of vacancies: 8.25  
Number of active recruitments: 7.00

Recruiting is proceeding by use of video technology; as it may be some time before in-person interviews are able to be conducted. This technology has provided a mechanism to be able to interact with candidates and keep recruitments moving so that critical positions can be filled. This technology will also be used for onboarding of new employees. Supervisors are using phone and, to some extent, video communications, to conduct supervisory check-ins and performance reviews to allow for these core management functions to occur.



May 2020 is the month for AHA to recertify employees in the required sexual harassment training. Originally, a presenter from AHA's HR legal firm was scheduled to present a live training; however, due to social distancing requirements, this in person training has been cancelled and the training will now be provided to staff online.

Significant time was spent during the past month planning for, and addressing legislation, ever-changing medical guidance, and operational changes that occurred as a result of the current coronavirus public health emergency. Additional supplies have been purchased and distributed as needed. Social distancing requirements (in addition to those mandated by the County Order), have been developed and distributed to staff, and changes to the physical work place, such as increasing the distance between staff workspaces and creating one-way traffic flows, have been put in place. As plans develop for all employees to return to the office, additional controls and protocols will be instituted.

The Families First Coronavirus Response Act (FFCRA), which provides both additional sick leave (up to 80 hours) and Expanded Family and Medical Leave (E-FMLA) benefits (up to 12 weeks) to care for children whose school or childcare is closed or unavailable, has been put in place. Currently, seven staff members (approximately 14% of FTE's) have requested E-FMLA leave on a full-time or intermittent/part-time basis for childcare or school closure purposes. In addition, approximately 67% of staff have utilized some or all of the additional sick leave provided to staff in March, and 14% of staff have utilized some or all of the additional federal sick leave provided for COVID-19 related reasons. It is anticipated that, with the prolonged nature of the pandemic and the uncertainty around summer camp and school operations, staff will continue to need to avail themselves of this leave in the upcoming months, particularly as more businesses open and employees return to work. Work will need to be further prioritized, and where possible, temporary staff utilized to fill the gap for staff on these and other non-COVID-19 related leaves.

Addressing staff needs due to the health crisis itself and the associated leaves has led to a significant increase in time spent on employee communications, employee relations issues, general HR work, and related legal costs at this time.

#### Information Technology/Administration

With the current situation, leasing meetings for Eden's Alameda Point Senior Apartments have continued, but it is anticipated that the leasing for the 25 Project Based Vouchers (PBV) will not be completed on time due to delays on applicant referrals from the Veteran Administration.. The owner is anticipating construction to be completed by May and the waitlist for non-PBV units was opened by Eden in April. Staff continue to work closely with the VA and Eden on their lease up.

Twenty-one staff members continue to work from home full or part time. However, remote working options and older laptops require significant additional daily IT staffing and pose



potential further risks to data integrity and security. Additional laptops were purchased to increase capacity for working offsite and to provide backup laptops for exempt staff in the event their currently issued laptop start to malfunction. Additional cell phones with hotspots have been purchased to provide hotspots to staff working from home

The IT service tickets for the month of February 2020 and March 2020 are being reported this month. While the tickets for February, were mostly routine in nature, those for March reflect the preparing and troubleshooting of laptops recently purchased and assigned to employees to adapt office operations to the current health situation. In February, there were seven (7) tickets where the response time was incorrectly measured, which spiked the average response time to 40.30 hours. Omitting these outliers as the work was timely addressed and the ticket just not updated, the average response time for February tickets was only about 0.09 hours. For March, there were five (5) tickets where the response time was not correctly measured, which spiked the average response time to 3.69 hours. Omitting these outliers as the time on the ticket does not represent the true response time, the average response time for March tickets was only about 0.25 hours. The tables below underscore the sharp increase in IT support needed to prepare and support staff working from home.

Techordia Service Ticket Requests - February 2020

Type of Service Request	Number of Tickets
Access rights	9
Hardware	7
Software	12
On Boarding / Off Boarding	2
On Site Visits	9
Cyber Security	1
TOTAL:	40

Techordia Service Ticket Requests - March 2020

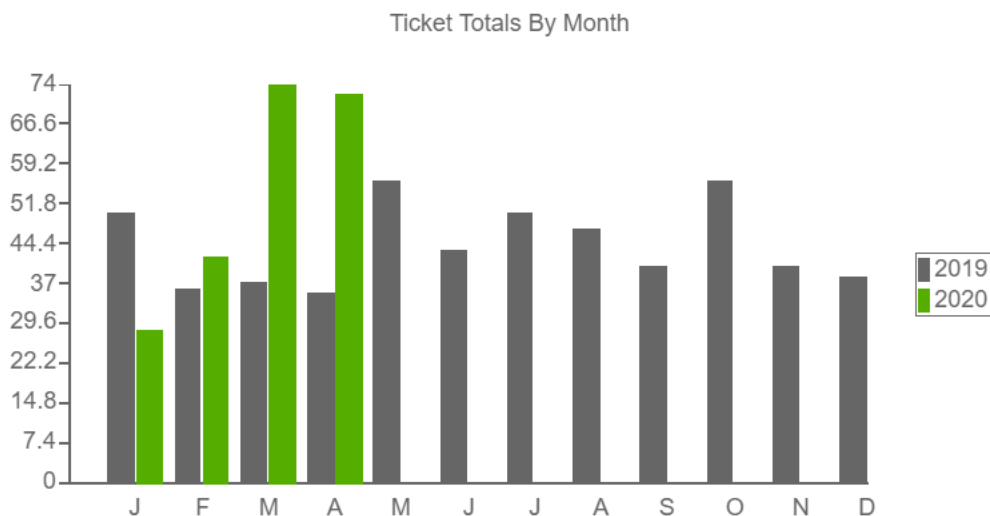
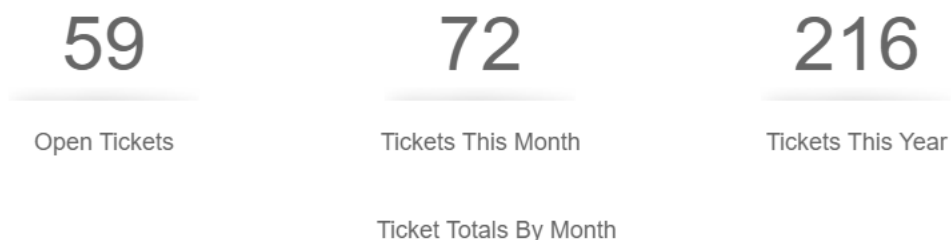
Type of Service Request	Number of Tickets
Access rights	8
Hardware	36
Software	15
On Boarding / Off Boarding	6
On Site Visits	6
Cyber Security	1
TOTAL:	72

As of April 28, 2020, there have been 216 tickets this year, and, at that time, there were 59 open tickets. As illustrated in the below graph, tickets in April 2020 were higher than January 2020 and February 2020 combined. Below is a chart of tickets for year 2019





versus 2020. The increase in tickets for April were for two inter-related reasons: 1) the coordination and preparation to have staff work remotely and 2) troubleshooting the needs of staff once they were working remotely. When staff work remotely, Techordia normally performs the IT support as internal staff do not have the software to capture and control computers remotely.



In the coming weeks, AHA intends to reissue its RF for IT services. This health crisis has highlighted the need for a more comprehensive support plan, given the increasing reliance on IT access as staff work from home and AHA implements more online access for tenants, landlords and assisted participants.

On April 15, 2020, a high temperature alert for the AHA’s server room was received. All servers were turned off as a precaution to prevent equipment from permanent damage. It was determined that a power outage turned the air conditioning unit off and the system was unable to restart itself. The unit was turned back on and a new system ordered, which will be installed during May. The approximate cost of the upgrade is \$7,900.

Over the past few years, staff has been working towards moving systems more online and remote, such as the launch of Rent Café in 2019. The current health crisis has expedited a number of changes. As reported last month, VENDORCafé was launched in March along with an emergency messaging system. This month, staff have worked behind the scenes to set-up more online options, which should be launched in May or June and include a landlord portal, online rent payment by credit cards, an applicant portal



Honorable Chair and  
Members of the Board of Commissioners

May 20, 2020  
Page 6 of 6

to communicate with applicants, and expanding Rent Café to accept interims along with annual recertifications. AHA will be moving to DocuSign for managing document signatures. The approximate cost of these upgrades is expected to be \$11,000.

The IT budget for 2020 will probably be exceeded and it is being expanded for FY 2021 to include the ongoing costs of the additional online programs to allow vendors, landlords, tenants, and participants to communicate with the Housing Authority online and without in-person meetings.

Costs related to the Housing Choice Voucher program may be able to be recouped from the additional 2 months of Administrative Funding provided by HUD. These costs are being tracked by Finance.

### **RECOMMENDATION**

Accept the Monthly Overview Report for Operations, H.R., and I.T.

Respectfully submitted,



Janet Basta  
Director of Human Resources and Operations

JCB/TMSC



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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Lynette Jordan, Director of Housing Programs

Date: May 20, 2020

RE: Accept the Monthly Overview Report for the Housing Programs Department

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## **BACKGROUND**

This memo provides a high-level overview of Housing Programs Department (HPD) activities for the prior month.

### Department Update

Housing Program Department staff are working full time in the office and have focused their efforts on downward rent adjustments, rent increases, and annuals – all of which impact the tenant's rent amount. While there are many downward adjustments, in some cases, our tenants are seeing increases in income, especially those who work in the health care or grocery industry. Further, as those tenants who lost work apply for and eventually receive unemployment benefits, the HPD expects to see a significant number of increases, which may exceed the new \$10,000 limit and will require significant staff time to process.

Due to job losses among our Section 8 participants, the use of HUD funds for Housing Assistance Payments (HAP) significantly increased in April and May. AHA has identified that if the needs continue at the same rate or increase, AHA will have more Section 8 funding obligations for the calendar year for HAP than HAP available. Staff notified HUD of this situation previously and, in early May, AHA received an official HUD Shortfall letter.

The prime goal of Shortfall management is to preserve HAP funds to pay for the approximately 1,500 Section 8 voucher holders who are already leased up (i.e. to maintain stable housing for those who are already subsidized). This means AHA will stop leasing to newly issued voucher holders, remove vouchers from those new voucher holders who are currently searching and will implement other HUD required or recommended strategies to reduce HAP loss, minimize moves, and prevent fraud. Although the actual shortage in HAP funds appears later in the calendar year, staff will be maximizing efforts now to avoid any loss of housing.

To put this news into context, AHA was one of the few Bay Area PHAs not already in Shortfall prior to COVID-19 (some of our neighboring PHAs have been in this situation for



years). Most PHAs nationwide will likely be in Shortfall in 2020 due to the COVID-19 crisis. The CARES Act provides for additional HAP funding which AHA will apply for promptly. Staff acted swiftly to address this early and AHA has several staff experienced in Shortfall management. Leasing of VASH vouchers at Corsair Flats will continue as that funding is not impacted. This Shortfall will require significant additional staff time and along with management of the AHA owned portfolio, will be the prime focus for the senior management and Section 8 staff in the coming months. Other less urgent tasks will be delayed.

On April 10, 2020, HUD issued Notice PIH 2020-05, subject: COVID-19 Statutory and Regulatory Waivers for Public Housing, the Housing Choice Voucher, the Indian Housing Block Grant and Indian Community Development Block Grant programs, Suspension of Public Housing Assessment System and Section Eight Management Assessment Program, which allows regulatory relief from AHA's normal operating process. Staff have reviewed the waivers and have included a separate Agenda memo for Board review. In terms of other HPD activities, HQS inspections remain halted, with the exception of vacant units.

An additional \$350,000 in Administrative Fee was received in May for use of COVID-19 related expenditures from May 2020 to October 2020. AHA submitted a waiver to HUD to be able to use this additional Administrative Fee for costs incurred in the first few months of the current health crisis.

Additional staff have been transferred to the Housing Programs Department from other AHA departments to help address the unexpected increase in necessary work. The ability to transfer staff has also been helpful during this time of significant staff absences. Welfare checks by phone have been conducted for all Section 8 tenants in multiple languages. A temporary employee is stationed outside the main office with personal protective equipment (PPE) and social distancing each day to address clients who come to the office. The HPD team has also started scanning all mail for all departments in order to centralize mail operations and minimize paper handling.

Landlords were paid on time for the April 2020 rent payment and, due to staff efforts, AHA has converted 5 landlords who received paper checks to ACH payments to allow for faster processing. Staff has seen an increase in enquiries from landlords about participation in the Section 8 Program as it provides a guaranteed income for the landlords at a time when there may be widespread delinquencies of rent payments by tenants due to the current health crisis. A new brochure has been designed for outreach purposes.

### Online Recertification

The Online Recertification portal was launched on September 1, 2019 to all program participants whose recertifications' effective date was January 1, 2020. In the month of April 2020 staff completed 97 online recertifications. Of that, a total of 6 recertifications were completed through the Reasonable Accommodation process. This online system allows AHA participants, or their family members, to complete their annual recertifications



online via cell phones, tablets, laptops, or home computers. Participants are also able to upload proof of income, assets, or other recertification documents directly into the portal. Training sessions were provided by AHA staff for 8 months; however, due to the COVID-19 and the Shelter in Place order issued March 16, 2020, training sessions have been halted until further notice. Staff are working on a way to provide training sessions via video conference.

### Lease up of Project Based Vouchers - Corsair Flats

An initial meeting for leasing the 25 Veterans Affairs Supportive Housing (VASH) Project-Based Vouchers awarded to Eden Housing's (Corsair Flats) project was held on January 17, 2020 between Eden, the Alameda Housing Authority, and staff from Veteran's Affairs. Since the start of the project AHA staff have held weekly leasing meetings and recently staff have begun processing applicants.

It was initially anticipated leasing would be complete by the end of summer 2020; however, the project has moved at a faster pace and initial inspections are slated for the week of May 18, 2020.

### Independence Plaza

Independence Plaza was awarded 25 Project-Based Vouchers (PBV). In order to select the 25 families to receive the PBV assistance, the Housing Authority held a random lottery at the Ruth Rambeau Memorial Community Room on February 6, 2020. Once the families were selected, AHA staff processed the families eligibility and completed lease-up of 12 of the 25 families. AHA hopes to complete the lease-up of the remaining 13 households with HUD approval shortly.

### HPD STATISTICS

See Attachment 1: Housing Programs Department Performance Report

### **RECOMMENDATION**

Accept the Monthly Overview Report for the Housing Programs Department.

Respectfully submitted,



Lynette Jordan  
Director of Housing Programs

Attachment:

1. Housing Programs Department Performance Report



Attachment 1 - Housing Programs Department Performance Report  
Month of April 2020

Item	January	February	March	April	May	June	July	August	September	October	November	December	YTD
<b>HAP spent for month</b>	<b>\$2,653,885</b>	<b>\$ 2,673,013</b>	<b>\$2,679,088</b>	<b>\$2,643,894</b>									<b>\$ 10,649,880.00</b>
Vouchers under lease at start of month	1487	1487	1478	1486									n/a
Vouchers issued during the month	0	0	12	0									12
New units leased in private market	4	1	1	1									7
New units leased in affordable market	1	1	5	0									7
Seeking vouchers	23	30	25	14									92
Port outs leased	0	0	0	0									0
Port ins leased	2	0	3	0									5
Annuals completed	121	117	75	97									410
Interims completed	43	42	56	145									286
Rent Increases completed	45	28	23	20									116
Inspections conducted	157	45		0									202
Inspections passed first time	80	13		0									93
Hearings requested	10	4		1									15
Hearings held	1	1		1									3
End of Participaption *	3	3	1	0									7

\* includes deaths, over income, voluntary surrender of voucher, etc.

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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Greg Kats, Rent Program Director

Date: May 20, 2020

Re: Accept the Monthly Overview for the Alameda Rent Program

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### DATA

The monthly reports for the Alameda Rent Program are available at [www.alamedarentprogram.org](http://www.alamedarentprogram.org). For outcomes of submissions reviewed, please see the full report available online.

	February	March	April
Rent increase submissions*	4	1	2
Termination of tenancy submissions	5	0	1
Buyout agreement submissions	1	4	1
Capital Improvement Plan submissions	0	1	0
Number of hearing petitions submitted	0	1	0
Number of hearings held resulting in a rent adjustment**	0	1	0
Number of staff mediations held	0	0	0

\*Includes both requests for rent adjustment hearings and requests for other staff services, e.g., reviewing rent increase notices for compliance.

\*\*Requests for hearings may not result in a hearing being held for a number of possible reasons, including: 1) successful mediation that resolves the matter, 2) the party withdrawing their request, or 3) the parties resolving the matter between themselves.

## **MONTHLY UPDATE**

The online registration process for City of Alameda rental properties is still ongoing. The registration deadline has been extended to May 25, 2020, in order to accommodate delays related to the COVID-19 pandemic. Rent Program staff were offering registration workshops for owners and property managers twice a week until mid-March, when the program was closed to the public. Rent Registration Clinics will resume once the AHA determines that it is once again safe to conduct public workshops. Staff continue to provide landlords with registration assistance via phone and email.

The latest registration statistics indicate the following:

- 49% of rental properties are registered
- 52% of rental units are registered
- 663 unit exemptions requested
- 62 property exemptions requested
- 978 rent increase errors detected based on landlord submissions

Rent Program staff continues to remotely engage in extensive community outreach to help the public, both tenants and landlords, better understand the amendments to the program regulations stemming from the passage of Ordinance 3250 in September 2019. Although the Rent Program has had to cancel its monthly informational workshops, staff continues to address questions and concerns from community stakeholders via phone and email. Staff has also developed informational workshop videos, which have been posted on the program website, for tenants and landlords to access remotely instead of attending public meetings. Staff continues to work with the City Attorney's Office (CAO) on developing regulations for the new ordinance. It is expected that this will include regulations that impact the Section 8 Program. This work is currently in progress with the CAO.

The service agreement between the City of Alameda and the Alameda Rent Program expires on June 30, 2020. AHA has received written confirmation from the City Manager, presented as an attachment in the January Board packet, indicating that City staff will recommend, to the City Council, a three-year service agreement extension effective July 1, 2020, during which AHA would continue to administer the Alameda Rent Program. The new service agreement is currently in the process of being drafted and will incorporate the significant changes to the program that have been implemented over the past 6 months. Requested changes to the service agreement include the following:

- Two automatic one-year extensions, contingent upon written approval from both the City and AHA





- A new Program Hours Matrix (as an attachment to the agreement) which estimates revised services, and associated workloads, under the new program structure
- Program budgets for FY 2020-21, FY 2021-22, FY 2022-23
- Updated reporting criteria
- A stipulation that the City of Alameda fund the unfunded CalPERS liability for Housing Authority staff assigned to the Alameda Rent Program
- Clarifying language regarding the rental unit registration and fee collection processes

The overall budget and staffing impacts for the agency are unlikely to be significant, as the Alameda Rent Program is funded through an annual program fee collected by the City. A new fee study, to determine the updated program fee for FY 2020-21, has already been initiated by the City. The revised service agreement will come to the Board for approval in the coming months.

On April 21, 2020, the Alameda City Council adopted an urgency ordinance imposing a freeze on rent increases for residential rent controlled units in Alameda (generally, multi-family units built before 1995). The freeze on rent increases does not apply to rental units exempt from local rent control (generally, single-family homes, condominiums, and privately owned rental units participating in the Housing Choice Voucher Section 8 Program). Landlords of rental units subject to the rent increase freeze are now prohibited from increasing rents until January 1, 2021.

The urgency ordinance also expands eviction protections to prohibit no fault evictions based on an owner move-in or capital improvement projects, for all residential rental units. These are, in addition to earlier tenant protections, prohibiting evictions for failing to pay rent due to financial impacts arising out of the COVID-19 pandemic, which were enacted in an earlier version of the urgency ordinance. The ordinance does not relieve the tenant from the obligation to pay the full rent and provides the tenant 180 days to catch up on any rent that was not paid during the period from March 1, 2020 to 30 days following the end of the Declaration of Local Emergency.

### **RECOMMENDATION**

Accept the Monthly Overview for the Alameda Rent Program.

Respectfully submitted,



Greg Kats  
Rent Program Director





# Housing Authority of the City of Alameda

PHONE (510) 747-4300  
FAX (510) 522-7848  
TTY/TRS 711

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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Cynthia Alvarez, Deputy Executive Director

Date: May 20, 2020

Re: Accept the Monthly Overview Report for Property Operations

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## **BACKGROUND**

This memo provides a high-level overview of the Property Operations Department's activities for the month of April 2020.

## **DISCUSSION**

The attached table (Attachment 1) summarizes property performance of all sites AHA owned and managed, affiliate owned, and properties managed by The John Stewart Company (JSCo).

## **VACANCY**

The attached table (Attachment 1) reflects sixty eight (68) vacancies out of six hundred and twenty-nine (629) units for all properties including: AHA owned and managed; affiliate owned; and properties managed by the third party management company The John Stewart Company (JSCo), as of the end of March 2020. Of these fifty (50) are off-line for rehab or demolition – forty-six (46) units at Rosefield Village, and four (4) units at the scattered sites. Progress is taking place in filling the remaining eighteen (18) vacancies. Where units are under rehab, as in the case of Sherman Street, they are considered temporarily offline.

Of these eighteen (18) vacant units, thirteen (13) units have been turned and are ready for occupancy through the end of April. Work continues with existing vacancies and newly vacated units to prepare units for occupancy as soon as possible. The number of vacancies is a result of three consequential events. AHA did not perform move-ins and stopped processing prospective tenants for two weeks in March due to COVID-19 and the Shelter in Place order. In addition, due to the elevator being out of service in one building at Independence Plaza (IP), staff started to hold units vacant to transfer impacted tenants who wished to move to another building within IP. Finally, two staff who process applicants have been out since mid-March. This further delayed the processing of applications. Work on this has been transferred to other staff who are being trained. Staff



is now, once again, diligently working on continuing to secure additional move-ins to take place throughout May 2020.

Lease up coordination between AHA Property Management, JSCo, and AHA Housing Programs reinitiated in April with the goal to fill vacancies as expeditiously as possible. Housing Choice Voucher holders who are over housed will be outreached to in May to offer moves to appropriately sized units. Applicants from waitlists have been either outreached or are in process for applicable vacant units. To the extent possible, three and five applicants are processed for all vacancies, respectively. Vacancies that do not have a waitlist are posted on the AHA website and, while the AHA office is closed to the public, applications are available through the temporary employee seated outside the AHA office.

### RENT COLLECTIONS

The attached table (Attachment 1) provides the collection rate for all AHA owned and managed, affiliate owned, and properties managed by The John Stewart Company (JSCo).

An explanation for properties with a collection rate below 98% or above 100% is provided below. As discussed in February's Property Operations monthly overview report, Independence Plaza's rental income was under-budget by approximately \$62,000 per month. The monthly budgeted amount should have been \$172,000. This would then normalize the variance to account for the ten (10) vacant units at the property with an income loss of \$13,080. These budgeting issues will be corrected in the next full budget process.

The Scattered Sites' 82.0% collection rate is a result of the offline units. There are four (4) units currently offline due to extensive repairs, which is an estimated income loss of \$7,654 each month. Three (3) of the units have a revised expected completion and it is anticipated the units will be ready for occupancy by June 15, 2020. The fourth is a more extensive project and the contract for that work is in the process of being signed.

China Clipper's better than budget collection rate of 114.7% is due to catch up \$7,440 of Housing Assistance Payment (HAP).

Rosefield Village's 12.9% collection rate is the result of forty-six (46) vacant units out of a total fifty-three (53) units. These units are permanently offline due to the upcoming reconstruction and rehabilitation of the property.

### RENT INCREASES

Rent increases for 2020 continue to be issued as permitted. The increase should not affect the tenant's rent portion unless the household is residing in an unassisted unit (which often is a unit with no PBV or HCV subsidy tied to it, or is a result of being over income and losing assistance) or are over housed (i.e. have an extra bedroom outside of



their approved voucher size). All households who are over housed and have a tenant based voucher, have, or will be, offered an opportunity to move to the correct sized unit when available, provided they are in good standing with AHA. The rent increase notices are provided sixty (60) days prior to the effective date of the increase.

Rent increase notices for Project Based Voucher (PBV) tenants at Esperanza went out at the end of January and went into effect April 1, 2020.

### ADDITIONAL UPDATES

As discussed in the April 15, 2020 Property Operations report, the Shelter in Place order mandated revisions to three aspects of property operations. One is to prioritize emergency work orders for our tenants. In order to mitigate concerns related to COVID-19, preparation leading to HQS inspections is not taking place at this time for occupied units. Work orders continue to be entered into the system and priorities are assigned based on close review, including communication with tenants to ascertain the work requested. Social distancing continues to be practiced in the work taking place throughout the portfolio.

Tenants living through the AHA managed portfolio continue to be contacted by Property Operations staff on a weekly basis during the Shelter in Place order. Staff is making these wellness calls to connect with tenants and provide a way to obtain their feedback. Households are encouraged to reach out to LifeSTEPS and, when deemed necessary, referrals to LifeSTEPS are made by staff.

As previously discussed, as AHA's senior tenants continue to age in place, there are growing challenges to their ability to live independently and tenants are further impacted as assisted living is rarely available to them due to the high costs associated with assisted living. During the current period, staff have identified one (1) household who has been out of their unit due to being at the hospital or a rehabilitation center for more than thirty (30) days.

As a result of the Shelter in Place order, AHA staff are not performing annual unit inspections. There is concern that given social distancing and the prioritization of work orders that are deemed urgent or emergencies, that hoarding may be taking place unabated. To the extent possible, staff continue to work with households previously identified and continue to refer households to LifeSTEPS and/or Adult Protective Services. Pest control concerns have become more of an issue in recent months and there are linkages with hoarding. However, when all other avenues have been exhausted, staff engage with an AHA attorney to assist in getting cooperation from these tenants. Tenants are also given access to free legal services and this partnership can work well to get the hoarding/pest control issues resolved to the level where the subsidy and tenancy can continue and other residents are less impacted. A great amount of resources and staff time are taken when one household adversely impacts the greater community. It is an area that continues to underscore the higher level of



care some tenants require in order to mitigate impact on neighbors and ensure a tenant's well-being especially given the health situation in which we are operating.

### SOCIAL SERVICES

Staff continues to be in discussions with LifeSTEPS and with the Food Bank to discuss the impact of the COVID-19 health situation upon AHA tenants and participants. There has been an increase in AHA tenants accessing the Food Bank during the Shelter in Place order as schools have closed and some tenants are impacted with a change in their income levels. AHA has provided ten thousand dollars (\$10,000) to the Food Bank to facilitate this increase in the households served. AHA has also set aside an additional fifteen thousand dollars (\$15,000) to LifeSTEPS towards rental assistance in the event the need arises.

LifeSTEPS has continued providing assistance remotely to tenants and households and has linked tenants to financial service agencies, as needed. LifeSTEPS has also provided guidance in obtaining unemployment benefits, as applicable.

Alameda Family Services usually provide services at Esperanza for families, seniors, and the homeless; however, in adherence to the Shelter in Place order, these services have been postponed. Towards the middle of March, there was consideration to start delivering these services with less face to face interaction, but unfortunately services have not started up again. Similarly, after school services provided by the Boys & Girls Club of Alameda, ceased upon the Shelter in Place order. Some online services are available for families with children and free meals are available for all children under 18 in Alameda.

in partnership with AHA, LifeSTEPS and the City, the Alameda Food Bank continues to provide services twice a month to Anne B. Diament, Independence Plaza, China Clipper, Parrot Village, Esperanza and Littlejohn Commons. The impact of Shelter in Place and social distancing will require additional changes to how food reaches tenants throughout AHA's portfolio. This means that staff continue to monitor and assess the best way to ensure tenants are able to obtain food security through the Food Bank. In the month of April, AHA staff joined in getting food to tenants due to the increase in demand at the city level and within the communities in which AHA serves. The increase in demand around food access will require that, from June 1, AHA and Lifesteps will be taking over food packing and delivery for AHA tenants. Staff time will be allocated accordingly in order to meet this increase in demand and mitigate food insecurity in the communities served by AHA. Tenants who have transportation and are not elderly or disabled are encouraged to collect their food at the Alameda Food Bank.

### MAINTENANCE

Staff continue to focus on turning vacant units. In order to adhere to social distancing recommendations, staff are only entering occupied units when an emergency or urgent request requires staff to go into a unit and make repairs. Protocols have been established



to mitigate face to face interactions with tenants and staff. Preventative interior unit inspections and HQS inspections in occupied units have been postponed until further notice. Staff are also focusing on outside work at our various sites.

The attached table (Attachment 1) shows the work orders completed for April.

### CAPITAL PROJECTS

The attached table (Attachment 2) summarizes Housing Authority budgeted Fiscal Year 2019-2020 capital projects currently underway.

As presented in the March and April Board reports, in mid-February, the sole elevator serving building 711 at Independence Plaza was put offline due to needed repairs. Upon closer consultation and, on the advice of experts, staff engaged with structural engineers, and a contract for one hundred eighteen thousand five hundred four dollars (\$118,504) has been signed with Thyssenkrupp Elevator Corporation to replace the hydraulic jack to ensure the elevator can be brought back online as soon as possible. However, due to the scope of the work, staff expects the elevator to be offline and be back in operation at the end of June. Building 711 houses forty-four (44) units. Of these, thirty-six (36) are on the second through fourth floors. Staff has engaged with tenants and is holding vacant units to allow for the transfer of tenants who need an elevator. Two households have been permanently relocated within Independence Plaza. Staff reached out to elevator vendors in order to obtain three bids. Due to the complexity of the job, however, and the ongoing Shelter in Place order, staff were unable to obtain three bids and sole sourced this project to the only vendor who has provided a scope and proposal. Barring unforeseen circumstances, we now anticipate the work to be completed by the end of June 2020.

### Facilities and Security

Security services are in operation in the evening hours at China Clipper, Parrott Village and Gardens and the main office at 701 Atlantic Ave. A new AC system is being installed in May for the server room to ensure that IT operations, including support to the remote workers, is assured. In addition, multiple physical changes have been made in the main office to provide for social distancing.

### FINANCIAL IMPACT

The Board should expect to see increased vendor contracts in the property budgets as AHA addresses the social services needs of tenants, the physical costs of physical distancing and due to the relocation and capital costs of the elevator issue.



**RECOMMENDATION**

Accept the Monthly Overview Report for Property Operations.

