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**MOVING TO WORK**  
**2009 ANNUAL PLAN**



**OCTOBER 13, 2008**

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# SEATTLE HOUSING AUTHORITY

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## Cover photos:

Top: Community members having a play date in a High Point living room.  
Bottom: Westwood Heights East Additions apartments in the foreground (which will include Scattered Sites replacement housing in 2009), with Longfellow Court/Westwood Court Apartments in the background (this project includes Roxbury HOPE VI replacement housing in partnership with Lutheran Alliance to Create Housing).

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## 2009 MOVING TO WORK PLAN OVERVIEW

This section provides an overview of the purpose and layout of this Plan and highlights major themes and priorities for the year.

### What is “Moving to Work”?

The Seattle Housing Authority (SHA) is one of about 30 housing authorities across the country participating in the U.S. Department of Housing and Urban Development (HUD) “Moving to Work” (MTW) Demonstration Program, which allows SHA to test innovative methods to improve housing services and to better meet local needs.<sup>1</sup> As a participant in MTW, SHA may propose and implement alternatives to federal regulations for certain issues spelled out in a 1999 agreement between HUD and SHA. Congress provided three statutory objectives for MTW:

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

As discussed further in Section V, throughout 2008 SHA and HUD worked toward the development and hopeful execution of an amended and restated MTW agreement that would extend SHA’s participation through 2018.

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<sup>1</sup> Because HUD’s name for the demonstration, “Moving to Work,” sounded like a jobs program for residents, SHA has renamed the demonstration “Moving To new Ways,” to keep the acronym and avoid confusion over the program’s purpose. However, for official purposes, such as this plan, the original name is retained.

Fiscal year 2009 will be SHA’s eleventh year in MTW. Each year SHA adopts a plan that describes activities planned for the following fiscal year. At the end of the year, SHA prepares a report describing its accomplishments.

### Stakeholder involvement

As part of developing the MTW Plan and annual budget, SHA provides opportunities for public review and comment. The primary opportunity is a public hearing. Residents are notified of the hearing and the availability of draft documents through *The Voice* (a monthly newspaper for SHA residents), a notice on rent statements, flyers in SHA buildings, and a letter to about 120 resident leaders. The public is informed via SHA’s free monthly e-mail newsletter, *Building Community*, which reaches about 1,300 subscribers, and through posting on [www.seattlehousing.org](http://www.seattlehousing.org) and an ad in the Seattle/King County newspaper of record, the *Daily Journal of Commerce*.

**Public hearing:** A public hearing was held on September 15, 2008. At least 31 members of the public attended, including 26 residents. The draft plan and annual budget were presented and testimony taken, followed by a general question and answer period.

**Joint Policy Advisory Committee:** JPAC, made up of resident representatives who advise SHA on issues of concern to residents, discussed major plan activities and budget issues on September 11, 2008. About 34 resident leaders participated.

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## What is in this plan?

The Annual Plan follows an outline established in the 1999 MTW agreement:

*Section I: Households Served* projects the number and characteristics of households in SHA housing programs and on wait lists for housing assistance for the next fiscal year.

*Section II: Occupancy and Admissions Policies* provides updates on adopted policies and describes new policies to be developed or implemented in 2009.

*Section III: Changes in Housing Stock* describes how and why SHA housing resources will change during the year.

*Section IV: Sources and Amounts of Funding* estimates 2009 revenues.

*Section V: Uses of Funds* compares the 2009 and 2008 budgets, and describes the level and adequacy of financial reserves. This section also describes redevelopment activities and organizational and administrative improvements for the year.

*Section VI: Capital Planning* lists capital, disposition, demolition, and home ownership activities in 2009.

*Section VII: Owned and Managed Units* projects performance on required indicators in public housing: vacancy rates, rent collection, work orders and inspections.

*Section VIII: Administration of Leased Housing* projects performance on selected indicators and describes new policies for the Housing Choice Voucher Program.

*Section IX: Resident Programs* describes 2009 community and supportive services.

## Themes and priorities for 2009

SHA identified several themes and priorities for 2009 within the context of the agency's

mission and five year strategic plan, declining federal resources coupled with increasing costs, and the MTW's three primary objectives.

### **Match SHA's housing resources with the needs of low-income families.**

- Explore wait list options that would more efficiently meet applicants' housing needs.
- Analyze the presence and causes of concentrations of residents and participants by income, race, and other characteristics. Develop action plans to address areas of concern which SHA can most effectively influence.
- Complete the reconfiguration of the Scattered Sites portfolio.
- Expand SHA's ability to serve low-income households with special needs -
  - Work with community partners to increase service-enriched housing for elderly residents, recently homeless households, veterans and others in need of services.
  - Increase the number of SHA units that meet Uniform Federal Accessibility Standards for people with disabilities.
  - Seek opportunities to create additional smoke-free units.
  - Implement strategies to help households with limited English proficiency access and be successful in affordable housing.
  - Increase the percentage of Housing Choice Vouchers that are Project-based in response to community need.



⊙ = Current or potential use of MTW flexibility

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## Rejuvenate and extend the useful life of SHA's affordable housing stock.

- Address short and long-term capital needs in the Seattle Senior Housing Program.
- Complete homeWorks high-rise renovation program.
- Plan for the redevelopment of Yesler Terrace.
- Complete rental housing construction at High Point and begin the construction of new rental units at Rainier Vista.
- Plan for the revitalization of Lake City Village and complete the rehab of 44 units at The Douglas.
- Initiate rehab of Bell Tower and continue envelope repairs at Wedgewood Estates.
- Explore with the City of Seattle new strategies to maximize our common purposes of increasing and preserving low-income housing.



## Promote connected communities and stable families.

- Explore innovative ways to encourage and support economic security among SHA families.
- Offer a safety net to residents who give up their public housing subsidy to move to private market housing.
- Develop partnerships to enhance community services, particularly for youth in SHA's large communities.
- Implement Family Self-Sufficiency program (FSS) policy changes to improve FSS participant outcomes and increase program efficiencies.



## Maximize SHA's limited resources to fulfill our mission.

- Further refine SHA's asset management approach.
- Revise SHA's procurement policies to streamline processes and improve outcomes.
- Establish a local system for measuring SHA's performance in lieu of HUD's assessment systems.
- Look for ways to reduce the administrative burden on SHA and on future and current tenants.
- Continue participation the Moving to Work program.

## Moving to Work areas for innovation

SHA's MTW agreement with HUD contains a specific list of activities for which SHA may exercise its MTW flexibility. SHA's planned and potential use of these flexibilities in 2009 is summarized in Appendix A. MTW activities are indicated throughout this plan with the ☉ symbol.<sup>2</sup>

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<sup>2</sup> Every reasonable effort was made to identify MTW flexibilities; however, failure to cite MTW use in this Plan will not be grounds for disapproval of such initiative or invalidate the use of the MTW authority necessary to implement and support an initiative.

☉ = Current or potential use of MTW flexibility

Consolidated Budget Sources and Uses

The table below summarizes total sources for all SHA housing operations, development, and management activities for CY 2008 and CY 2009 and the variance for these comparable periods.

All SHA Sources and Uses	CY 2008 Budget	CY 2009 Budget	Percent Change 2008 to 2009
<b>Sources</b>			
Consolidated MTW	\$113,665,000	\$114,196,000	0.5%
One-time MTW Capital	0	6,000,000	Not Applicable
Other Programs	<u>154,206,000</u>	<u>117,570,000</u>	<u>(23.8%)</u>
<b>Total</b>	<b>\$267,871,000</b>	<b>\$237,766,000</b>	<b>(11.2%)</b>
<b>Uses</b>			
Consolidated MTW	\$108,738,000	\$109,589,000	0.8%
One-time MTW Capital	0	6,000,000	Not Applicable
Other Programs	<u>153,161,000</u>	<u>111,291,000</u>	<u>(27.3%)</u>
<b>Total</b>	<b>\$261,899,000</b>	<b>\$226,880,000</b>	<b>(13.4%)</b>
<b>Net</b>	<b>\$5,972,000</b>	<b>\$10,886,000</b>	<b>82.3%</b>

Notes:

- FY 2008 budget figures in the table above reflect a change in the classification of various revenue and expense accounts. However, this did not change the net number.
- The change in sources and uses of the MTW Block Grant from 2008 to 2009 is flat. While revenues are flat, the ongoing costs of doing business are rising with increases in general inflation, in salary and benefit rates, and in utilities and gasoline. This means SHA has had to take budget reductions to meet the revenue constraint.
- For 2009 there is a one-time infusion of Capital grant funds, as SHA's funding cycle shifts to a new period, which enables some of the most critical capital needs in SHA's housing communities to be addressed and for planning and redevelopment.
- The principal differences reflected in the above table in Other Programs relate to capital funding:
  - Two-thirds of the homeWorks rehabilitation projects will be completed in 2008 and Phase III will be complete at the end of 2009; spending drops from \$28 million in 2008 to \$10 million in 2009.
  - Second, the 2008 Budget anticipated spending \$22 million in Scattered Site Acquisitions, while the 2009 Budget includes no new funds for this purpose. Given changes in the economy and market conditions, SHA has rethought the strategy and timing for remaining acquisitions. We expect that the existing budget for acquisitions will be spent over the next three years.
  - Finally, the rehabilitation of the Douglas Apartments was included in the 2008 budget and we don't have another major development project proposed for 2009.
- In 2009, SHA does not expect to make a contribution to MTW reserves. Net revenues above reflect continued sale of Scattered Site properties.

⊙ = Current or potential use of MTW flexibility

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## SECTION I: HOUSEHOLDS SERVED

This section describes possible demographic changes among households served in 2009. Appendix F contains information on residents and applicants as of December 31, 2007.

### Residents

#### Number of households

The number of households served in Housing Choice Voucher (HCV) programs and Section 8 New Construction is expected to remain stable during 2009. Households served in the Seattle Senior Housing Program (SSHP) may decline slightly if SHA has to keep units vacant to accommodate major renovation work planned in several communities. Owing to twelve new units coming on line in High Point and the completion of the Scattered Sites realignment, the number of households served by Low Income Public Housing (LIPH or public housing) is expected to increase slightly.

#### *Projected number of occupied units at the end of 2009*

Low Income Public Housing	4,914
Housing Choice Vouchers	8,149
Section 8 New Construction	97
Seattle Senior Housing Program	973

#### Income levels

The Job Connection, SHA's employment program, will help residents find, keep and advance in jobs. For households that are or could be working, incomes are expected to remain flat or increase only slightly due to current economic challenges. Higher-income households leaving SHA housing programs and the many barriers to self-sufficiency faced by residents who remain will likely also curtail average income increases.

Senior and disabled residents' income levels are expected to increase slightly with cost of

living increases to such fixed-income sources as Social Security.

Average income in SSHP may rise, as SHA may make alterations to the rent policy to achieve increased sustainability of the program.

#### Racial and ethnic composition

While significant changes to the racial and ethnic composition in SHA's programs are not anticipated, SHA will continue close monitoring to bring to light trends attributable to SHA policies or other factors in the Seattle housing market.

#### Elderly/young disabled mix

The Project-based Housing Choice Voucher program's efforts to improve housing opportunities for the homeless will likely continue to bring about incremental increases in the percentage of HCV participants who are disabled. Little change in the mix of elderly/young disabled residents is anticipated in SHA's other housing programs.



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## Applicants

### **Number of applicants**

The number of applicants in the Housing Choice Voucher program is expected to decline. A wait list of 4,000 was established through a lottery in 2008. SHA does not anticipate reopening this wait list for a few years, so the number of applicants will continue to decline for this program. The number of applicants on SSHP waitlists may decline slightly as Save My Spot, the monthly phone/web check in system, is implemented for SSHP. Wait lists for other programs are expected to remain steady or grow, given the current tight rental market.

### **Income levels**

Income levels among public housing and Housing Choice Vouchers applicants are

expected to remain about the same – almost entirely extremely-low-income.

Applicant income levels for SSHP may rise slightly, on average, as SHA may make alterations to the rent policy to achieve increased sustainability of the program.

### **Racial and ethnic composition**

Significant changes to the racial and ethnic composition of households on SHA wait lists are not anticipated. However, close monitoring will help SHA identify any trends that may be attributable to policy changes or other Seattle housing market factors.

### **Elderly/young disabled mix**

SHA does not anticipate significant changes in the age mix of applicants.

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## SECTION II: OCCUPANCY AND ADMISSIONS POLICIES

### Eligibility, selection, admissions, assignment and occupancy

#### General

#### Local preferences <sup>3</sup>

##### *Current status:*

In 2003, the SHA Board adopted a local preference for households that are homeless or whose income is below 30 percent of the area median (Resolution 4680). This preference applies to public housing and Housing Choice Vouchers. In 2008 SHA added a local preference for public housing that will serve as a safety net for public housing residents who take that step to move out of assisted housing, but find that situations change and threaten to make them homeless. SHA also added a preference to allow current public housing residents earning more than 30 percent of AMI to hold equal weight with other preference-holding applicants on public housing wait lists.

##### *Changes proposed for 2009:*

- SHA may change preferences if necessary to implement SHA’s domestic violence action plan discussed in Section IX and to support supportive housing programs (described on page 11).

##### *Current status:*

SHA fosters deconcentration of poverty by—

- setting appropriate payment standards for Housing Choice Voucher subsidy;
- continuing to redevelop large public housing developments into mixed-income communities and requiring low-income

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<sup>3</sup> The term “local preferences” refers to criteria for selecting applicants from a housing authority’s wait list.

residents of those communities to abide by self-sufficiency lease provisions;

- creating a “mix of incomes from within,” by assisting SHA residents to get a first job or a better one; and
- providing incentives in the public housing rent policy to encourage people to work and increase their income.

##### *Changes proposed for 2009:*

- An in-depth evaluation of the trends of voucher utilization will inform policy to enhance geographic dispersion.

#### Streamlined management ☉

##### *Current status:*

Some of SHA’s properties utilize both Project-based Housing Choice Vouchers and Low Income Public Housing subsidy. While these two programs serve the same population, they have different requirements that are confusing to residents and administratively burdensome to administer in a single property. In 2008 the SHA Board of Commissioners passed Resolution 4899, establishing the Streamlined Low Income Housing Program (SLIHP), which allows Project-based HCVs and Low Income Public Housing to function more seamlessly in communities that operate both programs.

##### *Changes proposed for 2009:*

- SHA may expand the SLIHP to include other SHA properties. SHA may also make changes to the SLIHP policy based on lessons learned from implementation.

#### Public housing

#### Applicant choice policy ☉

##### *Current status:*

The applicant choice policy establishes “site-specific” and “expedited next available unit”

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☉ = Current or potential use of MTW flexibility

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wait lists, giving applicants a choice of where to live while addressing fair housing concerns. Affirmative fair marketing continues. Monitoring will continue with each MTW annual report.

*Changes proposed for 2009:*

- SHA will explore and possibly implement strategies to increase the percentage of approved applicants who lease, which may include, but are not limited to—
  - piloting no wait list in selected communities or unit types;
  - establishing separate wait lists for studio and one-bedroom units; and
  - moving applicant choice to the end of the application process.
- SHA may amend wait list policies to better facilitate service-enriched housing, such as creating program-specific wait lists at either the community or agency level or developing other policies to enable applicants' housing needs to be best met.
- If Low Income Housing Tax Credit requirements change, SHA may revise application procedures and policies to ensure continued consistency where applicable.
- SHA may amend its policy to define conditions under which a wait list may be closed.
- SHA may also amend its policy or procedures to support implementation of the Ten-Year Plan to End Homelessness.

### **Admissions**

*Current status:*

Admissions policies have been amended over the last several years to increase the percent of applicants approved and housed, and reduce file processing time, denial of applicants and requests for an administrative review of denials. None of these changes required MTW flexibility.

In FY 2007 SHA expanded the check-in system to all LIPH wait lists. Applicants check in once a month to affirm their continued interest in housing. Applicants may check in 24 hours a day, seven days a week, either by calling a simple, automated phone system or visiting a website ([www.savemyspot.org](http://www.savemyspot.org)).

*Changes proposed for 2009:*

- SHA will complete revisions to suitability criteria and other admissions policies for survivors of domestic violence and persons with disabilities to reduce barriers to their obtaining affordable housing.
- SHA may also revise suitability criteria for selected service-enriched housing environments.
- Monitoring of the monthly check-in system will continue. Unforeseen implementation issues or impacts on applicants may necessitate changes in policy and procedures.
- SHA will continue to seek strategies to streamline the admissions process in order to house applicants more efficiently. ☉

### **Local leases and community rules**

*Current status:*

NewHolly, Rainier Vista and High Point leases are based on private management models, emphasizing the best property management practices including require residents to pay their own utilities.