Respectfully submitted,



Cynthia Alvarez  
Deputy Executive Director

VMC/all

**ATTACHMENT:**

1. Property Performance for the month of April
2. FY 2019-2020 Capital Projects Update



**ATTACHMENT 1**

**Month of April 2020**

Property Name	Owned By	Managed By	Total Units	Senior or Family	Manager Units	Budgeted Gross Potential Rent	Tenant Rent Collected	Subsidy Collected	Total Rent Collected	% Collected
Independence Plaza	AHA	AHA	186	Senior	1	\$ 110,279.00	\$127,938.87	\$ 24,659.00	\$ 152,597.87	138.4%
Anne B Diament	AHHC	AHA	65	Senior	1	\$ 92,123.00	\$ 23,341.34	\$ 67,318.50	\$ 90,659.84	98.4%
Esperanza	AHA	AHA	120	Family	1	\$ 330,004.00	\$ 73,790.15	\$ 253,236.00	\$ 327,026.15	99.1%
China Clipper	AHHC	AHA	26	Family	1	\$ 44,629.00	\$ 11,335.33	\$ 39,860.36	\$ 51,195.69	114.7%
Scattered Sites	AHA	AHA	34	Family	0	\$ 70,938.00	\$ 12,309.00	\$ 45,860.00	\$ 58,169.00	82.0%
Parrot Village and Gardens	AHA	AHA	58	Family	1	\$ 159,162.00	\$ 33,779.00	\$122,395.00	\$ 156,174.00	98.1%
Littlejohn Commons	ICD	JSCO	31	Senior	1	\$ 51,246.00	\$ 14,054.00	\$ 38,390.00	\$ 52,444.00	102.3%
Everett Commons	ICD	JSCO	20	Family	1	\$ 43,793.00	\$ 10,363.00	\$ 32,139.00	\$ 42,502.00	97.1%
Rosefield Village	AHA	JSCO	53	Family	1	\$ 95,405.00	\$ 819.00	\$ 11,466.00	\$ 12,285.00	12.9%
Eagle Village	AHA	JSCO	36	Family	1	\$ 91,972.00	\$ 23,358.00	\$ 68,725.00	\$ 92,083.00	100.1%
<b>TOTAL</b>			629		9	\$ 1,089,551.00	\$331,087.69	\$ 704,048.86	\$ 1,035,136.55	95.0%

Property Name	Owned By	Vacant units at month end	Vacancy Rate %	Units offline for rehab	Vacancy rate excluding offline units	Move ins scheduled in next month	Anticipated move outs next month	Maintenance requests completed	Evictions pending with legal
Independence Plaza	AHA	10	5.4%	0	5.4%	4	1	66	
Anne B Diament	AHHC	1	1.6%	0	1.6%	0	0	36	
Esperanza	AHA	3	2.5%	0	2.5%	1	1	56	
China Clipper	AHHC	3	12.0%	0	12.0%	0	0	15	
Scattered Sites	AHA	4	11.8%	4	0.0%	0	0	7	
Parrot Village and Gardens	AHA	0	0.0%	0	0.0%	0	0	31	
Littlejohn Commons	ICD	1	3.3%	0	3.3%	1	0	4	
Everett Commons	ICD	0	0.0%	0	0.0%	0	0	3	
Rosefield Village	AHA	46	88.5%	46	0.0%	0	0	8	
Eagle Village	AHA	0	0.0%	0	0.0%	0	0	23	
		68	10.8%	50	2.9%	6	2	249	3



## Attachment 2

## FY 2019-20 Capital Projects Update (Scheduled)

Property	Project	Original Contract or Budget Amount	Approved Change Orders	Current or Revised Budget Amount	Original Substantial Completion	Expected or Actual Substantial Completion	Status
Independence Plaza	ADA Doors	160,000	0	68,000	8/2/2019	11/15/2019	Door 701 is requiring maintenance
Independence Plaza	Sprinkler Inspectons/Repairs	14,995	0	14,995	10/15/2019	10/15/2019	COMPLETE
Anne B Diamond & Independence Plaza	Balcony Assessment	200,000	0	200,000	11/1/2019	12/15/2019	Inspections COMPLETE, report delivery scheduled for May 18
Sherman Street	Roofing	145,000	0	145,000	10/18/2019	10/18/2019	COMPLETE
Sheman Street	Plumbing	25,000	0	80,000	11/1/2019	6/30/2020	Base scope work COMPLETE, staff currently coordinating finish repairs
Esperanza	Site Work (Lender Required)	100,000	-	86,500	1/31/2020	6/30/2020	Estimates secured; staff reviewing proposals & negotiating costs
Lincoln House	Fire Damage	101,000	-	236,500	11/26/2019	6/30/2020	Staff currently executing agreement, construction scheduled to begin 5/18 and conclude by 6/30
Haight Avenue	Renovation Project (Pending Acquisition)	500,000	-	500,000	-	-	On hold, project pending acquisition
Rosefield Village	Redevelopment Project	7,000,000	-	7,000,000	2020	2020	See HCD Report
North Housing	Demo/New Construction	3,000,000	-	3,000,000	2024	2024	See HCD Report

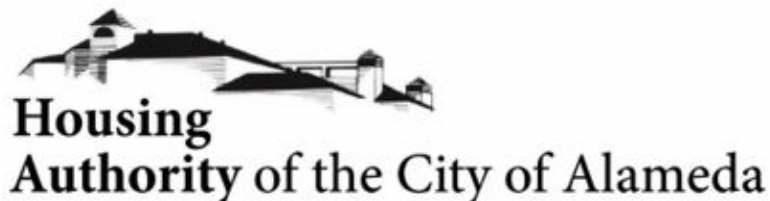
## FY 2019-20 Capital Projects Update (Unscheduled)

Property	Project	Original Contract or Budget Amount	Approved Change Orders	Current or Revised Budget Amount	Original Substantial Completion	Expected or Actual Substantial Completion	Status
AHA Office	Roof Leaks	-	-	-	-	1/22/2020	COMPLETE
AHA Office	Fire Safety Maintenance`	-	-	-	-	1/15/2020	COMPLETE
AHA Office	AC Upgrade for Server Room	-	-	-	-	5/9/2020	COMPLETE
China Clipper	Fire Safety Maintenance`	-	-	-	-	4/15/2020	COMPLETE
Esperanza	Tree Trimming	-	-	-	-	4/10/2020	COMPLETE
Esperanza	Day Care Roof Leak	-	-	-	-	1/17/2020	COMPLETE
Esperanza	Moisture Inspection (Multiple Units)	-	-	-	-	1/16/2020	COMPLETE
Esperanza	Electrical Repair	-	-	-	-	5/1/2020	COMPLETE
Independence Plaza	Warranty Repairs	-	-	-	-	2/14/2020	COMPLETE
Independence Plaza	Balcony Repairs	-	-	-	-	TBD	Staff currently reviewing engineering scope and agreement
Independence Plaza	Elevator Repairs	-	-	-	-	6/30/2020	Scheduled
Independence Plaza	Emergency Tree Removal	-	-	-	-	2/9/2020	COMPLETE
Mullberry	Water Loss	-	-	-	-	3/5/2020	COMPLETE
Parrot	Electrical Repairs	-	-	-	-	TBD	Staff currently investigating issues and developing scope
Parrot	Parking Lot Seal & Stripe	-	-	-	-	6/15	Investor required project. Estimates secured; staff currently working to schedule work
Parrot	Emergency Roof Repairs	-	-	-	-	2/14/2020	COMPLETE
Sherman	Fence Repair	-	-	-	-	5/5/2020	COMPLETE
Sherman	Roof Laundry Leak	-	-	-	-	2/7/2020	COMPLETE

## Attachment 2 Continued

## FY 2018-19 Capital Projects Update

Property	Project	Original Contract or Budget Amount	Approved Change Orders	Current or Revised Budget Amount	Original Substantial Completion	Expected or Actual Substantial Completion	Status
Anne B Diamond & Independence Plaza	Balcony Assessment	200,000	0	200,000	11/1/2019	11/1/2019	COMPLETE- Moved to 2019/20 CIP schedule - see above
Independence Plaza	ADA Upgrade Project	3,500,000	35	2,875,152	8/2/2019	7/3/2019	Base project COMPLETE. ADA doors rolled into 2019/20 CIP schedule - see above
Sheman Street	Roofing, Paving & Drainage	200,000	0	200,000	10/18/2019	10/18/2019	COMPLETE - Roofing bids secured, construction moved to 2019/20 CIP schedule - see above



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To: Honorable Chair and Members of the Board of Commissioners

From: Danielle Thoe, Management Analyst

Date: May 20, 2020

Re: Accept the Monthly Overview Report for Housing & Community Development

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## **BACKGROUND**

This memo provides an overview of the Housing and Community Development departmental activities for the prior month.

## **DISCUSSION**

### Community Development Block Grant (CDBG) and HOME Investment Partnerships Program (HOME)

On Friday, March 27, 2020, the President signed the Coronavirus Aid, Relief, and Economic Security Act (the CARES Act) into law. HUD subsequently allocated \$683,116 to the City of Alameda. Staff is preparing to take funding recommendations to the June 2, 2020 City Council meeting. The recommendations focus on the areas where the need is highest (food and shelter) and proposes funding for three programs: Emergency Food Distribution, Emergency Rent Relief, and Emergency Shelter.

Staff is preparing to take the FY 2020-25 Consolidated Plan and Annual Action Plan to the June 16, 2020 City Council meeting.

### Inclusionary Housing and Below Market Rate (BMR) Programs

In anticipation of the end of the mortgage payment forbearances and foreclosure moratorium, staff directed Hello Housing to distribute a list of resources to BMR homeowners. The homeowners received general advice for communicating with their lenders as well as specific resources which included: Eden Information & Referral for non-housing needs, local housing counseling agencies, nonprofit legal assistance providers, and the steps for determining whether their loan was owned by Fannie Mae or Freddie Mac.



Staff continues to collaborate with the City Planning and Community Development Departments in the development of Affordable Housing Agreements. Staff is currently working with Eden Housing to finalize the Affordable Housing Agreement for its 70 unit multifamily development. Staff also coordinated with Eden Housing to announce the opening of the waitlist for Corsair Flats, comprised of 60 units of senior housing.

### Housing Services Agreement with the City of Alameda

The City of Alameda has requested to amend the 2019-2020 Housing Services Agreement with the Housing Authority and bring back into the City the CDBG/HOME/BMR activities by June 30, 2020. The City has confirmed the request is not driven by performance issues but is due to a reorganization that the City is doing of the Community Development Department. The City proposes to leave intact the portion of the agreement where the City provides funds for housing development and where the Housing Authority manages the funds.

Initial negotiations with the City Manager and City staff started in early May. There is no provision in the current two-year agreement for changes. Therefore, if an amendment is desired before the end of the agreement on June, 30, 2021, both parties must agree, or one party must provide the 180 days' notice of termination as provided for in the agreement.

The City's timeline to bring this to the City Council on June 17, 2020 would allow only 8 business days to complete the transfer at the end of the month. AHA has requested that the transfer date be November 1 to allow for an orderly transfer of the program files, reporting and other program obligations and to allow AHA to develop a plan to address the impacts on its staff working on these programs. Four staff positions (1.75 FTEs) will be impacted by the loss of funding.

This issue will return to the Board of Commissioners on June 18, the day after the Council discusses this issue.

### Island City Development

The Housing Authority previously made two predevelopment loans to Island City Development (ICD) on behalf of two development projects: North Housing and Rosefield. The loan balance and project details are discussed in the attached project specific reports.

### Affordable Housing Project Pipeline

*Rosefield Village* – An update report on the project is a separate Board item.

*North Housing* – An update report on the project is a separate Board item.

*Feasibility Studies* – The feasibility studies of two potential projects were discussed in closed session. One is on hold and the second is in process.



Honorable Chair and  
Members of the Board of Commissioners

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Staff continues to evaluate potential real estate development and acquisition opportunities throughout Alameda as they become available.

#### Asset Management

Staff is working with The John Stewart Company (JSCo) to finalize the fiscal year 2020-2021 budgets for Rosefield and Eagle Village. Staff finalized the HOME compliance reporting for LIHTC property Everett Commons. Staff is continuing to work with AHA Property Management and Finance teams for the upcoming property management transfer to third party property management company, JSCo on July 1, 2020. Staff continues to complete lender and investor reporting and monthly financial review for the LIHTC properties.

#### Staffing

The team is currently reporting to the Executive Director. Recruitment is underway for a new Department Director. As with other teams at AHA, HCD staff continue to provide assistance on agency wide priorities stemming from both, high levels of absenteeism in other teams and multiple pressing needs due to the health crisis.

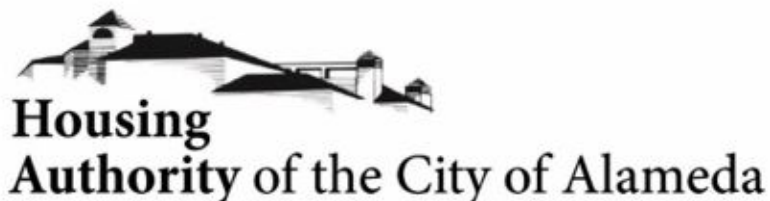
#### **RECOMMENDATION**

Accept the Monthly Overview Report for Housing & Community Development.

Respectfully submitted,



Danielle Thoe  
Management Analyst



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To: Honorable Chair and Members of the Board of Commissioners  
 From: Tony Weng, Senior Project Manager  
 Date: May 20, 2020  
 Re: Accept the Monthly Development Report for Rosefield Village

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### **BACKGROUND**

The Housing and Community Development Department provides monthly reports on projects under construction where either AHA or Island City Development (ICD) is acting as developer and provides performance guarantees.

The Rosefield Village project includes new construction of 78 units and renovation of 14 units, totaling 92 units located on the 700 block of Buena Vista Ave. ICD is the developer. The overall project scope includes both, rehabilitation of existing structures and construction of a new building in the middle of the site. In addition to the 78 units, the new central building includes onsite laundry, property management offices, social service coordination offices, a community room, and central courtyard with play structures. Twelve existing units, in five buildings, on the east and west sides of the new building will be renovated, and one house will be converted into a duplex. Please see previous monthly Board reports for project details prior to this month's update.

### **DISCUSSION**

On April 22, 2020, the last tenant awaiting a permanent move declined the unit offered. Staff continues to work with Paragon Partners and the Property Operations Department to find alternate permanent housing for remaining household. An update on the relocation status through April 30, 2020 is below:

<b>Total Units</b>	<b>Vacant Units</b>	<b>Moves Completed</b>	<b>Currently Occupied</b>	<b>Remaining Units to Permanently Relocate</b>	<b>Remaining Units to Temporarily Relocate</b>
53	46	28	7	1	5 +1 manager

Staff is working with the financing team on due diligence for a July construction start and loan closing. The final financing package will come back to the Board for approval once



Honorable Chair and  
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due diligence is complete. Bank of America and Greystone Serving Company LLC is the construction and permanent lender respectively. Enterprise Community Capital is the equity investor.

Staff and the design team received a third round of comments on the building plans and will resubmit the handful of clarifications in mid-May which should make the project permit ready. The building permit will not be pulled and paid in full until the construction loan closing. The joint trench design is currently being updated to reflect Alameda Municipal Power's (AMP) comments, for which the team now has consensus. Temporary power will be handled by the General Contractor in coordination with AMP.

Staff, in conjunctions with the Review Panel, have reviewed, interviewed, and ranked all the responses to the General Contractor Request for Qualifications (RFQ). Staff has recommended the highest-ranking General Contractor, J.H. Fitzmaurice, Inc. to be selected for the Rosefield Village development. The contract will go to the ICD board for approval once the terms are finalized. J.H. Fitzmaurice, Inc. previously served as the general contractor for the Everett Commons project.

**FINANCIAL IMPACT**

The Board has previously authorized a \$2.5 Million loan to Island City Development for pre-development expenses.

The chart below summarizes expenses through April 2020.

Rosefield Village

Pre-development Loan from AHA	\$ 2,500,000
Usage through April 2020	\$ 2,345,564
<hr/>	
Balance	\$ 154,436

**RECOMMENDATION**

Accept the Monthly Development Report for Rosefield Village.

Respectfully submitted,



Tony Weng  
Senior Project Manager





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To: Honorable Chair and Members of the Board of Commissioners  
 From: Danielle Thoe, Management Analyst  
 Date: May 20, 2020  
 Re: Accept the Monthly Development Report for North Housing

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### **BACKGROUND**

The North Housing Project is the redevelopment of approximately 12 acres of land at the former Alameda Naval Air Station (NAS) at the site known as Coast Guard Housing. The Housing Authority is leading the development under a homeless accommodation conveyance, alongside partners Alameda Point Collaborative (APC) and Building Futures. On February 21, 2016, the Board authorized acceptance of the Quit Claim deed for conveyance of the property to the Housing Authority. On June 5, 2018, City Council approved the resolution for transfer of the North Housing site to the Housing Authority. North Housing successfully transferred to Housing Authority ownership on May 30, 2019. The Board approved the Agency's Vision for the North Housing site at its August 2019 meeting.

Please see previous monthly Board reports for project details prior to this month's update. Documentation of the master planning process may be found at [www.northhousing.org](http://www.northhousing.org).

### **DISCUSSION**

Staff have continued to meet with the City to move the Development Plan and Tentative Map applications forward. The City required that both documents go before the Planning Board for a Study Session, held May 11, 2020. A high-level overview of the AHA project as well as preliminary designs for the Habitat for Humanity site adjacent to AHA's site were presented together. The goal of this session was for the Planning Board to familiarize themselves with the project and to ask questions about the big picture site planning elements. Staff will utilize questions and comments from this meeting to make any necessary changes to the Development Plan. The project is tentatively scheduled to return to the Planning Board for a formal public hearing on June 8, 2020. Staff continue to have weekly check-ins with City staff to ensure the project is moving forward. Staff have notified both APC and Building Futures of the upcoming dates so they may join AHA staff, virtually, in attending the Planning Board meetings.





Security service at the site continues without change. Security company staff have reported additional incidents of trespassers on-site throughout the last couple of weeks. A number of these individuals seem to be residents who live nearby and are curious about the site. There have been incidents reported of people breaking into the boarded buildings. Staff and the security company continue to report incidents to the police and security is diligent in its patrols. Given the timeline to building demolition staff do not recommend security changes at this time.

The content of the site's Environmental Assessment (EA has been signed-off by HUD but this EA does not rectify past issues from a HUD environmental review audit Finding. Staff have determined that the unknown timeline to get the CDBG funds into compliance is not a good tradeoff for the delay to the project given the small portion of demolition costs the CDBG funds would cover. Staff have determined the best course for the project is to move forward with demolition funded solely by AHA's predevelopment funds, which are sufficient to cover the entire demolition cost. Staff anticipate signing the contract for this work with Carmel Partners next week.

As the project has moved forward with City review, Public Works staff has stated that the City would most likely like to make the new North-South street running through North Housing a public street. The City Engineer is committed to the City of Alameda taking ownership and long-term maintenance of streets which connect and serve the public and has identified the North-South street as such. Staff have moved forward with putting together a tentative map for the North Housing site which includes the road parcel to be transferred to the City at a later date. City policy requires that this street must have a proposed name identified to be presented to City Council for approval at the same time as the tentative map. Staff anticipates this approval taking place in late summer 2020 and request feedback from the Board of Commissioners regarding the street name.

The City of Alameda has a list of pre-approved names for streets and other public infrastructure. The City has vetted all of these names for their relevance to the City, risk of potential controversies, and ensured they are not already in-use for existing streets in Alameda. The City list includes well over one hundred names and from this list, staff has developed a short list potential names for the North-South street. These are included below and staff seek feedback from the Board regarding the names.

Name	Alameda Story or Connection
Mabel Tennant	Founded and operated the Tennant Maternity Hospital, which birthed over 4,000 Alamedans between 1911 and 1944.
Theodore Meetz	The owner/operator of this first horse car line to connect Alameda to Oakland over the estuary. (may also be named for the line itself, known as the "Meetz Horse Car Line")
Lois Hanna	Lois Hanna is a former AUSD School Board member, founding member of both the Friends of the Alameda Library and the Alameda Chapter of the League of Women Voters, and the 1999 Alameda Woman of the Year.



Mabuhay	A Filipino greeting, mostly expressed as “Mabuhay!” is the imperative of life, so literally means “Live!” It carries cultural significance similar to “Aloha” with meanings of welcome, adulation, and cheers.
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Staff will work with City staff to determine appropriate name use, street suffix, and use of full or last names. While the street name needs to be determined in the near-term, staff understand the Board’s desire to develop an agency naming policy for new developments, community rooms, and other spaces. Staff look forward to working on developing such a policy that reflect both the agency and community history in the future.

**FINANCIAL IMPACT**

In total, the Board authorized a predevelopment loan of \$3,830,000 for costs associated with master planning, carrying costs, demolition, and pre-development work for the first 90 units of permanent supportive housing. \$700,000 of the predevelopment loan has been disbursed to ICD and the balance is being held in AHA’s reserve account. The chart below summarizes expenses through April 2020.

North Housing

Pre-development Loan from AHA to ICD	\$3,830,000
12 Acre Site Pre-Development	\$491,686
First Building Pre-Development	<u>\$9,710</u>
Balance	\$3,341,107
North Housing Carrying Costs - Paid for by AHA Property Operations	\$264,175

**RECOMMENDATION**

Accept the Monthly Development Report for North Housing.

Respectfully submitted,



Danielle Thoe  
Management Analyst



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To: Honorable Chair and Members of the Board of Commissioners

From: Louie So, Director of Finance

Date: May 20, 2020

Re: Accept the Finance and Budget Variance Report for July 1, 2019 through March 31, 2020

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### **BACKGROUND**

This high-level, Budget Variance Report covers preliminary unaudited financial operating results compared to the FY 2019-20 budget for the period and month ending March 31, 2020, at the start of to the California Shelter in Place order due to COVID-19. Although the year-end financial data is on an accrual basis, the month-to-month financials are on a hybrid accrual and cash basis. The numbers presented are subject to change based on the adjustments from the final audited financial statement report.

On June 19, 2019, the Board of Commissioners approved a one-year operating budget for all programs covering fiscal year July 1, 2019 through June 30, 2020. On April 15, 2020, the Board approved the use of an abbreviated fiscal year 2020-2021 budget process due to the ongoing health crisis and staffing shortages. The abbreviated budget will be brought to the June board meeting.

The financial reports include four properties which were transferred to AHA's affiliate, Alameda Affordable Housing Corporation (AAHC) in 2018. These properties are Anne B. Diament, China Clipper Plaza, Stanford House, and Lincoln-Willow Apartments. Independence Plaza was transferred from AHA to AAHC in March 2020 and is also included under AAHC. The AAHC tax returns statements will be presented for approval in a separate annual AAHC Board meeting. All members of the Board of Commissioners also serve as the Board of Directors of AAHC.

### **DISCUSSION**

#### Overview

Year-to-date variances are as follows: total revenue is slightly higher than budget by \$16,660 (0.05%), operating expenses are below budget by \$1,269,006 (3.73%), and net income (before depreciation) is higher than budget by \$1,285,666



Honorable Chair and  
Members of the Board of Commissioners

May 20, 2020  
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(81.21%). Rosefield Village and Eagle Village income and expenses are incorporated in these financial exhibits on a monthly basis. A third party (The John Stewart Company) manages these properties, and income and occupancy figures are provided in the Monthly Overview report for Property Operations.

### Operations Budget - Revenue

Year-to-date - Rental income (Total Tenant Revenue) of \$9,153,386 is predominantly made up of Housing Assistance Payments (HAP) received for AHA units, the tax increment subsidy for Independence Plaza, and tenant rents received. This is under budget by \$410,404 or 4.29%. The second half of the fiscal year tax increment payments of approximately \$578,000 from the City of Alameda (Account 7030060) for Independence Plaza were received in April 2020.

The net of Tenant rental income and the Tax Increment Payment is slightly below budget by \$10,615. HAP received for AHA properties is lower than budget by \$317,138 (5.43%), while vacancy is above budget by \$143,588 (30.15%). Although HAP received for AHA properties has not achieved budgeted amounts for FY 2020 year-to-date (\$323,655 below budget), the amounts received are on par with the rolling 12-month actuals, with the exception of Rosefield Village.

Lower rental income is expected due to higher than usual vacancies at Independence Plaza (with income lower than budget) and due to rent concessions provided to tenants in the building where the elevator is currently out of service. Going forward, AHA can expect a slightly lower than projected collection of the tenant portion, due to the current health crisis and related job losses. Staff will continue to monitor income closely.

Rosefield Village is a significant reason for the loss of income. Lower than budget rental income is anticipated for the year due to tenant relocations and vacancies due to the planned rehabilitation of the property starting summer 2020. At this time, vacancies are nearing 100%. This contrasts with the budgeted estimate of 50% occupancy. YTD actual vacancy loss at this property is \$350,025 lower than budget. The chart below reflects actual and budget vacancy comparison for fiscal YTD for Rosefield.

Rosefield Village	July 2019	Aug 2019	Sep 2019	Oct 2019	Nov 2019	Dec 2019	Jan 2020	Feb 2020	March 2020	Total YTD
Actual Vacancies	43,845	46,601	56,831	60,915	60,915	67,095	77,032	80,730	80,730	574,694
Budgeted Vacancies	24,965	24,963	24,963	24,963	24,963	24,963	24,963	24,963	24,963	224,669

Occupancy at Independence Plaza is improving though ongoing vacancies continue to occur due, mostly to illness or the passing away of the tenant. At the end of March, there were nine vacancies (including 7 move-outs that took place in March, including 2 transfers related to elevator impacted units). The expectation is that there will be five to ten vacancies by the end of June 2020, provided



Honorable Chair and  
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households can be processed and the COVID-19 Shelter in Place does not adversely impact their inclination to move in.

Furthermore, tenant relocation costs are \$54,327 year-to-date. This amount was not budgeted, but is due mostly to the temporary relocation of the Rosefield Village residents for the upcoming rehabilitation as well as Independence Plaza due to ADA rehab and elevator work.

Total Other Income is on par with budget. Expenses requiring City of Alameda reimbursement have been submitted through March 2020 for both Housing and Community Development and the Alameda Rent Program. The chart below reflects City of Alameda MOU reimbursements received to date.

Billings	FY 19-20 Budget	July 2019	Aug 2019	Sep 2019	Oct 2019	Nov 2019	Dec 2019	Jan 2020	Feb 2020	March 2020	Total YTD
HCD	1,024,812	35,836	41,006	40,469	43,095	55,344	141,731	37,353	74,113	44,330	513,276
RP	1,110,000	62,222	75,060	71,202	73,188	90,233	106,245	62,091	62,179	65,869	668,290

Additionally, \$647,240 in Recognized Obligation Payment Schedule (ROPS) has been recognized as income on the financial statements received from the Alameda Unified School District as it relates to the Rosefield Village redevelopment project which was not originally budgeted for in FY 2020.

Administrative Fee income from HUD is slightly lower than the year-to-date budget by \$42,253 (3.19%). The factors that affect how much Administrative Fee AHA receives are the proration percentage and the number of units leased. For January 2020 through May 2020, the proration percentage is 79%, whereas the estimated proration from June 2020 through October 2020 is 81%.

For the past several years, Administrative Fees from HUD have not fully funded the Housing Programs Department, and the Section 8 Program has been subsidized by income from AHA properties. Although the recent CARES Act will provide two additional months of Administrative Fee, this is not expected to cover the additional costs incurred due to the current health crisis. AHA has received an additional \$350,010 in May 2020 from HUD but the uses and timing of these funds are restricted.

### Expenses

Net profit from operations (before depreciation) is \$2,868,773 for the period year-to-date (higher than budget by \$1,285,666).

Total operating expenses are lower than the year-to-date budget by \$1,269,006 (3.73%). This is mainly due to lower salary and benefit expenses, which are under budget due to vacant positions (see monthly overview report for Operations, H.R. and I.T.).



Honorable Chair and  
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Total Utilities are lower than budget by \$100,941 (10.94%), which is attributed to a classification of sewer charges to “9160131 Tax & Government Fees” as City of Alameda charges for actuals of \$129,056. When accounting for that adjustment, Total Utilities are higher than budget by \$29,000.

HCD, Finance, and Property Operations staff meet periodically to review the financial statements to monitor actuals versus budget amounts.

AHA has outsourced two properties, the aforementioned Eagle Village and Rosefield Village projects to The John Stewart Company (JSCo) and the AHA maintenance team performs more of the maintenance work in AHA’s managed properties rather than using vendors. It is anticipated that additional properties will transfer to John Stewart Company’s third party property management by July 1, 2020. After July 1, only Independence Plaza, Esperanza Plaza, and Anne B. Diamant will remain under the direct management of AHA personnel.

#### Housing Assistance Payments (HAP) Pass-through

The Housing Assistance Payments (HAP) pass-through includes all the Housing Choice Voucher/Section 8, Shelter Plus, and Bessie Coleman (SRO) programs. Year-to-date HAP revenue is \$115,907 (0.49%) higher than budget.

Shelter Plus Care revenue is paid in arrears by the Alameda County Housing and the Community Development Department. An approximate amount of \$143k for January 2020 – April 2020 is currently under review by AHA staff and is anticipated to be requested in May 2020.

Staff continues to make progress on \$279,532 in accounts receivable for Port-In billings from other public housing authorities. This amount is subject to change due to Port-Outs. Port-In billing collections was not budgeted in the FY 2019 budget process.

Staff started issuing regular vouchers in 2019, as well as Family Unification Program (FUP) vouchers. HAP payments to property owners are slightly higher than budget by \$742,823 (3.73%). Staff is working closely with HUD to monitor HAP revenue and expenditure, as well as the federal budget process to ensure sufficient cash flow for the program. As AHA enters Shortfall status, a number of leasing activities will be halted.

#### Statement of Net Position

The Housing Authority has adequate cash resources for operations. As of March 31, 2020, AHA, AAHC and its affiliates have \$8.1 Million in cash, and \$23.3 Million held in LAIF and CAMP investments. Note \$3.4 Million in CAMP investments were previously earmarked for Island City Development. Please see the “Accept the Quarterly Investment Report” memorandum.



## **OTHER ISSUES IMPACTING FINANCE DEPARTMENT**

### COVID-19 Mission Critical Tasks:

Due to California's Shelter in Place order and the effects of the health situation, the finance management team has been prioritizing the following mission critical tasks:

- (1) Review new regulatory and tax pronouncements stemming from COVID-19 and how they may apply to AHA, AAHC, and its affiliates. This includes CARES act administrative fee increases and potential FEMA reimbursements.
- (2) Advance on a short term basis \$1 million from Esperanza to the General Fund to ensure the agency has sufficient funds on hand to cover a reduction in tenant rents (for those who cannot pay rent due to job loss, or do not feel comfortable leaving their apartment to pay rent) and an increase in expenses. The \$1 million transfer was appropriately recorded in the accounting system in March 2020. As of May 2020, the full short term advance has been refunded from the General Fund to Esperanza.
- (3) Continue to ensure Housing Assistance Payments are paid to landlords and AHA owned properties timely and to transfer landlords receiving a paper check to ACH for swifter payment and to reduce postage costs.
- (4) Continue to ensure payroll to our employees are paid timely and with no interruption.
- (5) Allow vendors the ability to submit invoices electronically through a web portal (Yardi VendorCafé), and allowing AHA the ability to pay via electronic funds transfer.
- (6) Ensure the accounting is recorded appropriately for the aforementioned transfer of Independence Plaza from AHA to AAHC in March 2020.

### Staffing

The finance management team continues to work on mission critical tasks listed above. Nan McKay and Associates continues to provide consulting services including HUD's monthly Voucher Management System (VMS) report and the annual unaudited Financial Data Schedule (FDS) by August/September 2020. An additional consultant will start in May 2020 to assist the Finance department in anticipation of an extended planned absence of a staff member.

### Audit and Tax

#### AHA

AHA's single audit and final FY 2019 FDS was submitted to HUD's Real Estate Assessment Center in March 2020 and the Federal Audit Clearinghouse.



Honorable Chair and  
Members of the Board of Commissioners

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### AAHC

Although AHA is exempt from filing a federal tax return, AAHC is required to file a tax return (IRS Form 990 and its California equivalent). A tax return extension was filed in November 2019. The final extended tax returns were originally due to the Internal Revenue Service and California Franchise Tax Board by May 2020. However, due to new treasury regulations due to COVID-19, the tax return deadline has been extended to July 2020.

Citrin Cooperman has been engaged to complete these tax returns.

### Island City Development

AHA is working with Holthouse, Carlin & Van Tright LLP for audit work of Island City Development and the two low-income housing tax credit (LIHTC) project partnerships (Sherman & Buena Vista, L.P. and Everett & Eagle, L.P., the “LPs”). The draft audited financial statements and tax returns were submitted to the LIHTC investors for their review. The audited financial statements for the LPs were finalized in March 2020, while the tax returns will be filed by the extended deadline of September 15, 2020. The LPs are still awaiting for the California Tax Credit Allocation Committee to issue IRS Form 8609 (Low-Income Housing Credit Allocation and Certification), which is a requirement if the LP is presenting LIHTC on the tax returns.

Additionally, various LLC affiliates have tax filing requirements throughout the year, including the tax extension deadline which was March 15, 2020. These LLC affiliates have minimal activity.

### Unfunded Pension Liabilities

Further discussions on the Unfunded Pension liabilities will be brought to the Board in this meeting. Please see Agenda item “Accept a Presentation and Discussion on AHA’s Obligation and Option to Prefund Pension Liabilities.”

### Budget

An abbreviated budget process is proposed for the fiscal year July 1, 2020 through June 30, 2021 and will be brought to the Board of Commissioners in June 2020. Please see the memorandum “Accept a Revised Budget Process for Fiscal Year 2020-2021” from April 15, 2020 for further discussion on the abbreviated process.

### Banking Activities

The Constitution and Eagle, L.P. (Rosefield Village rehabilitation) construction bank account is in the process of being set up in May 2020 with US Bank.





Honorable Chair and  
Members of the Board of Commissioners

May 20, 2020  
Page 7 of 7

**RECOMMENDATION**

Accept the Finance and Budget Variance Report for July 1, 2019 through March 31, 2020.

Respectfully submitted,



Louie So, CPA  
Director of Finance

Attachments:

1. Balance Sheet – Period July 2019 – March 31, 2020
2. Budget Comparison – Revenue & Expense
3. AHA Revenue & Expense (Actual versus Budget)

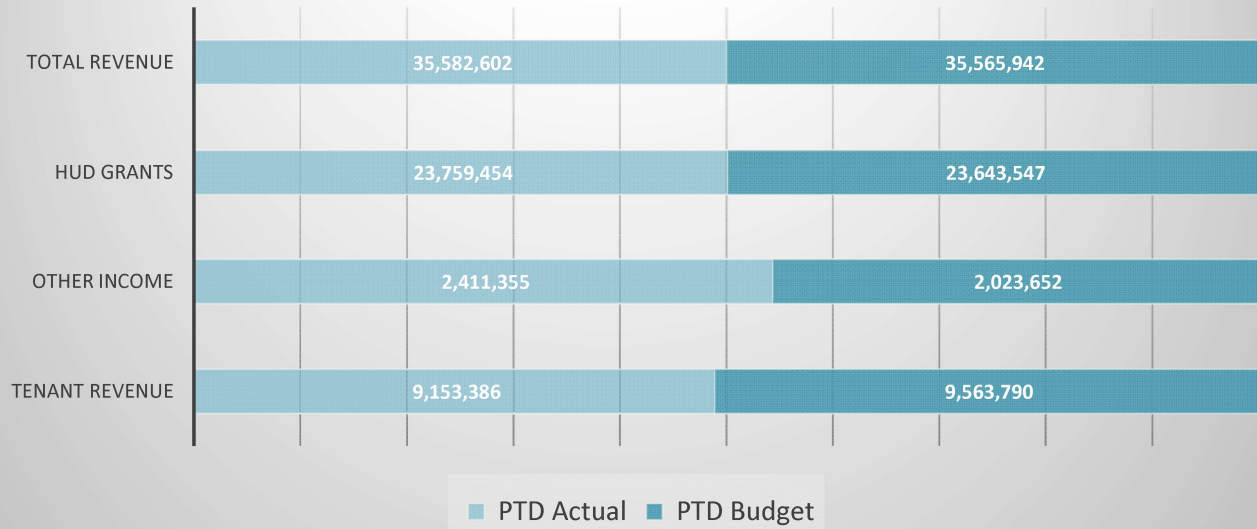


**Budget Comparison (with PTD)**

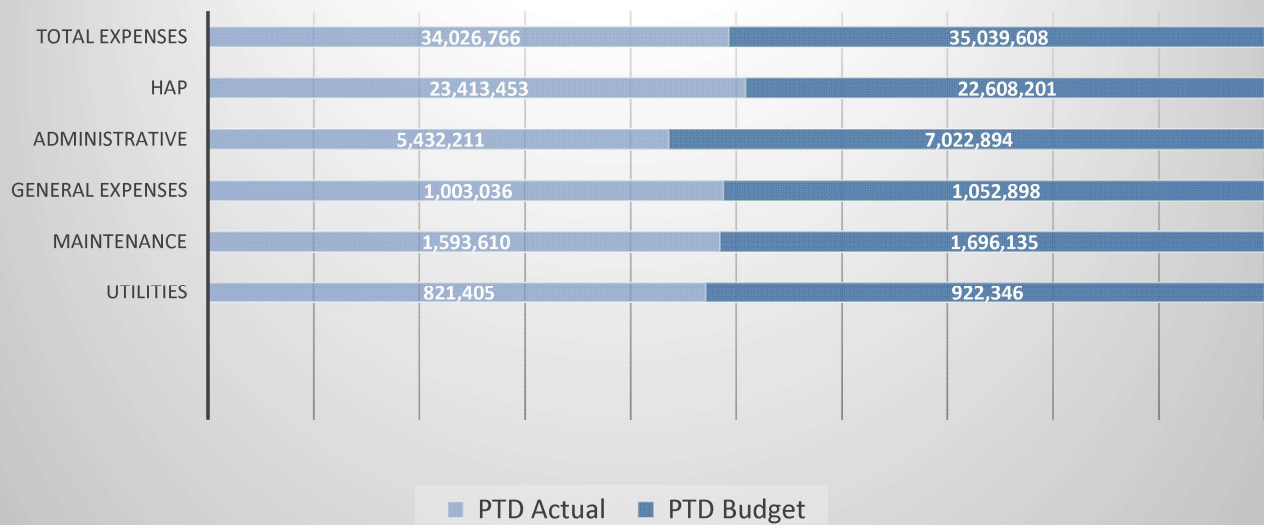
Period = Jul 2019-March 2020

Book = Accrual

**AHA REVENUE - ACTUAL VERSUS BUDGET (PTD)**



**AHA EXPENSES - ACTUAL VERSUS BUDGET (PTD)**



Note - Categories less than \$100,000 are not presented

## Balance Sheet (With Period Change)

Mar-20

Book = Accrual

	Balance
	Current Period
1000000 ASSETS	
1100000 CURRENT ASSETS	
1101000 CASH	
1110010 Cash - Unrestricted	5,131,436.30
1110012 Cash - Reserve for Building	78,450.83
1110013 Cash - Reserve for 3rd Party Managed Buildings	1,115,706.19
1110014 Cash - Reserve for Equipment	2,152.00
1110018 Cash - Operating Checking with 3rd Party	900,086.92
1110019 Petty Cash with 3rd Party	200.00
1110020 Cash - Petty cash	500.00
1110021 Cash - Benefit Account	81,282.00
1110030 Cash - FSS	120,032.92
1110040 Cash - Replacement Reserve Bldg	126,415.00
1130030 Cash - Restricted Sec Dep	76,775.00
1140000 Cash - Tenant Security Deposits	500,240.25
1140050 Cash - Tenant Security Deposits with 3rd Party	40,258.00
1199000 TOTAL CASH	8,173,535.41
1200000 ACCOUNTS RECEIVABLE	
1210000 Accounts Receivable - PHA	0.00
1240010 Accounts Receivable - Government	2,041,360.67
1240050 HAP Rent Receivable	65,178.44
1240070 Accounts Receivable- HUD	0.01
1250010 Accounts Receivable - Other	1,581,608.61
1250050 Accounts Receivable - 3rd Party Management	20,066.33
1255000 Subsidy Suspense Receivable	-28,160.84
1260000 Accounts Receivable - Tenant	353,924.83
1260050 Accounts Receivable - Tenant Rent with 3rd Party	25,049.37
1261000 Allowance for Doubtful Accounts -Dwelling Rent	-96,382.69
1280000 Fraud Recovery	36,869.40
1281000 Allowance for Doubtful Accounts - Fraud	-36,144.20
1290000 Accrued Interest Receivable	26,955.00
1299000 TOTAL ACCOUNTS RECEIVABLE	3,990,324.93
1300000 INVESTMENTS AND OTHER CURRENT NOTES	
1310000 Investments(LAIF)- Unrestricted	10,260,491.09
1320010 Investments - Other	200.00
1320020 Investments(LAIF) (Restricted) - FSS Escrow	-326.71
1320030 Investments(LAIF)- Building Reserve	1,061,880.19
1320040 Investments(LAIF) - Equipment Reserve	165,384.64
1320201 Investment Reserved for IP-LAIF	0.00
1350000 Investments - Restricted	0.15
1350010 Investment(LAIF)-Restricted (Jack Capon Villa Trust)	1,387.67
1350023 PFM-Accured Interest	-130.02

**Balance Sheet (With Period Change)**

Mar-20

Book = Accrual

		Balance
		Current Period
1350031	Investments - CAMP	11,826,467.15
1350100	Mortgage Receivable	26,184,320.63
1350103	Mortgage Receivable-Jack Capon L. P.	118,800.56
1350105	Loan Receivable-Security Deposit Loan	92,569.00
1350106	Loan Receivable - ICD	11,965,716.28
1350107	Loan Receivable-RCD/Stargell/Tri Pointe	2,000,000.00
1350109	Loan Receivable - Section 8	1,790,000.00
1360000	TOTAL INVESTEMENTS AND OTHER CURRENT NOTES	65,466,890.65
1400000	PREPAID EXPENSES	
1420010	Prepaid Insurance - Property	1,699.08
1420020	Prepaid Insurance - Liability	878.20
1420040	Prepaid Insurance - Worker Comp	35,874.50
1420050	Prepaid - Other	43,058.38
1420051	Prepaid Rent	14,400.00
1420070	Escrow Deposits - Property	31,267.76
1420075	Escrow Dep. PNC Hedge Res.	73,182.16
1430000	Inventories	316.72
1430010	Replacement Reserve-NorthMarq Loan	567,990.06
1430020	Reserve for Replacement NorthMarq	502,851.71
1440099	TOTAL PREPAID EXPENSES	1,271,518.57
1440105	INTERPROGRAM	
1440110	Interprogram (Due From)	249,899.96
1440111	Interprogram Due From Sherman St FACSA	12,725.19
1440112	Interprogram Due From Lincoln St FACSA	7,093.49
1440210	Interprogram Due From Esperanza	687.81
1440411	Interprogram Due from Detached Home	-0.02
1440451	Interprogram Due From 2437 Eagle Ave - 4532	19,735.40
1440452	Interprogram Due From Stargell Commons	8,156.24
1440453	Interprogram Due From Island City Development - 4530	203.94
1440601	Interprogram Due From ABD	-22,495.73
1440602	Interprogram Due From Rosefield Village - 4537	218.80
1440603	Interprogram Due From Parrot Gardens	15.11
1440604	Interprogram Due From Stanford House	4.67
1440605	Interprogram Due From Lincoln/Willow	15.12
1440606	Interprogram Due From Senior Condos	18.23
1440607	Interprogram Due From China Clipper	407.65
1440608	Interprogram Due From Regent Street Land	1,530.11
1440609	Interprogram Due From Santa Clara Land	60.19
1440610	Interprogram Due From Eagle Village	264.80
1440613	Interprogram Due From Shinsei Gardens	2,580.11
1440710	Interprogram Due From Section 8 Vouchers	435,589.63
1440740	Interprogram Due from HCV	0.00

## Balance Sheet (With Period Change)

Mar-20

Book = Accrual

		Balance
		Current Period
1440781	Interprogram Due From New FSS Grant	0.00
1440810	Interprogram Due From Independence Plaza	610.59
1440899	TOTAL INTERPROGRAM	717,321.29
1500000	TOTAL CURRENT ASSETS	79,619,460.83
1590000	LONG TERM ASSETS	
1600000	FIXED ASSETS	
1609999	LAND AND BUILDINGS	
1610000	Land	58,219,778.63
1620030	Buildings	31,599,052.95
1620031	Buildings Improvements	2,146,759.76
1629000	TOTAL LAND AND BUILDINGS	91,965,591.34
1630040	Furniture and Equipment - Dwelling	355,074.81
1630041	Furniture and Equipment - Other	116,685.50
1650000	Leasehold Improvements	14,407,906.09
1660030	Accumulated Deprecation	-29,694,915.92
1660060	Accumulated Depreciation - 3rd Party	-532.61
1699000	TOTAL FIXED ASSETS	77,149,809.21
1700000	ALL OTHER ASSETS	
1740000	Other Asset	110,510.02
1770000	TOTAL ALL OTHER ASSETS	110,510.02
1800000	DEFERRED OUTFLOW	
1800200	Deferred Outflow of Resources	1,505,707.01
1890000	TOTAL DEFERRED OUTFLOW	1,505,707.01
1900000	CONSTRUCTION IN PROGRESS	
1900100	CIP - On Site Improvement	-381.10
1900210	CIP - Architectural & Engineering Fees	7,120.00
1900230	CIP - Professional Services (Other)	17,208.00
1900290	CIP - Organization - Legal	6,077.50
1900410	CIP - Environmental Testing & Reports	13,800.00
1900420	CIP - Permit & Fees (plan'g,build'g,public work,school dist)	4,085.80
1900430	CIP - Utilities Fees	607.60
1919999	TOTAL CONSTRUCTION IN PROGRESS	48,517.80
1929999	TOTAL LONG TERM ASSETS	78,814,544.04
1999999	TOTAL ASSETS	158,434,004.87
3000000	LIABILITIES AND EQUITY	
3005000	LIABILITIES	
3100000	CURRENT LIABILITIES	
3100500	ACCOUNTS PAYABLE	
3120010	Accounts Payable<= 90 Days	296,544.68
3120011	Accounts Payable -CALPERS (employee portion)	271.04
3120012	Accounts Payable-Health Insurance (employee portion)	24.13
3120014	Accounts Payable-Garnishment (employee portion)	-128.50

**Balance Sheet (With Period Change)**

Mar-20

Book = Accrual

		Balance
		Current Period
3120015	Accounts Payable-Vision Insurance (employee portion)	706.65
3120016	Accounts Payable-Life Insurance (employee portion)	-149.11
3120018	Accounts Payable-PARS retirement (employee portion)	133.76
3120019	Accounts Payable-Flexible Spending Account(employee portion)	2,972.45
3120021	Employees Cobra	250.28
3120022	Accounts Payable-PERS 1959 Surv(Employee Portion)	40.92
3120023	Accounts Payable-FSA Transit Plan	441.19
3120024	Accounts Payable FSS	94,183.93
3120026	Accounts Payable FSS Interest	-37.51
3120029	Accounts Payable - 3rd Party Management Company	23,931.58
3120030	Accrued Wage/Payroll Taxes Payable	1,101.95
3120040	Accrued Compensated Absences - Current Portion	138,784.87
3120045	Accrued Vacation Payable - 3rd Party Management	6,469.73
3120070	Accrued Payables	56,632.93
3120075	Accrued Accounts Payable - 3rd Party Management	121,781.32
3330010	Account Payable - Other Government	1,000,000.00
3330020	Account Payable - HUD	0.00
3330100	Tenants- Rents Payable	9,900.00
3339000	TOTAL ACCOUNT PAYABLE	<u>1,753,856.29</u>
3400000	SECURITY DEPOSITS HELD	
3410010	Tenant Security Deposits	455,902.42
3410015	Tenant Security Deposits - held with 3rd Party Management	40,808.00
3410020	Tenant Security Deposits - Pets	1,375.00
3410030	Tenant Security Deposits - Gate Opener	50.00
3410040	Tenant Security Deposits - Satellite Dish/Antenna	1,600.00
3410060	Tenant Security Deposits - Pooled Interest	63,760.13
3410999	Security Deposit Refund	9,188.73
3419000	TOTAL SECURITY DEPOSITS HELD	<u>572,684.28</u>
3419900	OTHER LIABILITIES	
3420000	Prepay Tenant Rent	96,527.16
3421000	Prepay Tenant Rent - 3rd Party Management	2,300.68
3425000	Unearned Revenue	623,565.90
3426000	Prepaid Ground Lease Rent	3,361,307.00
3430000	Current Portion of Long Term Debt - Capital Projects	72,178.45
3449000	TOTAL OTHER LIABILITIES	<u>4,155,879.19</u>
3470000	INTERPROGRAM	
3470050	Interprogram (Due to)	223,994.63
3470110	Interprogram Due To General Fund	488,219.12
3470601	Interprogram Due To Anne B Diament Plaza	19,786.00
3470710	Interprogram Due To Section 8 Vouchers	0.00
3471000	Due To/Due From Suspense Account	61,069.96
3480000	TOTAL INTERPROGRAM	<u>793,069.71</u>

## Balance Sheet (With Period Change)

Mar-20

Book = Accrual

		Balance
		Current Period
3499000	TOTAL CURRENT LIABILITIES	7,275,489.47
3500000	NON-CURRENT LIABILITIES	
3510100	Mortgage Loan Payable	35,995,952.48
3510103	Mortgage Loan Payable- Alameda County	0.00
3510130	Interest Payable - City of Alameda Loan	1,060,842.88
3510140	Home Fund Loan #1	217,924.70
3510150	Housing Community Dev. Loan	916,399.98
3510157	Loan Payable - Esperanza	1,790,000.00
3510158	Loan Payable - CDBG	575,000.00
3510160	Home Fund Loan #2	282,700.00
3540000	Accrued Compensated Absences - Noncurrent	104,966.97
3570000	OPEB Liability	-123,186.00
3580000	Pension Liability	2,032,192.40
3599000	TOTAL NON-CURRENT LIABILITIES	<u>42,852,793.41</u>
3999000	TOTAL LIABILITIES	50,128,282.88
4000000	Equity/Net Assets	
4000001	EQUITY	
4000100	DEFERRED INFLOW	
4001000	Deferred Inflow of Resources	1,901,463.00
4900000	TOTAL DEFERRED INFLOW	<u>1,901,463.00</u>
4999999	CONTRIBUTED CAPITAL	
5010000	Net Investment in Capital Assets	8,938,655.40
5090000	Unrestricted	74,922,967.00
5120000	Unrestricted	21,938,354.06
5120010	Net Restricted Assets	604,282.53
5950000	TOTAL CONTRIBUTED CAPITAL	<u>106,404,258.99</u>
5999900	TOTAL EQUITY	<u>108,305,721.99</u>
6000000	TOTAL LIABILITIES AND EQUITY	<u>158,434,004.87</u>

**Budget Comparison (with PTD)**

Period = Jul 2019-Mar 2020

Book = Accrual

	MTD Actual	MTD Budget	Variance	% Var	PTD Actual	PTD Budget	Variance	% Var
6999990 INCOME								
7000000 REVENUE								
7020000 TENANT REVENUE								
7030000 Tenant Rental Revenue	263,361	285,831	(22,470)	-7.86	3,315,334	2,876,858	438,476	15.24
7030030 Maintenance Charges	600	-	600	N/A	6,196	-	6,196	N/A
7030040 Late Charges	375	-	375	N/A	4,995	-	4,995	N/A
7030050 Miscellaneous Other Charges	-	-	-	N/A	306	-	306	N/A
7030060 Tax Increment Payments from the City of Alameda	96,362	144,445	(48,083)	-33.29	850,915	1,300,005	(449,090)	-34.55
7030100 Tenant HAP Subsidy	599,711	593,194	6,517	1.10	5,523,462	5,840,600	(317,138)	-5.43
7030110 Vacancy Loss	(80,730)	(50,885)	(29,845)	58.65	(619,756)	(476,218)	(143,588)	30.15
7030300 Commercial Rents	2,563	2,505	58	2.32	71,705	22,545	49,160	218.05
7040000 Other Tenant Revenue	-	-	-	N/A	281	-	281	N/A
7050000 TOTAL TENANT REVENUE	882,242	975,090	(92,848)	-9.52	9,153,386	9,563,790	(410,404)	-4.29
7060000 FEDERAL GRANTS								
7060060 Shelter Plus Care Revenue	-	37,217	(37,217)	-100.00	258,407	334,953	(76,546)	-22.85
7069000 TOTAL FEDERAL GRANTS	-	37,217	(37,217)	-100.00	258,407	334,953	(76,546)	-22.85
7100000 OTHER INCOME								
7110010 Investment Income - Unrestricted	-	11,020	(11,020)	-100.00	122,227	101,193	21,034	20.79
7110011 Interest Income	15,024	21,710	(6,686)	-30.80	176,557	221,241	(44,684)	-20.20
7110012 PFM-Investment Income	-	1,990	(1,990)	-100.00	-	17,910	(17,910)	-100.00
7110013 Coupon/Interest/Dividend Income	-	3	(3)	-100.00	-	27	(27)	-100.00
7110020 Interest on Equip. Reserve	-	208	(208)	-100.00	1,939	2,366	(427)	-18.05
7110030 Interest Earned on Operating Reserve	-	52	(52)	-100.00	-	468	(468)	-100.00
7110060 Interest - Replacement Reserve	-	4,004	(4,004)	-100.00	14,835	36,261	(21,426)	-59.09
7110070 Other - Income	714	610	104	17.01	17,185	5,490	11,695	213.02
7110075 Laundry Commission	1,516	2,224	(708)	-31.85	17,976	20,016	(2,040)	-10.19
7110082 Land Fee/Ground Lease	-	447	(447)	-100.00	1,341	4,023	(2,682)	-66.67
7110092 Professional Service Revenue	110,199	177,901	(67,702)	-38.06	2,053,526	1,601,109	452,417	28.26
7150030 Miscellaneous Other Revenue	914	-	914	N/A	2,693	-	2,693	N/A
7150050 Miscellaneous Other Income-Maintenance	-	-	-	N/A	35	-	35	N/A
7150070 Administrative Fee	-	1,505	(1,505)	-100.00	3,041	13,548	(10,507)	-77.56
7159000 TOTAL OTHER INCOME	128,366	221,674	(93,308)	-42.09	2,411,355	2,023,652	387,703	19.16
8000000 HUD GRANT								
8010000 HUD Operating Grants	2,539,578	2,479,899	59,679	2.41	22,514,187	22,319,087	195,100	0.87
8020000 Administrative Fees from HUD	139,510	147,162	(7,652)	-5.20	1,282,207	1,324,460	(42,253)	-3.19
8020110 PORT-In Administrative Fees	1,118	-	1,118	N/A	13,128	-	13,128	N/A
8030000 Administrative Fees Paid (PORT-Outs)	7,950	-	(7,950)	N/A	50,068	-	(50,068)	N/A
8100120 TOTAL HUD GRANT	2,672,256	2,627,061	45,195	1.72	23,759,454	23,643,547	115,907	0.49
8999000 TOTAL REVENUE	3,682,864	3,861,042	(178,178)	-4.61	35,582,602	35,565,942	16,660	0.05
9000000 EXPENSES								
9000900 OPERATING EXPENSES								
9100000 ADMINISTRATIVE								
9110010 Administrative Salaries	326,886	400,254	73,368	18.33	3,039,685	3,621,820	582,135	16.07
9110020 Temporary Help - Administrative	3,951	42,720	38,769	90.75	143,589	385,734	242,145	62.78
9120000 Auditing Fees	-	3,870	3,870	100.00	41,200	34,830	(6,370)	-18.29
9130000 Outside Management Fees	4,476	-	(4,476)	N/A	42,260	-	(42,260)	N/A
9150010 Admin Employee Benefits - Medical/Dental	56,423	106,360	49,937	46.95	526,790	961,193	434,403	45.19



**Budget Comparison (with PTD)**

Period = Jul 2019-Mar 2020

Book = Accrual

	MTD Actual	MTD Budget	Variance	% Var	PTD Actual	PTD Budget	Variance	% Var
9150020 Admin Employee Benefits - PERS/PARS	27,247	40,551	13,304	32.81	257,100	366,949	109,849	29.94
9150030 Admin Employee Benefits - FICA	4,712	6,419	1,707	26.59	43,661	58,073	14,412	24.82
9150040 Admin Employee Benefits - SUI	176	1,174	998	84.99	14,979	10,609	(4,370)	-41.19
9150060 Admin Employee Benefits - Life/LTD	2,646	2,757	111	4.04	22,046	24,914	2,868	11.51
9150090 Admin Employee Benefit - WC	3,837	2,931	(906)	-30.92	36,265	26,497	(9,768)	-36.86
9160010 Office Supplies/Equipment	5,777	7,619	1,842	24.18	54,209	68,788	14,579	21.19
9160030 Dues & Subscriptions Publications	1,019	100	(919)	-919.00	3,619	900	(2,719)	-302.11
9160040 Postage	27	4,044	4,017	99.32	5,270	37,096	31,826	85.79
9160050 Telephone	5,908	5,281	(627)	-11.86	48,884	47,711	(1,173)	-2.46
9160060 Bank Charges and Check Supplies	2,480	2,311	(169)	-7.31	23,588	21,848	(1,740)	-7.96
9160090 Forms and Copies/Printing	2,659	425	(2,234)	-525.65	19,546	3,825	(15,721)	-411.01
9160100 Classified Ads and Public Notices/outreach material	9,007	3,073	(5,934)	-193.09	17,791	28,357	10,566	37.26
9160110 Legal Expense	28,689	20,758	(7,931)	-38.20	192,613	200,822	8,209	4.09
9160111 Payroll charge	688	636	(52)	-8.13	7,005	6,080	(925)	-15.21
9160112 Survey/Title Fee	24,825	167	(24,658)	-14,765.27	26,479	1,503	(24,976)	-1,661.72
9160113 Office Rent	12,328	10,611	(1,717)	-16.19	49,291	95,499	46,208	48.39
9160114 Administrative Support	-	-	-	N/A	919	-	(919)	N/A
9160115 Organization Cost	-	-	-	N/A	20	-	(20)	N/A
9160120 Training/Conferences and Travel	3,593	13,356	9,763	73.10	39,416	122,608	83,192	67.85
9160130 Membership Dues and Fees	415	912	497	54.51	13,498	8,642	(4,856)	-56.19
9160131 Taxes & Government Fees	15,099	-	(15,099)	N/A	129,056	-	(129,056)	N/A
9160140 Collection Loss	-	-	-	N/A	198	-	(198)	N/A
9160160 Contracts - Accounting Services	5,940	284	(5,656)	-1,991.55	90,233	2,556	(87,677)	-3,430.26
9160170 Contracts - Administrative Services/Consultant	44,370	32,252	(12,118)	-37.57	173,753	296,099	122,346	41.32
9160180 Contracts - Application Service Provider - Yardi	11,287	18,642	7,355	39.45	90,870	168,548	77,678	46.09
9160190 Contracts - Computer/Telephone Maintenance/Email	8,521	18,708	10,187	54.45	114,678	168,848	54,170	32.08
9160210 Contracts - Housing Program Services	-	-	-	N/A	628	-	(628)	N/A
9160220 Contracts - Human Resource Services	710	5,729	5,019	87.61	14,343	51,653	37,311	72.23
9160230 Contracts - Housing Inspection Services	-	4,728	4,728	100.00	60,187	42,532	(17,655)	-41.51
9160260 Contracts - Office Machine Lease	1,262	1,501	239	15.89	13,927	13,978	51	0.36
9160270 Contracts - Web Hosting/Maintenance/Web Ads	3,908	1,433	(2,475)	-172.75	14,842	12,953	(1,889)	-14.58
9160290 Contracts - HR Recruitment	529	11,041	10,512	95.21	14,186	99,929	85,743	85.80
9160510 Association Dues	-	3,500	3,500	100.00	45,588	31,500	(14,088)	-44.72
9169000 TOTAL ADMINISTRATIVE	619,393	774,147	154,754	19.99	5,432,211	7,022,894	1,590,683	22.65
9200000 TENANT/SOCIAL SERVICES/POLICE								
9210010 Tenant Services - Salaries	17,079	-	(17,079)	N/A	143,243	3,444	(139,799)	-4,059.20
9210020 Tenant Social Services - Temporary Help	3,078	-	(3,078)	N/A	3,078	-	(3,078)	N/A
9210030 Police Services	8,238	16,148	7,910	48.98	171,146	155,132	(16,014)	-10.32
9210100 Tenant/Social Sevices - Salaries	-	16,107	16,107	100.00	-	144,942	144,942	100.00
9219000 TOTAL TENANT/SOCIAL SERVICES/POLICE	28,394	32,255	3,861	11.97	317,466	303,518	(13,948)	-4.60
9219990 RELOCATION								
9220000 Tenant-Relocation Costs	6,421	-	(6,421)	N/A	54,327	-	(54,327)	N/A
9229000 TOTAL RELOCATION	6,421	-	(6,421)	N/A	54,327	-	(54,327)	N/A
9230005 TENANT SERVICES EMPLOYEE BENEFITS AND INSURANCE								
9230010 Tenant Svcs Employee Benefits - Medical/Dental	2,504	3,572	1,068	29.91	21,524	32,160	10,636	33.07
9230020 Tenant Svcs Employee Benefits - PERS/PARS	905	1,636	731	44.68	7,164	14,710	7,546	51.30
9230030 Tenant Svcs Employee Benefits - FICA	171	726	555	76.45	1,373	6,523	5,150	78.95

## Budget Comparison (with PTD)

Period = Jul 2019-Mar 2020

Book = Accrual

	MTD Actual	MTD Budget	Variance	% Var	PTD Actual	PTD Budget	Variance	% Var
9230040 Tenant Svcs Employee Benefits - SUI	6	162	156	96.06	549	1,449	900	62.09
9230075 Property Taxes	-	-	-	N/A	250	-	(250)	N/A
9230080 Tenant Svcs Employee Benefits - Other	883	-	(883)	N/A	3,705	-	(3,705)	N/A
9230090 Tenant Svcs Employee Benefit - WC	832	2,005	1,173	58.51	6,177	18,029	11,852	65.74
9239000 TOTAL TENANT SERVICES EMPLOYEE BENEFITS AND INSURANCE	5,301	8,101	2,800	34.56	40,492	72,871	32,379	44.43
9240005 TENANT SERVICES								
9240010 Tenant/Social Svcs - Supplies	-	-	-	N/A	321	-	(321)	N/A
9240020 Tenant Service Activities - Contracts and O/S Services	50,284	24,143	(26,141)	-108.28	172,701	228,975	56,274	24.58
9249000 TOTAL TENANT SERVICES	50,284	24,143	(26,141)	-108.28	173,022	228,975	55,953	24.44
9300000 UTILITIES								
9310000 Water	38,827	20,774	(18,053)	-86.90	242,640	200,812	(41,828)	-20.83
9320000 Electricity	9,658	11,508	1,850	16.08	109,552	107,135	(2,417)	-2.26
9330000 Gas	1,280	4,480	3,200	71.42	57,163	40,366	(16,797)	-41.61
9380010 Sewer	9,777	23,484	13,707	58.37	88,896	226,889	137,993	60.82
9380020 Garbage	10,455	35,459	25,004	70.51	323,154	347,144	23,990	6.91
9399000 TOTAL UTILITIES	69,998	95,705	25,707	26.86	821,405	922,346	100,941	10.94
9399990 MAINTENANCE								
9400000 MAINTENANCE SALARIES								
9410010 Maintenance - Salaries	56,283	59,266	2,983	5.03	510,678	533,392	22,714	4.26
9419000 TOTAL MAINTENANCE SALARIES	56,283	59,266	2,983	5.03	510,678	533,392	22,714	4.26
9420005 MAINTENANCE MATERIALS								
9420010 Maintenance Materials	15,619	18,981	3,362	17.71	104,986	185,073	80,087	43.27
9420020 Vehicle - gasoline	48	559	511	91.33	7,593	5,031	(2,562)	-50.92
9420030 Janitorials Supplies	-	-	-	N/A	2,286	-	(2,286)	N/A
9429000 TOTAL MAINTENANCE MATERIALS	15,667	19,540	3,873	19.82	114,865	190,104	75,239	39.58
9429005 MAINTENANCE CONTRACTS								
9429015 Maintenance Contracts - Unit Turnaround	5,981	4,986	(995)	-19.95	20,412	40,407	19,995	49.48
9429030 Maintenance Contracts - Tree Trimming	-	834	834	100.00	-	7,506	7,506	100.00
9429040 Maintenance Contracts - Cycle Painting	-	-	-	N/A	275	-	(275)	N/A
9429050 Maintenance Contracts - Temp. Labor	250	-	(250)	N/A	250	-	(250)	N/A
9429060 Maintenance Contracts - Floor Covering	9,661	5,791	(3,870)	-66.82	78,391	57,481	(20,910)	-36.38
9429100 Maintenance Contracts - Services	24,968	10,559	(14,409)	-136.46	135,619	106,994	(28,625)	-26.75
9430010 Maintenance Contracts - Painting	3,175	2,667	(508)	-19.05	38,825	26,783	(12,042)	-44.96
9430020 Maintenance Contracts - Plumbing	550	1,946	1,396	71.74	10,689	21,840	11,151	51.06
9430030 Maintenance Contracts - Landscape, Pool, Pond Maintenance	9,016	9,816	800	8.15	107,526	97,535	(9,991)	-10.24
9430040 Maintenance Contracts - HVAC Maintenance	462	3,134	2,672	85.26	5,443	28,409	22,966	80.84
9430050 Maintenance Contracts - Hazardous Substances Testing	8,295	-	(8,295)	N/A	17,945	-	(17,945)	N/A
9430060 Maintenance Contracts - Elevator Maintenance	2,155	3,325	1,170	35.19	23,944	30,009	6,065	20.21
9430070 Maintenance Contracts - Extermination	1,090	3,979	2,889	72.61	50,225	37,687	(12,538)	-33.27
9430080 Maintenance Contracts - Electrical Maintenance	2,455	1,859	(596)	-32.05	6,473	17,942	11,469	63.92
9430090 Maintenance Contracts - Security and Nurse Call Systems	1,343	3,437	2,094	60.92	88,548	31,283	(57,265)	-183.05
9430110 Maintenance Contracts - Gutter Cleaning Services	-	1,271	1,271	100.00	280	11,915	11,635	97.65
9430120 Maintenance Contracts - Flooring Replmt/Cleaning Srvc	2,004	-	(2,004)	N/A	6,739	-	(6,739)	N/A
9430130 Maintenance Contracts - Other	(30)	4,462	4,492	100.66	23,768	41,040	17,272	42.09
9430140 Maintenance Contracts - Vehicle Maintenance	-	550	550	100.00	18,785	5,277	(13,508)	-255.98
9430150 Maintenance Contracts - Janitorial	29,812	14,084	(15,728)	-111.67	121,207	127,596	6,389	5.01
9439000 TOTAL MAINTENANCE CONTRACTS	101,187	72,700	(28,487)	-39.18	755,346	689,704	(65,642)	-9.52