*Changes proposed for 2009:*

- SHA may revise the public housing dwelling lease for all other SHA communities to keep it updated with the best property management practices. ☉
- SHA may revise policies to allow for leases of less than one year. ☉

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☉ = Current or potential use of MTW flexibility

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## Self-sufficiency requirement

### *Current status:*

During FY 2004, SHA began implementing the community service and self-sufficiency requirement in all its public housing communities in accordance with federal law (Resolution 4716, October 2003).

In all of SHA's HOPE VI redevelopments, low-income residents in subsidized units are required to abide by self-sufficiency lease provisions.

### *Changes proposed for 2009:*

- No changes are proposed.

## Occupancy standards

### *Current status:*

In FY 2005 SHA simplified public housing occupancy standards. The standards are consistent with HUD policies and local law. New occupancy standards are being implemented as new residents move in and existing residents transfer to different units.

### *Changes proposed for 2009:*

- No changes are proposed.

## Special needs in public housing

In 2009 SHA will continue to cultivate partnerships, resources, and strategies in support of improved housing options to low-income households with special needs.

## Service-enriched housing for formerly homeless households

### *Current status:*

SHA leases nearly 90 public housing units to non-profit service providers to provide service-enriched transitional housing for formerly homeless households. Additionally, beginning in 2008, SHA is providing 20 service-enriched Sound Families units in phase II of High Point.

### *Changes proposed for 2009:*

- SHA may begin to transition all or part of Jefferson Terrace into a service-enriched environment for formerly chronically homeless households. If this does occur, SHA will continue to meet the housing needs of current Jefferson Terrace residents. ☉
- SHA may increase the number of units used by service providers to provide housing and services to formerly homeless households. ☉

## Housing for the elderly

### *Current status:*

During FY 2007 HUD approved SHA's request to extend for two years the "senior" designation for Westwood Heights and Ballard House. These communities continue to provide a valuable independent living environment for extremely low-income seniors. SHA also partners with local non-profits to bring on-site adult day-health services to Jefferson Terrace and to provide supportive services to seniors at Westwood Heights who need additional health and supportive services to remain in their homes.

In 2008 SHA participated in the City of Seattle's Senior Housing Committee. Out of this, SHA and the City have renewed focus on increasing the spectrum of housing options available for low-income seniors.

### *Changes proposed for 2009:*

- SHA will seek to expand or develop new partnerships with service providers that will better enable low-income seniors to access and remain in affordable housing.
- SHA is considering revising the definition of elderly for the purpose of admissions to senior-designated buildings. The current age limit of 62 and older limits the pool of applicants. ☉
- SHA will continue to evaluate the success of the two senior-designated buildings and

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explore the possibility of establishing a third community.

- SHA will request renewal of the elderly designation for Westwood Heights and Ballard House.

### **Smoke-free public housing** ☉

#### *Current status:*

During FY 2005 the now smoke-free Tri-Court was fully leased after its complete rehabilitation. Residents are willingly complying with the smoke-free policy and enforcement has not been difficult. Additionally, by early 2009, SHA will have established 60 Breathe Easy homes in High Point.

#### *Changes proposed for 2009:*

- SHA will look for opportunities to create additional smoke-free affordable housing.

### **Pet-free environments** ☉

#### *Current status:*

SHA's currently allows small pets in public housing.

#### *Changes proposed for 2009:*

- SHA may explore creating pet-free environments in connection with selected service enriched housing.

### **Service provider units** ☉

#### *Current status:*

SHA currently leases over 100 public housing units to non-profit service providers. As discussed above, most of these units are used for service-enriched transitional housing. Others are used for service provider offices to facilitate on-site services.

#### *Changes proposed for 2009:*

- SHA may develop and implement new policies and procedures to guide decision-making regarding the use of public housing dwelling units by non-profit service providers.

- As SHA and its partners explore ways to better serve residents with special needs, including the elderly, formerly homeless, and others in need of service-enriched housing, SHA may increase the number of units used by agencies to provide both housing and services to members of these populations.

### **Housing Choice Voucher program**

SHA will continue to identify and carry out specific strategies for voucher use that address geographic dispersion, regional impact, strategic partnerships and the ability to support community priorities through direct or indirect investments. An in-depth evaluation of the trends of Voucher utilization will inform policy to enhance geographic dispersion.

### **Admissions**

#### *Current status:*

Admissions policies have been amended over the last several years to increase the percent of applicants approved and to reduce file processing time, denial of applicants and requests for an administrative review of denials. In 2008 SHA revised the Criminal Background eligibility requirements for the Housing Choice Voucher program to bring it in line with other local housing authorities and support the goals of the Committee to End Homelessness. These changes did not require MTW flexibility.

In 2008 SHA revised the eligibility criteria for the Provider-based, Project-based, and Mod-Rehab programs to reduce barriers for former participants and SHA residents. The revised criteria allow applicants to these programs to enter into a Repayment Agreement in cases where they owe SHA money. SHA also amended the administrative plan in 2008 to require tenants of subsidized housing to

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complete their initial lease term before being eligible to use a Tenant-based Voucher. ☉

*Changes proposed for 2009:*

- SHA may explore expanding modifications to eligibility criteria cited above to other HCV programs. ☉
- SHA may expand the monthly check-in system piloted in public housing to the Housing Choice Voucher wait list.
- SHA will implement an online tool that will help participants with disabilities locate accessible units.
- SHA may explore and implement ways of streamlining eligibility verification. ☉
- SHA may develop strategies to streamline the admission and recertification process for Provider-based, Project-based and Mod Rehab programs. ☉

**Project-basing policy ☉**

*Current status:*

SHA continues to implement the project-basing policy adopted in FY 2001.

SHA's participation in Sound Families with six regional housing authorities and several local governments will continue in 2009. Through this program, the housing authorities agree to project-base Housing Choice Voucher subsidy in transitional housing approved by local governments and funded by the Gates Foundation.

In FY 2003, SHA allocated up to 150 Tenant-based vouchers to contribute to the financial stability of SSHP and to ensure extremely low-income applicants and residents continued access to the program. In FY 2007, SHA amended this policy to make the vouchers Program-based, meaning they stay within the SSHP program but can float between units and buildings.

In FY 2007, SHA developed a pilot "Provider-based" program to support the King County Ten-Year Plan to End Homelessness.

On a small scale, the pilot is testing the efficiency and effectiveness of using vouchers with community partners to meet the supportive housing needs of these populations in ways that SHA's traditional subsidized housing programs are not designed to address. This new program allocates funding in tandem with partner publicly funded services and behavioral healthcare systems.

*Changes proposed for 2009:*

- SHA may raise the maximum percentage of Housing Choice Vouchers that may be Project-based.
- SHA may make changes to the Provider-based program based on results of initial implementation and available budget authority.

**Occupancy standards**

*Current status:*

In 2008 SHA adopted new minimum occupancy standards after evaluating their impact on average per-voucher subsidy levels and participant housing choices.

*Changes proposed for 2009:*

- No changes are proposed.

**Statement of rent policy**

**MTW public housing rent policy ☉**

*Current status:*

In June 2005 SHA modified the rent policy to achieve the following goals:

- Prepare people with good prospects for economic self-sufficiency for the conventional housing market;
- Remove disincentives and provide rewards for resident employment, job retention and wage progression;
- Preserve an economic safety net;
- Generate sufficient revenues for SHA to supplement federal subsidies;

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- Create revenue for self-sufficiency support services and budget skills training;
- Reduce unnecessary administrative procedures;
- Remove incentives for manipulation and fraud; and
- Implement an equitable policy that staff and service providers can support in order to educate and motivate residents.

Major changes included:

- Expanding the Tenant Trust Account so that more working households are eligible, and households can accumulate savings faster for clearly defined self-sufficiency purposes;
- Setting almost all tenants' rents at 30 percent of adjusted income instead of setting a punitive (higher) rent for TANF households, and establishing rent steps to protect some earned income for employed households;
- Requiring residents to report all increases in income above \$100 per month, between annual reviews, so that SHA may increase rent accordingly;
- For households reporting zero income that appear to be eligible for TANF or unemployment benefits, imputing income from these sources until ineligibility is documented; and
- Allowing property managers to differentiate rents in studios and one-bedroom apartments to maintain high occupancy of studio units in a soft rental market.

*Changes proposed for 2009:*

- SHA may further streamline the rent policy and certification process for fixed income households.
- SHA may explore a simplified rent policy for participants in housing operated by non-profit partners.
- SHA will focus discussions on the growing cases of unreported income by

households and consider strategies to reverse this trend.

- SHA may consider and implement utility allowance policy changes to foster self-sufficiency and encourage resource conservation.
- SHA may develop new benchmarks for “a reasonable use of utilities by an energy conservative household” – the standard by which utility allowances are calculated.
- SHA may revise the schedule for reviewing and updating utility allowances due to fluctuations in utility rates to no more than annually.
- Minor changes to policy or procedures may be needed to ensure compliance with tax credit rules.

**Housing Choice Voucher rent policy** 

*Current status:*

In FY 2005 the SHA Board of Commissioners adopted Resolution 4787 amending the Housing Choice Voucher program rent policy in various ways. While most of SHA's voucher funding is part of the MTW block grant, some of it is not. HUD has taken the position that vouchers funded by non-MTW funding must be administered according to HUD rules and that MTW regulatory flexibility does not apply to those vouchers. Rather than have two sets of rent rules, SHA has chosen to implement only those parts of Resolution 4787 that are consistent with HUD regulations and apply them to all vouchers.

In FY 2002 SHA adopted policies to allow voucher payment standards to exceed 120 percent of HUD's Fair Market Rents when certain market conditions are met. However, SHA has not needed to exercise this option. In FY 2007 the voucher payment standard was increased.

*Changes proposed for 2009:*

- SHA will evaluate the revised rent policy as part of the 2008 MTW Report. Through

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this evaluation, needed changes to the policy or procedures may be identified.

- In 2009 SHA may exercise the option to allow even higher voucher payments as needed to meet deconcentration and utilization goals. This may include revising Voucher Payment Standards (VPS) to reflect the range of housing costs in different neighborhoods.

- SHA will explore ways of streamlining third party verifications to reduce unnecessary administrative processing time.
- SHA may explore implementing bi-annual or every third year re-certifications for participants on fixed incomes.

## SECTION III: CHANGES IN HOUSING STOCK

This section provides the number of Housing Choice Vouchers authorized and the number (and types) of housing units available and projects SHA's housing resources to the end of 2009.

HOUSING PROGRAM	December 31, 2007 (actual)	December 31, 2008 (projected-updated)	December 31, 2009 (projected)
Housing Choice Vouchers	8,342	8,401	8,401
Section 8 New Construction units	100	100	100
Low-Income Public Housing units	5,250	5,273	5,262
Seattle Senior Housing Program units	993	993	993
HOPE VI workforce & market rate units	423	617	629
Other affordable housing	1,008	984	984
Managed by SHA for other owners	37	37	6
<b>Total Units</b>	<b>16,153</b>	<b>16,405</b>	<b>16,375</b>

*Included in these figures are units leased to agencies that provide supportive services and units for live-in staff.*

SHA forecasts the following changes in housing resources between January 1, 2009 and December 31, 2009:

**Other affordable housing:** New units are not anticipated in this portfolio, with the possible exception of High Point replacement units. SHA may sell or transfer ownership of selected properties in this portfolio to the non-profit partners that currently operate them. As SHA continues to reposition its assets to advance toward its mission and strategic priorities, SHA may also dispose of locally-funded parcels. None of these possibilities are reflected in the chart above.

**Low Income Public Housing:** In 2009 the remaining 12 new public housing units will come on line at High Point Phase II. Construction of new units will begin at Rainier Vista in 2009 with completion expected in 2010.

SHA will continue the reconfiguration of the scattered sites portfolio in 2009. This plan assumes that sales will be completed in 2009 and that planning for the remaining replacement units will be underway.

**Conversion:** SHA may seek to convert public housing units in Phase III of NewHolly to Project-based Housing Choice Vouchers in order to improve the financial stability of this property. The chart above does not reflect this potential activity.

**Housing Choice Vouchers:** No change to SHA's voucher authority is anticipated, although SHA will take advantage of any opportunities to apply for more vouchers.

**HOPE VI workforce housing:** In 2009 12 new units will be brought on line at High Point Phase II. Of these, two will include Project-based Housing Choice Vouchers making them affordable to households earning below 30 percent of Area Median Income. At Rainier Vista, construction of new units will begin in 2009 with expected completion in 2010.

**Managed by SHA for other owners:** SHA will continue working to transition management back to the owners of several properties in 2009. SHA's other affordable housing portfolio has grown considerably and staff resources are better spent focused on SHA's properties.

⊙ = Current or potential use of MTW flexibility

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## SECTION IV: SOURCES AND AMOUNTS OF FUNDING

This section describes the sources and amounts of funding included in the Consolidated MTW Budget and Other Programs.

### Consolidated MTW Budget

The table below summarizes the MTW sources of funds in the adopted budget for Calendar Year (CY) 2008 and projected for the Calendar Year (CY) 2009 budget.

Projected Sources—MTW	CY 2008 Budget	CY 2009 Budget
Dwelling Rental Income	\$10,373,000	\$10,959,000
Investment Income	356,000	347,000
Other Income	1,434,000	1,394,000
MTW Block Grant	101,502,000	107,496,000
Use of Reserves	--	--
<b>Total Sources-MTW</b>	<b>\$113,665,000</b>	<b>\$120,196,000</b>

Notes:

- The increase in Dwelling Rental Income is the result of more units being made available for leasing due to completion of rehabilitation projects in homeWorks and improved verification of tenants' employment income.
- The increase in the MTW Block Grant funding amount for 2009 is due almost exclusively to a one-time shift in SHA's use of the MTW capital grant. In 2009 SHA will budget the full amount of the federal capital grant funding for Federal Fiscal Year (FFY) 2008 and half of the projected amount for FFY 2009. This is due to SHA changing its fiscal year to match the calendar year, in addition to that, capital grant funding is now made available to Housing Authorities earlier in the year and funds must be obligated and expended much earlier. In future years, SHA will budget half of one FFY and half of the following FFY capital grant amounts.
- The Low Income Public Housing Operating and Housing Choice Voucher (HCV) contributions to the MTW block grant are expected to remain relatively flat from 2008 levels. Funding proration for these sources, along with an HCV annual adjustment funding factor that is less than fair market rent increases, are expected to continue into 2009.

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### Other Programs

SHA operates a number of housing programs that are part of SHA's Primary Government, but not part of the Consolidated MTW Budget, including the Seattle Senior Housing Program, the Local Housing Fund Special Portfolio, Non-MTW Section 8, and HOPE VI revitalization and community services grants. SHA also operates Impact Property Management (IPM) and Impact Property Services (IPS), which manage and maintain housing for SHA, tax credit properties and other property owners. The following table summarizes sources of funds projected for these activities.

⊙ = Current or potential use of MTW flexibility

Projected Sources—Other Programs	CY 2008 Budget	CY 2009 Budget
Dwelling Rental Income	\$12,583,000	\$12,592,000
Investment Income	2,540,000	2,504,000
Other Income	12,084,000	10,896,000
Non-MTW Section 8	10,024,000	9,823,000
Grants	9,810,000	2,789,000
Capital Sources:		
homeWorks	17,600,000	0
Other Capital	29,472,000	17,943,000
Other Revenues for HOPE VI Projects	16,826,000	0
Prior Year Capital Sources	43,267,000	61,023,000
<b>Total Sources-Other Programs</b>	<b>\$154,206,000</b>	<b>\$117,570,000</b>

Notes:

- Overall, 2009 Dwelling Rental Income is flat with the 2008 level. Although rental income increases are expected at most sites, the increases are offset with housing units placed off line for future redevelopment. Housing units placed offline for development include the Douglas Apartments and most of the Baldwin Apartments.-
- No significant change to Investment Income.
- A reduction in “for sale” marketing revenues accounts for the bulk of the change in Other Income. This is due to a weak housing market. In 2008 SHA budgeted revenues from builders, who fund the “for sale” marketing program, at \$1.6 million; in 2009 this budget has dropped to \$700,000.
- The Non-MTW Section 8 subsidy decreased due to the transfer of 55 Welfare to Work and 33 Special Purpose Vouches to MTW. Part of the overall reduction was offset by the receipt of 52 vouchers award for Veterans Affairs Supportive Housing.
- Grants represent HOPE VI grant funds and community and supportive services grants budgeted to be used in each year and drawn down from HUD accounts. Existing HOPE VI capital grants budgeted at \$9 million in 2008 will be exhausted by the end of the year. The 2009 Capital budget assumes that SHA will be awarded a HOPE VI grant to fund the redevelopment of Lake City House (\$1.9 million in 2009). Community and Supportive Services assumes several small new grants, while some larger grants are expiring at the end of 2008 and early in 2009; overall these grants are flat.
- Capital Sources outside the MTW Capital Block Grant are reflected above to provide a more complete picture of the scope of SHA’s development, rehabilitation, and asset management programs.
  - homeWorks is a program in 22 high-rises to address rehabilitation of major building systems for at least 15 years. This program is being implemented in three phases with mixed finance closings and use of tax credits. Phase I was completed in 2007, Phase II in 2008, and Phase III will be certified in 2009 with construction completed in 2010. Efforts in 2009 will be funded with prior year capital sources.
  - Other Capital Sources includes \$8.2 million in anticipated scattered sites sales, \$1.3 million in reserves from the Seattle Senior Housing Program for asset preservation projects, \$1.5 million in leveraged funds for Bell Tower envelope repair, and \$2 million debt financing for hydronic repairs at New Holly Rental units in Phase I.
  - The HOPE VI projects are funded from a variety of fund sources represented in the table above as Other Revenues for HOPE VI Projects. The 2008 budget included mixed financing for continuation of two phases of HOPE VI projects – High Point Phase II and Rainier Vista

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Phase II. High Point Phase II rental housing will be under construction through early 2009. Work in Rainier Vista Phase II will take place in two sub-phases, divided by Oregon Street. For 2009, SHA expects to spend \$2 million of anticipated HOPE VI grant funding and prior year capital resources will be expended for other HOPE VI projects.

- Prior Year Capital Sources represents financing from prior years that will provide funding for multi-year projects. For 2009, this includes \$49 million for HOPE VI projects and \$10.8 million for homeWorks Phase III.
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## SECTION V: USES OF FUNDS

This section describes CY 2009 planned capital and operating expenditures, changes in proposed activities and investments from the previous year, and the level and adequacy of reserves.

### Planned Expenditures CY 2009: Consolidated MTW Budget and Other Programs

The table below shows planned expenditures by line item for CY 2008 and CY 2009.

Projected Expenses—MTW and Other Programs	CY 2008 Budget	CY 2009 Budget
<b>Consolidated MTW Budget</b>		
Administration and General	\$19,962,000	\$20,667,000
Housing Assistance Payments	63,923,000	65,599,000
Utilities	4,246,000	4,707,000
Maintenance and Contracts	10,251,000	10,583,000
Development and Capital Projects	9,829,000	13,526,000
Capital Equipment	527,000	507,000
<b>Total Expenses-MTW</b>	<b>\$108,738,000</b>	<b>\$115,589,000</b>
<b>Other Programs</b>		
Administration and General	\$19,220,000	\$17,874,000
Non-MTW HAPS	9,095,000	8,841,000
Utilities	1,883,000	1,942,000
Maintenance and Contracts	6,652,000	6,509,000
Community and Supportive Services Grants	814,000	803,000
Capital and Non-Routine Projects	37,156,000	11,873,000
HOPE VI	50,170,000	52,611,000
homeWorks	28,171,000	10,838,000
<b>Total Expenses-Other</b>	<b>\$153,161,000</b>	<b>\$111,291,000</b>

- Administration and General expenses in the MTW portfolio increased slightly because of higher employee benefit expense rates, insurance costs associated with homeWorks III units coming back on line (with associated costs paid from operations instead of capital funds), and a revised central office fee structure. Partially offsetting the overall increase in Administration and General expenses are reductions to public housing administrative operating expenses.
- Housing Assistance Payment changes are due to occupancy standard modifications implemented in 2008 to better address participant housing needs, these changes will carry forward in 2009 with a greater financial impact and will affect following years as well. In 2009 an increase is budgeted in the Voucher Payment Standard to assist those tenants who are determined to be rent burdened. The Voucher utilization rate is budgeted to remain at 97 percent.
- Utility expenses in the MTW portfolio show a moderate increase from 2008. This is primarily due to lower anticipated consumption combined with higher rates from providers.
- Development and Capital Projects includes a one-time shift in the timing of the capital grant funding, which increases the funds available in 2009. SHA is able to cover critical needs as well as some of the backlogged projects and financing costs. Planning and development includes funding for the Yesler Terrace redevelopment effort in 2009 and planning for the Lake City HOPE VI project. This also covers a pre-development working capital amount of \$1.1 million for various pipeline projects

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- The Capital Equipment budget of \$507,000 includes funding to continue refinements to the Enterprise One system, to plan for the 2010 implementation of the Financial Data System (FDS), to pursue consolidation of property management systems, to continue implementation of the Electronic Document Management System project, to improve the SHA website, and to procure required hardware and software.
- Administration and General expenses in the Other Programs portfolio shows a large decrease from 2008. It is the result of a reduction in financing expense, for sale marketing efforts, and a decline in staffing levels associated with the conclusion of redevelopment at High Point and reduced other development activity during the current housing market downturn.
- Non-MTW Housing Choice Voucher payments will decrease due to the transfer of 55 Welfare to Work (WTW) and 33 Special Purpose Vouches to MTW. Part of the overall reduction is offset by the receipt of 52 vouchers for Veterans Affairs Supportive Housing (VASH).
- Higher utilities rates were offset by housing units in Other Programs being offline for redevelopment. Housing units placed offline for development include the Douglas Apartments and most of the Baldwin Apartments.-
- Maintenance and Contracts for Other Programs decreased due to reduced costs of marketing For Sale properties paid from proceeds from private home builders. Also of note is an increase in Impact Property Services costs due to expanding and changing demands for building maintenance, solid waste and landscaping services. Impact Property Services is an SHA division that provides maintenance services to SHA communities and external entities. In 2008 a concerted effort was made to not only identify all the Parks and Lands associated with the HOPE VI properties but to capture the projected expenditures related to their upkeep in the appropriate business units for the 2009 budget. This resulted in an increase of expenditures in 2009 of over \$100,000.
- Community and Supportive Services Grants decreased due to the expiration of several larger grants in 2009. Several smaller grants will start in 2009, including a Neighborhood Networks Grant for Rainier Vista and funds for Sound Family Initiatives.
- As mentioned in notes to the initial Consolidated Budget table, capital fund sources are decreasing as homeWorks moves toward completion, Scattered Site acquisitions have been deferred, and no new major development projects are budget for construction in 2009.

## Description of proposed activities

This section describes 2009 community revitalization activities and organizational and administrative improvements. Consolidated MTW Budget activities are not distinguished from activities funded in Other Programs.

### Community revitalization

#### Yesler Terrace

The SHA Board of Commissioners has made the redevelopment of Yesler Terrace a priority. Important principles guiding the redevelopment project, developed by engaging residents, immediate neighbors and the wider community in creating a vision and policy level goals and objectives for the new

neighborhood, include but are not limited to the following:

- Every unit at Yesler Terrace will be replaced, one-for-one, in Seattle, if possible within or near the community.
- SHA expects to build a portion of the replacement units at Yesler Terrace. Until a vision and plan are created, it is impossible to know how many low-income units will be replaced on the existing footprint and how many will be in the surrounding neighborhood. One key variable will be the total amount of development that can be accommodated on the site through zoning changes.
- As part of the planning process, SHA established a Yesler Terrace citizens' review committee (CRC) of residents and other stakeholders. The residents have

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become engaged through a series of community meetings that supplement the formal CRC meetings.

- Once it begins, redevelopment will most likely be accomplished incrementally, which would allow many Yesler residents to stay on site during the process.
- Residents required to move will receive relocation benefits and assistance finding housing.

Following extensive resident, community and stakeholder involvement in 2008, SHA will use these guiding principles to prepare three conceptual site alternatives that address such issues as mixed uses, density, housing types, open space and financing. In 2009 SHA's will reach several important milestones including:

- SHA Board selects preferred alternative and initial financing plan.
- Refinement of preferred alternative and financing plan.
- SHA Board authorizes preparation of environmental and regulatory applications regarding the preferred alternative.
- Environmental and regulatory applications submitted to appropriate agencies. Environmental and regulatory review begins.

### **Rainier Vista**

Phase I of Rainier Vista is nearly complete with the twelve Habitat homes under construction and the remaining block of land being marketed with the Phase II land sale in late 2008.

Phase II South infrastructure will be completed in 2008. SHA proceeded with planning and design for about 200 rental units for households with a mix of incomes. Construction of 86 of these units (51 public housing and 38 tax credit) will begin in 2009 and come on line in mid 2010. The building has been named Tamarack Place in reference to a vacated street at the Rainier Vista site and

the Tamarack tree that will be planted at the site. Tamarack Place will also have about 10,000 square feet of transit oriented retail space complementing the light rail station opening in 2009. The new Rainier Vista management office will lease about 2,500 square feet of the space. SHA proposed to HUD an amendment to the Rainier Vista revitalization plan in 2008. SHA will continue to meet its replacement housing obligations.

Land for homes for sale at Rainier Vista Phase II will be marketed in late 2008 and the transaction will be completed during 2009.

A site in Phase I at the corner of MLK and S. Alaska was offered for a mixed-use development with ground floor retail and affordable and market rate condominiums/apartments above. A portion of the units in this development will be sold to buyers with incomes less than 80 percent of area median.



*Schematic design of Tamarack Place*

### **High Point**

In 2009 SHA will complete the construction of 256 affordable rental housing units in Phase II. Upon completion in 2009, SHA-built rental housing at High Point will comprise 600 affordable rental units. Of these, 350 units will be affordable to extremely low-income households. Of these, 20 will be service-enriched transitional housing units in partnership with Sound Families (see Section IX for more information). The remaining 250 units will be rented to households earning 50 or 60 percent of area median income. Ten percent of High Point's affordable rental units will be *Breathe Easy* homes (35 in Phase I and 25 in Phase II)—homes specially designed to minimize

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the incidence of asthma in low-income families.

Construction of the High Point Neighborhood Center is scheduled for completion in September 2009. The program for this proposed 20,000-square-foot energy-efficient LEED Gold–certified building centers on youth enrichment and environmental learning. Neighborhood House will own and manage the building.



*Digital rendering of the planned High Point Neighborhood Center*

During 2009 SHA will continue to market land to private builders at High Point Phase II. Depending on market conditions, construction of home ownership units on several parcels is planned to begin in the first half of 2009. Between 345-425 market-rate homes are planned for Phase II; the exact number will be determined when builders' site use plans are finalized.

Construction on the mixed-use development at 35<sup>th</sup> Avenue SW and SW Graham Street will be underway during 2009, following design review, site clean-up (part of the property was once a gas station), and permitting. The developer is planning up to 220 units located in three structures, with a commercial street front containing approximately 13,000 square feet of retail. A pocket park nested among the structures is part of the plan.

In 2009 the entire natural drainage system at High Point will be operational. All storm

water from the entire 34-block, 130-acre redevelopment site will be filtered by this natural system. Storm water leaving the site and entering Longfellow Creek will be as clean as if High Point were a forest meadow.

Three governance associations have been established at High Point: Homeowners, Open Space, and Neighborhood. In 2009 once a sufficient number of residents move to Phase II, elections will be held for new Neighborhood Association trustees.

### **NewHolly**

All rental housing in NewHolly was completed in 2005. The construction, marketing and sale of new homes for sale will be completed in 2009. Bennett-Sherman LLC is expected to complete construction and sell the final 40 NewHolly for-sale homes. Called "Village Homes," these high-density single-family homes in NewHolly Phase II will be close to the soon-to-be-built light rail station.

As the HOPE VI revitalization moves into on-going management, SHA's development focus has shifted to revitalization of the underdeveloped commercial area adjacent to NewHolly. In prior years, SHA purchased several properties on the corner of Martin Luther King Jr. Way S. (MLK) and S. Othello Street to complete the northeast corner of Othello Station.<sup>4</sup> During 2008, SHA marketed these sites to private developers with design, income and use restrictions and the contracts are currently being negotiated. In 2009 and 2010 the project will be going through the design and entitlement phase. Construction is anticipated to start in 2011. This mixed use project will have approximately 25,000 square feet of retail, 350 to 450 residential units and parking for both the residential and commercial uses.

<sup>4</sup> No HOPE VI funds were used for these purchases.

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## Off-site replacement housing

Part of SHA's HOPE VI commitment to the community is one-for-one replacement of all low-income units.

**Rainier Vista:** SHA and the City of Seattle have entered into formal Memoranda of Agreement (MOA), approved by the City Council, that outline SHA's replacement housing obligations for Rainier Vista. In 2009 SHA may work with the City to amend the replacement housing MOA to address the mix of units on and off-site, while maintaining the one for one replacement commitment.

**High Point:** In 2009 SHA will work with the City's Office of Housing to use their Levy notice of funding availability process to identify replacement housing units for High Point.

## Scattered sites portfolio reconfiguration

In 2009 SHA will complete the reconfiguration of its "scattered sites" portfolio. In 2005 SHA began selling up to 200 units and replacing them with units that are more efficient to manage and maintain and that are located to better meet residents' needs. The remaining 20–25 units identified for disposition will be sold in 2009. (Disposition of these units was approved by the Board in the FY 2004 and FY 2005 MTW plans and in Resolutions 4743 and 4776.)

SHA also will identify replacement of all sold scattered sites units in 2009. Although the reconfiguration will result in fewer single-family houses, the portfolio will continue to serve families with children.

## Other community revitalization activities

**Lake City Village site:** The 16-unit Lake City Village public housing complex was

demolished in 2002. SHA has since acquired several adjacent properties to assemble a parcel large enough to redevelop. In FY 2005 SHA began planning for the development of a mixed-income, mixed-use community. In 2008 SHA was awarded a HOPE VI grant for \$10.5 million to be used for rebuilding Lake City Village. The grant will allow for the construction of 51 public housing rental units, 35 affordable rental units; five affordable homeownership units, and 12 market rate homes. A new community center is also part of the plan. In 2009 planning will begin with completion of design, initiation of permitting, determination of the schedule and sequencing of the project, development of a resident committee, and beginning of site work.



*Lake City Village site plan*

**Yesler Terrace area:** SHA has assembled several parcels near Yesler Terrace, including the purchases of the Baldwin Apartments and another parcel adjacent to the Ritz Apartments in 2007. In 2009 SHA will continue to examine the long-term redevelopment potential of these properties, including a possible partnership with the Urban League who also owns property on the same block.

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**Douglas Apartments revitalization:** During FY 2007, SHA purchased two adjacent properties near SHA's Villa Park—The Henderson Apartments (11 units) and The Douglas Apartments (68 units in four buildings). In 2008 SHA assembled the financing for the renovation of three buildings of The Douglas in need of significant capital improvements. Construction activities will be completed at the end of 2009, bring 44 units on line for leasing in early 2010.

The Henderson and one 24-unit building of The Douglas were largely uninhabitable owing to structural concerns. Both were demolished in 2008. SHA will look for long-term development opportunities for this land that will complement the community and meet the changing needs of the community as light rail service becomes operational in the neighborhood.

**Holly Court:** Holly Court, which was poorly constructed to low standards, has aluminum wiring and other flawed building systems that make its rehabilitation impracticable. Moreover, the design of the community detracts from public safety and the overall revitalization of the NewHolly neighborhood. In 2009 SHA will continue to determine a development approach for Holly Court and adjacent parcels owned by SHA, to include relocation plan, timelines and disposition process.

**Qwest Field – North Lot:** SHA is the affordable housing developer in a major mixed-use project on the north parking lot of Qwest Field. In 2009 depending on the master developer's timeline, SHA anticipates being involved in conceptual and schematic design for 75–90 workforce housing units.

**Fort Lawton:** In 2008 SHA, together with the City of Seattle, led a community planning effort to create a reuse plan for the surplus part of this former Army base. The reuse plan

proposes to provide for a mix of housing including single-family and attached for-sale homes, housing for the homeless and self-help home ownership units. The Reuse plan will be submitted for review in the November of 2008 to HUD and the US Army. During 2009 the City of Seattle and SHA will continue negotiations with the US Army on the final proposed program and terms for eventual acquisition for redevelopment. Final planning and design is not expected to commence until late 2009.

**Dearborn:** In 2007 SHA entered into a preliminary agreement with Dearborn Properties to create 200 units of housing, half for very low-income seniors and half workforce housing. SHA anticipates working with the master developer on conceptual and schematic designs in 2009.

**New Market Tax Credits:** Seattle Community Investments, SHA's community development entity, applied for a \$40 million New Markets Tax Credit Allocation to finance a large, mixed-use development in the Little Saigon neighborhood of Seattle in 2008 (see Dearborn above). The Treasury's Community Development Financial Institutions (CDFI) Fund will announce allocation awards in October 2008. If SCI's application is successful, activity in 2009 will center on negotiating the terms of an investment agreement with equity providers and structuring the loan with the borrower. In addition, SCI will continue to monitor compliance of its existing loans and make required reports to the investor and CDFI fund.