## Budget Comparison (with PTD)

Period = Jul 2019-Mar 2020

Book = Accrual

	MTD Actual	MTD Budget	Variance	% Var	PTD Actual	PTD Budget	Variance	% Var
9450005 MAINTENANCE EMPLOYEE BENEFITS								
9450010 Maint Employee Benefits - Medical/Dental	12,578	19,314	6,736	34.88	111,369	173,826	62,457	35.93
9450020 Maint Employee Benefits - PERS/PARS	6,095	5,881	(214)	-3.64	48,217	52,921	4,704	8.89
9450030 Maint Employee Benefits - FICA	1,455	840	(615)	-73.20	14,268	7,560	(6,708)	-88.73
9450040 Maint Employee Benefits - SUI	27	215	188	87.27	2,342	1,925	(417)	-21.65
9450050 Maint Employee Benefits - Life/LTD	402	505	103	20.47	3,631	4,532	901	19.87
9450070 Maint Employee Benefits - Uniforms/Shoes	50	2,013	1,963	97.50	1,794	18,123	16,329	90.10
9450091 Maint Employee Benefit - WC	3,270	2,671	(599)	-22.43	31,100	24,048	(7,052)	-29.32
9459000 TOTAL MAINTENANCE EMPLOYEE BENEFITS	23,877	31,439	7,562	24.05	212,721	282,935	70,214	24.82
9499000 TOTAL MAINTENANCE	197,015	182,945	(14,070)	-7.69	1,593,610	1,696,135	102,525	6.04
9500000 GENERAL EXPENSES								
9500100 Interest Expense	85,140	94,890	9,750	10.27	771,483	874,429	102,946	11.77
9500160 Mortgage Financial Service Charge	4,701	-	(4,701)	N/A	65,876	-	(65,876)	N/A
9610010 Insurance - Workers Compensation	527	-	(527)	N/A	4,918	-	(4,918)	N/A
9610020 Insurance - Liability	5,388	4,602	(786)	-17.08	48,493	43,689	(4,804)	-10.99
9610030 Insurance - Property	8,012	11,154	3,142	28.17	71,640	111,455	39,815	35.72
9610040 Insurance - Vehicle	684	1,277	593	46.43	6,188	12,030	5,842	48.56
9610060 Insurance - Other	1,386	1,255	(131)	-10.47	18,240	11,295	(6,945)	-61.49
9620010 Other General Expenses	3,000	-	(3,000)	N/A	13,459	-	(13,459)	N/A
9620020 Casualty Losses	-	-	-	N/A	2,490	-	(2,490)	N/A
9698000 TOTAL GENERAL EXPENSES	108,838	113,178	4,340	3.83	1,003,036	1,052,898	49,862	4.74
9699000 TOTAL OPERATING EXPENSES	1,085,645	1,230,474	144,829	11.77	9,435,568	11,299,637	1,864,069	16.50
9700000 MOD REHAB AND SPC EXPENSES								
9700500 Rent to Owners - Shelter Plus Care	-	-	-	N/A	4,380	-	(4,380)	N/A
9700570 Rent to Owners - Bessie Coleman	15,926	-	(15,926)	N/A	139,960	-	(139,960)	N/A
9700800 PORT-In (A/R Billings)	(26,229)	-	26,229	N/A	(279,532)	-	279,532	N/A
9700900 TOTAL MOD REHAB AND SPC EXPENSES	(10,303)	-	10,303	N/A	(135,192)	-	135,192	N/A
9710000 EXTRAORDINARY EXPENSES								
9710090 Pre-development Cost	-	8,333	8,333	100.00	-	74,997	74,997	100.00
9713001 HOUSING ASSISTANCE PAYMENTS (VOUCHER)								
9719000 TOTAL EXTRAORDINARY EXPENSES	-	8,333	8,333	100.00	-	74,997	74,997	100.00
9730001 HOUSING ASSISTANCE PAYMENTS (VOUCHER)								
9730010 Housing Assistance Payments - Landlords	2,645,416	2,512,022	(133,394)	-5.31	23,351,024	22,608,201	(742,823)	-3.29
9730020 Housing Assistance Payments - FSS	5,145	-	(5,145)	N/A	47,576	-	(47,576)	N/A
9730070 Utility Allowance to Tenants	1,351	-	(1,351)	N/A	14,853	-	(14,853)	N/A
9739000 TOTAL HOUSING ASSISTANCE PAYMENTS (VOUCHER)	2,651,912	2,512,022	(139,890)	-5.57	23,413,453	22,608,201	(805,252)	-3.56
<b>TOTAL EXPENSES BEFORE OTHER EXPENSES</b>	3,727,254	3,750,829	23,575	0.63	32,713,829	33,982,835	(1,269,006)	-3.73
<b>NET INCOME BEFORE OTHER EXPENSES</b>	(44,390)	110,213	(101,486)	-92.08	2,868,773	1,583,107	1,285,666	81.21
9739500 OTHER EXPENSES								
9740000 Depreciation Expense	120,163	108,397	(11,766)	-10.85	1,312,937	1,056,773	(256,164)	-24.24
9859999 TOTAL OTHER EXPENSES	120,163	108,397	(11,766)	-10.85	1,312,937	1,056,773	(256,164)	-24.24
9990000 OTHER FINANCING								
9996000 TOTAL EXPENSES	3,847,417	3,859,226	11,809	0.31	34,026,766	35,039,608	1,012,842	2.89
9998000 NET INCOME	(164,553)	1,816	(166,369)	-9,161.30	1,555,836	526,334	1,029,502	195.60

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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Janet Lee, Controller

Date: May 20, 2020

Re: Accept the Quarterly Investment Report for Period Ending March 31, 2020

### **BACKGROUND**

California Government Code Sections 53600 and 53646 requires that the Housing Authority Finance Director file a quarterly report with the Board of Commissioners on the status of all investments.

### **DISCUSSION**

The quarter-end report reflects the investment of cash for the operating and reserve funds. Agency investments are covered by the provisions of the Housing Authority's Investment Policy that is approved annually by the Board of Commissioners.

As of March 31, 2020, AHA held \$11,488,817 (50% of investment funds) in **LAIF** (Local Agency Investment Fund). These funds are on demand and can be used for immediate needs. The prior quarter balance was \$11,624,040. Interest is posted quarterly to the account by LAIF.

As of March 31, 2020, AHA held \$11,462,753 (50% of investment funds) in **CAMP** (California Asset Management Program). These funds are on demand and can also be used for immediate needs. The prior quarter balance was \$11,415,177. Interest is posted monthly to the account by CAMP.

Note that \$3.4MM of the amount held in CAMP is allocated to AHA's affiliate, Island City Development. A separate CAMP account was opened in late March and the \$3.4MM was transferred to Island City Development's (ICD) CAMP account in April 2020.

Balances as of March 31, 2020:

LAIF:	\$11,488,817
CAMP:	\$11,462,753
<b>Total Investment</b>	<b>\$22,951,570</b>



The key changes in the balance for the period ending March 31, 2020 are:

CAMP January to March 2020 interest income	47,576
LAIF October to December 2019 interest income, received in January	66,777
LAIF Withdrawal – Successor Housing Agency Q1&Q2 activity	(72,000)
LAIF Withdrawal – Building Reserve for Sherman St. Roof	(130,000)
<b>Total</b>	<b>\$ (87,648)</b>

The Housing Authority's ordinary expenditure requirements for the next six months are more than sufficiently covered by two sources, namely: (1) anticipated revenues, grants and subsidies, and (2) liquidity of current investments. All investment actions executed since the last report have been made in full compliance with the Investment Policy. The Executive Director will maintain a complete and timely record of all investment transactions.

### **RECOMMENDATION**

It is recommended that the Board of Commissioners accept the Quarterly Investment Report for period ending March 31, 2020.

Respectfully submitted,



Janet Lee  
Controller

Attachments:

1. LAIF report for the quarter ending March 31, 2020
2. CAMP report for the quarter ending March 31, 2020



Local Agency Investment  
 Fund  
 P.O. Box 942809  
 Sacramento, CA 94209-0001  
 (916) 653-3001

April 20, 2020 April 17, 2020

[LAIF Home](#)  
[PMIA Average Monthly Yields](#)

ALAMEDA HOUSING AUTHORITY

EXECUTIVE DIRECTOR  
 701 ATLANTIC AVENUE  
 ALAMEDA, CA 94501

[Tran Type Definitions](#)

**Account Number:**

March 2020 Statement

Effective Date	Transaction Date	Tran Type	Confirm Number	Web Confirm Number	Authorized Caller	Amount
3/13/2020	3/13/2020	RW	1633976	N/A		-72,000.00

**Account Summary.**

Total Deposit:	0.00	Beginning Balance:	11,560,816.87
Total Withdrawal:	-72,000.00	Ending Balance:	11,488,816.87



### Account Statement - Transaction Summary

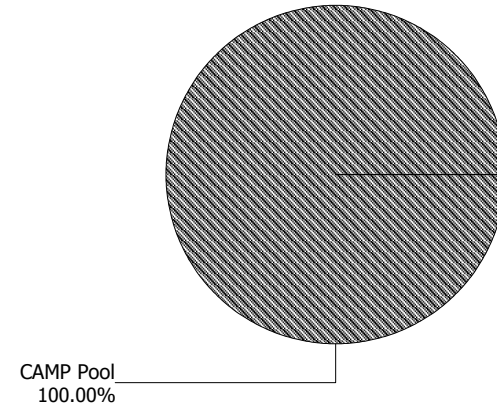
For the Month Ending **March 31, 2020**

Housing Authority of the City of Alameda (AHA) - Housing Authority of the City of Alameda (AHA) -

<b>CAMP Pool</b>	
Opening Market Value	11,448,233.37
Purchases	14,520.06
Redemptions	0.00
Unsettled Trades	0.00
Change in Value	0.00
<b>Closing Market Value</b>	<b>\$11,462,753.43</b>
Cash Dividends and Income	14,520.06

<b>Asset Summary</b>	<b>March 31, 2020</b>	<b>February 29, 2020</b>
<b>CAMP Pool</b>	11,462,753.43	11,448,233.37
<b>Total</b>	<b>\$11,462,753.43</b>	<b>\$11,448,233.37</b>

#### Asset Allocation





**Account Statement**

For the Month Ending **March 31, 2020**

Housing Authority of the City of Alameda (AHA) - Housing Authority of the City of Alameda (AHA) -

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
<b>CAMP Pool</b>					
<b>Opening Balance</b>					<b>11,448,233.37</b>
03/31/20	04/01/20	Accrual Income Div Reinvestment - Distributions	1.00	14,520.06	11,462,753.43
<b>Closing Balance</b>					<b>11,462,753.43</b>

	Month of March	Fiscal YTD July-March		
<b>Opening Balance</b>	11,448,233.37	11,691,007.30	<b>Closing Balance</b>	11,462,753.43
<b>Purchases</b>	14,520.06	171,746.13	<b>Average Monthly Balance</b>	11,448,701.76
<b>Redemptions (Excl. Checks)</b>	0.00	(400,000.00)	<b>Monthly Distribution Yield</b>	1.50%
<b>Check Disbursements</b>	0.00	0.00		
<b>Closing Balance</b>	<b>11,462,753.43</b>	<b>11,462,753.43</b>		
<b>Cash Dividends and Income</b>	14,520.06	171,746.13		



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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Vanessa Cooper, Executive Director

Date: May 20, 2020

Re: Receive and file a lease between the Housing Authority of the City of Alameda the owner, G&L 1x Marina Village Office Park and the sublessee LP/ [24]7.ai, Inc. for the property located at 1101 Marina Village Pkwy, Alameda, CA 94501 APN: 74-1334-64

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### **BACKGROUND**

Due to the need for social distancing and the shortage of seating space at the main office, the Housing Authority sought additional commercial rental properties to accommodate its needs. At the April 15, meeting the Board approved the Executive Director or designee to sign and negotiate a lease agreement with the owner G&L 1x Marina Village Office Park and the sublessor LP/ [24]7.ai, Inc., including final terms and payment and approved related costs to opening and moving the office. The 16,600 square feet office space located at 1101 Marina Village Pkwy, Alameda, CA 94501 will provide 20 private offices for staff and will also allow for additional social distancing.

### **FINANCIAL IMPACT**

As previously approved the costs include \$20,000 rent per month plus additional moving and set up related costs.

### **RECOMMENDATION**

Receive and file a lease between the Housing Authority of the City of Alameda the owner, G&L 1x Marina Village Office Park and the sublessee LP/ [24]7.ai, Inc. for the property located at 1101 Marina Village Pkwy, Alameda, CA 94501 APN: 74-1334-64.

Respectfully submitted,



Vanessa M. Cooper  
Executive Director

Attachment:

1. Lease (not available at time of publication)



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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Vanessa M. Cooper, Executive Director

Date: May 20, 2020

RE: Accept a Report on the Delegation of Authority to the Executive Director, or Designee, to Exercise Emergency Powers During the Local Public Health Emergency and Approve Certain Changes in the Use of Sick Leave Related to the current Health Crisis

---

### **BACKGROUND**

The Housing Authority of the City of Alameda (AHA) serves some of the most vulnerable members of the Alameda community. The current Coronavirus (COVID-19) pandemic is impacting a wide range of local services and the elderly and disabled population that the Housing Authority serves is at particular risk. AHA is monitoring the crisis and is seeking to limit exposure for staff and tenants while still maintaining core services.

Staff is working with a wide range of partners on preventive measures at AHA sites, including working with other housing authorities and AHA social services partners. Senior staff are meeting daily to carry out the business continuity plan, monitor changes and to focus on essential business activities.

Emergency Powers were delegated by the Board of Commissioners to the Executive Director at the March 18, 2020 regular Board meeting to allow the Executive Director, where necessary, to make critical time sensitive COVID-19 related decisions that would otherwise come to the Board (Emergency Powers). On April 15, 2020 the Board approved that these Emergency Powers be extended until the first regular Board meeting after the Shelter in Place order is lifted. If additional time is needed, the Board would review and reapprove additional time during that meeting. The Shelter in Place order has been extended to June 1, 2020.

Any decisions taken using Emergency Powers between April 15, 2020 and the first regular Board meeting after the Shelter in Place is lifted will need Board ratification. Similarly, during that period, any use of such powers requires reporting to the Board within 24 hours of taking action. Where possible, discussion with either the Board Chair or Vice Chair would take place prior to any such action being taken. Delegation of such powers, in the absence of the Executive Director, can only be transferred in writing and would be limited to the Deputy Executive Director and Director of HR and Operations.



**DISCUSSION**

A summary of the actions taken were provided for ratification at the April Board meeting. Since then the Executive Director has taken the no actions utilizing the Emergency Powers.

On March 18, 2020, staff were provided the following to assist with additional leave needs during the COVID-19 pandemic:

- One additional week of paid sick leave was granted to all full-time staff to be used by June 30, 2020.
- Up to 80 hours advance of sick or vacation leave to be paid back by future accruals upon request; this option is available until December 31, 2020.

To date, approximately 79% of employees have utilized sick leave for any reason and in any amount during the approved time period. To date, no employees have requested leave on future accruals.

Documentation restrictions were previously relaxed in order to avoid over burdening the health care system at the start of the crisis. However, with the extended duration of the crisis and new federal leaves, it is important to return to standard procedures at this time. Documentation requirements for the use of all paid and unpaid leave in accordance with the Employee Handbook and state and federal law were reinstated for all leaves on May 15, 2020.

In order to adapt agency policy to respond to the ongoing nature of the health crisis and to clarify agency leave policies, the Board is asked to remove the time limit on the use of the additional one week of paid sick leave due to the ongoing nature of the health crisis effective May 20, 2020.

These changes maximize the availability of leave options for staff who need to take sick leave or childcare leave in the coming months, reduce administrative burden by standardizing the paperwork requirements and tracking processes, and to reduce the risk of a possible rush to use expiring sick leave in late June when staffing is most needed for year-end closing.

Future actions under these emergency powers may include:

- One or more days of paid administrative leave for some hourly staff at the main office to allow for social distancing during seat moves.
- Implementation of any newer Department of Labor regulations or guidance that relate to the new sick and childcare leaves.
- Changes to the Administrative Plan to necessitate online processing of all Section 8 transactions.
- Changes to the Property Management plan to minimize contact between residents and staff while still meeting the tenants' needs.



Honorable Chair and Members  
of the Housing Commission

May 20, 2020  
Page 3 of 3

**FISCAL IMPACT**

The removal of the time limit of the additional one week of paid sick leave will lead to slightly higher sick leave balances for those staff who have not already used this leave and who would not use it before June 30, 2020. One week of salary is approximately \$106,000 if it were to all be paid out at current salary levels.

**RECOMMENDATION**

Accept a report on the delegation of authority to the Executive Director, or designee, to exercise emergency powers during the local public health emergency and approve certain changes in the use of sick leave related to the current health crisis.

Respectfully submitted,



Vanessa Cooper  
Executive Director





# Housing Authority of the City of Alameda

PHONE (510) 747-4300  
FAX (510) 522-7848  
TTY/TRS 711

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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Tonya Schuler-Cummins, Senior Management Analyst

Date: May 20, 2020

RE: Accept Proposed Revisions to the Housing Authority Information Technology Policy

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## **BACKGROUND**

The Housing Authority first presented the Information Technology (IT) Policy (the "Policy") on February 18, 2013. The Policy outlines the expected code of conduct associated with access to IT systems, and the acceptable and prohibited uses of all technology systems, equipment, and communication devices issued by the Housing Authority of the City of Alameda (AHA) used to conduct AHA business. This Policy was amended by the Board of Commissioners on February 17, 2016 and again on March 18, 2020.

## **DISCUSSION**

The March 2020 revision added the inclusion of an IT Ethics section along with broadening the application of the Policy to the Board of Commissioners, as well as contractors, consultants, and others doing business with the AHA.

This proposed revision adds some additional language about working on AHA IT equipment from a location other than an AHA office, such as an employee working from home.

The IT Policy already stated that in the event of a disaster, IT protocols outlined in the disaster response document will take precedence, which allows mobile devices to be issued to staff as was the case in March. There were, however, some questions from staff about what was allowable at home such as using the employee's internet rather than the Agency supplied Hot Spot. This Policy revision is aimed at answering those questions in a non-disaster situation.

## **FINANCIAL IMPACT**

The revisions to the Information Technology Policy will have no direct fiscal impact on the Housing Authority.



**RECOMMENDATION**

Accept proposed revisions to the Housing Authority Information Technology Policy.

Respectfully submitted,



Tonya Schuler-Cummins  
Senior Management Analyst

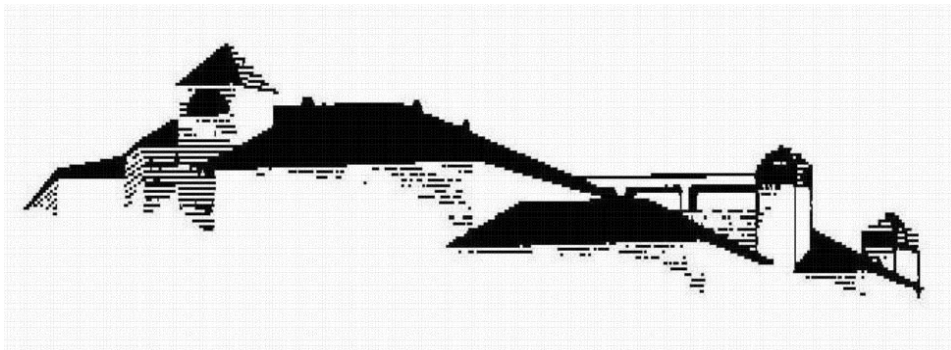
Attachment:

Attachment 1: Information Technology Policy



# Housing Authority of the City of Alameda

## Information Technology Policy



Amended by the Board of Commissioners on ~~March 19, 2020~~February 2013 ~~March 18~~May 20, 2020

## **INFORMATION TECHNOLOGY POLICY**

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## INFORMATION TECHNOLOGY POLICY

### I. PURPOSE

The Information Technology Policy (the “Policy”) outlines the expected code of conduct associated with access, acceptable and prohibited use of all technology systems, equipment and communication devices issued by the Housing Authority of the City of Alameda (AHA) and/or used to conduct AHA business. This policy applies to AHA employees, temporary employees, contractors, consultants, Board members, and others doing business with AHA such as auditors in regards to AHA data.

Employees should not expect any right to privacy as it relates to the physical equipment, systems, and/or the content of communication created, sent, received, stored and used, while on AHA time or conducting AHA business. Further, the AHA reserves the right to monitor, audit or otherwise scrutinize both content and equipment at any time for any reason including when there is a reasonable suspicion that employee use of any AHA technology systems, equipment and communication devices violates AHA policy. All AHA-issued electronic equipment including, but not limited to: hardware, software, email systems, Intranet or Internet connections, telecommunication systems, laptops, cell phones, or such similar technological communication devices and all content created, stored, sent or received are the sole property of the AHA and to be solely used for official business purposes. The only personal use allowed on AHA equipment will be on approved devices such as the computer in the break room. The AHA reserves the right to review the use of this computer or limit websites accessed if concerns are raised such as a computer virus. Staff can also connect to the WiFi in the main building with personal devices.

At all times, AHA technology platforms are to be used in compliance with internal policies and all local, state and federal statutes. Failure to comply with these policies may result in disciplinary action in accordance with the policies contained in the Employee Handbook.

All employees will be required to execute an Employee Certification and Receipt of Information Technology Policy, which will be filed and maintained in the employee’s Personnel file or maintained in e-learning system records.

All IT related questions and requests for assistance should be directed to IT staff using the IT email: [IT@alamedahsg.org](mailto:IT@alamedahsg.org).

### II. DEFINITIONS OF TECHNOLOGY TERMS

**Blog:** A website with regular entries of commentary, descriptions of events, or other material such as graphics or video.

**Communication Devices:** Telephones, cell phones, two-way radios, etc. Including mobile devices.

**Desktop:** Personal computer (PC), workstation, etc.

**Domain Name:** A domain name is the way to identify and locate an address on the Internet, for example, johndoe@alamedahsg.org. The domain name is used to send email, make FTP requests, locate a website, etc.

**Drive:** A location on the AHA network where official AHA business files are saved and stored (e.g., S drive, U drive).

**Electronic Mail:** Email; a means of sending text messages or files between computers (e.g., Gmail).

**File Transfer Protocol (FTP):** Commonly used to upload or download programs and other files to a computer from other servers via a secure FTP connection.

**Hacking:** Breaking or attempting to break into a network or server to which the violator has no authorization.

**Home Page** or Index page: This is the first page that appears when a website is accessed. It usually has links to other pages on the same website or to other websites.

**Information Technology (IT):** The AHA's array of network, hardware, software, and telephony resources that allows for the conduct of official business and the creation, sharing, and storing of files, emails and data.

**Internet:** A series of globally-interconnected digital networks, communicating through a common communications (Internet Protocol) language, by which data and e-mail may be digitally exchanged in near real-time. It also is called the World Wide Web.

**Intranet:** The AHA's internal website or shared drive directory with links for employees' use.

**IT staff:** AHA staff designated to manage IT hardware and software. At the time of this writing, IT staff includes Management Analysts in the Executive Administration department, in conjunction with a third party contractor.

**Malware:** Harmful executable programs such as viruses, worms, trojans or spyware that are installed on computers without the operator's knowledge.

**Mobile Device:** A computing device that is small in size and easily moved from one location to another (e.g. cell phone, tablet computers, e-readers etc.)

**Peripheral:** Electronic device attached to a desktop computer, such as a personal (non-networked) printer, scanner, etc.

**Personal Identifiable Information (PII):** Any piece of information which can potentially be used to uniquely identify, contact, or locate a single person, such as a client's or employee's social security number, address, driver's license, date of birth, etc. The inadvertent release or loss of such client information may cause harm to the interests of the client, the privacy of which is governed by various local, state and federal statutes, such as Sarbanes-Oxley.

**Policy:** Primary computing policies of AHA as contained in this document. **RSA (Named after developers Rivest, Shamir and Adleman):** An Internet encryption and authentication system that uses ‘two-factor authentication’, i.e. password-protected logon and a security access token to allow secure remote access to AHA servers.

**Server:** A computer that provides services to other computers (and their users) on a network (i.e., Laserfiche server or AHA domain server).

**Shared Drives:** The AHA’s shared drives on which data is saved where access can be provided to employees on an individual level from “read only” to “administrator” rights.

**Smartphone:** A wireless telephone set with special computer-enabled features (e.g., Android or Apple devices).

**Social Media:** Content created by individuals using accessible and scalable technologies through the Internet. Examples of social media include Facebook, Instagram, blogs, RSS, YouTube, Twitter, LinkedIn, Flickr, Wikipedia (except as a read-only source), etc.

**Streaming:** Downloading compressed, bandwidth-intensive real-time audio or video from the Internet to a computer.

**Superuser:** AHA employees who possess and exercise a high level of ability with software systems (e.g., Yardi, Laserfiche), and assist in the training of employees who use those systems and software administration.

**Trojan:** A malicious computer program hidden in a seemingly harmless computer program or process for later destructive use on a computer. See Malware.

**U Drive:** A drive assigned to an individual employee where work-related data is saved.

**Vendor:** Any landlord, company or other business enterprise with which the AHA does business.

**Virus:** Destructive computer code surreptitiously installed onto a computer via an ‘infected’ email or web page. See Malware.

**Web Page:** A single page on the Internet (as displayed by a web browser such as Microsoft’s Internet Explorer, Edge, or Chrome).

**Worm:** Self-replicating computer virus. See Malware.

### III. EMPLOYEE RESPONSIBILITY

**It is the responsibility of every employee to follow the directives as outlined and described throughout this Policy and to maintain compliance as it relates to acceptable and prohibited use of AHA information, systems, equipment, devices, and the contents thereof. All AHA technology systems, equipment and**

**communication devices are intended for AHA business only.**

#### **IV. MANAGEMENT RESPONSIBILITY**

AHA managers will play an active role in educating AHA employees, temporary employees and contractors and subcontractors about the proper use of AHA information technology systems, Intranet and Internet connections.

Department Directors are responsible for the informational content of their departments' communications, and the information placed on the AHA's Intranet and Internet websites. All managers are responsible for supervising employees' use of all AHA information technology systems, including Intranet and Internet connections.

Violations of this policy will be reported to the immediate supervisor of the employee who committed the violation. Supervisors will not modify or suspend any terms or conditions of this Policy without written consent of the Executive Director.

#### **V. AHA INFORMATION TECHNOLOGY SYSTEMS**

A. **Network Access.** Employee access to the AHA network requires the employee's supervisor to contact IT staff to establish a login and password specific to the employee.

B. **Software Systems.** Access to email, Yardi, Laserfiche, etc. requires the supervisor to request specific access for the employee. The Management Analysts will establish a login and password. Access within these programs may be limited depending on the employee's function/capacity.

Superusers are those AHA employees who are the in-house "experts" on the AHA's primary software systems. They assist in the training and supervision of employees who use those systems. Superusers will undertake continuous ongoing training provided by the AHA in their respective modules to stay current.

C. **Servers.** AHA servers are to be maintained and administered by qualified AHA staff and consultants only. No system administrator or database administrator rights shall be assigned to anyone except to IT staff, authorized 3rd party technical consultants working on behalf of IT staff, or to temporary, qualified designees. Designees shall be determined by the Executive Director on a case-by-case basis.

D. **Desktop Computers.** All desktop computers (also known as PCs, workstations) deployed at the AHA will be a standard model for all, unless a special technical need can be demonstrated for a computer with greater memory, computing power, specialized software, etc. Laptops with docking stations may be deployed for select staff as determined by IT and management to best meet the needs of the agency in place of a traditional desktop.

1. Desktop Computers shall be used for the purpose of carrying out AHA business only.
2. Employees are required to shut down their computers ~~at the~~ as directed by IT staff.

E. **Mobile Devices.** The authorized issuance of laptops, smaller portable computing devices such as cell phones, ~~smartphones~~, smartphones, tablets, and similar, successive technologies, etc. to employees requires documentation in the employee's personnel file or on an electronic form or tracking sheet. Non-approved devices must not be connected to the AHA network. AHA mobile devices must be pass-code or password-protected at all times, on or off AHA premises. All device users will follow IT policy and ensure their devices are password protected.

1. Those employees approved or required to use communication devices are required to obtain their supervisor(s) approvals before purchase and distribution.
2. Mobile devices, other than cell phones equipped with hands-free devices, will not be used when operating a motor vehicle.
3. In most cases, AHA will provide an Agency cell phone to staff with a need to use a cell phone for business purposes. Staff who have been approved by the Executive Director to utilize their personal devices (i.e. cell phone), in lieu of receiving an AHA issued phone or device, for AHA related business will receive a monthly stipend. The dollar amount is established by and can be amended only by the Board of Commissioners.

A determination of who will be issued mobile devices will be made on a case-by-case basis and substantiated by "business necessity." In the event of a disaster, IT protocols outlined in the disaster response document will take precedence.

In cases where employees are authorized to work outside the office by Executive Management, the employee will sign all required Human Resources forms such as a telecommuting agreement and a safety checklist for the area in which the employee will be working. Spaces should meet all HR requirements for ergonomics and steps should be taken to protect the equipment such as using a surge protector when charging the laptop and storing the laptop in a location that prevents damage from heat, water, falling, etc. Laptops can be joined to **secured** home internet or WiFi networks, but cannot be joined to home computer networks. In some cases, AHA may provide a hot spot on the agency-provided cell phone for internet access. Documents cannot be shared on or off AHA laptops with non-AHA owned computers. Peripherals that assist with ergonomic issues, but do not send input into the computer or require software installs, such as keyboards, mice, - and extra monitors, may be used without approval from IT staff. Any peripheral that requires an installation of software on the laptop, such as some Bluetooth or wireless mice, or are considered portable memory storage devices may not be used with the AHA laptop. Printing of PII is not allowed while working at home. Other restrictions on printing may be communicated to staff working offsite

F. **Peripherals.** A request for a personal printer or other non-networked peripherals must be submitted to IT staff and requires authorization by the employee's supervisor.

G. **Telecommunications Equipment and Services.** All land lines, cell phones, fax lines, etc. require approval from IT staff. Only IT staff can order or authorize the order of these services and equipment. The Executive Director may make exceptions for the purchase of equipment in an emergency on a case-by-case basis.