### **Organizational and administrative improvements**

**Performance measurement:** ☉ SHA will continue to supplement HUD's performance indicators for public housing and the Housing

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Choice Voucher program with internal indicators to assess performance against asset management goals. In 2009 SHA may develop its own system for measuring resident satisfaction in lieu of HUD's Resident Assessment Sub-System (RASS) survey and a local system for measuring housing authority performance in lieu of HUD's Public Housing Assessment System (PHAS) and Section Eight Management Assessment System (SEMAP).

SHA will continue to participate in HUD's resident and unit data reporting systems (50058 and PIC respectively). SHA continues to look for HUD to develop an exception status in PIC for MTW purposes.

**Management review:** SHA will conduct a review of property and asset management best practices in relation to SHA's organization and property management practices and determine any appropriate changes to improve the efficiency and effectiveness of SHA operations.

**Asset management:** ☉ SHA will continue to use HUD's asset management model as a guide. Where the model is inconsistent with SHA's MTW block grant, creates unnecessary inefficiencies in SHA's financial management practices, or fails to recognize unique local conditions, SHA will employ local asset management strategies consistent with OMB Circular A-87. Examples of SHA's local asset management strategies include:

- SHA assigns costs for capital projects to the appropriate property at the completion of a project, as the most prudent way to perform the accounting tasks and manage capital budgets.
- SHA allocates costs among properties where that is a more efficient and reasonable way to distribute labor costs than direct charges.

- SHA employs fees for service where that is consistent with the business structure and practices in SHA for HUD-supported and locally funded housing.
- SHA uses a management fee for central administrative costs, inclusive of costs that are not readily assigned to individual properties or that are unique one time costs.

**Total Development Cost (TDC) limits:** ☉ If HUD's TDCs fall behind increases in the price of building supplies, SHA will use its MTW authority to set reasonable TDCs based on local market conditions. The rationale for the new TDCs will be well documented.

**Streamline HUD approval of mixed-finance deals:** ☉ In FY 2004 SHA and HUD worked on a mixed-finance waiver. A formal waiver request was submitted to HUD in FY 2005. SHA has yet to receive a response to this request. In 2008 SHA requested approval of a mixed-finance protocol through the Amended and Restated MTW Agreement negotiations. The protocol is also included in Attachment F to this Plan.

**Streamline demolition/disposition:** ☉ In September 2004 SHA and HUD negotiated and began implementing a streamlined disposition protocol. Use of this protocol will continue in 2009.

**Streamlined acquisition process:** ☉ Under MTW, SHA has purchased several properties without prior HUD approval. This practice will continue in 2009 with purchases to replace disposed-of or demolished public housing. SHA follows an acquisition protocol to ensure appropriate review and documentation of purchases.

**Procurement policies:** ☉ In 2008 SHA's Board adopted procurement policy revisions designed to:

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- Increase the efficiency of the procurement process;
- Safeguard and enhance the competitive selection process;
- Gain the best value for the dollar in SHA procurements;
- Introduce greater flexibility and choice in tailoring SHA's purchasing processes to the specific circumstances and needs of the individual procurement; and,
- Providing expanded opportunity for vendors and contractors in competing for and securing SHA contracts.

SHA submitted the policy changes outlined in Appendix E to HUD for inclusion in the Amended and Restated Moving to Work Agreement. If necessary, SHA will seek HUD approval through alternate methods and hopefully begin implementation of the policy changes in 2009.

**Resource conservation:** The business practices spelled out in the resource conservation protocol are being implemented.

Local utilities will continue to invest in energy efficiency and resource conservation measures in low-income housing, including low-flow toilets and compact fluorescent light fixtures. The City's Office of Housing will continue its support of energy conservation commitments at the HOPE VI redevelopments at High Point and Rainier Vista, homeWorks buildings, SSHP, scattered sites and newly acquired properties. The improvements will include lighting upgrades, front load washing machines, window replacement and ventilation improvements, and low-flow toilets.

In 2009 SHA will continue to explore ways to fund a renewable energy (solar) demonstration project, that may be a cost effective passive solar application (domestic hot water) or an active solar application

system (feed into the grid in a net metering configuration)

Enterprise Community Partners has funded a study to assess the costs and benefits of green communities, using SHA's High Point and NewHolly developments. The study's results, expected in late 2008, will inform SHA's future resource conservation efforts.

Additionally, in 2009 SHA will continue to develop and implement actions to increase the efficient use of and reduce gasoline consumption of SHA vehicles and equipment.



*Seattle Mayor Greg Nickels installs compact fluorescent light bulbs in an SHA apartment*

**Technology resources:** SHA will continue to develop and refine technology resources to improve efficiencies, information, and accountability.

- *Software consolidation*-- Due to the varied and complex funding sources and property types SHA operates, five different property management software systems are currently in use. In 2009 SHA will determine the optimal consolidation of SHA's these systems to enhance property management capabilities and reporting, reduce duplication, convert from a system that is no longer supported, and ensure integrity of the interface(s) with SHA's primary accounting/financial system.
- *Reporting*--Implement a new software program to streamline and increase the flexibility of report information from the general ledger and job cost elements of

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SHA's computerized financial management system. to enhance capital and operating budget management, integration of component unit (tax credit properties) financial reporting, and the capabilities of the financial system to meet management information needs.

- *Electronic Document Management System (EDMS)*--EDMS, when fully implemented, will include document imaging and indexing for easy retrieval, with some electronic forms and indexing of reports received electronically from other agencies, streamlining work processes and reducing paper storage. In 2009 SHA plans to add annual certifications, Project-based Housing Choice Vouchers, documents collected during the process of certifying applicants for admission to public housing and several categories of internal documents to its EDMS.

**Direct deposit:** In 2009 SHA plans to implement direct deposit for HCV landlords to achieve accounting efficiencies, enhanced

security of payments, and improved customer service to landlords.

**Debt management:** Review and revision of debt management policies will be completed to reflect best practices designed to maintain SHA's financial stewardship, while maximizing capacity to support rehabilitation of existing and new low-income and affordable housing stock.

**Communication strategies:** In 2009 SHA will continue to look for ways to improve communication with residents and the community. SHA will implement and refine a plan to improve access to housing information for current and potential residents and participants with limited English proficiency. SHA also plans to make website enhancements.

**MTW extension:** SHA's current MTW agreement with HUD expires on September 30, 2009. SHA has been working with HUD to negotiate an amended and restated agreement and plans to execute an agreement extending SHA's MTW participation through 2018.

## Level and Adequacy of Reserves

### Consolidated MTW Budget and Other Programs

The table below reflects projected reserves balances at the end of FY 2008 and at the end of FY 2009.

Reserves	Year End FY 2008 (Revised Estimate)	Year End FY 2009 (Estimate)
Total Consolidated MTW Budget Reserves	\$26,700,000	\$34,200,000
Other Program Reserves	\$7,600,000	\$5,500,000

The change in the level of MTW reserves between year-end 2008 and 2009 projections is due to anticipated scattered site sales. The change in Other Program Reserves results primarily from the use of SSHP reserves for

capital asset preservation projects, including 2009 reserve contributions.

Regarding overall reserve policies, SHA and the Housing Authority Risk Retention Group require an insurance reserve of \$800,000 for general liability and several of

⊙ = Current or potential use of MTW flexibility

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our properties require various reserve requirements for debt service, replacement reserves, and operating reserves. During 2009, SHA's Financial Policy Committee (FPC) will oversee SHA's Operating Reserves Policy and will evaluate the level and use of Operating Reserves at least triennially to determine whether satisfactory progress is occurring toward achieving the

initial Operating Reserves target level. Operating Reserves are comprised of unrestricted, undesignated cash and a limited share of designated reserves and SHA's Operating LOC. The estimated MTW designated reserve figure includes approximately \$20 million set aside for future scattered site purchases.

⊙ = *Current or potential use of MTW flexibility*

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## SECTION VI: CAPITAL PLANNING

This section lists major planned capital expenditures, demolition and disposition requests and home ownership activities for 2009.

### 2009 Capital Program

A detailed list of capital activities for public housing, SSHP, and other SHA-owned properties can be found in Appendix C. In addition to implementing the 2009 capital program, SHA will explore alternate funding sources, including tax credits and state and city funds, to meet future capital needs.

### Public Housing

SHA is completing the last phase of “homeWorks,” its ambitious effort to renovate 22 public housing high-rises over five years. Funding comes from a combination of low-income housing tax credit investment and bonds. The bonds will be repaid using part of the public housing capital grant from HUD over the next 20 years. Renovations include exterior repairs, mechanical systems replacement and common area improvements. Phase I construction was completed in 2007. Phase II construction will be completed in 2008. Phase III construction will begin in 2008 and be completed in 2009.



*Exterior repairs, new windows and new water lines are planned for Bell Tower in 2009*

In 2009 SHA will address needed envelope repairs, including new windows, and water lines for the 119-unit Bell Tower.

Other major capital activities in 2009 will include repairs throughout the Scattered Sites portfolio, roof repairs in three high-rises that are not part of homeWorks, planning for Yesler Terrace and Lake City Village redevelopments, high-rise fire hose and roof tie off replacements, and asbestos abatement.

SHA will continue to leverage its MTW block grant funds (including capital subsidy and replacement housing factor [RHF] funds) to replace public housing units demolished or disposed of as part of SHA’s redevelopment and asset repositioning activities. RHF funds will be used in combination with program income to replace sold scattered site units.

### Universal Federal Accessibility Standards

In 2007 SHA entered into an agreement with HUD’s Office of Fair Housing and Equal Opportunity to increase to 263 the number of SHA’s low-income public housing units that meet Universal Federal Accessibility Standards (UFAS) for people with disabilities. This increase will be accomplished by 2014. Milestones for 2009 include:

- 18 units in SHA high-rises will be retrofit to meet UFAS standards.
- 23 new UFAS units will be constructed in phase II of High Point Phase.

These activities were funded in 2008 and, therefore, are not reflected in the 2009 capital budget.

⊙ = Current or potential use of MTW flexibility

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## Seattle Senior Housing Program

The Seattle Senior Housing Program (SSHP) was built in the early 1980's with proceeds from a City of Seattle levy. The portfolio receives no operating subsidy and, until nearly 20 years into the program, had no means for establishing capital reserves. In 2003, in consultation with the community and residents, a new rent policy was implemented that created a capital reserve while still serving at least 75 percent extremely low income residents.

However, capital funding generated through rents has proven insufficient for the extensive water intrusion-related capital needs, upcoming elevator upgrades and life-cycle repairs and replacements required to maintain the valuable communities. In response to the identified capital needs of the SSHP portfolio, a sub-committee of the SSHP rent review committee was established to help SHA develop strategies for extending the physical life of the buildings while preserving the mission of the program. In 2009 the Committee will recommend strategies to SHA's Board and begin implementation of long-term strategies.

SHA has prioritized building envelope repairs in 14 buildings for 2009 to address critical needs and mitigate further damage from water intrusion. These buildings are listed in Appendix C.

### Other capital projects

Other significant 2009 projects include:

- The second of three phases of repairs to the Wedgewood Estates exteriors and decks. Wedgewood Estates is a 203-unit locally funded apartment complex in Northeast Seattle.
- Repair damage due to water intrusion at Longfellow Creek, which is one-third public housing.

- Paint and improve lighting at Lam Bow Apartments which consists of 51 Project-based Housing Choice Voucher units.

See Appendix C for information about these and other 2009 capital activities.



*Exterior and deck repairs at Wedgewood Estates will continue in 2009*

## Planned demolition and disposition

The following demolition or disposition requests may be submitted during 2009.

### Dispositions

Dispositions may be requested as follows:

- A portion of Bell Tower may be disposed to a condominium to develop the commercial potential of the building's ground floor and front plaza and address public safety issues.
- Vacant land at Rainier Vista for redevelopment.
- Vacant land at the Lake City House and Village site for redevelopment.
- If Holly Court units can be replaced in a timely fashion, SHA may request disposition approval of the land and buildings. If the units are sufficiently distressed to warrant demolition, then SHA may dispose of the vacant land after the buildings are demolished.
- The MLK maintenance base may be disposed to SHA, including a vacant parcel that SHA may sell.

⊙ = Current or potential use of MTW flexibility

- As part of the agency unit policy discussed in Section II, SHA may determine that it is best to dispose of units currently used by providers and replace them with housing that better meets the goals for the scattered sites portfolio.

As SHA continues to reposition its assets to advance toward its mission and strategic priorities, SHA may also dispose of locally-funded parcels that do not require HUD approval because no federal funds are involved.

### Demolition

If SHA determines that Holly Court units are distressed to the point of meeting HUD’s definition of “extremely distressed,” SHA may request demolition approval. A replacement housing plan will be developed concurrently.

SHA may also demolish locally-financed units (with no federal funding) where demolition is determined to be more practicable for meeting SHA’s mission and strategic goals than other options such as rehabilitation or continued operation as is.

### Home ownership activities

**Down payment assistance program:** SHA and King County Housing Authority completed a ROSS-funded Section 8 home ownership pilot program in FY 2006 that funded home ownership counseling. At the outset SHA anticipated providing 30 households with down payment assistance of up to \$15,000 and allocated \$450,000 in MTW block grant funds for this purpose. Owing to the high cost of housing in this area and the strict eligibility guidelines the ROSS grant set forth, the 30-household target was not met. Twelve public housing households did receive down payment assistance.

In August 2006 SHA began using the balance of the allocated \$450,000 to provide additional households with down payment assistance. (As set out in SHA’s FY 2007 MTW Plan, down payment assistance is governed by eligibility requirements that are less stringent than those of HUD’s ROSS grant.) Down payment assistance is also being offered to Housing Choice Voucher (HCV) participants in the Family Self-Sufficiency (FSS) Program and HCV participants who meet eligibility criteria.

Between the ROSS-funded HCV home ownership pilot and SHA’s continuation of the program, 20 residents have become homeowners. SHA expects that the Urban League, International District Housing Alliance and El Centro de la Raza will continue to provide home ownership counseling and support to interested residents who are eligible for the down payment assistance. Because of the success of the down payment assistance program, SHA continued the program into 2008 in order to meet the original target of 30 home purchases. Due to the high cost of homes in the Seattle area, it is assumed that the down payment assistance program will continue into 2009. ☉

**Section 8 home ownership:** SHA is also researching how other housing authorities are administering the Home ownership HCV program and how MTW flexibility could be utilized in an effort to determine the potential for success in the Seattle market. If feasible, the planning and implementation of a program that meets local conditions will begin in 2009. ☉

**Family Self-Sufficiency:** SHA’s FSS program includes a staff position, funded by an FSS Coordinator Grant, dedicated to working with FSS participants who are interested in home ownership. The FSS Home ownership Specialist—

☉ = Current or potential use of MTW flexibility

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- Develops and maintains partnerships with for-profit and non-profit home ownership agencies in order to coordinate services for participants and to remain updated on current market trends.
  - Provides home ownership workshops for FSS participants and other interested SHA residents on such topics as home ownership basics and credit repair; and,
  - Pre-qualifies participants and helps them create home ownership plans.

In 2009 the FSS Specialist will continue to provide workshops for participants. However, the emphasis will be on issues such as: budgeting, long-term planning and saving credit repair, consumer awareness, etc., because there is a need for basic financial literacy for the majority of FSS participants and the high cost of houses in the Seattle area prevents participants from purchasing homes.

## SECTION VII: OWNED AND MANAGED UNITS

This section describes SHA performance goals for vacancy, rent collection and work order response time for 2009. It also describes SHA’s inspection protocol and security activities.

### Performance projections

#### Vacancy rates

SHA expects to improve vacancy rates in available public housing from an average of 4.0 percent in 2007 to 2.9 percent in 2009. Vacancy rates in SSHP and Section 8 New Construction are expected to remain under 2.0 percent of available units. Public housing vacancy rates by community are provided in Appendix B.

#### Rent collections

SHA expects to collect at least 98 percent of public housing rents for 2009.

#### Work orders

In 2009 SHA will review standards and processes and may develop new local benchmarks for work orders. SHA will continue to respond within 24 hours to all emergency maintenance work orders. Non-emergency, tenant-requested work orders will be addressed within 10 days, according to local Landlord Tenant Law, and completed within 30 days. Such other tasks as cyclical, preventative and maintenance plan work may require longer response times.

	FY 2007 Actual %	2009 Target %
Emergency work orders within 24 hours	99.2	100
Regular resident-requested maintenance work orders within 30 days	97.8	100

### Inspections

In FY 2003 a new inspection protocol was implemented under which all family units receive a comprehensive inspection while high-rise apartments and one-bedroom units receive either a comprehensive or a limited inspection annually. In a limited inspection, smoke detectors and emergency pull cords are tested, at a minimum. No changes are proposed for 2009. However, as more public housing units have been infused with Low-Income Housing Tax Credits, fewer units are eligible for this protocol. ☉

### Security in public housing

**Community policing:** In 2009 SHA will continue to work with the Seattle Police Department (SPD) Community Police Team (CPT). This partnership entails SHA’s contracting with the SPD for four CPT positions that serve traditional public housing units.

**Crime prevention organizing and education:** Several community-based crime prevention organizations in central, south-east and west Seattle that SHA partners with have strong working relationships with Seattle Police. SHA will continue to work through these organizations to coordinate activities with neighbors and businesses to minimize crime in Yesler Terrace, NewHolly, Rainier Vista and High Point.

**Emphasis patrols:** SHA supplements the Seattle Police presence at Yesler Terrace by funding additional emphasis patrols during the spring and summer months, when the

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likelihood of nuisance and illegal activities is highest.

**Off-duty police officers:** SHA employs off-duty uniformed police officers for security services in several high-rise buildings. These officers, who impart an effective, authoritative and professional presence, maintain safety and security in communities affected by criminal activity or at high risk of renewed activity. In addition to providing security, these officers actively support investigations and work with residents to help them contribute to the safety and security of their communities.

**Private security:** SHA has contracted with a private security firm to patrol selected communities affected by trespassing, drug trafficking or uncivil behavior. These

regular patrols help keep out unauthorized persons and enhance resident safety. The firm is on call for immediate response to a variety of emergency situations, and undertakes fire-watch and lockout patrols, in all SHA communities.

At NewHolly, Rainier Vista and High Point, private security officers patrol residential blocks and open spaces. The security firm provides homeowners and builders, renters and agencies a contact point for parking lot surveillance and enforcement, for reporting parking violators and disturbances and graffiti, deters youthful mischief and loitering in the parks, and provides lockout and door-check services on request.

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## SECTION VIII: ADMINISTRATION OF LEASED HOUSING

This section provides information on performance indicators and notes issues and policy actions that may affect these indicators during 2009.

### Performance projections

#### Leasing

In 2009 SHA plans to maximize voucher resources and maintain an average utilization rate of 97 percent of authorized vouchers. SHA's utilization goal includes meeting outstanding commitments for project-basing Housing Choice Vouchers in off-site HOPE VI replacement housing, Sound Families transitional housing for homeless families, state service bundled funding and Seattle Housing Levy-funded projects. About 100 Project-based units are expected to come on line in 2009.

#### Inspections

##### *Current Status:*

In FY 2007 SHA began consolidating unit inspections in buildings that house a large number of assisted tenants making the process of scheduling inspections more efficient and saving inspectors' driving time. This same strategy is applied to buildings with Project-based and Mod Rehab assistance. ☉

SHA continues to inspect Housing Choice Voucher units in accordance with HUD rules at this time. All inspections are conducted by inspectors trained in Housing Quality Standards. In addition, supervisory staff conducts quality control inspections of a minimum of five percent of units.

##### *Inspection rates for 2009:*

Annual HQS inspections	100 percent
Pre-contract HQS inspections	100 percent
HQS quality control inspections	5 percent

##### *Changes proposed for 2009:*

- SHA will explore performing HQS inspections every other year for residents of qualified landlords. ☉
- SHA will continue to inspect 100 percent of units prior to initial lease up but will explore developing a protocol for landlords who consistently pass inspections to initially self certify; allowing a tenant to move in prior to the formal HQS inspection. ☉

#### Ensuring rent reasonableness

##### *Changes proposed for 2009:*

SHA will explore options for streamlining or replacing the "rent reasonable" determination for rent increase requests with other limitations on rent levels, such as using the "annual adjustment factor," set by HUD. Currently fewer than three percent of proposed tenancies are rejected by reason of a rent reasonable determination. The payment standard and the 40 percent cap on affordability at lease up generally prevent over subsidizing rents. In the meantime, rent reasonableness determinations will be carried out per HUD regulations. ☉

#### Housing Choice Voucher opportunities in 2008

If opportunities arise to apply for additional vouchers, SHA will take advantage of them.

#### Plans to de-concentrate Housing Choice Voucher families

SHA will continue its efforts to de-concentrate Housing Choice Voucher families. These efforts include marketing SHA-owned or -managed tax credit and bond-

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financed units on its website. By City policy, these units are dispersed all over town and typically structure rents to be affordable to households at 50–60 percent of area median income, which is generally consistent with payment standards. Families that use their

vouchers in tax credit properties are much less likely to experience rent burden over time if the rental market heats up without corresponding increases in HUD fair market rents or funding.

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## SECTION IX: RESIDENT PROGRAMS

This section describes current supportive services available to SHA residents and Housing Choice Voucher participants, as well as issues and proposed actions during 2009. An overview of services funded in whole or in part by SHA can be found in Appendix D.

### Self-sufficiency and employment services

#### The Job Connection

In 2009 the Job Connection will continue to provide a range of service to help chronically under- and unemployed public housing residents, Housing Choice Voucher participants and income-qualified residents living near a HOPE VI community find and keep family-wage jobs. These services include:

- Multilingual and multicultural case management, job placement and referrals to supportive services;
- Linkages to a broad array of skill development resources;
- Career exploration and pre-employment training, including Adult Work Experiences;
- Referral of participants to agencies that can establish Individual Development Accounts, car ownership, basic telephone services and financial counseling services that lead to economic security and home and business ownership; and
- Linkages to various partner agencies that offer leveraged supportive services to meet such particular needs as English as a Second Language, home ownership counseling and career-specific training.

The Job Connection's 2009 goals include:

- Make at least 175 job placements with an average hourly wage of at least \$11.00, and at least 75 percent having benefits;

- Transition at least ten Adult Work Experience participants into permanent employment;
- Identify a new business with which to develop career-specific job opportunities with benefits and wages at least 20 percent above minimum wage;
- Perform outreach to scattered site residents and offer employment services at the North Seattle office and other neighborhood based sites;
- Work with SHA Property Managers to identify and work with residents who are at risk of eviction by reason of loss of income; and
- Work with newly employed residents and their employers to assure job retention for all permanent placements. Six-month retention rates will be at least 70 percent.



*Staff of The Job Connection*

#### Tenant Trust Accounts

The purpose of the Tenant Trust Account (TTA) program is to enhance public housing residents' economic self-sufficiency by helping them save for home ownership or education, or to start a small business. SHA establishes a TTA on behalf of eligible households that choose to participate, depositing a portion of the household's monthly rent payment into the account. Deposits range

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from \$10 to \$170 per month depending on household income and rent paid, up to a lifetime maximum of \$10,000. In 2009 SHA will continue to focus on growing the program, developing statistical reports, creating participant a database to obtain program outcomes and implementing approved policy changes to increase the success of the participants. As part of SHA's FY 2007 rent policy evaluation, the TTA program's effect on participants' self-sufficiency was analyzed indicated a lower than expected percentage of residents were unaware of the program. In 2008 new marketing strategies were developed. In 2009 the success of these strategies will be monitored and revised as needed.

### Section 3

During FY 2008 the Section 3 program expanded employment opportunities in construction and other related fields. Language was also introduced into all new outgoing requests for proposals (RFPs) offering preferential points to businesses that meet Section 3 employment guidelines.

SHA's Section 3 goals for 2009 include:

- For every RFP or bid offered, at least one business will complete the Section 3 certification process;
- At least 15 public housing residents will obtain a Section 3 qualified position;
- Section 3 and the process to become a Section 3-certified business will be explained at all pre-proposal conferences;
- Maintain a uniform process to identify apprenticeship opportunities for Section 3 certified residents with key contractors and subcontractors; and,
- Maintain a "Pool" of active Section 3 participants that is readily accessible to all key contractors and subcontractors.

### Family Self-Sufficiency

In 2009, should SHA successfully gain renewal of its FSS Coordinator grants, FSS staff will continue to:

- Enroll up to 70 participants per FSS Specialist in the Housing Choice Voucher and public housing programs;
- Strengthen and expand the Program Coordinating Committee (PCC) and its subcommittees (employment and training, home ownership, small business, and resources);
- Provide comprehensive case management and coordination of services with local providers;
- Improve tracking of participant status and outcomes; and
- Provide financial literacy, long-term financial planning and home ownership counseling.

In addition, SHA will implement the FSS policy and program recommendations that were initiated in 2007 and approved in 2008 to improve FSS participant outcomes and increase program efficiencies. Areas being focused on for changes include but are not limited to:

- Selection preference for FSS slots ☉;
- Length, form and other terms of the FSS contract of participation ☉;
- Graduation requirements ☉;
- Program incentives ☉;
- Escrow calculation, investment and withdrawal policies ☉; and
- Structure of the Program Coordinating Committee.

Family Self-Sufficiency home ownership activities are described above in Section VI.

### Bridging the digital divide

SHA partners with the following nonprofits to operate three computer labs:

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- Digital Promise: Westwood Heights Center (elderly only high-rise) and the Special Technology Access Resource (STAR) Center at Center Park (elderly and non-elderly disabled high-rise);
- Associated Recreational Center: Yesler Community Center at Yesler Terrace; and,
- Neighborhood House: Rainier Vista.

These labs offer high-speed Internet access, software training, English as a Second Language, and classes designed specifically for youths and seniors. Tax return assistance and help with the Earned Income Tax Credit are also offered. The Westwood Heights Center and the STAR Center offer computer and Internet access to residents with limited mobility and to blind patrons.

In 2009 SHA will have one active Neighborhood Networks (NN) grant from HUD to support the lab at Yesler Terrace. SHA will continue to collaborate with partners to identify funding with which to maintain all three centers.

### **Higher Education & Training**

The Seattle - King County Workforce Education Collaborative (Collaborative) wants to build “on-ramps” to the workforce education system. Designed to meet the needs of a variety of low-income groups within the community, including public housing residents, the work of the Collaborative expects to facilitate stronger connections between the agencies that serve these groups to local community colleges and workforce providers. The Seattle Jobs Initiative (SJI) and SHA have partnered to forge a stronger link between the housing, workforce and community college systems. The project will also identify how agencies can develop a deeper understanding of who is being served and the supports needed as well as identify ways to synchronize services.

The initial partnership objective is to complete a comprehensive Feasibility Assessment in 2008 to determine how these organizations might work together to assist SHA residents, those in public housing and those receiving Section 8 vouchers, to obtain one- and two-year credentials at area community colleges. Through this assessment, SJI and SHA will gain a solid understanding of the demographic characteristics, barriers, and current skill levels of “work-likely” SHA residents and the specific supports they would require to successfully transition to community colleges and secure postsecondary credentials. The assessment will not only apply data and lessons learned from the current employment and training programs of SJI and SHA serving public housing residents, but also best practices from other models around the country that are successfully linking housing residents to workforce education at community colleges. The completed Feasibility Assessment will form the foundation of a business plan in 2009, which will guide SJI and SHA in building a new collaborative model to help SHA residents secure postsecondary credentials in alignment with the objectives of the Collaborative.

### **Community building**

SHA relies on community building to enhance the quality of life in SHA housing generally and residents’ self-sufficiency and connection to the greater Seattle community, in particular. In all of SHA’s communities Community Builders develop and support opportunities for integration of residents of various income levels, housing types, cultures, ages and languages to form strong, supportive communities.

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**Neighborhood associations and resident councils**

Neighborhood associations in mixed-income HOPE VI communities, Duly-Elected Resident Councils in Low Income Public Housing buildings, and other community groups bring residents together to address common concerns, plan neighborhood events and celebrate their communities. Usage of translation and interpretation services in 2008 has enabled greater resident leadership participation for people, whose primary language is other than English. Increased utilization of translation and interpretation will continue to foster diversity of resident leadership in 2009.

In 2007, renters and homeowners in High Point formed the High Point Neighborhood Association (HPNA). In 2009 this organization and its leaders will continue working on a variety of community based events and developing committees to further their goals. Elections will be held in 2009 to elect trustees to represent community members living in Phase II.



*NewHolly neighbors gather for the 39<sup>th</sup> Ave. S block party in NewHolly*

NewHolly residents have been developing a comprehensive structure for a NewHolly council. Residents want to ensure access and opportunity for neighbors from all three phases of NewHolly. Volunteers have formed a system of topic-based action committees and quarterly neighborhood wide meetings where decisions are made, information is shared, representatives are voted in, and volunteers are recruited for action items.

In SHA's 28 Low Income Public Housing buildings and remaining Low Income Public Housing garden community, residents have already formed 20 Duly-Elected Resident Councils to unite and lead their communities. In 2009 SHA's Community Builders will support the formation of additional Councils and encourage involvement in the Joint Policy Advisory Committee, utilization of Tenant Participation Funds and participation in leadership and training.

**Community committees to address critical topics**

Residents throughout SHA's communities have been collaborating to address critical topics including leadership development, traffic and safety, community park use and beautification and multicultural communication. The work of these resident-driven committees will continue and expand in 2009.

Seventeen public housing resident leaders and other community leaders from the Housing Choice Voucher program and SHA's Senior Housing program comprise the Resident Leadership Development Planning Team, which serves as a clearinghouse for leadership and training opportunities for public housing and other SHA residents. In 2009 The Leadership Development Planning Team will continue to assess current leadership development needs and plan and implement trainings to meet those needs.

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## Other neighborhood organizations and events

Residents from all SHA communities have been encouraged by members of the Seattle City Council and from the Department of Neighborhoods (DoN) staff to participate in their local District Council meetings. In 2009 Community Builders will engage more residents, especially public housing residents from high-rise buildings and scattered sites, in these meetings and other community events.

In 2008, the Yesler Terrace Community Council was awarded a \$750 grant from DoN to support a series of workshops on effective community engagement in public process to help the members of this community prepare for the public process related to the redevelopment at Yesler Terrace. In 2009 Community Builders will continue to engage more residents in leadership development and leadership roles within their communities and in the larger communities of SHA and Seattle.



*High Point walking group members walk and talk*

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## Resident collaboration across communities

SHA recognizes the importance of residents' learning from and teaching one another, and SHA's Community Builders encourage residents to reach out to one another across

communities. In 2009 Community Builders will further facilitate residents' collaboration across communities and the emergency preparedness team, launched in 2008, will continue to help prepare more residents for a variety of emergencies. Residents will work together on community committees and jointly participate in District Council meetings. They will also share their experiences working with government agencies and addressing community issues.

## Resident participation funds

SHA expects to receive about \$126,000 in public housing resident participation funding subsidy for 2009. In anticipation of that funding, SHA will sign a Memorandum of Agreement with all duly-elected public housing resident councils setting out how the funds are to be budgeted. The funds will be used for interpretation and translation for resident councils, office supplies and computer equipment for the councils, resident training, and costs associated with resident council meetings and elections. Resident leaders will likely continue to develop their relationship with the Seattle Non-Profit Assistance Center for training, and the Department of Neighborhoods which also offers training and a matching grant program. The Resident Leadership Development Planning Team (mentioned in the Community Building section above) will plan how the training resources should be spent.

A Welcome Committee was formed by resident leaders in 2008 and will continue their work in 2009 to ensure more new community members are welcome to their new neighborhood.

A group of Low Income Public Housing community members in 2007 and 2008 also began working on a community council guidebook. to share leadership resources with

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council officers and community leaders. This guidebook will be an on-going project for 2009 and funded with resident participation resources.

## Issues and proposed actions

### Formerly homeless families

In 2009 SHA will continue to partner with the non-profit Family Services to dedicate ten units at Wisteria Court and 20 units at High Point as Sound Families Initiative units for families that were recently homeless. Through Family Services, The Job Connection, and Family Self-Sufficiency programs, participating families will enroll in case management, mental health, employment and other self-sufficiency services for up to three years. One of the program's goals is to enable families graduating from this program to transition in place in these mixed-income communities.

### Eviction prevention in public housing high-rises

The population distribution of SHA public housing high-rise portfolio is 47 percent younger disabled, 37 percent seniors, and 16 percent nonelderly/nondisabled adults. SHA will continue to implement several strategies to address problems related to housing these different populations in the same buildings, such as exploring building designations and sustaining mental health case management for residents in crisis.

In addition, SHA partners with several agencies to provide comprehensive case management and eviction prevention programs. SHA has historically provided funding for many of these programs, but as funding continues to decline, SHA has worked collaboratively with agencies to find other resources to continue vital services.