Regardless of the means of communication, employees must communicate respectfully

whether with other employees, vendors, clients, or the public. Appropriate language should always be used; profanity is never permitted. PII must never be shared.

Communications should be kept short and business-related.

The AHA reserves the right to terminate AHA cell phone accounts.

**H. Saving Data and Files.** AHA employees will save work-related data and files to the shared drives on the main server, and not to the C drives of desktop computers or laptops. IT staff cannot be responsible for data and files saved to a C drive as there is no means of backup and retrieval in the event of a hard-drive crash. Unsaved changes to open files in open applications will be lost.

**I. Portable Memory Storage Devices.** Only IT staff-approved portable memory storage devices (also known as thumb drives, flash drives, mini drives, memory sticks) will be allowed for use on AHA equipment. All IT staff-issued portable memory storage devices will be encryption-enabled to prevent unauthorized users from accessing data, with the exception of data classified as public information. IT may allow staff to store public information on unencrypted portable devices.

**J. Passwords.** Employees are responsible for all activity performed with individual user IDs and passwords. A user ID and password may NOT be utilized by anyone but the individual to whom it has been issued. Sharing passwords is prohibited in all AHA systems (domain credentials, Laserfiche, etc.) and external or cloud-based systems and Internet websites used by the AHA (GoogleApps, Yardi, SafeRent, EZ-RRD, etc.). The following guidelines must be followed in the selection and maintenance of passwords:

1. Unique user ID and password are required.
2. Passwords must be a minimum of six characters long. Secure passwords containing upper and lower case letters, numbers, and symbols, are encouraged.
3. Systems must NOT be set to remember passwords.
4. Password reminders such as notes must not be placed anywhere they can be found easily, such as under or on phones, keyboards, PCs, monitors, mouse pads, desktops, etc.
5. Employees should refrain from using the same passwords on multiple systems to avoid compromising another system when one system is compromised.
6. Generally, after three incorrect logon attempts, employees will be locked out for a predetermined period of time. Call IT staff for assistance.
7. When prompted by a program to change your password, do so immediately. Do not simply add a number (e.g., alameda1, alameda2, etc.) or reverse the order (e.g., alameda1, 1alameda). Avoid using PII.

**K. Remote Access.** Remote access to the AHA network is available upon approval. Access will be awarded on a case-by- case basis, and will require approval of IT staff or the Executive Director. Remote access shall require a two-step authentication process as available.

**L. Network Management Tools.** These tools are to be used by IT staff and authorized designees only. Security flaws are not to be tested by anyone other than IT. Security concerns must be forwarded to IT or the Executive Director for resolution.

**M. Email.** Employees will use professional etiquette when composing email; it is simply an alternative means of writing a letter or memorandum. The email system is not to be used for creating or distributing any offensive or disruptive message, including messages containing offensive comments about race, gender, sexual orientation, religious or political beliefs, national origin, disability, or any other basis protected by applicable federal, state, or local law, or containing profanity or pornography, or “chain” emails. Unlawful messages, such as emails that infringe on copyright are also prohibited. Remember email is subject to subpoena in legal cases; therefore, employees should use the same care when creating emails that they use when composing a memorandum or a letter.

The size of email attachments will be regulated by IT staff to ensure the smooth operation of email systems. Some external email recipients may also have attachment restrictions which will need to be resolved by the recipient’s IT staff. IT staff will address issues and technology changes as they become evident.

PII will not be emailed outside the confines of the AHA network unless it is properly encrypted and is sent only to those with a business need to know. AHA provides software specifically for this purpose, and staff must utilize it correctly at all times to avoid any privacy breach. This prohibition also applies to the forwarding of official AHA files, data, etc. to personal email accounts; even if encrypted, this activity is prohibited.

If an employee is receiving unwanted and unsolicited email messages, the employee must report this activity to his/her supervisor or IT staff. The AHA will investigate each incident as necessary.

**N. Email Disposition.** All users should archive email messages of a work-related matter. Email messages that relate to mundane issues, such as a scheduled refrigerator cleaning or doughnuts available in the Break Room, may be deleted. If in doubt about whether to archive or delete messages, you should archive or seek further guidance from IT staff.

## VI. AHA INTRANET AND INTERNET

The AHA Intranet, public website ([www.alamedahsq.org](http://www.alamedahsq.org)), and Internet connections are fundamental tools required for operating Yardi, GoogleApps, and other cloud-based services. They are also needed to provide timely and critical AHA information to employees, to increase public awareness of AHA programs, and to facilitate the agency’s mission and program goals.

AHA provides a desktop computer in the breakroom that is designated for staff personal use during breaks and lunch. Staff are allowed to connect personal devices to AHA WiFi only.

All administrative, design, policy and technical questions regarding the AHA Intranet site



and Internet website should be directed to IT staff.

## **VII. ETHICS**

The AHA requires that all users of its technology resources do so in a responsible manner in accordance with standards of normal professional ethics, AHA codes of conduct and policies, and in a legal manner that is strictly within a person's authorized job function. It is the expectation that all AHA staff, interns, contractors, and vendors adhere to every aspect of this policy and accept a personal obligation to perform work in the highest ethical and professional conduct.

Violations of this policy may result in disciplinary action up to and including termination of employment or cancelation of a vendor contract and may result in legal action.

AHA technology resources are provided to authorized employees, participants and vendors for the purpose of work-related activities; all computer users must always respect the priority of these purposes. In exchange for the privileges granted to authorized users, they agree to abide by the following standards:

1. To hold paramount the safety, health, and welfare of the public.
2. To respect the right to confidentiality of information and protect data belonging to the AHA, its employees, tenants, and participants.
3. To not advance personal, commercial, or political interests using agency technology resources, especially not at the expense of participants/tenants, colleagues, or the AHA.
4. To use technical knowledge, user rights, and permissions only to fulfill responsibilities to AHA.
5. To immediately report any incidents of personal noncompliance or noncompliance of staff members to the supervisor or IT Department.
6. To not physically mishandle or abuse any of the technology equipment or software.
7. To not transmit any material in violation of any state or federal law or regulation.
8. To use internet etiquette by not engaging in inappropriate use such as downloading and/or uploading offensive material and unapproved software, performing unauthorized actions and visiting unsafe websites.
9. To not access information beyond that directly related to their current job duties.
10. To maintain high standards of professional competence and practice when using AHA equipment and systems.
11. To respect the privacy of co-workers' information and not view or examine their email, files or computer data without a business need and securing the appropriate approvals to do so.

## **VIII. PROHIBITED ACTIVITIES**

AHA technology systems, equipment and communication devices are for AHA business only. In addition, it is against local, state, and federal laws to interfere with or disrupt the AHA network, servers, desktop computers, other network equipment, software systems or services. It also violates the policies of AHA. Such prohibited interference or disruption

includes but is not limited to:

- A. **Hacking.** Using the network to force unauthorized entry (hacking) into other information technology network devices or resources. Unauthorized users must not attempt to enter any server, workstation or computer with (or without) Internet access. Such an action is a violation of the Federal Electronic Communications Privacy Act (ECPA) 18 U.S.C. 2510-22.
- B. **Introducing Viruses.** Introducing computer viruses, worms or trojans into the AHA network.
- C. **Unauthorized Use of Personal Identifiable Information (PII).** Downloading, copying, emailing, transmitting, etc., AHA-owned data, material, information, or software in violation of any local, state or federal law or AHA policies.
- D. **Spamming.** Distributing unsolicited advertising via email.
- E. **Chain Emails.** Chain emails are widely-distributed, non-business emails sent to dozens or hundreds of users. Creating, sending or forwarding chain emails is prohibited.
- F. **Sharing Passwords.** Sharing network system passwords.
- G. **Connecting Personal Devices to AHA Network.** Plugging in or attaching personal electronic devices to the AHA network is strictly prohibited. Personal devices can only be connected to AHA's WiFi.
- H. **Unauthorized Downloads.** Downloading games, non-authorized programs, music, video; playing games, using unauthorized programs on AHA desktops or laptops.
- I. **Degrading Bandwidth.** "Diluting" bandwidth by streaming non-authorized audio, video, or web services that serve to cause network slowdowns for AHA users.
- J. **Unauthorized Changes to Databases.** Making unauthorized changes or updates to any AHA database system. Making unauthorized changes to or deletions of any AHA data or files.
- K. **Unauthorized International Long Distance.** Making international long distance calls, texting, accessing Internet pages (*non-email* portals) from AHA-issued mobile devices or from AHA land lines without approval. As long as the AHA has a VOIP telephone system and domestic long distance calling incurs no cost to the AHA, domestic long distance calling during non-work time is permitted.
- L. **Unauthorized IT Equipment Removal.** Moving, altering, or replacing IT equipment without authorization of IT staff is prohibited.
- M. **Using Removable Storage.** Use of *personally purchased* portable memory storage devices on AHA premises is prohibited; exceptions will be addressed by Executive Director or the Management Analysts on a case-by-case basis. Removing AHA-issued portable memory storage devices from AHA premises is prohibited.

Exceptions will be made for business needs upon written approval of Department Directors. The loading of PII such as social security numbers, payroll information, etc. onto portable memory storage devices, as well as onto CDs, floppy discs, external drives, etc. is strictly prohibited.

- N. **Personal Blogging on AHA Time.** Employees may not use AHA equipment or software on AHA time to conduct personal blogging or social network activities.
- O. **Posting Photos, Using Names or Other Confidential Information of AHA Employees, Customers, or Vendors on Personal Blogs.** Employees may not post photographs of other employees (without written consent), customers, or vendors on personal posts.
- P. **Linking Personal Blogs to AHA Website.** Employees may not link from a personal blog or social media to the AHA's website.

## IX. AHA USE OF SOCIAL MEDIA

The AHA may use social media and social media sites to further enhance communications with various stakeholder organizations in support of the AHA's goals and objectives. This may enable department managers to publish articles, facilitate discussions and communicate information through various media related to conducting AHA business. Social media also may facilitate further discussion of AHA issues, operations and services by providing members of the public the opportunity to participate in many ways using the Internet.

- A. **Obtaining Approval.** All AHA social media sites must be: 1) approved by the Executive Director and IT staff; 2) published using approved AHA social media platform and tools; and 3) administered by IT staff or designee.
- B. **Public Disclosure.** All social media sites will clearly indicate that any articles and any other content posted or submitted for posting are subject to public disclosure.
- C. **Introductory Statement.** Each AHA social media site will include an introductory statement which clearly specifies the purpose and scope of the social media site or blog. When possible, social media sites should link back to the official AHA website for forms, documents, and other information.
- D. **Prohibited Content.** AHA social media content and comments that contain any of the following will not be allowed to be posted:
  1. Comments not topically related to the particular site or article being commented upon;
  2. Profane, obscene or defamatory language or content;
  3. Content that promotes, fosters, or perpetuates discrimination on the basis of race, ethnicity, creed, color, age, religion, gender, marital status, status with regard to public assistance, medical condition, physical or mental disability, sexual orientation, gender identity and expression, genetic information, military or veteran status, or any other basis protected by applicable federal,

- state, or local law;
4. Sexual content or links to sexual content;
  5. Solicitations of commerce;
  6. Conduct or encouragement of illegal activity;
  7. Information that may tend to compromise the safety or security of the public or public systems; or
  8. Content that violates a legal ownership interest of any other party.
- E. **Right to Remove Content.** The AHA reserves the right to restrict or remove any content that is deemed in violation of this IT Policy or any applicable law.
- F. **Site Maintenance.** All social media sites will clearly indicate they are maintained by AHA and must abide by AHA policy and will have AHA contact information prominently displayed.
- G. **Security Policies.** AHA IT security policies shall apply to all social media sites and articles.
- H. **Representing the AHA.** AHA Board members and employees represent the AHA; as such, they must conduct themselves on AHA social media at all times as a representative of AHA and in accordance with all AHA policies.
- I. **Required Adherence to Policies.** AHA understands that Internet services are, and future social media may become, common forms of communication in the workplace and among stakeholders and citizens. For policies and guidelines on personal use of Social Media, see the Employee Handbook. If you choose to or are assigned to participate in AHA's social media as an AHA employee or AHA Board member; you must adhere to the following guidelines when posting, publishing, sharing, commenting or otherwise performing work related to AHA social media sites:
1. AHA policies, rules, regulations and standards of conduct apply to employees that engage in social media activities while conducting AHA business on AHA social media. Use of your AHA e-mail address and communicating in your official capacity will constitute conducting AHA business.
  2. The Executive Director or designee has the option of approving or disallowing employees to participate in future AHA social media sites as part of their job duties.
  3. Protect your privacy, the privacy of citizens, and the information that AHA holds. Follow all privacy protection laws (e.g., HIPAA) and protect sensitive, confidential information.
  4. Follow all copyright laws, public records laws, fair use and financial disclosure laws and any other laws that might apply to the AHA or your functional area.
  5. Do not cite vendors, suppliers, clients, citizens, co-workers or other stakeholders without their prior written approval.

6. Correct your mistakes and do not alter previous posts without indicating that you have done so.
7. Add value to AHA through your interaction. Provide worthwhile information and perspective.

## **X. OTHER SOCIAL MEDIA GUIDELINES**

The AHA respects the right of employees to use social media for self-publishing and self-expression during personal time. Unless specifically authorized by AHA to do so as part of the employee's position, employees are not permitted to use forms of social media or technology on the Internet during working hours or at any time on AHA computers or other AHA-supplied devices. Misuse of social media is grounds for discipline up to and including termination of employment and/or personal legal liability. Here are guidelines to help you avoid disciplinary action:

- A. On personal social media, make it clear that you are speaking for yourself and not on behalf of the AHA. If you publish content on any website outside of the AHA's website and AHA's social media sites, and the content has =is related to the work you do or persons or topics associated with the AHA, use a disclaimer such as "The postings on this site are my own and do not necessarily reflect the views of The Housing Authority of the City of Alameda."
- B. Do not use ethnic slurs, profanity, personal insults, or engage in any conduct that would not be acceptable in the AHA workplace. Avoid comments or topics that may be considered objectionable or inflammatory.
- C. If you identify yourself as an AHA employee, ensure your profile and related content is consistent with how you wish to present yourself to colleagues, citizens and other stakeholders.

Employees are bound by the AHA's workplace policies when using social media, including policies such as the workplace standards outlined in the Employee Handbook, equal employment opportunity, anti-harassment, sexual harassment, confidentiality, and other related policies. These policies apply to the use of social media during non-working hours to the extent that the AHA is impacted in any way.

Be smart by protecting yourself, your privacy, and the AHA's confidential information. What you publish is widely accessible and will be around indefinitely, so consider the content carefully.

## **XI. ENFORCEMENT**

A. AHA will follow all applicable federal, state and local laws and regulations related to the administration of this information technology policy. Some examples of the statutory supports of this policy are as follows:

1. Federal Information Security Management Act of 2002 (FISMA). FISMA consists of Title III of the E-Government Act of 2002 (U.S. Public Law 104347) which became effective on April 17, 2003. Per FISMA, "information security means

protecting information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction in order to provide:

- a) Integrity, which means guarding against improper information modification or destruction, and includes ensuring information... [authenticity];
- b) Confidentiality, which means preserving authorized restrictions on access and disclosures, including means for protecting personal privacy and proprietary information; and
- c) Availability, which means ensuring timely and reliable access to and use of information.”

<http://csrc.nist.gov/drivers/documents/FISMA-final.pdf>

2. Federal Electronic Communications Privacy Act (ECPA) 18 U.S.C. This statute spells out the types of unauthorized electronic activities that are unlawful. Some examples include:

Communication Interference (Denial of Service Attacks) - 18 U.S.C. §§. 1362 & 1030 (a)5(A)(i)

Privacy & Security - 18 U.S.C. §§ 2510 & 2511

Spamming - 18 U.S.C. § 1037

3. The Computer Fraud and Abuse Act (as amended 1994 and 1996) (18 U.S.C. §1030). This federal statute governs those who:

- (i) Knowingly causes the transmission of a program, information, code, or command and, as a result of such conduct, intentionally causes damage without authorization, to a protected computer;
- (ii) Intentionally accesses a protected computer without authorization and, as a result of such conduct, recklessly causes damage; or
- (iii) Intentionally accesses a protected computer without authorization and, as a result of such conduct, causes damage and loss;

4. California Penal Code Section 502. This law prescribes penalties for damaging, deleting, destroying data or otherwise disrupting computer operations.

5. California Public Records Act (“CPRA”), Government Code Section 6250. This statute requires the Housing Authority to make all public records available for inspection and to provide copies upon request.

## B. Noncompliance

1. Failure to comply or willful violation of this IT Policy may be investigated and may result in disciplinary action against the employee in accordance with the Employee Handbook. When applicable, should the employee also violate federal, state or local laws, the AHA may notify the appropriate authorities and cooperate in any investigation as requested.
2. Employees will cooperate with any investigation regarding the use of AHA computer equipment and Internet usage.

HOUSING AUTHORITY OF THE CITY OF ALAMEDA

**EMPLOYEE CERTIFICATION OF RECEIPT OF INFORMATION TECHNOLOGY (IT)  
POLICY**

I certify that I have been trained, read and reviewed the AHA INFORMATION TECHNOLOGY POLICY. By signing this form, I acknowledge that this policy applies to me and I agree to comply with it.

Print name: \_\_\_\_\_

Signature: \_\_\_\_\_

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

cc: Employee Personnel File

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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Vanessa M. Cooper, Executive Director

Date: May 20, 2020

RE: Approve One-time Changes to the 2014 Employment Contract with the Executive Director Due the Current Health Crisis

---

### **BACKGROUND**

The current health crisis has caused a significant increase in work for senior management, and several staff have had to cancel planned vacations in order to focus on the day-to-day work of the agency. There is little sign that the work will ease up in the next few months as the health crisis continues. Significant absenteeism among staff in general as well as several vacancies in the management team make it challenging for remaining senior management to take more than a few days of leave at this time.

### **DISCUSSION**

The Board was asked in April to approve a temporary increase to December 31, 2020 for all staff to the maximum vacation accrual cap of 60 hours; for the Executive Director, this raised the accrual cap from 400 to 460 hours. This issue, along with other changes, is coming back to Board to ratify as a contract amendment.

The following changes are also requested to unused FY 2019-2020 allowances in the contract to permit them to roll forward for use by September 30, 2021 due to the current crisis:

- Up to \$5000 annual training allowance
- Annual Executive Leave use of up to 50 remaining hours of the 75 annual allowance
- Annual authorization of up to 75 hours of outside employment

The FY 2020-2021 allowances are the same and are in addition to the above rollover amounts, so for the period for FY 2020-2021 the allowances will be approximately double.





**FINANCIAL IMPACT**

The allowances were already budgeted in the FY 2019-2020 budget and the costs, where applicable, for both FY 2019-2020 and FY 2020-2021 will be included in the new budget if approved.

**RECOMMENDATION**

Approve one-time changes to the 2014 Employment Contract with the Executive Director due the current health Crisis.

Respectfully submitted,



Vanessa M. Cooper  
Executive Director



To: Honorable Chair and Members of the Board of Commissioners

From: Vanessa M. Cooper, Executive Director

Date: May 20, 2020

RE: Approve Outside Employment of Executive Director, per 2014  
Employment Contract Between the Board of Commissioners and Vanessa  
Cooper

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### **BACKGROUND**

The Executive Director's contract permits outside employment up to 75 hours with the Approval of the Board of Commissioners. The contract (section 3.2 in part) reads:

*"It is agreed that even during non-business hours Cooper shall not engage in any regularly conducted business activity for profit without first obtaining approval of the Authority's Board of Commissioners. Notwithstanding this restriction, it is understood that Cooper may take up to 75 hours (10 days) per year for private consulting activities, teaching or other work, provided (a) such activity or work does not substantially interfere with the performance of Cooper's job duties as Executive Director, and (b) such activities or work does not create a conflict of interest for Cooper with respect to her job as Executive Director. "*

The Board packet includes a separate memo is regarding annual allowances under the contract.

### **DISCUSSION**

Executive Director Cooper is seeking approval to carryout outside employment in the Fiscal Year 2020 – 2021 including teaching at San Jose State, as she had done for the past several years, and providing private consulting services to the other Public Housing Authorities or non-profits.

Ms. Cooper has taught at San Jose State University since 2017 as part of the Masters in Urban and Regional Planning Program. The teaching usually focuses on housing policy and housing-related topics. Students are usually graduate level students engaged and sometimes already employed by affordable housing developers or local city planning departments. The request is being made for approval for the Fall 2020 or Spring 2021 semesters as CSU schedules are still not finalized.



The class time is 2.5 hours a week in the evenings. The total class time and related tasks is not expected to exceed the 75 hours and if held in the fall, the class is expected to be entirely online per CSU policy during the current health situation.

General Counsel has reviewed outside employment requests for the teaching at SJSU in prior years and found no apparent conflict of interest for the Executive Director or Agency.

Ms. Cooper, over the past few years, has also been approached to do consulting for other Northern California PHAs and non-profits in the areas of affordable housing development, program management, and agency operations, etc. Several Bay Area PHAs are currently being restructured, absorbed or changing leadership and need additional assistance from experienced, local PHA experts. Such consulting would be on an hourly basis.

No specific request is being made regarding consulting for PHAs or non-profits at this time. A request to provide assistance to Contra Costa Housing Authority was previously approved. It was also reviewed by General Counsel, but the work has not moved forward at this time. As previously agreed, Ms. Cooper would inform the Board Chair and seek General Counsel review and assessment of conflicts for all new consulting engagements before any contract is executed.

**FISCAL IMPACT**

There is no fiscal impact to the agency.

**RECOMMENDATION**

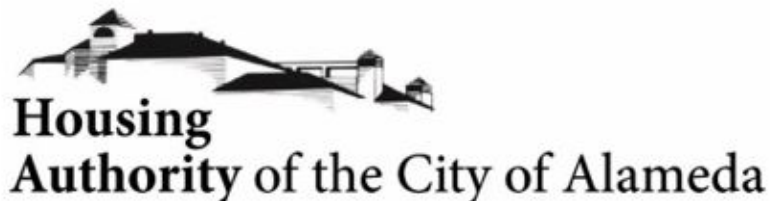
Approve Outside Employment of Executive Director, per 2014 Employment Contract Between the Board of Commissioners and Vanessa Cooper.

Respectfully submitted,



Vanessa M Cooper  
Executive Director





PHONE (510) 747-4300  
FAX (510) 522-7848  
TTY/TRS 711

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To: Honorable Chair and Members of the Board of Commissioners  
From: Vanessa M Cooper, Executive Director  
Date: May 20, 2020  
Re: Accept the Monthly Overview Report on Procurement

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### **BACKGROUND**

This memo provides an overview of the procurement activities for the agency for the month of April.

### **DISCUSSION**

Staff continues to do an internal status review of all department contracts and procedures to ensure compliance and correct any deficiencies. There are a number of contracts which have been updated and/or are back out to bid at this time or have been recently completed.

A new internal tracking system is in development to supplement departmental tracking systems. As set out in a separate memo, staff have done extensive work over the past few months to update the AHA Procurement Policy and procedures. These new policies and the related state procurement regulations place a necessary but considerable additional administrative burden on the agency. A third management analyst position (already in the budget) is to be opened to provide support to the Senior Management team on tracking procurement, contracts, and deadlines. New work will be required on maintaining contractor lists going forward. Furthermore, as part of the review, procurement documents are being centralized for easier retrieval. Department Directors will continue to be responsible for tracking, procurement, and contract management within their respective departments. Staff are reviewing possible new software systems to assist with procurement and contract management and will include proposed expenses in the upcoming budget.

AHA solicitations can be found here:

[http://www.alamedahsg.org/working\\_with\\_us/business\\_opportunities](http://www.alamedahsg.org/working_with_us/business_opportunities).



A summary of RFPs and ITBs is provided below:

<b>RFP/ITB</b>	<b>Description</b>	<b>Status</b>
Debt & Equity	For Rosefield tax credit project (ICD)	Closed and contract in place
General Contractor	For Rosefield tax credit project (ICD)	Closed and final selection made
Demotion of homes	For North Housing (ICD)	Closed, final selection made, contract in progress
Office Supplies	For Office and AHA managed properties	Closed, final selection made, contract in progress
Landscape Maintenance	For Office and AHA managed properties and North Housing	Closed and final selection is in process
Janitorial Services	For Office and AHA managed properties	Open for bids
Painting Services	For Office and AHA managed properties	Open for bids
Realtor Services	For AHA/ICD/AAHC as needed	Open for bids
Flooring Services	For Office and AHA managed properties	Open for bids
Inspection Services	For HQS	Open for bids
Print & Mail Services	For all AHA programs	To be issued in May/June
IT Services	For all AHA sites	To be issued in May/June
Security Services	For all AHA owned sites as needed	To be issued in May/June
Translation services	For Office and AHA managed properties	To be issued in May/June

**RECOMMENDATION**

Accept the Monthly Overview Report on Procurement.

Respectfully submitted,



Vanessa M Cooper  
Executive Director





# Housing Authority of the City of Alameda

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To: Honorable Chair and Members of the Board of Commissioners

From: Lynette Jordan, Director of Housing Programs

Date: May 20, 2020

RE: Authorize the Executive Director or Designee to Implement Waivers for the Section 8 Program as Necessary

---

## **BACKGROUND**

On April 10, 2020, HUD issued Notice PIH 2020-05, subject: COVID-19 Statutory and Regulatory Waivers for the Public Housing, Housing Choice Voucher, Indian Housing Block Grant and Indian Community Development Block Grant programs, Suspension of Public Housing Assessment System and Section Eight Management Assessment Program, which allows regulatory relief from AHA's normal operating process. Staff have reviewed the waivers and request the Board authorize the Executive Director to implement these waivers as outlined in this report.

The attached chart (Attachment A) summarizes the waivers authorized under PIH Notice 2020-05 and the availability period for each.

## **DISCUSSION**

The Housing Authority of the City of Alameda (AHA) has been monitoring the rapidly evolving situation surrounding the COVID-19 virus and its effect on our Housing Choice Voucher (HCV) program, program participants and landlords. Under the Order of the Alameda County Health Officer to Shelter in Place, AHA has decided to close its offices to the public and issue protective guidance to its staff in order to limit interaction with the public to protect our staff, residents, and program participants from the possibility of infection.

Also, in compliance with California Executive Order N-28-20, AHA is giving program participants extended deadlines to submit required information and documentation. Given the impact this has had on staff, program participants, and partner agencies that AHA relies on to conduct everyday functions, senior management is requesting to implement some waivers now and reserve the right to implement others as needed. Listed below are some of the key waivers staff may implement:

Housing Quality Standards (HQS) Inspections: Due to the federal, State, and local



declarations of emergency due to the coronavirus, our agency has implemented a cessation of all biennial inspections, including those covered under the Project Based Voucher regulations. The completion of inspections will be delayed as many inspections will have to be postponed due to potential COVID-19 exposure or self-isolation orders. AHA is already using the HOTMA biennial authority and half our inspections are due as it has been almost 24 months since the last inspection. As 66% of the households housed by AHA contain a family member who is elderly or disabled, many of these inspections are of units with populations with underlying health conditions and most at risk currently.

At this time, AHA is only performing initial inspections and special inspections impacting the health and safety of the participant. Inspectors are asking if anyone is ill in the unit before entering. Where there is a risk, AHA will postpone the inspection.

Section 8 Management Assessment Program (SEMAP): AHA has maintained high performer status for the past 5 years and will utilize the waiver so that our SEMAP score from the previous year may be carried over. AHA has a fiscal year end of 6/30/2020.

Family Self-Sufficiency (FSS) Contract Extension: FSS is a HUD program to help Section 8 Housing Choice Voucher and Project Based Voucher participants obtain employment which will lead to economic independence and self-sufficiency through individual planning, this waiver provides for extensions to FSS contract of participation. AHA staff may implement this waiver to allow families additional time in the program to gain employment and successfully complete the program. AHA anticipates the program growing over the next year due to layoffs sustained by families. Staff will increase its efforts to recruit new families into the program.

Annual and Interim Recertifications: As part of the annual reexamination process, families are required to provide updated information to the PHA regarding the family's income, expenses and compensation. Mounting layoffs and work reductions in the area have increased the number of interim reexamination requests AHA will need to process. Participants are beginning to lose their jobs or have reduced work hours and are unable to provide documentation of such as employers providing this verification are not considered "Essential Businesses" and are closed. This disruption will hamper families' ability to timely provide updated information for performing reexaminations and limit AHA's ability to timely meet the reporting requirements as required by SEMAP. While AHA has implemented an online annual process, this is a new system to participants, and all training and help sessions had to be cancelled. AHA will attempt to complete re-examinations by requesting needed documents via phone and encouraging the mailing in of documents over the course of the next



several months, but it is likely that some will not meet the required time frame. Therefore, staff reserves the right to implement this waiver to use tenant self-certification where needed to meet processing deadlines and to acknowledge the impact of the current health situation on staff operations.

Administrative Plan: Waives the requirement to adopt revisions to the Admin Plan through the public Board of Commissioners meeting process. As regulations for handling of COVID-19 are rapidly changing staff reserve the right to make changes to the Administrative Plan without adopting the changes if needed. Staff will come back to the Board with updates on any changes implemented during this period that required immediate adoption.

Waitlist Opening: If the waiting list has been closed, it cannot be reopened until the AHA publishes a notice in local newspapers of general circulation, minority media, and other suitable media outlets. This waiver waives public notice requirements for opening and closing the waiting list. AHA currently has several waitlists that need to be opened and reserves the right to implement this waiver if needed.

While staff will work diligently to complete all required regulations in a timely fashion. These are some of the key waivers staff have or may implement to meet the immediate demands COVID-19 has placed on core business functions. The chart lists all waivers available to staff which will enable our agency to serve the current needs of our participants, without being penalized for not being able to meet many of its benchmarks as a result of COVID-19.

### **FINANCIAL IMPACT**

Authorizing the Executive Director to implement waivers for the Section 8 program will have little or no financial impact on the program. Additional costs will be built in to the 2020-21 budget to address new software and other costs which help address operating the agency during the current health crisis.

### **RECOMMENDATION**

Authorize the Executive Director or designee to implement waivers for the Section 8 program as necessary.

Respectfully submitted,



Lynette Jordan  
Director of Housing Programs

Attachments: A - Table of Possible Waivers





**CORONAVIRUS AID, RELIEF AND ECONOMIC SECURITY (CARES) ACT (PUBLIC LAW 116-136) HOUSING CHOICE VOUCHER PROVISIONS**

**Applicable to AHA Operations**

Item	Statutory and regulatory waivers	Summary of alternative requirements	Possible application (may change) opting	Availability Period Ends
PH and HCV-1 PHA 5-Year and Annual Plan	<u>Statutory Authority</u> Section 5A(a)(1), Section 5A(b)(1), Section 5A(g), Section 5A(h)  <u>Regulatory Authority</u> § 903.5(a)(3), 903.5(b)(3), 903.21	<ul style="list-style-type: none"> <li>Alternative dates for submission</li> <li>Changes to significant amendment process</li> </ul>	Not necessary	Varies based on FYE  7/31/20
PH and HCV-2 Family income and composition – delayed annual reexaminations	<u>Statutory Authority</u> Section 3(a)(1)  <u>Regulatory Authority</u> § 982.516(a)(1), § 960.257(a)	<ul style="list-style-type: none"> <li>Permits the PHA to delay the annual reexamination of income and family composition</li> <li>HCV PHAs must implement HCV-7 for impacted families if they implement this waiver</li> </ul>	Yes 982.516 Yes, as needed.	12/31/20
PH and HCV-3 Annual reexamination Income Verification	<u>Regulatory Authority</u> § 5.233(a)(2) <u>Sub-regulatory Guidance</u> PIH Notice 2018-18	<ul style="list-style-type: none"> <li>Waives the requirements to use the income hierarchy, including the use of EIV, and will allow PHAs to consider self-certification as the highest form of income verification</li> <li>PHAs that implement this waiver will be responsible for addressing material</li> </ul>	Yes, Only with written 3 <sup>rd</sup> party forms	7/31/20

ATTACHMENT A - CHART OF WAIVERS

<p>PH and HCV-4 Interim reexamination</p>	<p><u>Statutory Authority</u> Section 3(a)(1)</p> <p><u>Regulatory Authority</u> § 5.233(a)(2), 982.516(c)(2), 960.257(b) and (d)</p> <p><u>Sub-regulatory Guidance</u> PIH Notice 2018-18</p>	<ul style="list-style-type: none"> <li>• Waives the requirement to use the income verification requirements, including the use of EIV, for interim reexaminations</li> </ul>	<p>Yes, Only with written 3<sup>rd</sup> party forms</p>	<p>7/31/20</p>
<p>PH and HCV-5 EIV System Monitoring</p>	<p><u>Regulatory Authority</u> § 5.233</p> <p><u>Sub-regulatory Guidance</u> PIH Notice 2018-18</p>	<ul style="list-style-type: none"> <li>• Waives the mandatory EIV monitoring requirements.</li> </ul>	<p>Yes, if needed.</p>	<p>7/31/20</p>
<p>PH and HCV-6 FSS Contract of Participation</p>	<p><u>Regulatory Authority</u> § 984.303(d)</p>	<ul style="list-style-type: none"> <li>• Provides for extensions to FSS contract of participation</li> </ul>	<p>Yes, If needed.</p>	<p>12/31/20</p>

ATTACHMENT A - CHART OF WAIVERS

<p>PH and HCV-7 Waiting List</p>	<p><u>Regulatory Authority</u> § 982.206(a)(2) PIH Notice 2012-34</p>	<ul style="list-style-type: none"> <li>• Waives public notice requirements for opening and closing waiting list</li> <li>• Requires alternative process</li> </ul>	<p>Yes, if needed</p>	<p>7/31/20</p>
<p>HQS-1 Initial inspection</p>	<p><u>Statutory Authority</u> Section 8(o)(8)(A)(i), Section 8(o)(8)(C) <u>Regulatory Authority</u> § 982.305(a), 982.305(b), 982.405</p>	<ul style="list-style-type: none"> <li>• Changes initial inspection requirements, allowing for owner certification that there are no life-threatening deficiencies</li> <li>• Where self-certification was used, <b>PHA must inspect the unit no later than October 31, 2020.</b></li> </ul>	<p>No</p>	<p>7/31/20  10/31/20</p>
<p>HQS-2: <u>PBV Pre-HAP Contract Inspections, PHA acceptance of completed units</u></p>	<p><u>Statutory Authority:</u> Section 8(o)(8)(A)  <u>Regulatory Authority:</u> §§ 983.301(b), 983.156(a)(1)</p>	<ul style="list-style-type: none"> <li>• Changes inspection requirements, allowing for owner certification that there are no life- threatening deficiencies</li> <li>• <b>Where self-certification was used, PHA must inspect the unit no later than October 31, 2020.</b></li> </ul>	<p>Yes, if needed</p>	<p>7/31/20  10/31/20</p>

ATTACHMENT A - CHART OF WAIVERS

<p>HQS-3 Non-Life Threatening HQS - Initial Unit Approval</p>	<p><u>Statutory Authority</u> Section 8(o)(8)(A)(ii)  <u>Regulatory Authority</u> HOTMA HCV Federal Register Notice January 18, 2017</p>	<ul style="list-style-type: none"> <li>Allows for extension of up to 30 days for owner repairs of non-life threatening conditions</li> </ul>	<p>Yes, If needed</p>	<p>7/31/20</p>
<p>HQS-4 Initial HQS - Alternative Inspections</p>	<p><u>Statutory Authority</u> Section 8(o)(8)(A)(iii)  <u>Regulatory Authority</u> HOTMA HCV Federal Register Notice January 18, 2017</p>	<ul style="list-style-type: none"> <li>Under Initial HQS Alternative Inspection Option - allows for commencement of assistance payments based on owner certification there are no life-threatening deficiencies</li> <li>Where self-certification was used, PHA must inspect the unit no later than October 31, 2020.</li> </ul>	<p>Not needed</p>	<p>7/31/20  <input type="checkbox"/> 10/31/20</p>
<p>HQS-5 Biennial Inspections</p>	<p><u>Statutory Authority</u> Section 8(o)(D)  <u>Regulatory Authority</u> §§ 982.405(a), 983.103(d)</p>	<ul style="list-style-type: none"> <li>Allows for delay in biennial inspections</li> <li>All delayed biennial inspections must be completed as soon as reasonably possible but by no later than October 31, 2020.</li> </ul>	<p>Yes 982.405 (a) and 983.103 (d)</p>	<p>10/31/20</p>
<p>HQS-6 Interim Inspections</p>	<p><u>Statutory Authority</u> Section 8(o)(8)(F)  <u>Regulatory Authority</u> §§ 982.405(g), § 983.103(e)</p>	<ul style="list-style-type: none"> <li>Waives the requirement for the PHA to conduct interim inspection and requires alternative method</li> <li>Allows for repairs to be verified by alternative methods</li> </ul>	<p>Yes 982.405 (a)</p>	<p>7/31/20</p>

ATTACHMENT A - CHART OF WAIVERS

<p>HQS-7 PBV Turnover Inspections</p>	<p><u>Regulatory Authority</u> § 983.103(c)</p>	<ul style="list-style-type: none"> <li>• Allows for PBV turnover units to be filled based on owner certification there are no life-threatening deficiencies</li> <li>• Allows for delayed full HQS inspection</li> </ul>	<p>Not needed</p>	<p>7/31/20  <input type="checkbox"/> 10/31/20</p>
<p><u>HQS-8: PBV HAP Contract – HQS Inspections to Add or Substitute Units</u></p>	<p><u>Statutory Authority Section</u> 8(o)(8)(A) <u>Regulatory</u> <u>Authority</u> §§ 983.207(a), 983.207(b)</p>	<ul style="list-style-type: none"> <li>• Allows for PBV units to be added or substituted in the HAP contract based on owner certification there are no life-threatening deficiencies</li> <li>• Allows for delayed full HQS inspection</li> </ul>	<p>Yes, may implement</p>	<p>7/31/20  <input type="checkbox"/> 10/31/20</p>
<p>HQS-9 HQS QC Inspections</p>	<p><u>Regulatory Authority</u> § 982.405(b)</p>	<ul style="list-style-type: none"> <li>• Provides for a suspension of the requirement for QC sampling inspections</li> </ul>	<p>Yes</p>	<p>10/31/20</p>

ATTACHMENT A - CHART OF WAIVERS

<p>HQS--10 HQS Space and Security</p>	<p><u>Regulatory Authority</u> § 982.401(d)</p>	<ul style="list-style-type: none"> <li>• Waives the requirement that each dwelling unit have at least 1 bedroom or living/sleeping room for each 2 persons.</li> </ul>	<p>Yes, May Implement</p>	<p>Remains in effect one year from lease term or date of notice, whichever is longer</p>
<p>HCV-1 Administrative Plan</p>	<p><u>Regulatory Authority</u> § 982.54 (a)</p>	<ul style="list-style-type: none"> <li>• Waives the requirement to adopt revisions to the admin plan</li> </ul>	<p>Yes, May Implement</p>	<p>7/31/20</p>

ATTACHMENT A - CHART OF WAIVERS

HCV-2 PHA Oral Briefing	<u>Regulatory Authority</u> § 982.301(a)(3) § 983.252(a)	<ul style="list-style-type: none"> <li>• Waives the requirement for an oral briefing</li> <li>• Provides for alternative methods to conduct required voucher briefing</li> </ul>	Yes	7/31/20
HCV-3 Term of Voucher - Extensions of Term	<u>Regulatory Authority</u> § 982.303(b)(1)	<ul style="list-style-type: none"> <li>• Allows PHAs to provide voucher extensions regardless of current PHA policy</li> </ul>	Yes	7/31/20
HCV-4 PHA Approval of Assisted Tenancy	<u>Regulatory Authority</u> § 982.305(c)	<ul style="list-style-type: none"> <li>• Provides for HAP payments for contracts not executed within 60 days</li> <li>• PHA must not pay HAP to owner until HAP contract is executed</li> </ul>	Yes	7/31/20
HCV-5 Absence from unit	<u>Regulatory Authority</u> § 982.312	<ul style="list-style-type: none"> <li>• Allows for PHA discretion on absences from units longer than 180 days</li> <li>• PHAs must not make HAP payments beyond 12/31/20 for units vacant more than 180 consecutive days</li> </ul>	Yes implement if needed.	12/31/20

ATTACHMENT A - CHART OF WAIVERS

HCV-6 Automatic Termination of the HAP Contract	<u>Regulatory Authority</u> § 982.455	<ul style="list-style-type: none"> <li>Allows PHA to extend the period of time after the last HAP payment is made before the HAP contract terminates automatically.</li> </ul>	Yes	12/31/20
HCV-7 Increase in Payment Standard	<u>Regulatory Authority</u> § 982.505(c)(4)	<ul style="list-style-type: none"> <li>Provides PHAs with the option to increase the payment standard for the family at any time after the effective date of the increase, rather than waiting for the next regular reexamination to do so.</li> </ul>	Yes	12/31/20
HCV-8 Utility Allowance Schedule	<u>Regulatory Authority</u> § 982.517	<ul style="list-style-type: none"> <li>Provides for delay in updating utility allowance schedule</li> </ul>	Not necessary	12/31/20
HCV-10 FUP	<u>Statutory Authority</u> Section 8(x)(2)	<ul style="list-style-type: none"> <li>Allows PHAs to increase age to 26 for foster youth initial lease up</li> </ul>	Yes, If needed	12/31/20





# Housing Authority of the City of Alameda

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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Vanessa Cooper, Executive Director

Date: May 20, 2020

Re: Approve a Revised Procurement Policy and Adopt a Housing Authority Resolution: a) Electing Under Public Contract Code Section 22030 to Become Subject to the California Uniform Public Construction Cost Accounting (Act) Procedures and the Uniform Construction Cost Accounting Commission's Cost Accounting Policies and Procedures Manual Effective July 1, 2020 I; b) Authorizing the Executive Director to Notify the State Controller of the Election; and c) Approving the Revised Housing Authority Procurement Policy, Including all Attachments

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## **BACKGROUND**

The Housing Authority is required to follow the U.S. Department of Housing and Urban Development (HUD) rules and regulations, Federal rules and regulations under 2 CFR 200, and the California Public Contract Code (PCC) when performing public projects. The Procurement Policy (Policy) outlines the methods by which the Housing Authority will obtain goods and services in accordance with the above referenced rules and regulations. It was last revised by the Board of Commissioners (Board) on April 17, 2019. Staff recommends the Board approve additional revisions to the Policy to ensure compliance with new guidance issued by the Office of Management and Budget (OMB), HUD and state law. One specific modification of importance is the proposed election to adopt the Uniform Public Construction Cost Accounting Act (PCC Sections 22000 through 22045) (Act). The proposed revisions to the Policy are discussed in more detail below.

### **I. State Law**

The California Uniform Public Construction Cost Accounting Act (Act) was created in 1983 as an alternative bidding procedure to PCC Section 20163 and is designed to reduce costs, expedite the awards process, reduce inefficiencies, and to streamline the administration of smaller public construction projects. Section 20163 of the PCC requires that any public project in excess of \$5,000 must be publicly bid and awarded to the lowest responsible bidder. Effective January 1, 2019, the Act provides for the following alternative bidding procedures when an agency performs public projects:

1. Public projects of \$60,000 or less may be performed by the employees of a public agency by force account, by negotiated contract or by purchase order;



2. Public projects of \$200,000 or less may be let to contract by the informal bidding procedures set forth in the Act;
3. Public projects of more than \$200,000 must be let to contract by formal bidding procedures.

The cost of staff time required to develop the plans, specifications and estimates necessary to solicit bids, perform the advertising, and award a publicly bid project can often exceed \$10,000, and because the newly modified procedures brought the dollar thresholds closer to what is now allowed under Federal procurement regulations, staff recommends seeking authority to elect to become subject to the alternative bidding procedures authorized under the Act. While using the alternative procedures of the Act will not eliminate all of the costs associated with public bidding, it can greatly reduce costs by providing simpler and more reasonable procedures. Small and moderate sized dollar projects would be procured through streamlined, informal procedures. Large dollar amount projects would continue to be procured through formal bidding procedures.

The Act requires that a public agency adopt informal bidding procedures. These informal bidding procedures require that the Housing Authority provide notice of public project opportunities by:

1. Notifying entities on the lists of qualified contractors maintained by the Housing Authority; or
2. Noticing for informal bids to all construction trade journals specified for Alameda County; or
3. Both 1. and 2. above

A resolution by the Board of Commissioners is required to elect to become subject to the Act and the California Uniform Construction Cost Accounting Commission's Cost Accounting Policies and Procedures Manual effective July 1, 2020. Staff is recommending the election to become subject to the Act to reduce the cost of staff time required to develop plans, specifications and estimates necessary to solicit bids, perform the advertising, and award public bids.

## **II. HUD Regulations**

On June 20th, 2018, the Executive Office of the President, Office of Management and Budget, Office of Federal Financial Management, issued Memorandum M-18-18 to implement recent statutory changes which raised the micro-purchase threshold under Federal financial assistance awards from \$3,500 to \$10,000 and the simplified acquisition threshold from \$150,000 to \$250,000 for all Federal financial assistance recipients.

Staff recommends changes to the Housing Authority Procurement Policy to maintain compliance with updated Federal laws and regulations, specifically the increased thresholds. There are no proposed changes to the existing spending levels, or the Executive Director signing authority associated with such spending levels. Substantive changes to the Housing Authority Procurement Policy to comply with this new rule include:

1. Adding definitions for micro-purchase threshold and simplified acquisition threshold.
2. Deletion of reference to small purchase threshold to keep language consistent with HUD terms. Language is included that ties the amounts to the current approved levels and automatically incorporates the changes as they are adjusted at the government level.
3. Updated summary chart to clarify dollar threshold limits.
4. Authorizing entities to use small purchase procedures for purchases between \$10,000 and \$250,000.
5. Increasing the simplified acquisition threshold from \$150,000 to \$250,000. For purchases over \$250,000, formal public solicitations are required, using either the sealed or competitive proposal method.
6. Revise Petty Cash Purchase to \$50.
7. Clarification that the Housing Authority is electing to use the same procurement actions for Federal funds and non-Federal funds.
8. Addition of reference to the Housing Authority's Conflict of Interest Policy.

As Federal guidelines and the contracting limits in the Act are modified from time to time, the revised Procurement Policy provides that when these limits are modified at the Federal and State level, the Executive Director is authorized to amend the Housing Authority's Procurement Policy to remain in compliance.

The recommended actions are consistent with applicable Federal, state and local laws including the U. S. Department of Housing and Urban Development (HUD), Federal Regulations at 2 CFR Parts 200.67 and 200.88 and 200.317 through 200.326 and the procurement standards of the HUD Handbook 7460.8, Rev 2 and the State of California Uniform Public Construction Cost Accounting Act.

### **III. Procurement and Contract Administration Procedures**

The newly proposed Procurement Policy replaces both the existing Procurement Policy and the existing Procurement Procedures which guide staff in implementing the

Honorable Chair and  
Members of the Board of Commissioners

May 20, 2020  
Page 4 of 4

Procurement Policy. The existing agency procurement procedures date back to 2008 so this was a significant agency wide project to revise and update both the policy and procedures into a single document. While larger agencies may have a procurement department, the Housing Authority manages procurement at the department level so the implementation protocol is an important complement to the revised Policy. General Counsel has been closely involved in the development of these documents.

Once approved, there will be an agency-wide training on the Policy by General Counsel for all staff who conduct or manage purchases. AHA has also contracted for a two and half day training by a third party trainer for management staff. The external training has had to be delayed due to the ongoing health crisis

### **FINANCIAL IMPACT**

None beyond what is budgeted at this time. However additional software cost will be added to the 2020-21 budget and the agency may want to consider a Procurement Manager position in the future.

### **RECOMMENDATION**

Approve a revised Procurement Policy and Adopt a Housing Authority Resolution: a) electing under Public Contract Code Section 22030 to become subject to the California Uniform Public Construction Cost Accounting (Act) Procedures and the Uniform Construction Cost Accounting Commission's Cost Accounting Policies and Procedures Manual effective July 1, 2020; b) authorizing the Executive Director to notify the State Controller of the election; and c) approving the revised Housing Authority Procurement Policy, including all attachments.

Respectfully submitted,



Vanessa M. Cooper  
Executive Director

Attachments:

1. Resolution
2. Revised Housing Authority Procurement Policy



*Resolution No. \_\_\_\_\_*

**AUTHORIZING ELECTION UNDER THE CALIFORNIA PUBLIC CONTRACT CODE SECTION 22030 TO BECOME SUBJECT TO THE CALIFORNIA UNIFORM PUBLIC CONSTRUCTION COST ACCOUNTING ACT AND PROCEDURES AND AUTHORIZATION FOR THE EXECUTIVE DIRECTOR OR DESIGNEE TO NOTIFY THE STATE CONTROLLER OF THE ELECTION; AND APPROVAL OF THE REVISED HOUSING AUTHORITY OF THE CITY OF ALAMEDA PROCUREMENT POLICY**

**WHEREAS**, the passage of California State Assembly Bill No. 1666, Chapter 1054, Statutes of 1983 established uniform cost accounting standards in the California Public Contracting Code ("PCC") at Section 22000 et seq. known as the Uniform Public Construction Cost Accounting Act ("Act");

**WHEREAS**, the Board of Commissioners of the Housing Authority of the City of Alameda ("Housing Authority") deems it in the best interest of the Housing Authority to provide informal bidding procedures pursuant to the Act;

**WHEREAS**, in order to be subject to the Act and enjoy the increased thresholds for public projects, the PCC requires a resolution by the applicants governing body to elect under PCC Section 22030 to become subject to the uniform construction cost accounting procedures and the California Uniform Construction Cost Accounting Commission's *Cost Accounting Policies and Procedures Manual*;

**WHEREAS**, the Housing Authority's Procurement Policy has been revised to include the informal bidding procedures as required by PCC Section 22034;

**WHEREAS**, the Housing Authority desires to elect under PCC Section 22030 to become subject to the uniform construction cost accounting procedures and the California Uniform Construction Cost Accounting Commission's *Cost Accounting Policies and Procedures Manual*;

**WHEREAS**, on June 20, 2018, the Executive Office of the President, Office of Management and Budget, Office of Federal Financial Management, issued Memorandum M- 18-18 to implement recent statutory changes, raising the Micro-purchase Threshold under Federal financial assistance awards from \$3,500 to \$10,000 and the Simplified Acquisition Threshold from \$150,000 to \$250,000 for all Federal financial assistance recipients; and

**WHEREAS**, the Housing Authority desires to amend the Housing

Authority's Procurement Policy to incorporate the new thresholds, add the informal bidding procedures as required by the PCC Section 22034 and to adopt other recommended changes, as set forth in the attached revised Housing Authority of the City of Alameda Procurement Policy attached hereto as Exhibit A and incorporated herein by this reference ("Revised Procurement Policy").

**NOW, THEREFORE, BE IT RESOLVED**, that the Housing Authority of the City of Alameda elects to become subject to the Uniform Public Construction Cost Accounting Act effective July 1, 2020;

**BE IT FURTHER RESOLVED**, that the Housing Authority of the City of Alameda elects to become subject to the requirements of the California Uniform Construction Cost Accounting Commission's Cost Accounting Policies and Procedures Manual;

**BE IT FURTHER RESOLVED**, the Housing Authority of the City of Alameda authorizes the Executive Director or designee to notify the California State Controller in writing of the election to become subject to the uniform construction cost accounting procedures and the California Uniform Construction Cost Accounting Commission's *Cost Accounting Policies and Procedures Manual*;

**BE IT FURTHER RESOLVED**, that the revised Housing Authority of the City of Alameda Procurement Policy attached hereto as Exhibit A and incorporated herein by this reference ("Revised Procurement Policy") is certified to be consistent with 2 CFR Parts 200.67 and 200.88 and 200.317 through 200.326 and all applicable laws and regulations and is hereby approved;

**BE IT FURTHER RESOLVED**, that the Executive Director or designee is authorized to award informal contracts pursuant to this resolution and the provisions of the Uniform Public Construction Cost Accounting Act;

**BE IT FURTHER RESOLVED**, that Executive Director or designee is authorized to comply with the Revised Procurement Policy for all future solicitations and contracts issued in the name of the Housing Authority of the City of Alameda and its constituent entities;

**BE IT FURTHER RESOLVED**, that the Executive Director is authorized and directed to file a copy of this resolution with the State Controller's Office, and to take any and all other action necessary to implement this Resolution;

**BE IT FURTHER RESOLVED**, that the proposed actions are administrative and therefore not subject to the California Environmental Quality Act (CEQA) pursuant to CEQA Guidelines at 14 California Code of Regulations (CCR) §15378;

**BE IT FURTHER RESOLVED**, that the proposed actions are administrative and therefore exempt from the National Environmental Policy Act (NEPA) pursuant to 24 Code of Federal Regulations (CFR) §58.34(a)(3); and

**BE IT FURTHER RESOLVED**, that this Resolution shall take effect immediately upon adoption.

Passed, Approved, and Adopted by the Board of Commissioners of the Housing Authority of the City of Alameda, by the following vote:

Ayes:

Noes:

Abstentions:

Adopted: \_\_\_\_\_, 2020

ATTEST:

\_\_\_\_\_  
Vanessa M. Cooper  
Secretary and Executive Director

\_\_\_\_\_  
Arthur Kurrasch, Chair  
Board of Commissioners

HOUSING AUTHORITY OF THE CITY OF ALAMEDA  
PROCUREMENT POLICY

(behind this page)





**Housing  
Authority of the City of Alameda**

PHONE (510) 747-4300  
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TTY/TRS 711

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701 Atlantic Avenue • Alameda, California 94501-2161

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**HOUSING AUTHORITY OF THE CITY OF ALAMEDA**

**PROCUREMENT POLICY**

**Effective May 20, 2020**

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## 1. INTRODUCTION

Established for the Housing Authority of the City of Alameda and its other affiliates that do not have separate procurement policies, including, but not limited to the Alameda Affordable Housing Corporation (collectively the “Housing Authority”) by action of the Housing Authority Board of Commissioners, this Procurement Policy (“Policy”) complies with applicable Federal, State and local laws including 2 Code of Federal Regulations (“CFR”) Sections 200.317 through 200.326, and the procurement standards of the U.S. Department of Housing and Urban Development (“HUD”). The Housing Authority has used the HUD Procurement Handbook, HUD Handbook 7460.8, REV 2, as a guide in developing this Policy.

## 2. GENERAL

The Housing Authority will:

- Provide a procurement system of quality and integrity;
- Make all feasible efforts to ensure that small and minority-owned businesses, women’s business enterprises, and disabled veteran businesses are used when possible;
- Provide for the fair and equitable treatment of persons or firms involved in Housing Authority procurements;
- Ensure that supplies and services (including construction) are procured efficiently, effectively, and at the most favorable prices available to the Housing Authority;
- Promote competition in contracting; and
- Assure that Housing Authority purchasing actions are in compliance with applicable HUD regulations and all applicable federal, state and local laws.

## 3. DEFINITIONS

**Contracting Officer** – As used in this Policy shall mean the Executive Director or designee, or an employee who has the authority to conduct procurement services for the Housing Authority, regardless of any other job or position title he/she may have. It is the responsibility of the Contracting Officer to: (1) use sound judgment in accomplishing the procurement activities of the Housing Authority, (2) ensure that bidders and contractors receive fair, impartial, and equitable treatment, (3) ensure that contract actions comply with all applicable Federal, state and local laws and rules and with the Housing Authority’s approved procurement policy, and (4) seek the best value and greatest overall benefit for the Housing Authority in response to the needs desired.

**Contractor** – Any vendor responding to a procurement solicitation or contracted to do business with the Housing Authority.

**Micro-purchase Threshold** – As used in this Policy, the threshold shall have the same

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meaning as that in 2 CFR Section 200.67 and as set by 48 CFR Subpart 2.1 or by Federal enactment. As of June 20, 2018 that amount is \$10,000. The threshold is periodically adjusted and this Policy will automatically incorporate those adjustments.

**Simplified Acquisition Threshold** – As used in this Policy, the threshold shall have the same meaning as that in 2 CFR Section 200.88 and as set by 48 CFR Subpart 2.1 or by Federal enactment. As of June 20, 2018, that amount is \$250,000. The threshold is periodically adjusted and this Policy will automatically incorporate those changes.

**Procurement** – As used in this Policy, includes the procuring, purchasing, leasing, or renting of: (1) goods, supplies, equipment, and materials, (2) construction and maintenance, (3) professional and consultant services, (4) Architectural and Engineering (A/E) services, (5) social services, and (6) other services.

**Public Project** – As defined by the California Public Contract Code (“PCC”) Section 22002 (c), means any of the following: (1) Construction, reconstruction, erection, alteration, renovation, improvement, demolition and repair work involving any publicly owned, leased or operated facility. (2) Painting or repainting of any publicly owned, leased or operated facility. (3) In the case of a publicly owned utility system, “public project” shall include only the construction, erection, improvement or repair of dams, reservoirs, power plants and electrical transmission lines of 230,000 volts and higher. It does not include “maintenance work” as that term is defined by PCC Section 22002(d)-(e).

**Qualification Based Selection (“QBS”)** – A form of procurement of architect-engineering (A/E) or development services by competitive proposals in which price is not requested in the Request for Qualifications (RFQ) or used as an evaluation factor. Instead, technical qualifications only are reviewed negotiations are conducted with the best-qualified firm. Only A/E services and development partners may be procured by this method.

**Responsible Bidder** – A bidder who is able to comply with the required or proposed delivery or performance schedule; has a satisfactory performance record; has a satisfactory record of integrity and business ethics; has the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them; has the necessary production, construction, and technical equipment and facilities, or the ability to obtain them; and is otherwise qualified and eligible to receive an award under applicable laws and regulations, including the fact that the bidder is not suspended, debarred or under a HUD-imposed Limited Denial of Participation.

**Responsive Bid** – A bid that conforms exactly to the requirements in the Invitation for Bids (IFB).

#### 4. APPLICATION

This Policy applies to all procurement actions of the Housing Authority, regardless of the

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source of funds, except as noted under “exclusions” below. The Housing Authority elects to use the same procurement actions for non-Federal funds as for Federal funds. Nothing in this Policy shall prevent the Housing Authority from complying with the terms and conditions of any grant, contract, gift or bequest that is otherwise consistent with the law.

## 5. EXCLUSIONS

This policy does not govern the following:

- Award of administrative fees earned under the Section 8 voucher program,
- Award of vouchers to tenants under the Section 8 program,
- Execution of landlord Housing Authority Payments contracts under the Section 8 Housing Choice Voucher Program, or
- Execution of Agreements to Enter into Housing Assistance Payment (AHAP) contracts under the Section 8 Project-based Voucher Program.

These excluded areas remain subject to applicable federal laws.

## 6. CHANGES IN LAWS AND REGULATIONS

In the event an applicable law or regulation is modified or eliminated, or a new law or regulation is adopted, the revised law or regulation will, to the extent inconsistent with this Policy, automatically supersede this Policy.

## 7. PUBLIC ACCESS TO PROCUREMENT INFORMATION

Most procurement information that is not proprietary is a matter of public record and will be available to the public to the extent allowed by applicable law, including, but not limited to the California Public Records Act (California Government Code Section 6250 et seq., including any amendments thereto).

During any procurement process where an award has not yet been made, all information pertaining to the ongoing bid, bid responses, and participating bidders, is not subject to disclosure under the California Public Records Act until such time that a public award is made and a contract is entered into by the applicable parties.

## 8. PRINCIPLES

Members of the Board of Commissioners, Housing Authority employees, and any others serving in an official position or acting as an agent of the Housing Authority will discharge their duties impartially to ensure fair competitive access to procurement opportunities by responsible contractors, and consistent with the Housing Authority’s Conflict of Interest Policy. In addition, officers, employees and agents will conduct themselves in such a manner as to foster the public’s confidence in the integrity of the Housing Authority’s procurement organization and process. Any attempt to realize personal gain through

Housing Authority employment or to serve as an officer or agent of the Housing Authority through actions inconsistent with the proper discharge of duties is a breach of public trust.

## **9. ETHICS IN PUBLIC CONTRACTING**

The Housing Authority hereby establishes this code of conduct regarding procurement issues and actions and will implement a system of sanctions for violations. This code of conduct is consistent with applicable Federal, State and local laws.

### **A. Conflict of Interest**

No Housing Authority officer, employee, or agent will participate directly or indirectly in the selection, award, or administration of a contract if a conflict of interest, either real or apparent, would be involved. Such a conflict would arise when a one of the persons listed below has a financial or any other type of interest in a firm competing for the award:

(1) A member of the Board of Commissioners, employee, or agent involved in making the award; A member of the Board of Commissioners, employee, or agent involved in making the award;

(2) His/her relative (including father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, half sister, or domestic partner and equivalent relationships);

(3) His/her partner; or

(4) An organization which employs or is negotiating to employ, or has an arrangement concerning prospective employment of any of the above.

None of the persons mentioned above nor any of its contractors or their subcontractors may enter into any contract, subcontract, or arrangement in connection with a project under an ACC with HUD or funded through any other Housing Authority source in which they have an interest, direct or indirect, during his/her tenure and for one year thereafter.

If the conflict is arising from an organizational conflict of interest, such as with an affiliate of the Housing Authority, the award process shall be reviewed by a 3rd party agency, including consultants, other Housing Authority staff, or HUD.

### **B. Gratuities, Kickbacks, and Use of Confidential Information**

To protect the integrity of the procurement system and to ensure that contracts are awarded fairly based on merit, without improper influence, all Housing Authority solicitations and contracts above the small purchase threshold will include clause(s) advising prospective contractors of the prohibitions against gratuities and kickbacks.

No Housing Authority officer or agent will ask for or accept gratuities, favors, or items of any value from any contractor, potential contractor, or party to any subcontract, and shall not knowingly use confidential information for actual or anticipated personal gain.

No current employee, or former employee within one year of employment, will ask for or accept gratuities, favors, or items of any value from any contractor, potential contractor, or party to any subcontract, and shall not knowingly use confidential information for actual or anticipated personal gain.

### **C. Prohibition Against Contingent Fees**

Contractors wanting to do business with the Housing Authority must not hire a person to solicit or secure a contract for a commission, percentage, brokerage, or contingent fee, except for bona fide established commercial selling agencies.

### **D. Sanctions**

Federal, state and local laws will be enforced by the Board of Commissioners and Executive Director. Appropriate sanctions for violations of the standards of conduct outlined in this policy will be imposed.

The appropriate sanction of Housing Authority officials and employees will be determined in cooperation with the General Counsel and the Human Resources Director. Sanctions may include civil and administrative remedies, up to and including termination.

For Contractors, the level of sanction will be determined in cooperation with the General Counsel and the Human Resources Director based upon the severity of the violation, but could include actions up to and including debarment from all local and federal procurements.

The Housing Authority will recover the value of anything received by an employee or a former employee in breach of the ethical standards by confiscating the items or by charging the violator for any and all gratuities received. All procedures will be in accordance with due process requirements as outlined in the Housing Authority's Personnel Policy, and existing law. Remedies against contractors may include suspension or debarment.

## **10. PROCUREMENT PLANNING**

Planning is essential to managing the procurement function properly. Hence, the Housing Authority will periodically review its record of prior purchases, as well as future needs, to: find patterns of procurement actions that could be performed more efficiently or economically; maximize competition and competitive pricing among contracts and decrease the Housing Authority's procurement costs; reduce the Housing Authority's administrative costs; ensure that supplies and services are obtained without any need for



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re-procurement, e.g., resolving bid protests; and minimize errors that occur when there is inadequate lead time. Consideration should be given to storage, security, and handling requirements when planning the most appropriate purchasing actions.