**Mental health case management:** In 2009 SHA will continue to partner with Community Psychiatric Clinic (CPC) to provide mental health case management services to high-rise residents in crisis. Three CPC case managers assist residents through outreach, needs assessment and referral. CPC works closely with property managers and Aging and Disability Services case managers providing long-term services. In 2007, CPC completed their first ROSS grant and was awarded a second ROSS grant for 2008 through 2010.

**Aging and Disability Services:** In 2009 SHA will continue partnering with Aging and Disability Services (ADS) to provide longer-term case management support to residents of SHA public housing and SSHP communities. ADS serves some 1,600 SHA clients annually. ADS leverages SHA funds nearly two to one with CDBG and Title XIX funding. The numbers of SSI-eligible residents in SHA housing continues to decrease, reducing ADS' ability to match at higher ratios. SHA will work with ADS to identify grants and evaluate program elements.

### Domestic violence

In 2008 SHA will complete an action plan in coordination with the City's strategic plan to end homelessness for domestic violence survivors and their children as part of the County Ten-Year Plan to End Homelessness (CEH). Implementation of SHA's action plan will begin in 2009. The goals of the action plan are to:

- Ensure the agency's compliance with federal, state and local legislation;
- Increase the safety of employees and their families and SHA residents;
- Maximize the productivity of SHA human resources; and

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- Decrease the human and economic impacts of domestic violence on SHA, our employees, and our residents and communities.

The impact of Action Plan implementation will be evaluated annually, starting in 2009.

In addition, SHA is a partner in the *Bridges to Housing Program* with the City of Seattle, New Beginnings, The Salvation Army and the International District Housing Alliance, providing six transitional housing units to domestic violence victims and their families. This program was launched in 2008 and is funded for three years by the Department of Justice, Office on Violence Against Women and focuses on a holistic, victim-centered approach to provide transitional housing services that will move survivors of domestic violence into permanent housing.

### Youth Programming

SHA will continue to partner with several organizations to support youth programs. In some cases such partnerships entail SHA’s providing limited financial support. The most popular programs will likely continue to be youth tutoring (serving over 450 youth), computer lab classes and Internet access, and youth leadership. Pending additional funding, SHA will also seek to build on 2008 successes and support additional summer youth employment opportunities in SHA communities.



*Yesler Terrace Youth Tutoring Program participant*

### Financial sustainability of supportive services

SHA’s *Outcomes for Independence* (OFI) initiative, initiated in 2006, will continue to move forward in 2008 to build and promote best practices in self-sufficiency strategies for SHA residents. OFI is involved in projects that will continue in 2009, including the Seattle Asset Building Initiative.

**Seattle Asset Building Initiative:** The Seattle Asset Building Initiative (SABI), is a pilot project of the Seattle - King County Asset Building Collaborative (ABC), involving two, distinct subsidized-housing populations (Level 1: formerly homeless families; and Level 2: families near an income level that could end subsidies) to test delivery methods of asset building services. By tracking the asset-building outcomes of services delivered in relationship to each participant’s self-determined financial goals and economic security, the ABC seeks to develop an effective system that will help both population groups maximize economic benefits.

In 2009 the project will present to the ABC the most effective asset-building service delivery methods/system for the two distinct SHA household types—families that were recently homeless, on the one hand, and families and individuals who have stabilized and reached the “phase of vulnerability” when they may lose public benefits owing to earned income and thus risk returning to poverty. The program was evaluated in 2008 by an Evans School of Public Affairs graduate student for her degree for a Master of Public Administration at the University of Washington (UW), and a qualitative study is currently being conducted by a professor of Social Work at the UW to understand families’ experiences in the program, how low-income workers interact with and

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respond to policies and programs, with a specific focus on understanding how workers view and navigate financial trade-offs between earnings, housing costs, and participation in means-tested programs. The results of this study should be available in 2010. Through local funding sources, SHA is hiring a part-time Asset Building Specialist to assist in the coordination of the project, oversee the case managers at SHA and with partner agencies, and to manage the data for project evaluation. SHA has also received local funding to expand the project into King County through the King County Housing Authority and ABC partners in 2009.

**Data tracking:** In September 2008, SHA's Job Connection program began using a client tracking database developed by the Pangea Foundation. This software is strongly supported by the American Association of Service Coordinators and is used in some 1,000 properties throughout the U.S., tracking approximately 100,000 clients. SHA received funding from Enterprise Community Partners to fund the set up of the software. This software is expected to allow better tracking of SHA client outcomes and inform adjustments to employment services.

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## **SECTION X: OTHER INFORMATION REQUIRED BY HUD**

### SHA Commission resolutions and required HUD certifications

Board Resolution adopting this 2009 MTW Annual Plan

PHA Certifications of Compliance with MTW Plan Requirements

Board Resolution adopting the SHA 2009 Budget

Form HUD-50071, Certification of Payments to Influence Federal Transactions

Form SF-LLL, Disclosure of Lobbying Activities

### Funding allocation forms

Form HUD-52837, CGP Annual Statement, Parts I, II and III

Note: The following forms will be submitted separately to HUD by the applicable deadlines:

Form HUD-52723, Calculation of PFS Subsidy

Form HUD-52722-A, Calculation of Allowable Utilities Expense Level

RESOLUTION NO 4911

RESOLUTION APPROVING THE  
SEATTLE HOUSING AUTHORITY'S  
2009 MOVING TO WORK ANNUAL PLAN.

WHEREAS, the U.S. Department of Housing and Urban Development (HUD) has selected the Housing Authority of the City of Seattle (SHA) to participate in the Moving to Work Demonstration Program (MTW) to design and test new ways of providing housing assistance and services to low-income households; and

WHEREAS, the SHA locally refers to this program as Moving To new Ways (MTW) to more accurately describe the intent of this demonstration opportunity; and

WHEREAS, as a participant in the MTW demonstration, SHA is required to develop an MTW Annual Plan for each fiscal year that outlines the annual budget and the activities that will be pursued that year; and

WHEREAS, the MTW Annual Plan for Fiscal Year 2009 (Plan) must be submitted to HUD by November 1, 2008, to enable SHA to fully use its MTW flexibility; and

WHEREAS, a public hearing on the Plan was held on September 15, 2008, and comments pertinent to the MTW demonstration have been addressed in the Plan; and

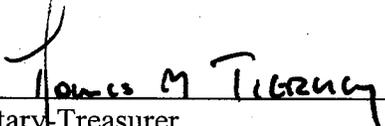
WHEREAS, a Board Resolution approving the Plan and certifying that the Plan complies with MTW agreement requirements must be included in the Plan:

NOW, THEREFORE, BE IT RESOLVED, by the Board of Commissioners of the Housing Authority of the City of Seattle as follows:

1. The Board of Commissioners approves the 2009 MTW Annual Plan and authorizes the Executive Director to complete the Plan document.
2. The Board of Commissioners certifies that the Public Hearing Requirement has been met and authorizes the Chair of the Board to execute the attached HUD Certification of Compliance with MTW Plan Requirements and Related Regulations.

ADOPTED by a majority of members of the Board of Commissioners and signed by me in open session in authentication of its passage this 13<sup>th</sup> day of October, 2008.

  
\_\_\_\_\_  
Chair

  
\_\_\_\_\_  
Secretary-Treasurer

CERTIFIED BY:

## PHA Certifications of Compliance with MTW Plan Requirements and Related Regulations

Acting on behalf of the Board of Commissioners of the Housing Authority of the City of Seattle (SHA), as its chair, I approve the submission of the MTW Annual Plan for the SHA fiscal year 2009 beginning January 1, 2009, hereinafter referred to as the 2009 Plan of which this document is a part, and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. SHA held a public hearing on September 15, 2008.
2. SHA will carry out the 2009 Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, Section 504 of the Rehabilitation Act of 1973, and Title II of the Americans with Disabilities Act of 1990.
3. As the 2009 Plan anticipates modifications to SHA's site-based waiting list policy to be developed and adopted during CY 2009:
  - SHA will regularly submit required data to HUD's MTCS in an accurate, complete and timely manner;
  - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including: basic information about available sites, and an estimate of the period of time the applicant would likely have to wait to be admitted to the units of different sizes and types at each site;
  - Adoption of site-based waiting lists will not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
  - SHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
  - SHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications as specified in 24 CFR Part 903.7.
4. SHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
5. SHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
6. SHA will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low- or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
7. SHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended and implementing regulations at 49 CFR Part 24 as applicable.
8. SHA will comply with 24 CFR 5.105(a).
9. SHA will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities, in accordance with 24 CFR Part 58.

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

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10. With respect to public housing, SHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
11. SHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
12. SHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
13. SHA will comply with the policies, guidelines and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 25 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
14. SHA will undertake activities and programs covered by the Plan in a manner consistent with its Plan and the MTW Agreement executed by SHA and HUD and will utilize funds made available under the Capital Fund, Operating Fund and Section 8 tenant-based assistance only for activities that are allowable under applicable regulations as modified by the MTW Agreement and included in this Plan.

Housing Authority of the City of Seattle  
PHA Name

WA-001  
PHA Number

  
\_\_\_\_\_  
SHA Board Chair

October 13, 2008  
Date

RESOLUTION NO 4911

RESOLUTION APPROVING THE  
SEATTLE HOUSING AUTHORITY'S  
2009 MOVING TO WORK ANNUAL PLAN.

WHEREAS, the U.S. Department of Housing and Urban Development (HUD) has selected the Housing Authority of the City of Seattle (SHA) to participate in the Moving to Work Demonstration Program (MTW) to design and test new ways of providing housing assistance and services to low-income households; and

WHEREAS, the SHA locally refers to this program as Moving To new Ways (MTW) to more accurately describe the intent of this demonstration opportunity; and

WHEREAS, as a participant in the MTW demonstration, SHA is required to develop an MTW Annual Plan for each fiscal year that outlines the annual budget and the activities that will be pursued that year; and

WHEREAS, the MTW Annual Plan for Fiscal Year 2009 (Plan) must be submitted to HUD by November 1, 2008, to enable SHA to fully use its MTW flexibility; and

WHEREAS, a public hearing on the Plan was held on September 15, 2008, and comments pertinent to the MTW demonstration have been addressed in the Plan; and

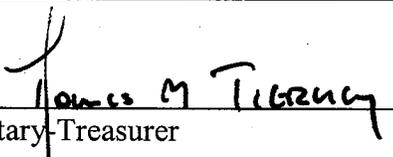
WHEREAS, a Board Resolution approving the Plan and certifying that the Plan complies with MTW agreement requirements must be included in the Plan:

NOW, THEREFORE, BE IT RESOLVED, by the Board of Commissioners of the Housing Authority of the City of Seattle as follows:

1. The Board of Commissioners approves the 2009 MTW Annual Plan and authorizes the Executive Director to complete the Plan document.
2. The Board of Commissioners certifies that the Public Hearing Requirement has been met and authorizes the Chair of the Board to execute the attached HUD Certification of Compliance with MTW Plan Requirements and Related Regulations.

ADOPTED by a majority of members of the Board of Commissioners and signed by me in open session in authentication of its passage this 13<sup>th</sup> day of October, 2008.

  
\_\_\_\_\_  
Chair

  
\_\_\_\_\_  
Secretary-Treasurer

CERTIFIED BY:

## PHA Certifications of Compliance with MTW Plan Requirements and Related Regulations

Acting on behalf of the Board of Commissioners of the Housing Authority of the City of Seattle (SHA), as its chair, I approve the submission of the MTW Annual Plan for the SHA fiscal year 2009 beginning January 1, 2009, hereinafter referred to as the 2009 Plan of which this document is a part, and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. SHA held a public hearing on September 15, 2008.
2. SHA will carry out the 2009 Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, Section 504 of the Rehabilitation Act of 1973, and Title II of the Americans with Disabilities Act of 1990.
3. As the 2009 Plan anticipates modifications to SHA's site-based waiting list policy to be developed and adopted during CY 2009:
  - SHA will regularly submit required data to HUD's MTCS in an accurate, complete and timely manner;
  - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including: basic information about available sites, and an estimate of the period of time the applicant would likely have to wait to be admitted to the units of different sizes and types at each site;
  - Adoption of site-based waiting lists will not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
  - SHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
  - SHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications as specified in 24 CFR Part 903.7.
4. SHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
5. SHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
6. SHA will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low- or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
7. SHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended and implementing regulations at 49 CFR Part 24 as applicable.
8. SHA will comply with 24 CFR 5.105(a).
9. SHA will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities, in accordance with 24 CFR Part 58.

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

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10. With respect to public housing, SHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
11. SHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
12. SHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
13. SHA will comply with the policies, guidelines and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 25 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
14. SHA will undertake activities and programs covered by the Plan in a manner consistent with its Plan and the MTW Agreement executed by SHA and HUD and will utilize funds made available under the Capital Fund, Operating Fund and Section 8 tenant-based assistance only for activities that are allowable under applicable regulations as modified by the MTW Agreement and included in this Plan.

Housing Authority of the City of Seattle  
PHA Name

WA-001  
PHA Number

  
\_\_\_\_\_  
SHA Board Chair

October 13, 2008  
Date

# Certification of Payments to Influence Federal Transactions

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing

Applicant Name

Seattle Housing Authority

Program/Activity Receiving Federal Grant Funding

Moving to Work Program

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.  
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

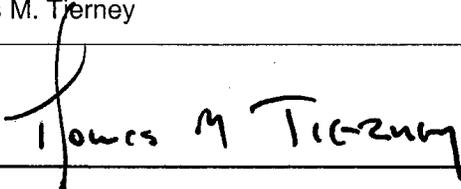
Name of Authorized Official

Thomas M. Tierney

Title

Executive Director

Signature



Date (mm/dd/yyyy)

10/20/2008

## DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> B a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> A a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> A a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: 4C	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>  Seattle Housing Authority 120 Sixth Avenue N., P.O. Box 19028 Seattle, WA 98109  Congressional District, if known:	
<b>6. Federal Department/Agency:</b>  HUD, Office of Public and Indian Housing	<b>7. Federal Program Name/Description:</b>  Moving to Work, Public Housing, Capital Grant  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>  WA19P00150108, WA19R00150108, WA19R00150208	<b>9. Award Amount, if known:</b>  \$ 13,485,427	
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI): NOTE: SHA is not involved in lobbying activities pursuant to 31 U.S.C. 1352.	<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):  Not applicable	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: <u>Thomas M. Tierney</u> Print Name: <u>Thomas M. Tierney</u> Title: <u>Executive Director</u> Telephone No.: <u>(206) 615-3500</u> Date: <u>10/20/2008</u>	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

Annual Statement / Performance and Evaluation Report  
 Comprehensive Grant Program (CGP) Part I: Summary

U.S. Department of Housing  
 and Urban Development  
 Office of Public and Indian Housing

OMB Approval No. 2577-0157  
 (exp. 3/31/2010)

HA Name: **Seattle Housing Authority**      Comprehensive Grant Number: **WA19R00150108**      FFY of Grant Approval: **2008**

Original Annual Statement       Reserve for Disasters/Emergencies       Revised Annual Statement/Revision Number \_\_\_\_\_  
 Performance and Evaluation Report for Program Year Ending \_\_\_\_\_       Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>2</sup>
		Original	Revised <sup>1</sup>	
1	Total Non-CGP Funds			Obligated
2	1406 Operations (May not exceed 10% of line 20)			Expended
3	1408 Management Improvements			
4	1410 Administration			
5	1411 Audit			
6	1415 Liquidated Damages			
7	1430 Fees and Costs			
8	1440 Site Acquisition			
9	1450 Site Improvement			
10	1460 Dwelling Structures			
11	1465.1 Dwelling Equipment—Non-expendable			
12	1470 Non-dwelling Structures			
13	1475 Non-dwelling Equipment			
14	1485 Demolition			
15	1490 Replacement Reserve			
16	1492 Moving to Work Demonstration			
17	1495.1 Relocation Costs			\$ 2,686,260
18	1498 Mod Used for Development			
19	1502 Contingency (may not exceed 8% of line 20)			
20	<b>Amount of Annual Grant (Sum of lines 2-19)</b>			<b>\$ 2,686,260</b>
21	Amount of line 20 Related to LBP Activities			
22	Amount of line 20 Related to Section 504 Compliance			
23	Amount of line 20 Related to Security			
24	Amount of line 20 Related to Energy Conservation Measures			

Signature of Executive Director: *Thomas M. Tigrsky*      Date: **10/20/2008**      Signature of Public Housing Director: \_\_\_\_\_      Date: \_\_\_\_\_

**Annual Statement / Performance and Evaluation Report**  
**Comprehensive Grant Program (CGP) Part II: Supporting Pages**  
**U.S. Department of Housing and Urban Development**  
**Office of Public and Indian Housing**

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work 2
				Original	Revised 1	Funds Obligated 2	Funds Expended 2	
PHA Wide	MTW Activities	1492		\$ 2,686,260				
	Agency/PHA Total			\$ 2,686,260				

Signature of Executive Director: *[Signature]* Date: 10/20/2008  
 Signature of Public Housing Director: \_\_\_\_\_ Date: \_\_\_\_\_

Annual Statement / Performance and Evaluation Report  
 Comprehensive Grant Program (CGP) **Part III: Implementation Schedule**

U.S. Department of Housing  
 and Urban Development  
 Office of Public and Indian Housing

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>2</sup>
	Original	Revised <sup>1</sup>	Original	Revised <sup>1</sup>	
PHA Wide	12/31/2010		12/31/2012		
Capital					
Program					

Signature of Executive Director

Date

Signature of Public Housing Director

Date

*Henry M. Turner*

10/20/2008

<sup>1</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>2</sup> To be completed for the Performance and Evaluation Report.