## 11. PROCUREMENT SUMMARY CHART

The following dollar amounts determine who has the authority to authorize purchases, including awarding contracts, and what type of procurement method will take place (For Public Projects please see Section 13. below):

DOLLAR THRESHOLD	AUTHORITY	PROCUREMENT TYPE
Over \$250,000	Board of Commissioners	Sealed Bid or Competitive Proposal
\$25,001-\$250,000	Executive Director	Small
\$10,001-\$25,000	Department Directors	Small
\$51-\$10,000	Department Directors	Micro
\$50 and less	All Employees subject to Supervisor written approval	Petty

Federal regulation defines procurement in the following manner:

\$10,000 or less = micro or micro-purchase threshold

\$250,000 or less = small or simplified acquisition threshold

## 12. PURCHASING METHODS

### A. Petty Cash Purchases

Purchases under \$50 may obtain a single quote if the quote is considered reasonable (e.g., based on recent research, experience, or purchases). To the extent practicable, the Housing Authority will distribute Petty Cash Purchases equitably among qualified vendors

Petty Cash Purchases may be handled through the use of a petty cash account. The Housing Authority will ensure that security is maintained and only authorized individuals have access to the account. The account will be reconciled and replenished by fiscal/accounting staff periodically.

### B. Micro Purchases

Purchases at or below the Micro Purchase Threshold may obtain a single quote if the

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quote is considered reasonable (e. g., based on recent research, experience, or purchases). To the extent practicable, the Housing Authority will distribute Micro Purchases equitably among qualified vendors. the term "practicable" used herein means that there are multiple vendors equally accessible to staff, the purchases will be distributed among the vendors and not left solely with one vendor. Nothing precludes the Contracting Officer from obtaining informal quotes for Micro Purchases to ensure that the purchase is made at the best price.

### **C. Small Purchases**

For any amounts above the Micro-purchase Threshold, but not exceeding the Simplified Acquisition Threshold, the Housing Authority shall obtain a reasonable number of quotes (preferably three). To the greatest extent feasible, and to promote competition, small purchases should be distributed among qualified sources. Purchases for amounts between the Micro-purchase and Simplified Acquisition Thresholds shall be obtained through the use of written or electronic invitations or solicitations that reasonably describe the product or service being procured. Quotes are to be obtained in writing. Award shall be made to the qualified contractor that provides the best value to the Housing Authority. If award is to be made for reasons other than lowest price, documentation shall be provided in the contract file.

A cost analysis is required for all projects greater than \$250,000.

### **D. Bid Splitting Prohibited**

The Authority shall not break down requirements aggregating more than the Micro-purchase Threshold into several smaller purchases that are less than the applicable threshold merely to: (1) permit use of the Small Purchase Procedures or (2) avoid any requirements that apply to purchases that exceed the Micro-purchase Threshold.

### **E. Sealed Bids**

Sealed bidding may be used for all contracts that exceed the Simplified Acquisition Threshold and that are not competitive proposals or non-competitive proposals, as these terms are defined in this Policy. Under Sealed Bids, the Housing Authority will solicit bids publicly; and award a fixed-price contract (e.g., lump sum or unit price regardless of contractor's actual costs of performance) to the Responsible Bidder whose bid, conforming with all material terms and conditions of the Invitation for Bids ("IFB"), is the lowest in price. Sealed Bids is the preferred method for procuring construction, supply, and noncomplex service contracts that are expected to exceed the Simplified Acquisition Threshold.

(1) **Conditions for Using Sealed Bids.** The Housing Authority should use the sealed bid method if the following conditions are present: a complete, adequate, and realistic statement of work, specification, or purchase description is available; two or

more responsible bidders are willing and able to compete effectively for the work; the contract can be awarded based on a firm fixed price; and the selection of the successful bidder can be made principally on the lowest price.

(2) **Solicitation and Receipt of Bids.** An IFB is issued which includes the specifications and all contractual terms and conditions applicable to the procurement, and a statement that award will be made to the lowest responsible and responsive bidder whose bid meets the requirements of the solicitation. The IFB must state the time and place for both receiving the bids and the public bid opening. All bids received will be date and time-stamped and stored unopened in a secure place until the public bid opening. A bidder may withdraw the bid at any time prior to the bid opening.

(3) **Bid Opening and Award.** Bids shall be opened publicly. All bids received shall be recorded on a bid spreadsheet, and then made available for public inspection. If equal low bids are received from responsible bidders, the Housing Authority has determined that the award will be made to the winner of a single coin flip. If only one responsive bid is received from a responsible bidder, award shall **not** be made unless the price can be determined to be reasonable, based on a documented cost or price analysis.

(4) **Mistakes in Bids.** Correction or withdrawal of bids may be permitted, where appropriate, before bid opening by written or telegraphic notice received in the office designated in the IFB prior to the time set for bid opening. After bid opening, corrections in bids may be permitted only if the bidder can show by clear and convincing evidence that an unintentional mistake was made, the nature of the mistake, and the bid price actually intended. A low bidder alleging an obvious or unintentional mistake may be permitted to withdraw its bid if the mistake is clearly evident on the face of the bid document but the intended bid is unclear or the bidder submits convincing evidence that a mistake was made. All decisions to allow correction or withdrawal of a bid shall be supported by a written determination signed by the Contracting Officer. After bid opening, changes in bid prices or other provisions of bids prejudicial to the interest of the Housing Authority or fair competition shall not be permitted.

## F. Competitive Proposals

Unlike Sealed Bids, the Competitive Proposal method permits: consideration of technical factors other than price; discussion with offerors concerning offers submitted; negotiation of contract price or estimated cost and other contract terms and conditions; revision of proposals before the final contractor selection; and the withdrawal of an offer at any time up until the point of award. Award is normally made on the basis of the proposal that represents the best overall value to the Authority, considering price and other factors, e.g., technical expertise, past experience, quality of proposed staffing, etc., set forth in the solicitation and not solely the lowest price. The competitive proposals process, utilizing a Request for Proposals (RFP) or a Qualifications Based Section through a Request for Qualifications (RFQ), is the preferred method for procuring professional services that will exceed the Simplified Acquisition Threshold.

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(1) **Conditions for Use.** 1) When the requirement cannot be described specifically enough to permit using the Sealed Bid process; 2) the nature of the requirement is such that the Agency needs to evaluate more than just price; or 3) the requested work lends itself to different approaches. Competitive proposals are the preferred method for procuring professional services that will exceed the Simplified Acquisition Threshold.

(2) **Form of Solicitation.** Other than A/E services, competitive proposals shall be solicited through the issuance of a Request for Proposals (RFP). The RFP shall clearly identify the importance and relative value of each of the evaluation factors (points or percentage) as well as any subfactors and price. A mechanism for fairly and thoroughly evaluating the technical and price proposals shall be established before the solicitation is issued. Proposals shall be handled so as to prevent disclosure of the number of offerors, identity of the offerors, and the contents of their proposals until after award. The Housing Authority may assign price a specific weight in the evaluation criteria or the Housing Authority may consider price in conjunction with technical factors; in either case, the method for evaluating price shall be established in the RFP.

(3) **Evaluation.** The proposals shall be evaluated only on the criteria stated in the RFP. Where not apparent from the evaluation criteria, the Housing Authority shall establish an Evaluation Plan for each RFP. Generally, all RFPs shall be evaluated by an appropriately appointed Evaluation Committee. The Evaluation Committee shall be required to disclose any potential conflicts of interest and to sign a Non-Disclosure statement. An Evaluation Report, summarizing the results of the evaluation, shall be prepared prior to award of a contract.

(4) **Negotiations.** Negotiations shall be conducted with all offerors who submit a proposal determined to have a reasonable chance of being selected for award, unless it is determined that negotiations are not needed with any of the offerors. This determination is based on the relative score of the proposals as they are evaluated and rated in accordance with the technical and price factors specified in the RFP. These offerors shall be treated fairly and equally with respect to any opportunity for negotiation and revision of their proposals. No offeror shall be given any information about any other offeror's proposal, and no offeror shall be assisted in bringing its proposal up to the level of any other proposal. A common deadline shall be established for receipt of proposal revisions based on negotiations. Negotiations are exchanges (in either competitive or sole source environment) between the Housing Authority and offerors that are undertaken with the intent of allowing the offeror to revise its proposal. These negotiations may include bargaining. Bargaining includes persuasion, alteration of assumptions and positions, give-and-take, and may apply to price, schedule, technical requirements, type of contract or other terms of a proposed contract. When negotiations are conducted in a competitive acquisition, they take place after establishment of the competitive range and are called discussions. Discussions are tailored to each offeror's proposal, and shall be conducted by the contracting officer with each offeror within the competitive range. The primary object of discussions is to maximize the Housing Authority's ability to obtain best value, based on the requirements and the evaluation factors set forth in the solicitation. The contracting officer shall indicate to, or discuss with, each offeror still being considered

## AHA PROCUREMENT POLICY

for award, significant weaknesses, deficiencies, and other aspects of its proposal (such as cost, price, technical approach, past performance, and terms and conditions) that could, in the opinion of the contracting officer, be altered or explained to enhance materially the proposer's potential for award. The scope and extent of discussions are a matter of the contracting officer's judgment. The Contracting Officer may inform an offeror that its price is considered by the Housing Authority to be too high, or too low, and reveal the results of the analysis supporting that conclusion. It is also permissible to indicate to all offerors the cost or price that the government's price analysis, market research, and other reviews have identified as reasonable. "Auctioning" (revealing one offeror's price in an attempt to get another offeror to lower their price) is prohibited.

(5) **Award.** After evaluation of the revised proposals, if any, the contract shall be awarded to the responsible firm whose technical approach to the project, qualifications, price and/or any other factors considered, are most advantageous to the Housing Authority provided that the price is within the maximum total project budgeted amount established for the specific property or activity.

(6) **A/E Services.** The Housing Authority must contract for A/E services using QBS procedures, utilizing a Request for Qualifications (RFQ). Sealed bidding shall not be used for A/E solicitations. Under QBS procedures, competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. Price is not used as a selection factor under this method. QBS procedures **shall not** be used to purchase other types of services, though architectural/engineering firms are potential sources.

(7) In the event there's only one qualified response to a competitive procurement, please see Section 12.H. below.

### **G. Cooperative Purchasing/Intergovernmental Agreements (Piggy-Back)**

The Housing Authority may participate in federal, State of California, or local cooperative or intergovernmental agreements to purchase or use common supplies, equipment, or services. The Housing Authority may also contract directly with a firm that has a competitively-solicited contract with a local government agency. The decision to use an intergovernmental agreement or competitively-solicited contract with a local government agency instead of conducting a direct procurement will be based on economy and efficiency. If used, the interagency agreement shall stipulate who is authorized to purchase on behalf of the participating parties and shall specify inspection, acceptance, termination, payment, and other relevant terms and conditions. The Housing Authority may use Federal or State excess and surplus property instead of purchasing new equipment and property if feasible and if it will result in a reduction of project costs. The goods and services obtained under a cooperative purchasing agreement must have been procured in accordance with 2 CFR 200.318(e).

## H. Non-Competitive Proposals

(1) **Condition for use.** Procurement by noncompetitive proposals (sole-source) may be used **only** when the award of a contract is not feasible using small purchase procedures, sealed bids, cooperative purchasing, or competitive proposals, **and** if one of the following applies:

(a) The item is available only from a single source, based on a good faith review of available sources.

(b) The Executive Director has determined that an emergency exists that seriously threatens the public health, welfare, or safety, or endangers property, or would otherwise cause serious injury to the Housing Authority, as may arise by reason of a flood, earthquake, epidemic, riot, equipment failure, or similar event. In such cases, there must be an immediate and serious need for supplies, services, or construction such that the need cannot be met through any of the other procurement methods, and the emergency procurement shall be limited to those supplies, services, or construction necessary to meet the emergency. The Housing Authority may proceed at once to correct or address the threat. Any expenditures over \$250,000 will be reported at the next Board of Commissioners meeting.

(c) HUD authorizes the use of non-competitive proposals.

(d) After solicitation of a number of sources, competition is determined inadequate.

(2) **Justification.** Each procurement based on noncompetitive proposals shall be supported by a written justification for the selection of this method. The justification shall be approved in writing by the responsible Contracting Officer. Poor planning or lack of planning is not justification for emergency or sole-source procurements. The justification, to be included in the procurement file, should include the following information:

(a) Description of the requirement;

(b) History of prior purchases and their nature (competitive vs. noncompetitive);

(c) Statement as to the unique circumstances that require award by noncompetitive proposals;

(d) Description of the efforts made to find competitive sources (advertisement in trade journals or local publications, phone calls to local suppliers, issuance of a written solicitation, etc.);

## AHA PROCUREMENT POLICY

(e) Statement as to efforts that will be taken in the future to promote competition for the requirement;

(f) Signature by the Contracting Officer's supervisor (or someone above the level of the Contracting Officer); and

(g) Price Reasonableness. The reasonableness of the price for all procurements based on noncompetitive proposals shall be determined by performing an analysis, as described in this Policy.

### **13. PUBLIC PROJECTS (See Definition in Section 3.)**

#### **A. General**

The Housing Authority shall comply with the State Labor Code and the California Public Contract Code (PCC) regarding the solicitation of and contracting for Public Projects, including bid bonds, payment and performance bonds, prevailing wages (when applicable), and labor provisions.

(1) For Public Projects at or below the Micro-purchase Threshold, the Housing Authority may obtain a single quote if the quote is considered reasonable.

(2) For Public Projects between the Micro-purchase Threshold and the amount determined in PCC Section 22032 (a) (\$60,000 as of January 1, 2019), the project may be performed: 1) by the employees of the Housing Authority by force account; 2) by negotiated contract or 3) by purchase order. Methods 2) or 3) require obtaining a reasonable number of written quotes (preferably 3) or should otherwise be purchased in the most prudent and economical way feasible.

(3) For Public Projects above the amount provided in PCC Section 22032(a) up to the amount provided in PCC Section 22032(b) (\$200,000 as of January 1, 2019), the contract shall be let in accordance with the Informal Bid Procedures below.

(4) Public Projects above the amount provided in PCC Section 22032(b) shall be let to contract in accordance with the Formal Bid Procedures below.

#### **B. Informal Bid Procedures for Public Projects**

(1) Notice to contractors shall be provided in accordance with either paragraph a. or b. below, or both.

(a) The Housing Authority shall maintain a list of qualified contractors, identified according to categories of work. Minimum criteria for development and maintenance of the contractors list shall be determined by the California Uniform Construction Cost Accounting Commission (CUCCAC). All contractors on the list for the category of work being bid shall be mailed, faxed or e-mailed a notice inviting formal bids unless the product or service is proprietary. All mailing of notices to contractors pursuant

to this section shall be completed not less than 10 calendar days before bids are due.

(b) The Housing Authority may elect to mail, fax or e-mail a notice inviting formal bids to the appropriate construction trade journals specified for the Housing Authority in PCC Section 22036. The notice inviting informal bids may also be published in a newspaper of general circulation and on the Housing Authority's website.

(2) The notice inviting informal bids shall describe the project in general terms and how to obtain more detailed information about the project, and state the time and place for the submission of bids.

(3) If a contract is awarded, it will be awarded to the lowest responsive and responsible bidder.

(4) The Housing Authority shall have the right to reject any or all of the bids received.

### **C. Formal Bid Procedures for Public Projects**

(1) In accordance with PCC Section 22037, a notice inviting formal bids shall be published in a newspaper of general circulation, printed and published, at least 14 calendar days before the date of opening the bids. Notice inviting formal bids shall state the time and place for the receiving and opening of sealed bids and distinctly describe the project. The notice inviting formal bids shall also be electronically mailed to all appropriate construction trade journals specified in PCC Section 22036. The notice shall be sent at least 15 calendar days before the date of opening the bids. Additionally, the Housing Authority may give such other notice as it deems appropriate such as, but not limited to, posting to the Housing Authority' website.

(2) All bids shall be presented under sealed cover. If awarded, a contract will be let to the responsible bidder who submits the lowest responsive bid. If equal low bids are received from responsible bidders, the Housing Authority has determined that the award will be made to the winner of single (1) coin flip.

(3) The Housing Authority shall have the right to reject any or all of the bids received.

## **14. COST AND PRICE ANALYSIS**

The Housing Authority shall require assurance that, before entering into a contract, the price is reasonable, in accordance with the following instructions.

### **A. Independent Cost Estimates (ICE)**

For all purchases above the Micro-purchase threshold, the Housing Authority shall prepare an ICE prior to solicitation. The level of detail shall be commensurate with the cost and complexity of the item to be purchased.



**B. Micro Purchases**

No formal cost or price analysis is required. Rather, the execution of a contract by the Contracting Officer (through a Purchase Order or other means) shall serve as the Contracting Officer's determination that the price obtained is reasonable, which may be based on the Contracting Officer's prior experience or other factors.

**C. Small Purchases**

A comparison with other offers shall generally be sufficient determination of the reasonableness of price and no further analysis is required. If a reasonable number of quotes is not obtained to establish reasonableness through price competition, the Contracting Officer shall document price reasonableness through other means, such as prior purchases of this nature, catalog prices, the Contracting Officer's personal knowledge at the time of purchase, comparison to the ICE, or any other reasonable basis.

**D. Sealed Bids**

The presence of adequate competition should generally be sufficient to establish price reasonableness. Where sufficient bids are not received, and when the bid received is substantially more than the ICE, and where the Housing Authority cannot reasonably determine price reasonableness, the Housing Authority must conduct a cost analysis, consistent with Federal guidelines, to ensure that the price paid is reasonable.

**E. Competitive Proposals**

The presence of adequate competition should generally be sufficient to establish price reasonableness. Where sufficient bids are not received, The Housing Authority must compare the price with the ICE. For competitive proposals where prices cannot be easily compared among offerors, where there is not adequate competition, or where the price is substantially greater than the ICE, the Housing Authority must conduct a cost analysis, consistent with Federal guidelines, to ensure that the price paid is reasonable.

**F. Contract Modifications**

A cost analysis, consistent with Federal guidelines, shall be conducted for all contract modifications for projects that were procured through Sealed Bids, Competitive Proposals, or Non- Competitive Proposals, or for projects originally procured through Small Purchase procedures and the amount of the contract modification will result in a total contract price in excess of the Simplified Acquisition Threshold.

The Executive Director is authorized to approve contract modifications (i.e., change orders, addendums) not to exceed the cumulative authorization limit. A contract modification that raises the cumulative total of the procurement to an amount exceeding

## AHA PROCUREMENT POLICY

the Executive Director's authorization limit, requires approval by the Board of Commissioners. For example, an \$80,000 change order to a \$200,000 contract would bring the cumulative procurement to \$280,000. This change order would require approval by the Board of Commissioners.

## 15. SOLICITATION AND ADVERTISING

### A. Method of Solicitation

(1) Micro Purchases. The Housing Authority may contact only one source if the price is considered reasonable.

(2) Small Purchases. Quotes may be solicited through e-mail, fax, or by any other reasonable method.

(3) Sealed Bids and Competitive Proposals. Solicitation must be done publicly. The Housing Authority must use one or more following solicitation methods, provided that the method employed provides for meaningful competition.

(a) Advertising in newspapers, or other print mediums of local or general circulations and the Agency website.

(b) Advertising in various trade journals or publications (for construction). For Public Projects, the notice inviting formal bids shall also be electronically mailed to all appropriate construction trade journals specified in PCC Section 22036.

(c) E-Procurement. The Housing Authority may conduct its public procurements through the internet using e-procurement systems. However, all e-procurements must otherwise be in compliance with 2 CFR 200.317 through 200.326, State and local requirements, and this Procurement Policy.

### B. Time Frame

For purchases that exceed the Simplified Acquisition Threshold, the public notice should run not less than once each week for two consecutive weeks.

### C. Form

Notices/advertisements should state, at a minimum, the place, date, and time that the bids or proposals are due, the solicitation number, a contact who can provide a copy of, and information about, the solicitation, and a brief description of the needed items(s).

### D. Time Period for Submission of Bids

A minimum of 30 days should generally be provided for the preparation and submission

of sealed bids and 15 days for competitive proposals. However, the Executive Director may allow for a shorter period under extraordinary circumstances.

### **E. Cancellation of Solicitations**

(1) An IFB, RFP, or other solicitation may be cancelled before bids/offers are due if:

- (a) The supplies, services or construction are no longer required;
- (b) The funds are no longer available;
- (c) Proposed amendments to the solicitation are of such magnitude that a new solicitation would be best; or
- (d) Other similar reasons.

(2) A solicitation may be cancelled and all bids or proposals that have already been received may be rejected if:

- (a) The supplies or services (including construction) are no longer required;
- (b) Ambiguous or otherwise inadequate specifications were part of the solicitation;
- (c) All factors of significance to the Housing Authority were not considered;
- (d) Prices exceed available funds and it would not be appropriate to adjust quantities to come within available funds;
- (e) There is reason to believe that bids or proposals may not have been independently determined in open competition, may have been collusive, or may have been submitted in bad faith; or
- (f) For good cause of a similar nature when it is in the best interest of the Housing Authority.

(3) The reasons for cancellation or rejection shall be documented in the procurement file and shall be provided upon request.

(4) A notice of cancellation shall be sent to all bidders/offerors solicited and, if appropriate, shall explain that they will be given an opportunity to compete on any re-solicitation or future procurement of similar items.

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(5) If all otherwise acceptable bids received in response to an IFB are at unreasonable prices an analysis should be conducted to see if there is a problem in either the specifications or the Housing Authority's cost estimate. If both are determined adequate and if only one bid is received and the price is unreasonable, the Contracting Officer may cancel the solicitation and either:

(a) Re-solicit using an RFP; or

(b) Complete the procurement by using the competitive proposal method. The Contracting Officer must determine, in writing, that such action is appropriate, must inform all bidders of the Housing Authority's intent to negotiate, and must give each bidder a reasonable opportunity to negotiate.

(6) If problems are found with the specifications, the Housing Authority should cancel the solicitation, revise the specifications and resolicit using an IFB.

## **16. CREDIT CARD PURCHASING**

Credit card usage should follow the rules for all other Small Purchases. For example, the Contracting Officer may use a credit card for Micro Purchases without obtaining additional quotes provided the price is considered reasonable. However, for amounts above the Micro Purchase level, the Contracting Officer would generally need to have obtained a reasonable number of quotes before purchasing via a credit card.

When using credit cards, the Housing Authority should adopt reasonable safeguards to assure that they are used only for intended purposes (for instance, limiting the types of purchases or the amounts of purchases that are permitted with credit cards).

## **17. BONDING REQUIREMENTS**

The standards under this section apply to construction contracts that exceed \$25,000. The Housing Authority may require bonds for other contracts when deemed appropriate; however, non-construction contracts generally do not require bid bonds.

### **A. Bid Bonds**

For construction contracts exceeding \$25,000, offerors shall be required to submit a bid guarantee from each bidder equivalent to 5% of the bid price.

### **B. Payment and Performance Bonds**

Unless otherwise provided in State law, prior to the execution of any contract for construction and equipment contracts exceeding \$25,000, the successful bidder shall furnish a performance and payment bond in a penal sum of 100% of the contract price.

### **C. Bond Requirements**

These bonds must be obtained from guarantee or surety companies acceptable to the U. S. Government and authorized to do business in the State where the work is to be performed. Individual sureties shall not be considered. U.S. Treasury Circular Number 570 lists companies approved to act as sureties on bonds securing Government contracts, the maximum underwriting limits on each contract bonded, and the States in which the company is licensed to do business. Use of companies on this circular is mandatory.

## **18. CONTRACTOR QUALIFICATIONS AND DUTIES**

### **A. Contractor Responsibility**

The Housing Authority shall not award any contract until the prospective contractor, i. e., low responsive bidder, or successful offeror, has been determined to be responsible. A responsible bidder/offeror must:

- (1) Have adequate financial resources to perform the contract, or the ability to obtain them;
- (2) Be able to comply with the required or proposed delivery or performance schedule, taking into consideration all the bidder's/offeror's existing commercial and governmental business commitments;
- (3) Have a satisfactory performance record;
- (4) Have a satisfactory record of integrity and business ethics;
- (5) Have the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them;
- (6) Have the necessary production, construction, and technical equipment and facilities, or the ability to obtain them; and,
- (7) Be otherwise qualified and eligible to receive an award under applicable laws and regulations, including not be suspended, debarred or under a HUD imposed Limited Denial of Participation.

If a prospective contractor is found to be non-responsible, a written determination of non-responsibility shall be prepared and included in the official contract file, and the prospective contractor shall be advised of the reasons for the determination.

### **B. Suspension and Debarment**

Contracts shall not be awarded to debarred, suspended, or ineligible contractors.

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Contractors may be suspended, debarred, or determined to be ineligible by HUD in accordance with HUD regulations (2 CFR 200.317 through 200.326) or by other Federal agencies, e.g., Department of Labor for violation of labor regulations, when necessary to protect housing authorities in their business dealings.

### **C. Contractor Lists**

All interested businesses shall be given the opportunity to be included on contractor mailing lists. Any lists of persons, firms, or products which are used in the purchase of supplies and services (including construction) shall be kept current and include enough sources to ensure competition.

For construction projects, in accordance with PCC Section 22034, the Housing Authority is required to establish a new list or update its existing list of qualified contractors by category or type of work they perform, at least once per calendar year. The Housing Authority will mail, fax or e-mail written notice to all construction trade journals designated for the Housing Authority under PCC Section 22036. The notice shall invite all licensed contractors to submit the name of their firm to the Housing Authority for inclusion on the Housing Authority's list of qualified bidders. The Housing Authority may include any contractor names on the list but must include all contractors who have properly responded in writing to the Housing Authority's written notice.

## **19. CONTRACT PRICING ARRANGEMENTS**

### **A. Contract Types**

Any type of contract which is appropriate to the procurement and which will promote the best interests of the Housing Authority may be used, provided that the cost-plus-a-percentage-of-cost and percentage-of-construction-cost methods may not be used. All solicitations and contracts shall include the clauses and provisions necessary to define the rights and responsibilities of both the contractor and the Housing Authority. Please see Section 20 below on contract form and required General Counsel approvals.

For all cost reimbursement contracts, the Housing Authority must include a written determination as to why no other contract type is suitable. Further, the contract must include a ceiling price that the contractor exceeds at its own risk.

### **B. Options**

Options for additional quantities or performance periods may be included in contracts, provided that:

- (1) The option is contained in the solicitation;
- (2) The option is a unilateral right of the Housing Authority;

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(3) The contract states a limit on the increased amount of and the overall term of the contract;

(4) The options are evaluated as part of the initial competition;

(5) The contract states the period within which the options may be exercised;

(6) The options may be exercised only at the price specified in or reasonably determinable from the contract; and

(7) The options may be exercised only if determined to be more advantageous to the Housing Authority than conducting a new procurement.

## 20. CONTRACT CLAUSES

A. All contracts should identify the contract pricing arrangement as well as other pertinent terms and conditions, as determined by the Housing Authority.

B. The forms HUD-5369, 5369-A, 5369-B, 5370, 5370-C, and 51915-A, which contain all HUD-required clauses and certifications for contracts that exceed the Simplified Acquisition Threshold, as well as any forms/clauses as required by HUD for small purchases, shall be used in all corresponding solicitations and contracts issued by the Housing Authority.

C. The Housing Authority shall ensure that each contract contains the required contract clauses detailed within 2 CFR Section 200. 326 and II to Appendix II to 2 CFR Part 200.

D. All contracts above the Simplified Acquisition Threshold or where the Housing Authority template contract, approved by the Housing Authority General Counsel, is not used will be approved as to form by the Housing Authority General Counsel. All HUD-required clauses, forms, and certifications shall be used in all corresponding solicitations and contracts. Additional forms and certifications may be required by State and local laws depending on the funding source.

## 21. CONTRACT ADMINISTRATION

The Housing Authority shall maintain a system of contract administration designed to ensure that contractors perform in accordance with their contracts. These systems shall provide for inspection of supplies, services, or construction, as well as monitoring contractor performance, status reporting on major projects including construction contracts, and similar matters. For cost- reimbursement contracts, costs are allowable only to the extent that they are consistent with the cost principles in HUD Handbook 2210.18.

## 22. SPECIFICATIONS

### A. General

All specifications shall be drafted so as to promote overall economy for the purpose intended and to encourage competition in satisfying the Housing Authority's needs. Specifications shall be reviewed prior to issuing any solicitation to ensure that they are not unduly restrictive or represent unnecessary or duplicative items. Function or performance specifications are preferred. Detailed product specifications shall be avoided whenever possible. Consideration shall be given to consolidating or breaking out procurements to obtain a more economical purchase. For equipment purchases, a lease versus purchase analysis should be performed to determine the most economical form of procurement.

### B. Limitation

The following types of specifications shall be avoided:

(1) Geographic restrictions not mandated or encouraged by applicable Federal law (except for A/E contracts, which may include geographic location as a selection factor if adequate competition is available);

(2) Brand name specifications (unless the specifications list the minimum essential characteristics and standards to which the item must conform to satisfy its intended use).

Nothing in this procurement policy shall preempt any State licensing laws. Specifications shall be reviewed to ensure that organizational conflicts of interest do not occur.

## 23. APPEALS AND REMEDIES

### A. General

It is Housing Authority policy to resolve all procurement and contractual issues informally and without litigation. Disputes will not be referred to HUD unless all administrative remedies have been exhausted. When appropriate, a mediator may be used to help resolve differences.

### B. Appeals Procedure

The Housing Authority shall adopt an informal bid/protest appeal procedure for contracts less than the Simplified Acquisition Threshold. The appeals procedure for solicitations/contracts that exceed the Simplified Acquisition Threshold shall be as follows:

(1) **Bid Protest.** Any actual or prospective contractor may protest the



solicitation or award of a contract for serious violations of the principles of this Policy. Any protest against a solicitation must be received before the due date for the receipt of bids or proposals, and any protest against the award of a contract must be received within ten calendar days after the contractor receives notice of intent to award the contract, or the protest will not be considered. All bid protests shall be in writing, specifying in detail the grounds of the protest, and providing evidence and supporting documents. Protests are to be submitted to the Contracting Officer or designee, who shall issue a written decision on the matter. The Contracting Officer may, at his/her discretion, suspend the procurement pending resolution of the protest if the facts presented so warrant.

(2) **Contractor Claims.** All claims by a contractor relating to performance of a contract shall be submitted in writing to the Contracting Officer for a written decision. The contractor may request a conference on the claim. The Contracting Officer's decision shall inform the contractor of its appeal rights to the next higher level of authority in the Housing Authority. Contractor claims shall be governed by the Changes clause in the form HUD-5370.

## **24. ASSISTANCE TO SMALL AND OTHER BUSINESSES**

### **A. Required Efforts**

As applicable, Consistent with Presidential Executive Orders 11625, 12138, and 12432, 24 CFR §200. 321, and Section 3 of the HUD Act of 1968, all feasible efforts shall be made to ensure that small and minority-owned businesses, women's business enterprises, and other individuals or firms located in or owned in substantial part by persons residing in the area of the Housing Authority project are used when possible. Such efforts shall include, but shall not be limited to:

- (1) Including such firms, when qualified, on solicitation mailing lists;
- (2) Encouraging their participation through direct solicitation of bids or proposals whenever they are potential sources;
- (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by such firms;
- (4) Establishing delivery schedules, where the requirement permits, which encourage participation by such firms;
- (5) Using the services and assistance of the Small Business Administration, and the Minority Business Development Authority of the Department of Commerce;
- (6) Including in contracts, to the greatest extent feasible, a clause requiring contractors to provide opportunities for training and employment for lower income residents of the project area and to award subcontracts for work in connection with the project to business concerns which provide opportunities to low-income

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residents, as described in 24 CFR Part 135 ( Section 3 businesses);

(7) Requiring prime contractors, when subcontracting is anticipated, to take the positive steps listed above; and

(8) Requiring contractors to comply with applicable Section 3 economic opportunity requirements for applicable contracts.

Goals shall be established periodically for participation by small businesses, minority-owned businesses, women-owned business enterprises, labor surplus area businesses, and Section 3 business concerns in the Housing Authority's prime contracts and subcontracting opportunities.