Annual Statement / Performance and Evaluation Report  
**Comprehensive Grant Program (CGP) Part I: Summary**

U.S. Department of Housing  
 and Urban Development  
 Office of Public and Indian Housing

OMB Approval No. 2577-0157  
 (exp. 3/31/2010)

HA Name: **Seattle Housing Authority**      Comprehensive Grant Number: **WA19R00150208**      FFY of Grant Approval: **2008**

Original Annual Statement       Reserve for Disasters/Emergencies       Revised Annual Statement/Revision Number  
 Performance and Evaluation Report for Program Year Ending \_\_\_\_\_       Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>2</sup> Expended
		Original	Revised <sup>1</sup>	
1	Total Non-CGP Funds			
2	1406 Operations (May not exceed 10% of line 20)			
3	1408 Management Improvements			
4	1410 Administration			
5	1411 Audit			
6	1415 Liquidated Damages			
7	1430 Fees and Costs			
8	1440 Site Acquisition			
9	1450 Site Improvement			
10	1460 Dwelling Structures			
11	1465.1 Dwelling Equipment—Non-expendable			
12	1470 Non-dwelling Structures			
13	1475 Non-dwelling Equipment			
14	1485 Demolition			
15	1490 Replacement Reserve			
16	1492 Moving to Work Demonstration	\$719,088		
17	1495.1 Relocation Costs			
18	1498 Mod Used for Development			
19	1502 Contingency (may not exceed 8% of line 20)			
20	<b>Amount of Annual Grant (Sum of lines 2-19)</b>	\$719,088		
21	Amount of line 20 Related to LBP Activities			
22	Amount of line 20 Related to Section 504 Compliance			
23	Amount of line 20 Related to Security			
24	Amount of line 20 Related to Energy Conservation Measures			

Signature of Executive Director: *[Signature]*      Date: **10/20/2008**      Signature of Public Housing Director: \_\_\_\_\_      Date: \_\_\_\_\_

Annual Statement / Performance and Evaluation Report  
 Comprehensive Grant Program (CGP) **Part II: Supporting Pages**

U.S. Department of Housing  
 and Urban Development  
 Office of Public and Indian Housing

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work 2
				Original	Revised 1	Funds Obligated 2	Funds Expended 2	
PHA Wide	MTW Activities	1492		\$719,088				
	Agency/PHA Total			\$719,088				

Signature of Executive Director \_\_\_\_\_ Date 10/20/2008  
 Signature of Public Housing Director \_\_\_\_\_ Date \_\_\_\_\_

Annual Statement / Performance and Evaluation Report  
 Comprehensive Grant Program (CGP) **Part III: Implementation Schedule**

U.S. Department of Housing  
 and Urban Development  
 Office of Public and Indian Housing

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>2</sup>
	Original	Revised <sup>1</sup>	Original	Revised <sup>1</sup>	
PHA Wide	12/31/2010		12/31/2012		
Capital					
Program					

Signature of Executive Director

*[Handwritten Signature]*

Date

10/20/2008

Signature of Public Housing Director

Date

<sup>1</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

<sup>2</sup> To be completed for the Performance and Evaluation Report.

Annual Statement / Performance and Evaluation Report  
**Comprehensive Grant Program (CGP) Part I: Summary**

U.S. Department of Housing  
 and Urban Development  
 Office of Public and Indian Housing

OMB Approval No. 2577-0157  
 (exp. 3/31/2010)

HA Name: **Seattle Housing Authority** Comprehensive Grant Number: **WA19P00150108** FFY of Grant Approval: **2008**

Original Annual Statement  Reserve for Disasters/Emergencies  Revised Annual Statement/Revision Number \_\_\_\_\_  
 Performance and Evaluation Report for Program Year Ending \_\_\_\_\_  Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>2</sup> Expended
		Original	Revised <sup>1</sup>	
1	Total Non-CGP Funds			
2	1406 Operations (May not exceed 10% of line 20)			
3	1408 Management Improvements			
4	1410 Administration			
5	1411 Audit			
6	1415 Liquidated Damages			
7	1430 Fees and Costs			
8	1440 Site Acquisition			
9	1450 Site Improvement			
10	1460 Dwelling Structures			
11	1465.1 Dwelling Equipment--Non-expendable			
12	1470 Non-dwelling Structures			
13	1475 Non-dwelling Equipment			
14	1485 Demolition			
15	1490 Replacement Reserve			
16	1492 Moving to Work Demonstration	\$10,080,079		
17	1495.1 Relocation Costs			
18	1498 Mod Used for Development			
19	1502 Contingency (may not exceed 8% of line 20)			
20	<b>Amount of Annual Grant (Sum of lines 2-19)</b>	\$10,080,079		
21	Amount of line 20 Related to LBP Activities			
22	Amount of line 20 Related to Section 504 Compliance			
23	Amount of line 20 Related to Security			
24	Amount of line 20 Related to Energy Conservation Measures			

Signature of Executive Director: *James M. Tigrung* Date: **10/20/2008**  
 Signature of Public Housing Director: \_\_\_\_\_ Date: \_\_\_\_\_

**Annual Statement / Performance and Evaluation Report**  
**Comprehensive Grant Program (CGP) Part II: Supporting Pages**  
**U.S. Department of Housing and Urban Development**  
**Office of Public and Indian Housing**

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work 2
				Original	Revised 1	Funds Obligated 2	Funds Expended 2	
PHA Wide	MTW Block Grant	1492		\$10,080,079				
	Agency/PHA Total			\$10,080,079				

Signature of Executive Director \_\_\_\_\_ Date 10/20/2008  
 Signature of Public Housing Director \_\_\_\_\_ Date \_\_\_\_\_

Annual Statement / Performance and Evaluation Report  
 Comprehensive Grant Program (CGP) **Part III: Implementation Schedule**

U.S. Department of Housing  
 and Urban Development  
 Office of Public and Indian Housing

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>2</sup>
	Original	Revised <sup>1</sup>	Original	Revised <sup>1</sup> / Actual <sup>2</sup>	
PHA Wide	12/31/2010		12/31/2012		
Capital					
Program					

Signature of Executive Director

Date

Signature of Public Housing Director

Date

*Thomas M. Tice*  
 10/20/2008

10/20/2008

<sup>1</sup> To be completed for the Performance and Evaluation Report of a Revised Annual Statement.  
<sup>2</sup> To be completed for the Performance and Evaluation Report.

RESOLUTION NO. 4910

RESOLUTION APPROVING SEATTLE HOUSING AUTHORITY'S  
COMBINED OPERATING AND CAPITAL BUDGET  
FOR CALENDAR YEAR 2009

WHEREAS, the Board of Commissioners (Board) has reviewed the combined operating and capital budget for the Seattle Housing Authority (SHA) as proposed by the Executive Director for Calendar Year 2009, and believes the proposed expenditures are necessary and reasonable for the efficient and effective operation of the Housing Authority for the purposes of housing low-income families;

WHEREAS, SHA has been designated to participate in HUD's Moving To Work (MTW) Demonstration Program and SHA's MTW contract remains in place through 2009, or when a successor contract is concluded;

WHEREAS, under the MTW Program, SHA is allowed to pool its Housing Choice Vouchers, Capital and Public Housing funds into a single block grant for maximum spending flexibility among its programs;

WHEREAS, the operating revenue projections are consistent with SHA's MTW funding calculation and the annual contributions contracts;

WHEREAS, the proposed expenditures are consistent with the guidance set forth in the SHA Strategic Plan 2005 - 2010 which was adopted by the Board in May 2005;

WHEREAS, this Calendar Year 2009 Budget serves as a part of SHA's Moving To Work Plan on which there was a public hearing held September 15, 2008, and for which public comments were received through September 30, 2008.

NOW, THEREFORE, BE IT RESOLVED, that the CY 2009 Proposed Seattle Housing Authority Budget for operations and capital expenditures, excluding depreciation, be approved:

<u>SHA Operating and Capital Expenditures</u>	<u>CY 2009 Budget</u>
Operating Budget	\$62,280,000
Choice-Based Payments/HAPS	<u>\$74,440,000</u>
Total Routine Operating Expense	\$136,720,000
Grant Expenditures	\$800,000
Capital and Non-routine Expenditures	<u>\$89,360,000</u>
<b>Total Combined Budget</b>	<b>\$226,880,000</b>

BE IT FURTHER RESOLVED, that the CY 2009 Adopted Budget shall include the above authorization and the following changes and corrections to the CY 2009 Proposed SHA Budget book:

- (1) Revisions to the draft operating and capital budgets for the 13 limited partnerships for which SHA is the General Partner and Managing Agent;
- (2) A final count of full-time equivalent positions (FTE's);
- (3) Any necessary technical corrections or changes; and,

The CY 2009 Adopted Budget consistent with this resolution and in the form prescribed by HUD shall be submitted to HUD 60 days prior to the start of the new fiscal year. The CY 2009 Adopted Budget book shall be available to the public and provided to the Board of Commissioners not later than December 31, 2008; and,

BE IT FURTHER RESOLVED, that the CY 2009 combined Seattle Housing Authority operating and capital budget incorporates the CY 2009 MTW budgeted income and expenditures;

BE IT FURTHER RESOLVED, that in SHA's capacity as General Partner and Managing Agent for 13 tax credit limited partnerships, the Board approves submittal of draft operating and capital budgets to the limited partnerships, and recognizes that the budgets are subject to the approval of each limited partnership.

BE IT FURTHER RESOLVED, as required by Section 6(c)(4) of the U.S. Housing Act of 1937, the Board of Commissioners certify that, in directing the actions herein, all proposed changes and expenditures will be consistent with the provisions of law, the Annual Contributions Contract, and the Moving To Work agreement, and the Commissioners further certify, to the best of their knowledge and advice, that:

- (1) All regulatory and statutory requirements have been met;
- (2) The PHA has sufficient operating reserves and bridge financing to meet the working capital needs of its developments;
- (3) Proposed budget expenditures are necessary in the efficient and economical operation of the housing for the purpose of serving low-income residents;
- (4) The budget indicates a source of funds adequate to cover all proposed expenditures;
- (5) The PHA will comply with the wage rate requirements under 24 CFR 968.110(e) and (f);

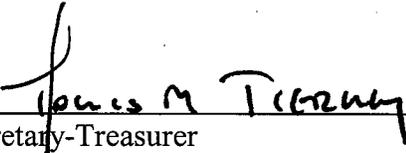
(6) The PHA will comply with the requirements for access to records and audits;

ADOPTED by a majority of all members of the Board of Commissioners and signed by me in open session in authentication of its passage this 13<sup>th</sup> of October 2008.

  
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Chair

CERTIFIED BY:

  
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Secretary-Treasurer

## APPENDIX A: 2009 MTW AREAS FOR INNOVATION

This Appendix contains a summary of SHA's planned uses of MTW flexibility in 2009.

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### MTW Areas for Innovation Activity in 2009

#### Areas for innovation that include proposed or potential activity not contained in a prior Annual Plan

<p>Adopt a policy for project-basing Housing Choice Vouchers to meet local needs.</p>	<p>SHA will continue implementing the project-basing policy adopted in FY 2001. In 2007 SHA began allowing project-based vouchers to float within the SSHP program. In 2009 SHA may raise the maximum percentage of vouchers that may be project-based. SHA will also continue piloting the "provider-based" program that ties supportive services with housing subsidy, especially for formerly homeless households. SHA will explore and possibly implement a variety of strategies for streamlining voucher administration, look for ways to streamline the admissions and rent certifications processes.</p>
<p>Create new public housing rent policy to foster resident self-sufficiency while reducing administrative burden and respecting residents' privacy.</p>	<p>At the close of 2008, effects of the MTW rent policy adopted in June 2005 (Resolution 4785) on tenant self-sufficiency and SHA rent revenues will be reevaluated. Changes to policies or procedures may be needed to address issues identified through this evaluation or to maintain compliance with tax credit rules. SHA may review and update the schedule for reviewing and updating utility allowances and will look for ways to decrease unreported income.</p>
<p>Tailor the Housing Choice Voucher Tenant-Based Assistance Program to local needs.</p>	<p>In 2002 SHA adopted policies to allow voucher payment standard to exceed 120% of HUD's Fair Market Rents. These policies may be revised in 2009 to foster deconcentration and utilization goals. In 2008 SHA plans to adopt a policy to require tenants in housing affordable to extremely low-income households to fulfill their initial lease term before taking being able to use a HCV. SHA may also replace the rent reasonable and rent burden determinations processes and streamline the admissions and rent certifications processes. SHA may also explore developing a Section 8 home ownership program.</p>
<p>Deploy a cost-benefit and risk management approach for property inspections in lieu of HUD requirements for comprehensive annual inspections.</p>	<p>The public housing inspection protocol began in FY 2003; no changes are planned for 2009. Inspections of project-based Housing Choice Voucher units have been streamlined to allow building staff to certify the condition of the unit for mid-year unit turnovers. Annual inspections in buildings with several vouchers of any sort are being bundled to create efficiencies. In 2009 SHA may allow inspections only every two to three years for residents of qualified landlords. SHA may also permit qualified landlords to self-certify the unit and allow tenants to move in prior to the HQS inspection.</p>

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**MTW Areas for Innovation Activity in 2009**

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Create site-based wait lists (applicant choice policy).

SHA continues to implement, evaluate, and refine the applicant choice policy adopted in 2000. In 2009 SHA will seek to increase efficiencies and house applicants more effectively. Potential strategies include piloting no wait list communities, establishing separate lists for studios and one-bedroom units, establishing sub-lists for service-enriched housing, and moving choice to the end of the approval process. The policy or procedures may also be refined to support implementation of the King County Ten-Year Plan to End Homelessness or ensure consistency with low-income housing tax credit rules. SHA will continue to use, and possibly expand, the expedited wait list process for applicants who are working with service providers that meet certain criteria. Affirmative fair marketing will continue to be implemented.

Create a new lease and community rules based on proven private management models.

NewHolly, Rainier Vista and High Point leases, which are based on private management models, emphasize curb appeal, and require residents to pay their own utilities. In 2009 SHA may revise the standard public housing lease to align it with the best property management practices and may allow for leases of less than one year.

Adopt an alternative procurement system that is competitive and results in SHA paying reasonable prices to qualified contractors.

In 2008 SHA adopted procurement policy revisions and is requesting HUD approval. These revisions seek to increase efficiencies; safeguard and enhance the competitive selection process; gain the best value for the dollar in SHA procurements; introduce greater flexibility and choice in tailoring SHA's purchasing processes to the specific circumstances and needs of the individual procurement; and, provide expanded opportunity for vendors and contractors in competing for SHA contracts.

**Areas for innovation included in prior Annual Plan(s)**

Simplify, streamline and enhance management and maintenance.

SHA will continue to use HUD's asset management model as a guide. Where HUD's model is inconsistent with SHA's MTW block grant, creates unnecessary inefficiencies in SHA's financial management practices, or fails to recognize unique local conditions, SHA will employ local asset management strategies consistent with OMB Circular A-87.

SHA will continue implementing and may refine the Streamlined Low Income Housing Program developed in 2008 which enables project-based Housing Choice Vouchers and Low Income Public Housing to operate seamlessly in communities that operate both programs.

SHA may increase the number of units used by agencies to provide both housing and services to low income households in need of service-enriched housing.