## **25. BOARD APPROVAL OF PROCUREMENT ACTIONS**

The Housing Authority Board of Commissioners has delegated procurement authority to the Executive Director in the not to exceed amount of \$250,000. All procurements that exceed \$250,000 must be approved in writing by the Housing Authority Board of Commissioners prior to award and/or contract execution. It is the responsibility of the Executive Director to ensure that all procurement actions are conducted in accordance with the policies contained herein.

## **26. DELEGATION OF CONTRACTING AUTHORITY**

While the Executive Director is responsible for ensuring that the Housing Authority's procurements comply with this Policy, the Executive Director may delegate procurement authority as is necessary and appropriate to conduct the business of the Housing Authority. In accordance with this delegation of authority, the Executive Director shall have the right, where necessary, to establish operational procedures to implement this Policy.

## **27. DOCUMENTATION**

A. The Housing Authority must maintain records sufficient to detail the significant history of each procurement action. These records shall include, but shall not be limited to:

- (1) Rationale for the method of procurement (if not self-evident);
- (2) Rationale of contract pricing arrangement (if not self-evident);
- (3) Reason for accepting or rejecting the bids or offers;
- (4) Basis for the contract price (if not self-evident);
- (5) A copy of the contract documents awarded or issued and signed by

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the Contracting Officer;

- (6) Basis for contract modifications; and
- (7) Related contract administration actions.

B. The level of documentation should be commensurate with the value of the procurement.

C. Records are to be retained for a period consistent with the Housing Authority's Record Retention Policy. Certain funding sources or projects may require longer retention periods. Refer to the Housing Authority's Record Retention Policy.

## **28. FUNDING AVAILABILITY**

Before initiating any contract, the Housing Authority shall ensure that there are sufficient funds available to cover the anticipated cost of the contract or modification.

Adopted by the Board of Commissioners on April 17, 2013.  
Revised by the Board of Commissioners on August 20, 2014.  
Revised by the Board of Commissioners on January 20, 2016.  
Revised by the Board of Commissioners on April 17, 2019.  
Revised by the Board of Commissioners on May 20, 2020.

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701 Atlantic Avenue • Alameda, California 94501-2161

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To: Honorable Chair and Members of the Board of Commissioners

From: Louie So, Director of Finance

Date: May 20, 2020

Re: Accept a Presentation and Discussion on AHA's Obligation and Options to Prefund Pension Liabilities and Provide Direction to Staff on Prefunding of the Pension Liability Direct staff to take one of three actions: (a) Keep AHA funds in an Internal Service Fund (b) Approve a Payment of Up to \$1,000,000 to CalPERS by June 30, 2020 or (c) Create Irrevocable Supplemental Trust (IRC Section 115 Trust) by June 30, 2020 with a \$1,000,000 seed payment and select an investment Rate of Return of 4%

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### **BACKGROUND**

The Government Accounting Standards Board (GASB) has mandated disclosure of pension liabilities for all government employers beginning in 2018. Since AHA is a member of the CalPERS retirement system, AHA is required to report each year on any unfunded pension liability. The Nicolay Consulting Group (NCG) was retained to provide the analysis and complete the detailed actuarial report to be incorporated into the audited financial statement each year.

Previously, \$1,000,000 was made to CalPERS in 2016 for GASB 68 retirement costs in 2016 and a payment of \$981,940 was made in June 2017 to open the AHA's California Employers' Retiree Benefit Trust (CERBT) IRC Section 115 Trust account for Other Post-Employment Benefits (OPEB).

In June 2019, NCG presented a Pension Stabilization Strategy Study to the Board of Commissioners and there was discussion about changing the recommendation to directing staff to pay CalPERS and return to the Board of Commissioners with two scenarios:

- (1) AHA funding \$1 million directly into CalPERS with an answer on amortization;
- (2) AHA funding \$1 million a IRC Section 115 Trust for 10 years with a 4% Rate of Return



## **DISCUSSION**

The Board of Commissioners was previously presented strategies by staff and NCG. NCG is presenting at the May 20, 2020 Board of Commissioners meeting with the attached exhibit and options for the Board in relation to AHA's forthcoming pension obligations under GASB 68.

The Board is asked to discuss and decide on the following options:

1. Do nothing – keep AHA funds in an Internal Service Fund
2. Make an Additional Discretion Payment of \$1 million directly to CalPERS
3. Create an Irrevocable Supplemental Trust (IRC Section 115 Trust) with a \$1 million seed payment and select an investment Rate of Return of 4%

## **FINANCIAL IMPACT**

A net pension liability of \$2.7 million was booked for June 30, 2019 and included in the FY 2019 audit. Under GASB 68, the expected total pension liability for FY 2018-19 is \$17.4 Million.

### Option #1: Direct staff to do nothing – keep AHA funds in an Internal Service Fund

In the event that the Board decides to pre-fund up to the \$1,000,000 unfunded amount, these funds would be set aside with Local Agency Investment Fund (LAIF) or California Asset Management Program (CAMP) and would reduce the available cash for development and other agency activities. AHA currently has \$22 million in LAIF & CAMP funds. These funds can be repurposed. Please see page 6 of the attached presentation.

### Option #2: Direct staff to make an Additional Discretionary Payment (ADP) of \$1 Million directly to CalPERS no later than June 30, 2020

In the event that the Board decides to make an additional discretionary payment directly to CalPERS, an additional decision will need to be made regarding amortization of the accrued unfunded liability. The decision to fund CalPERS is not reversible. Please see page 7-11 of the attached presentation on the financial impacts.

### Option #3: Direct staff to open an Irrevocable Supplemental Trust (IRC Section 115 Trust) with a \$1 Million seed payment and select an investment Rate of Return of 4% by June 30, 2020. Provide Direction to staff on which investment vehicle to utilize.

In the event that the Board decides this Option #3, staff will create a similar IRC Section 115 Trust that was previously created for OPEB. The advantages of such a trust is that funds are set aside early to offset long term pension liabilities and the trust can take advantage of long-term investment strategies. There are additional management fees and reporting requirements, including a separate audited



Honorable Chair and  
Members of the Board of Commissioners

May 20, 2020  
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financial statement. The decision to fund the IRC Section 115 Trust is not reversible. Please see page 12-14 of the attached presentation.

Staff recommends Option #2: Direct staff to make an Additional Discretionary Payment (ADP) of \$1 Million directly to CalPERS no later than June 30, 2020. This option is administratively easier to execute and manage going forward.

Staff will bring back a report and recommendations to the Board of Commissioners annually after the audit is complete each year if the percentage covered total liabilities is less than 90% (i.e. that unfunded accrued pension liabilities exceed 10%).

### **RECOMMENDATION**

Accept a Presentation and Discussion on AHA's Obligation and Options to Prefund Pension Liabilities and Provide Direction to Staff on Pre-funding of the Pension Liability. Direct staff to take one of three actions: (a) Keep AHA funds in an Internal Service Fund (b) Approve a Payment of Up to \$1,000,000 to CalPERS by June 30, 2020 or (c) Create Irrevocable Supplemental Trust (IRC Section 115 Trust) by June 30, 2020 with a \$1,000,000 seed payment and select an investment Rate of Return of 4%

Respectfully submitted,



Louie So, CPA  
Director of Finance

Attachments:

1. Presentation by NCG for May 20, 2020



# CalPERS Miscellaneous Plan Housing Authority of the City of Alameda (AHA)

## Pension Stabilization Strategy Study

April 7, 2020

# Purpose

- The purpose of this presentation is to present alternative funding strategies for the CalPERS Classic Miscellaneous Plan {a Cost Sharing Multiple-Employer Defined Benefit Plan of the Housing Authority of the City of Alameda (AHA)} to mitigate the increasing volatility in the annual required contributions.
- This discussion does not include the CalPERS PEPRA Miscellaneous Plan
- This discussion is separate from the Other Post-Employment Benefit (OPEB) Plan
- The Board has previously looked at the strategies we present here and asked for more information about the impact if additional funding of \$1M and acceleration of amortization payments to a 10 year period



## Board Minutes from June 2019

- “There was discussion about changing the recommendation to directing staff to pay bills and return to the Board with two scenarios:
  - (1) \$1 million directly into CalPERS with an answer on amortization; and
  - (2) \$1 million in the 115 Trust for 10 years with a 4% ROR.”

# Latest CalPERS Valuation Results Published in July 2019 (as of June 30, 2018)

	June 30, 2018 (in millions)
Entry Age Normal Accrued Liability(EANAL- past liabilities)*	\$17.4
Plan's Market Value of Assets(MVA)	<u>14.8</u>
Unfunded Accrued Liability (UAL)	\$ 2.7
Funded Ratio (MVA/EANAL) %	85%
Proposed Range of Acceptable Funding Levels Before Board Action	90% to 110%

- Assumptions & Methods are prescribed by the CalPERS Board of Administration according provisions set forth in the California Public Employees' Retirement Law.
- Discount rate is 7.00% as of June 30, 2018.
- Present Value of Future Benefits (past & future liabilities)as of June 30, 2018 is \$20.0M.

## Three options to address the unfunded pension liability for the CalPERS classic pension fund

1. Do nothing – keep agency funds in an Internal Service Fund
2. Make an Additional Discretionary Payment (ADP) of \$1M directly to CalPERS
3. Create Irrevocable Supplemental Trust (IRC Section 115 Trust) with a \$1M seed payment and select an investment RAR of 4%

# 1. Do Nothing – Internal Service Fund

- Internal Service Fund
  - Simply set aside some funds earmarked for pension internally at AHA
  - Investments highly limited
  - Funds not restricted to pension – could be “repurposed”

## 2. Make an Additional Discretion Payment (ADP) of \$1M directly to CalPERS

- Pros & cons
  - Simple – can cut a check at any time
  - Not reversible – funds cannot be used for other purposes
  - Extra payments cannot be used as “credit” against future contribution requirements
- Amortization decision
  - Change period for amortizing UAL from up to 20 years to shorter period
    - Options: 10 years or 15 years
  - Fresh Start (i.e., asking CalPERS to re-amortize all outstanding bases over a single, shorter period)
    - Is an irrevocable decision
    - May add clarity in assessing unfunded liability
  - Soft Fresh Start (i.e., just start paying the Hard Fresh Start payment shown annually in each year’s valuation report)
    - Is not an irrevocable decision
    - Future management may increase or decrease the payment

# Fresh Start Amortization

- Consists of requesting shorter amortization period (Fresh Start)
  - **Case 1**: Does not anticipate initial one-time payment to CalPERS
  - **Case 2**: Considers initial one-time payment to CalPERS (e.g., \$1M)
  - Higher short-term payments
  - Interest savings and lower long-term payments after Fresh Start amortization period
  - Cannot revert to old amortization schedule
  - Only impacts Unfunded Accrued Liability (UAL) portion of contribution requirement
    - Does not impact Normal Cost Rate portion of annual required contribution
    - 10.868% of payroll for Classic employees during 2019-20
    - 7.874% of payroll for Classic employees during 2020-21

# From CalPERS Annual Valuation Report:

## Case 1: Fresh start without Additional Discretionary Payment (ADP)

Fresh Start Amortization Schedules

Date	Current Amortization Schedule		15 Year Amortization		10 Year Amortization	
	Balance	Payment	Balance	Payment	Balance	Payment
6/30/2020	2,885,075	160,698	2,885,075	260,216	2,885,075	355,729
6/30/2021	2,920,802	203,248	2,817,861	267,372	2,719,061	365,511
6/30/2022	2,915,017	237,741	2,738,540	274,724	2,531,308	375,563
6/30/2023	2,873,147	255,437	2,646,060	282,279	2,320,014	385,891
6/30/2024	2,810,041	275,518	2,539,293	290,042	2,083,246	396,503
6/30/2025	2,721,746	283,095	2,417,022	298,018	1,818,928	407,407
6/30/2026	2,619,433	290,880	2,277,941	306,213	1,524,828	418,610
6/30/2027	2,501,905	298,879	2,120,647	314,634	1,198,552	430,122
6/30/2028	2,367,876	307,098	1,943,632	323,287	837,529	441,950
6/30/2029	2,215,963	315,543	1,745,276	332,177	438,999	454,104
6/30/2030	2,044,680	324,221	1,523,839	341,312		
6/30/2031	1,852,431	333,137	1,277,451	350,698		
6/30/2032	1,637,502	323,403	1,004,108	360,342		
6/30/2033	1,417,596	312,882	701,655	370,252		
6/30/2034	1,193,181	293,498	367,779	380,434		
6/30/2035	973,107	263,152				
6/30/2036	769,018	210,776				
6/30/2037	604,822	176,959				
6/30/2038	464,111	141,124				
6/30/2039	350,619	112,391				
6/30/2040	258,904	93,034				
6/30/2041	180,792	69,069				
6/30/2042	122,003	73,362				
6/30/2043	54,657	56,538				
6/30/2044						
6/30/2045						
6/30/2046						
6/30/2047						
6/30/2048						
6/30/2049						
<b>Totals</b>		<b>5,411,679</b>		<b>4,752,000</b>		<b>4,031,390</b>
<b>Interest Paid</b>		<b>2,526,605</b>		<b>1,866,925</b>		<b>1,146,315</b>
<b>Estimated Savings</b>				<b>659,679</b>		<b>1,380,289</b>

Soft Fresh Start payment  
= Hard Fresh Start payment

## 2. Make an Additional Discretion Payment (ADP) of \$1M Directly to CalPERS

### Case 2: 1.0M Initial One-Time Payment to CalPERS

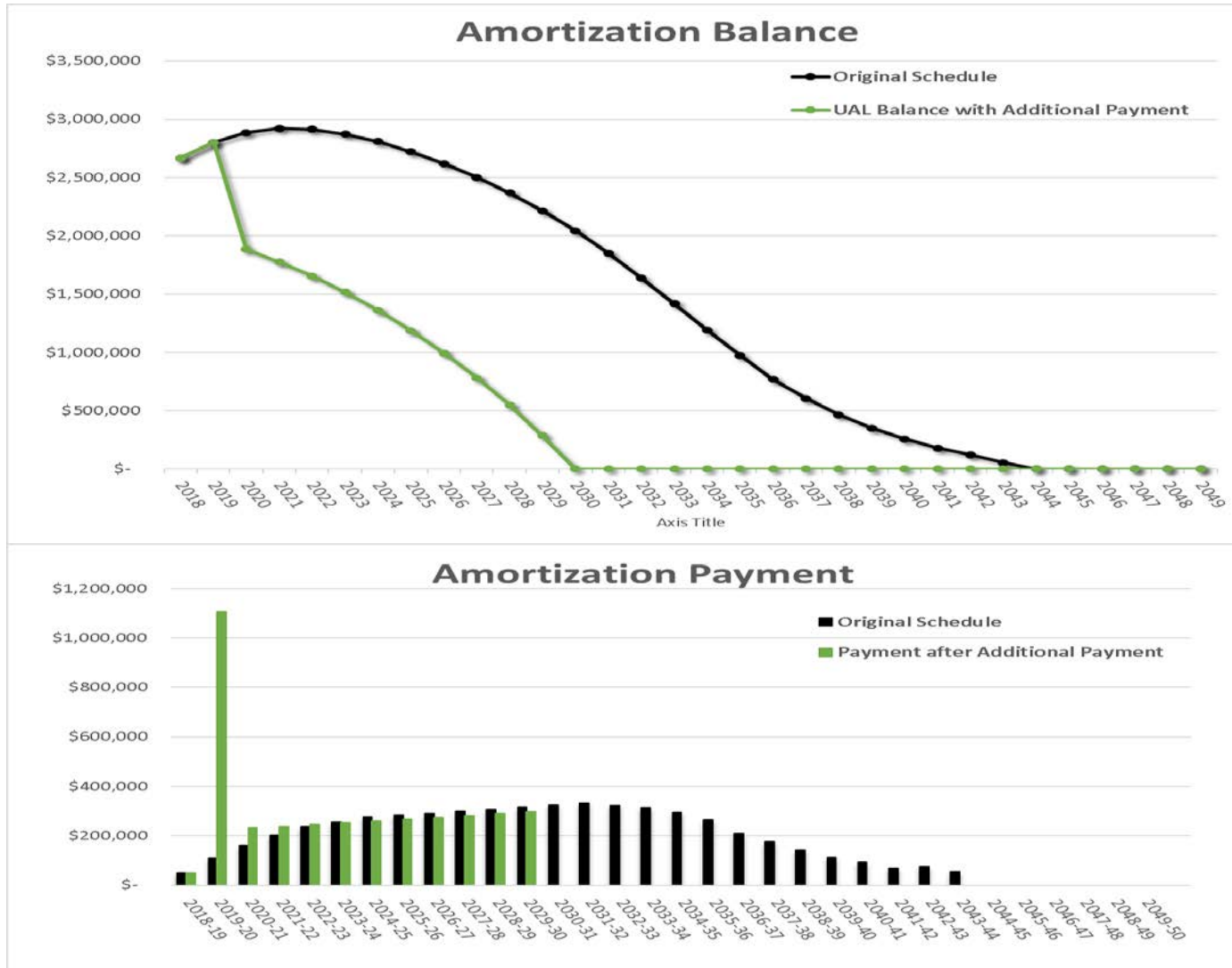
	10-Year Fresh Start Level %	Original Schedule
One-Time Payment	\$ 1,000,000	\$ 0
Total Annual Payments	\$ 2,634,000	\$ 5,412,000
Total Interest Paid	\$ 749,000	\$ 2,527,000
<b>Total Savings</b>	<b>\$ 1,778,000</b> <small>(difference between total payments)</small>	
Annual Payment	\$ 238–298K	\$160-333K

- Assumes \$1.0M payment date is 6/30/2020
- Based on 6/30/18 Valuation published in July 2019
- Does not reflect future annual Unfunded Accrued Liability (UAL) payments arising from gain/loss in future valuations
- Savings the same for **Soft vs. Hard Fresh Start** assuming all voluntary (Soft) contributions are made



## 2. Make an Additional Discretionary Payment (ADP) of \$1M directly to CalPERS

**Case 2: 1.0M** Initial One-Time Additional Discretionary Payment to CalPERS



### 3. Create Supplemental 115 Trust

- Can only be used to
  - Reimburse Agency for CalPERS contributions
  - Make payment directly to CalPERS
- Investments significantly less restricted than Agency investment funds
  - Fiduciary rules govern Trust investments
  - Usually, designed for long term returns
- Assets don't count as plan assets for GASB accounting
  - Are considered Employer assets
- Incurs on going management fees
- More flexibility than paying CalPERS directly
  - Agency decides if /when /how much money to put into Trust
  - Agency decides if /when /how much money to withdraw to pay CalPERS or reimburse Agency

### 3. Use of Funds – Supplemental Trust

- Funding strategies typically focus on
  - Reducing the unfunded liability
    - Fund enough to make total CalPERS Unfunded Accrued Liability (UAL) = 0
    - Can make PEPPRA required UAL contribution from Trust when  $UAL \leq \$0$
  - Stabilizing annual UAL contribution rates
    - Mitigate expected contribution rates to better manage budget
  - Combination
    - Use fund for rate stabilization/budget predictability
    - Target increasing fund balance to pay off UAL sooner
- Over 100 trusts have been established by public agencies in CA, mostly since 2015
- Trust providers include: CEPPT (CalPERS), PARS, PFM, Keenan
- AHA already has pension funds with CalPERS and PARS.

### 3. Use of Funds – Supplemental Trust

- Separate Legal Entity
  - Irrevocable trust with CalPERS
  - IRC Section 115 Trust
  - Same as AHA’s CERBT Trust used to fund OPEB, but not recognized as a GASB 68 asset (rather it is accounted for as an AHA general asset, like an Internal Service Fund)
  - Intent is to pass all funding of the UAL amortization payments through this fund
- Parameters for modeling Supplemental Trust as Rate Stabilization Fund:
  - Initial seed money: **1.0M**
  - Additional amount contributed these future years: **10 years**
  - Target budget rate: **4%**
  - Year target budget rate kicks in: **Assumed Fresh start kicks in year 2020-2021(6/30/2020)**

# Summary of Total Amortization Payment

	CalPERS Amortization Payments	Direct pay to CalPERS Payment*	Section 115 Trust Payment*
<b>Expected ROR</b>	<b>7.00%</b>	<b>7.00%</b>	<b>4.00%</b>
<b>Initial Seed Cont.</b>	<b>N/A</b>	<b>\$1.0M</b>	<b>\$1.0M</b>
<b>Amortization Period</b>	<b>20+ yrs</b>	<b>10-Year</b>	<b>10-Year</b>
<b>2020-21</b>	161,000	232,000	287,000
<b>2021-22</b>	203,000	239,000	295,000
<b>2022-23</b>	238,000	245,000	303,000
<b>2023-24</b>	255,000	252,000	311,000
<b>2024-25</b>	276,000	259,000	320,000
<b>2025-26</b>	283,000	266,000	329,000
<b>2026-27</b>	291,000	274,000	338,000
<b>2027-28</b>	299,000	281,000	347,000
<b>2028-29</b>	307,000	289,000	357,000
<b>2029-30</b>	316,000	297,000	367,000
<b>2030-31</b>	324,000	<b>Soft Fresh Start payment = Hard Fresh Start payment</b>	
<b>2031-32</b>	333,000		
<b>2032-33</b>	323,000		
<b>2033-34</b>	313,000		

End of 10-year  
Amortization.

\*Total Contribution = Amortization Payment + Normal Cost; Shown above is the amortization payment only

## Summary of Total Contributions Comparison FYE 2020-2050 (30 years)

	CalPERS	Direct pay to CalPERS	Section 115 Trust
Expected ROR/Discount Rate	7.00%	7.00%	4.00%
Amortization Years	various	10-year	10-year
Initial Seed Cont.	N/A	\$1.0M	\$1.0M
Total Payment (Seed + sum of Annual )	\$5.4M	\$3.6M	\$4.2M
<b>Potential Savings (compared to CalPERS)</b>		<b>\$1.7M</b>	<b>\$1.2M</b>

- Direct to CalPERS savings of \$1.7M is the same whether [Soft or Hard Fresh Start](#)
- Assumed annual contribution will increase same as increase in payroll of 2.00% per year.
- Savings is the difference between CalPERS total contributions and Scenarios' total contributions plus initial Seed funding amount.
- Generally, a 1.00% increase in rate of return will increase the savings by approximately \$0.2M
- In FY2017/18, CalPERS PERF reported a rate of return on assets of 8.60%.

# CalPERS Change in Discount Rate and Amortization Policies

CalPERS	
Discount Rate Assumptions	Rate
June 30, 2016	7.375%
June 30, 2017	7.250%
<b>June 30, 2018 (on/after*)</b>	<b>7.000%</b>

- CalPERS has indicated a desire to lower the discount rate to as low as 6.50% in the future
- CalPERS also has plans to change amortization policies to assist some entities

# IRC Section 115 Trust Options



## Two Proposed Providers

- **CA Employers' Pension Prefunding Trust Program (CEPPT)**
  - Allows state and local public agency employers that provide a defined benefit plan to their employees to voluntarily prefund their required pension contributions. Assets in the CEPPT, a Section 115 trust, can be used to satisfy future required employer contributions. Managed by CalPERS, the CEPPT launched in 2019. AHA currently uses CalPERS for their OPEB Section 115 funding trust.
- **Public Agency Retirement Services (PARS)**
  - For profit entity, PARS is the system administrator partnering with U.S. Bank (trustee) and sub-adviser Highmark Capital Management, Inc. (Investment Manager). Offers Section 115 trusts for both OPEB and pension plans. Boasts being the first entity to get a Private Letter Ruling in 2016 from the IRS for tax-exempt status of Pension Stabilization trusts.

## Funding Vehicle - CEPPT vs. PARS

- CEPPT offers a low-cost prefunding investment vehicle. 10 basis points vs. PARS 60 basis point
  - Equivalent of annual fee of \$6K for a \$1M trust
- There are only two investment options offered by CEPPT, designed for short term time horizon with target investment returns of 4% and 5%
- PARS offers a wider range/customizations of investment strategies than CEPPT
  - Better suited for a larger trusts with relatively long-term investment horizon

# Decisions for the Board

- Board had previously decided:
  1. Investment horizon (before full funding is reached): **10 years**
  2. Seed contributions: **\$1.0M**
  3. Risk tolerance: **4% target investment return**
- **Decision:**
  1. Do nothing – keep agency funds in an Internal Service Fund
  2. Make an Additional Discretionary Payment (ADP) of \$1M directly to CalPERS
  3. Create Irrevocable Supplemental Trust (IRC Section 115 Trust) with a \$1M seed payment and select a target investment rate of return of 4%
- **If the Board chooses Option 3, Section 115 Trust**
  - CEPPT or PARS?

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To: Honorable Chair and Members of the Board of Commissioners

From: Vanessa M. Cooper, Executive Director

Date: May 20, 2020

Re: Accept an Update on the Alameda City Council Referral from October 15, 2019 and Appoint an Adhoc Committee of the Board to Work with Staff in Addressing These Issues

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### **BACKGROUND**

On October 15, 2019, the City of Alameda City Council discussed a referral made by Council Members Oddie and Vella to “Consider Directing Staff to Present Options to the Council on Increasing Accountability of, and Addressing Potential Conflict of Interest Issues at, the Alameda Housing Authority.”

The following action was noted in the City Council minutes:

*The City Manager stated everyone has the same goals; noted his experience began with housing; stated the root of the issue should be the focus; three City departments will need to staff the issue: City Manager’s office, Community Development Department and City Attorney’s office; he recommends starting with an informal stakeholder group, which could decide whether or not a more formalized group is needed; stated the group will focus on transparency, accountability, conflict of interest, hearing officers and informal mediation methodology, with a deadline of returning to Council February 18, 2020; stated Code Enforcement related to habitability is difficult to define and tackle.*

*Vice Mayor Knox White stated that he would like to confirm that Council has the capacity and the issue would not bump other items out of priority; expressed support for feedback brought forth at the next Council meeting.*

*Councilmember Vella stated there are differences between basic habitability versus personal likes; City accountability is needed in terms of basic habitability that can be documented.*

*Mayor Ezzy Ashcraft stated the information can be included in Housing Authority feedback to be provided.*

*Councilmember Oddie moved approval of the City Manager’s recommendations, including consideration of an incentive program to help with the 75 vouchers.*



The City Manager stated that he recommends bringing back research of how Oakland pays for vouchers.

Councilmember Vella seconded the motion, which carried by unanimous voice vote: ayes – 5.

This memo is intended to provide a brief overview of the activity on the key proposals that remain outstanding since the October 15, 2019 City Council meeting. **Updates are provided in bold.**

## **DISCUSSION**

### City-wide task force on housing issues relating to older adults

Housing Authority of the City of Alameda (AHA) staff are keen to move this forward given the current issues with hoarding and housekeeping observed in both affordable housing and private market rentals. Staff have expressed ongoing concerns for the wellbeing of individuals, as well as the impact to the wider community when more wide ranging resources and services are not available to those who have increasing acuity needs. Staff will hold an afternoon information session in April 2020 to discuss these issues and will invite community partners, including the City to attend and to offer ways to collaborate and assist in the coordination of these issues with AHA. Initial discussions with other housing providers indicate there is community support for this and staff are moving forward with scheduling. This item is on hold due to the current health crisis. There has been no action from the City either on this item. Essential services for seniors are being provided during the ongoing health crisis in collaboration with LifeSTEPS, City staff, Alameda Food Bank and Adult Protective Services. **Some initial work has started. This item will be revisited in the summer by AHA staff unless otherwise directed by the Board.**

### City to provide 75 financial incentives to facilitate lease up of Section 8 units

AHA staff have asked to meet with the City Manager and City staff on this issue. **City informed AHA that this item is forthcoming in the next City budget.**

### Code Enforcement

AHA staff have asked to meet with the City Manager and City staff on these matters. This item concerns the Alameda Rent Program. There has been no further action on this topic but this continues to be an issue for the Rent Program. **The meeting was scheduled by the City and then postponed indefinitely.**

### Information Packet

Staff is preparing a set of handouts for the AHA Board of Commissioners and the City Council Members in order to assist and direct AHA tenants and Section 8 participants to the proper channels when approached with concerns or questions. These documents



have for the most part already been provided individually. The information packet distribution was put on hold due to the current health situation and will be picked up in due course. **In progress.**

#### Hearing officers

AHA has hired a legal firm to handle informal hearings. **Complete**

#### Meeting with the Alameda Renters Coalition (ARC)

A sub-committee of the Alameda Renters Coalition (ARC) has provided continued critique of AHA practices and raised its concerns to City representatives over the past 9 months. Staff have repeatedly sought to engage the ARC sub-committee. In October 2019 the Executive Director suggested that a mediation group, SEEDs, which AHA utilizes fairly regularly, might facilitate communication but the ARC group rejected this in favor of a meeting with City staff and AHA. City staff, AHA staff, and Vice Chair Tamaoki met with ARC representatives on January 13, 2020 and a subsequent follow up meeting was scheduled for February 24, 2020. At the request of the Vice Chair, ARC provided a summary of the issues they wished to discuss in the next meeting. The February 24, 2020 meeting as cancelled due to the request by ARC to use a mediator. The meeting was then further delayed due to pending action by the City Council on the Goldfarb & Lipman request for potential waiver conflict. The City Council recently consented to the waiver request. **An initial meeting between AHA and SEEDS has been set for May 18, 2020 and the meeting with ARC has been scheduled for June 8, 2020. Vice Chair Tamaoki has agreed to participate. The meetings will be held via teleconference.**

AHA staff have committed to follow-up on all tenant specific concerns raised by ARC and AHA has repeatedly stated that the details/outcomes of concerns cannot be reported to a third party without an authorization from the subject household through a Release of Information form. Staff will respond to ARC's letter in writing due to the delay in meeting and will respond to any tenant specific complaints as they arise. None have been received from this group since the fall of 2019.

Staff is asking the Board to appoint an adhoc committee of the Board to work with staff in addressing these issues.

#### **FINANCIAL IMPACT**

It is important to note that any policy suggestions made by an informal stakeholder group would need to be reviewed by General Counsel, approved by HUD (where it impacts a HUD-required process or HUD-funded payment) and would need to be discussed and approved by the Board of Commissioners in a public meeting. Where the proposed change(s) require a Significant Amendment to AHA's Administrative Plan, a HUD-accepted document, and/or Five Year Plan, a HUD-approved document, a public posting and hearing process would also be needed. Any additional costs, if significant, would also need Board approval. Diversion of staff time to research and respond to policy



suggestions may impact the agency's ability to adequately meet its existing goals due to impact on limited resources.

This issue is expected to require considerable staff time for AHA to participate in, especially if the informal stakeholder group is established, but if necessary, the Executive Director will return with a staffing and budget plan for the work in 2020, including increasing General Counsel Services and a revised work plan for the year. Given the significant additional workload, limited staffing, and urgent priorities created by the current health crisis, it will be a challenge to allocate significant staffing to this process until the Shelter in Place orders are over and catch-up work within the agency has been addressed. The City has requested a \$5,000 contribution from AHA for the mediation.

### **RECOMMENDATION**

Accept an update on the Alameda City Council Referral from October 15, 2019 and appoint an adhoc committee of the Board to work with staff in addressing these issues.

Respectfully submitted,



Vanessa M. Cooper  
Executive Director





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To: Honorable Chair and Members of the Board of Commissioners

From: Vanessa M. Cooper, Executive Director

Date: May 20, 2020

Re: Establish a Nominating Ad Hoc Committee for the Appointment of the Chair and Vice Chair of the Board of Commissioners for the Period of July 1, 2020 - June 30, 2021

---

### **BACKGROUND**

Section 4 of the Rules and Procedures of the Housing Authority states: "The Chair and Vice Chair shall be elected by the Board of Commissioners from its membership at the first meeting after July 1 of each year when the Commission is fully constituted."

### **DISCUSSION**

The Board is asked to appoint up to three Board members to constitute the ad hoc committee. This committee will report back to the Executive Director with recommendations no later than three weeks before the first meeting after July 1, 2020.

### **RECOMMENDATION**

Establish a nominating ad hoc committee for the appointment of the Chair and Vice Chair of the Board of Commissioners for the period July 1, 2020 - June 30, 2021.

Respectfully submitted,

Vanessa M. Cooper  
 Executive Director