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**MTW Areas for Innovation    Activity in 2009**

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Combine public housing operating and capital funds and tenant-based voucher assistance into a single budget where sources are interchangeable. Establish obligation and expenditure timelines in the Annual MTW Plan instead of adhering to HUD timelines.	SHA will continue these practices in 2009. SHA will again prepare its 2008 financial statements and audit to reflect the MTW Block Grant by combining MTW Block Grant sources and uses in a consolidated Primary Government presentation in SHA's Comprehensive Annual Financial Report. SHA will also continue to leverage its MTW block grant funds to complement and further advance public housing and other affordable housing program expansion and stabilization goals.
Create mandatory self-sufficiency program participation requirements for residents who are employable but not currently employed.	Self-sufficiency requirements at NewHolly, Rainier Vista and High Point include an employment assessment for every family and a self-sufficiency plan for every adult household member. SHA also implements the HUD Community Service and Self-Sufficiency Requirement.
Operate Family Self-Sufficiency (FSS) to meet locally defined needs.	In 2009 SHA will continue developing and implementing FSS program changes initiated in FY 2007. These include selection preference; length, form, and other terms of FSS participation contracts; FSS graduation requirements; and escrow calculation, investment, and withdrawal policies.
Maintain an operating reserve consistent with sound housing management practices.	In 2009, the SHA Board of Commissioners will review and adopt an Operating Reserve policy for the agency to ensure adequate cash reserves and sound cash management practices.
Create Jobs and Resource Centers in large SHA family public housing communities.	Grant funding and MTW block grant funds support The Job Connection at Yesler Terrace, NewHolly, Rainier Vista, High Point and in north Seattle. In 2009 SHA will continue look for grants and support partners' fundraising to maintain the highest possible level of service.
Cooperate with other housing authorities to further MTW goals.	SHA's participation in Sound Families with six regional housing authorities and several local governments will continue in 2009. As part of work with the Committee to End Homelessness in King County, SHA and King County Housing Authority (also an MTW agency) are cooperating in using MTW authority to leverage local government and philanthropic funding for significantly increased amounts of service-enriched housing.
Deploy a cost-benefit approach for resource conservation in lieu of HUD-required energy audits every five years.	The resource conservation protocol adopted in FY 2003 continues to be implemented.
Replace HUD investment policies with State of Washington investment policies.	In 2008 SHA will review its investment policies and industry best-practices and may implement any revisions following this review in 2009.

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**MTW Areas for Innovation    Activity in 2009**

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Purchase properties without prior HUD approval so long as HUD site selection criteria are met.

Under MTW, SHA has purchased several properties without prior HUD approval. This practice will continue in 2009 with purchases to replace disposed-of or demolished public housing. SHA follows an acquisition protocol to ensure appropriate review and documentation of purchases.

Simplify and streamline HUD approval for homeownership, mixed finance agreements, partnerships and property demolition and disposition.

SHA anticipates using HUD's new Streamlined Application Process in Public/Private Partnerships for the Mixed-Finance Development of Public Housing Units. In 2004, SHA negotiated a streamlined demolition/disposition protocol with HUD. This protocol will continue to be used in 2009.

A formal mixed-finance waiver request was submitted to HUD in FY 2005. SHA has yet to receive a response to this request. In 2008, SHA requested approval of a mixed-finance protocol through the Amended and Restated MTW Agreement negotiations and has included the protocol as an appendix to this Plan.

Use SHA's own form of construction contract rather than the HUD-prescribed form.

SHA has exercised this flexibility for the last several years. While the SHA construction contract retains HUD requirements, it provides enhanced protection for the housing authority, for example by specifying alternative dispute resolution methods that reduce risk and cost.

**Areas for innovation - MTW flexibility not currently being exercised**

Establish reasonable, modest design, unit size and unit amenity guidelines for development and redevelopment activities.

Through its various HOPE VI projects SHA has established such guidelines without the need to utilize MTW flexibility.

Replace HUD's Total Development Cost (TDC) limits with reasonable limits that reflect the local market place for quality construction.

If HUD's TDCs fall behind increases in the price of building supplies, SHA will adjust TDCs to local conditions.

SHA may enter into contracts with any related nonprofit.

SHA does not anticipate utilizing MTW authority to enter into contracts with related nonprofits in 2009.

## APPENDIX B: AVERAGE PUBLIC HOUSING VACANCY RATES BY COMMUNITY

### 2007 actual vacancy rates and 2009 projected vacancy rates

Public Housing	Units	2007 Vacancy Rates % - Actuals	2009 Vacancy Rates % - Projected
Ballard House	79	2.2%	3.0%
Barton Place	90	5%	4.0%
Beacon Tower	108	1.3%	2.0%
Bell Tower	119	6.0%	2.0%
Cal-Mor Circle	74	4.7%	2.0%
Capitol Park	125	2.7%	2.0%
Cedarvale House	118	4.0%	3.0%
Cedarvale Village	24	8.1%	4.0%
Center Park	137	2.7%	2.0%
Center West	91	1.6%	2.0%
Denny Terrace	221	4.6%	4.0%
Green Lake Plaza	130	2.2%	2.0%
Harvard Court	81	9.6%	2.0%
Holly Court	97	3.7%	2.0%
International Terrace	100	1.5%	2.0%
Jackson Park House	71	1.8%	2.0%
Jackson Park Village	41	6.1%	4.0%
Jefferson Terrace	299	9.2%	6.0%
Lake City House	115	1.8%	2.0%
Lictonwood	81	2.1%	2.0%
Olive Ridge	105	4.3%	3.0%
Olympic West	75	3.9%	3.0%
Queen Anne Heights	52	3.0%	2.0%
Ross Manor	100	5.9%	4.0%
Scattered Sites*	752/729	<i>[under reconfiguration]</i>	4.0%
Stewart Manor	74	6.1%	2.0%
Tri-Court	87	4.5%	2.0%
University House	101	2.8%	2.0%
University West	113	3.3%	2.0%
West Town View	59	1.3%	2.0%
Westwood Heights	130	3.4%	2.0%
Yesler Terrace	561	3.1%	2.0%

\*During the reconfiguration of the Scattered Sites portfolio, 2007 vacancy percentages were skewed by the vacancy days needed to hold units for households relocating because their units were being sold. The number of units are projected to be 752 and the beginning of 2009 and 729 at the end due to reconfiguration activities.

NewHolly, Rainier Vista, and High Point have been excluded from this table. Vacancy in these communities is measured using the private-sector practice of calculating vacancy loss.

## APPENDIX C: 2009 CAPITAL ACTIVITIES

This Appendix contains planned capital activities for 2009.

### MTW Grant-funded Activities

Community	Planned activities	Budget
<b>Low Income Public Housing Projects</b>		
Bell Tower <sup>1</sup>	Building envelope repairs	2,000,000
LIPH – High-rises	Roof repairs at Jefferson Terrace, Denny Terrace and Tri-Court	30,000
LIPH - Various	Replace or add roof tie offs for fall protection, replace fire hoses, and asbestos abatement as needed	400,000
LIPH - Scattered Sites	Repair or replace retaining walls, asbestos abatement, exterior painting, replace roofs, exterior drainage repairs, sidewalk repairs, window replacement, deck repairs, convert oil heating to gas	263,800
Longfellow Creek	Repair damage due to water intrusion in deck areas (reflects public housing share of project)	36,000
<b>Low Income Public Housing Subtotal</b>		<b>\$2,729,800</b>
<b>Local Housing and Seattle Senior Housing Program Projects</b>		
Longfellow Creek	Repair damage due to water intrusion in deck areas (Reflects affordable housing share of project)	64,000
Main Street Apts.	Repair and restripe parking lot	5,000
Market Terrace Montridge Arms	Paint and repair wooden trim on building exterior	14,000
Ravenna Springs	Replace hot water tanks	9,600
Villa Park	Replace windows, paint exterior	22,450
Lam Bow's Apts.	Replace fence and repair gate	5,000
Wedgewood Estates	Paint interior hallways and exterior, improve lighting	61,210
Keystone/Coach House	Repair trip hazards, replace siding, remove and repair wall interiors, replace exit & exterior lighting, and repair sewer lines	1,036,400
SSHP <sup>1</sup>	Replace carpet, paint exterior and stairwells, repair rear deck due to rot	29,050
	Urgent water intrusion repairs to 13 buildings: Carroll Terrace, Columbia Place, Daybreak, Fremont Place, Heritage House, Island View, Michaelson Manor, Nelson Manor, Olmsted Manor, Pinehurst Court, Pleasant Valley Plaza, Primeau Place, and Wildwood Glen.	630,950
<b>Local Housing and SSHP Subtotal</b>		<b>\$1,877,660</b>

Community	Planned activities	Budget
<b>Planning and Predevelopment Projects</b>		
Yesler Terrace	<u>Yesler Terrace Redevelopment Planning</u> , including selection of a preferred development alternative, undertaking of environmental reviews, initiation of permitting process, and development of relocation plans, all in conjunction with a Citizen Review Committee and resident and public involvement.	2,903,000
Lake City Village	<u>Lake City HOPE VI Planning</u> Assuming SHA is awarded a HOPE VI grant in late 2008, planning for redevelopment of the Lake City site will begin with completion of design, initiation of permitting, determination of the schedule and sequencing of the project, development of a resident committee, and beginning of site work by the end of 2009.	1,500,000
Various	<u>Predevelopment Working Capital</u> These funds are set aside for a series of potential housing development projects, not all of which will require funding in 2009, while others may take off and require more funding that initially thought. As projects warrant, they will be provided a budget from the Working Capital funds and tracked individually. Among the known possible projects for 2009 are Dearborn workforce housing; QWest workforce housing; Fort Lawton master planning and negotiations; High Point site analysis and management office relocation; plan for 12th & Yesler sites; plan for Douglas Building D and Henderson site reuse; planning for Baldwin site redevelopment.	1,100,000
<b>Planning and Predevelopment Subtotal</b>		<b>\$5,503,000</b>
<b>Non-residential Facilities Projects</b>		
MLK Operations Facility	Add electronic security access to building	91,000
<b>Non-residential Facilities Subtotal</b>		<b>\$91,000</b>
<b>Financing and Administrative Costs</b>		
Various	Construction administration	1,042,141
Various	Hazardous materials abatement administration	223,483
Yesler Terrace	Yesler Terrace redevelopment administration	363,130
LIPH-LP High-rises	Debt service and costs for homeWorks I, II, and III	3,006,643
Bell Tower <sup>1</sup>	Funding applications	50,000
<b>Finance and Administrative Subtotal</b>		<b>\$4,685,397</b>
<b>Transfers and Program Contingency</b>		
	Transfer to MTW operating activities	3,468,000
	Transfer to Central Office Cost Center	1,200,000
	Program contingency for capital projects	990,570
<b>Transfers and Contingency Subtotal</b>		<b>\$5,658,570</b>
<b>Total 2009 MTW Capital Grant Budget</b>		<b>\$20,545,427</b>

## FY 2009 Additional Capital Project Funding

Community	Planned activities	Budget
Bell Tower <sup>1</sup>	<u>Bell Tower Envelope Repairs</u> : Total project cost of \$3,549,000 requires additional funding sources of the amount to the right. Applications will be made for grant funds.	1,549,000
New Holly Phase I	<u>New Holly Hydronic Repairs</u> : To complete repairs to the New Holly Phase I rental units is estimated to cost a total of \$2,000,000. The first approach to funding will be to finance the repairs against excess revenues from the properties.	2,000,000
SSHP <sup>1</sup>	<u>SSHP Urgent Water Intrusion Repairs</u> : The total project cost for repairs to the 14 buildings cited above is \$1,970,950, of which \$630,950 will be provided from Capital grant funds and the remainder will be drawn from SSHP reserves.	1,340,000
Lake City	<u>Lake City HOPE VI Redevelopment</u> : SHA MTW local funds for the Lake City redevelopment project are shown above. The total funding for 2009 includes \$1,986,000 in HOPE VI grant funds for a total 2009 budget of \$3,486,000.	1,986,000
Douglas Apt	<u>Douglas Apartments Rehabilitation</u> : This project to rehab was originally budgeted in 2008 and the mixed financing is expected to close in November 2008 and the project begin. In 2008, an initial estimate of \$8.1 million was budgeted and in 2009, \$4,904,000 is added to reflect the total project cost of \$13,004,000. The project will be completed in 2010 and involves the gut rehab of 44 units in three buildings.	4,904,000
Impact Property Services	Scheduled fleet vehicle replacements (cars and vans); replace a solid waste compactor; replace landscaping equipment, mowers and vehicles.	384,000
Information Technology	IT development and application upgrades in support of asset management, financial management and reporting, capital and development monitoring, and tenant and public information.	507,000
<b>Total FY 2009 Additional Capital Projects</b>		<b>\$12,670,000</b>

<sup>1</sup> Funding for SSHP and Bell Tower envelope repairs will come from a combination of SHA's MTW Grant and Additional Capital Project Funding. Details regarding the mix of funds can be found in the Additional Capital Project Funding section of this appendix.

## APPENDIX D: LISTING OF SUPPORTIVE SERVICES

This Appendix lists current community and supportive services programs funded in whole or in part by SHA and available to SHA residents and Housing Choice Voucher participants.

Program Title	Program Description	Communities	Partners
<b>High-rises/SSHP buildings</b>			
Case management	8,750 hours of case management for 1,400 adult residents	All high-rises & SSHP buildings	Aging & Disability Services
Mental health case management	125case management clients, crisis response within 24 hours	All high-rises & Bayview Tower	Community Psychiatric Clinic
Community-based resident activities	Community event planning, resident leadership development, community problem-solving assistance	All high-rises and SSHP buildings	SHA, community councils
Community policing	Community police officer assigned to SHA communities	High-rises	Seattle Police
Special Technology Access Resource (STAR) Center	Accessible computer lab and training for people with disabilities	Center Park (open to general public)	Digital Promise
Westwood Heights Technology Center	Free computer training and access, targeted at seniors	Westwood Heights (open to gen. public)	Digital Promise
Lifetime Fitness Program	Elderly-focused physical fitness program	Westwood Heights (open to gen. public)	Senior Center West Seattle
<b>Family communities - Youth programs</b>			
Youth Tutoring	After-school/summer tutoring for 450 elementary to high-school youth annually	Rainier Vista, High Point, Yesler Terrace, Cedarvale, Jackson Park, NewHolly	Catholic Community Services
Teen/Youth Leadership and Skill Development	Advanced teen leadership and youth skill building, after school program for 20 youth	High Point	SafeFutures
Youth Cultural Arts	Summer and after-school arts program and youth skill building activities for 270 youth annually	Yesler Terrace, Rainier Vista	Nature Consortium
Youth Tutoring, Leadership	Drop-in youth tutoring and youth leadership activities for 35 East African youth annually	NewHolly	East African Community Services
Youth Arts, Leadership	Summer and after-school youth arts and media activities for 70 youth annually	High Point	Youth Media Institute

Program Title	Program Description	Communities	Partners
<b>Family communities - Adult/youth programs</b>			
Community building	Events and activities to promote social networks, resident leadership development, community problem-solving, and partnership opportunities	Rainier Vista, High Point, NewHolly, Yesler Terrace, scattered sites	SHA and on-site service providers
Community-based resident activities	Varies	Yesler Terrace, Rainier Vista, NewHolly, High Point	Community Councils and other community groups
Community gardens - P-patch	Organizational and technical assistance for community gardens for 160 families	High Point, Rainier Vista, Yesler Terrace, NewHolly	P-Patch Trust
Community policing	Community police officers assigned to SHA communities	Public housing high-rises in South, SW, East & North Precincts	Seattle Police
Employment services	Job coaching, readiness and placement, job retention and wage progression services with about 120 placements annually	Rainier Vista, High Point and Yesler Terrace, North-end	SHA Job Connection
Home ownership counseling and down payment assistance	Home ownership counseling for FSS and other SHA clients. Up to 30 households may receive down payment assistance	Public Housing and HCV tenant based	International District Housing Alliance, El Centro, Urban League, King County Housing Authority
New Citizenship Initiative	ESL/Citizenship program serving up to 600 residents per year with a goal of 150 passing the INS interview	All high-rises, Rainier Vista, High Point, Yesler Terrace, NewHolly.	City of Seattle and various partners
Outreach/translation services	Outreach/translation services to approximately 350 unduplicated East African and SE Asian clients	High Point, Rainier Vista, Yesler Terrace. NewHolly (limited)	Neighborhood House, International District Housing Alliance and various providers
Yesler Computer Lab Coordinator	Lab Coordinator for Yesler Terrace Technology lab which serves about 150 residents	Yesler Terrace	Associated Recreation Council

## **APPENDIX E: PROCUREMENT POLICY AND PROCEDURE REVISIONS**

This appendix lists procurement policy and procedure revisions adopted by SHA's Board of Commissioners in 2008. This appendix also provides the good cause justifications for these revisions.

- A. The SHA may utilize qualifications based procurement and pre-qualified lists as described in 24 CFR 85.36 (d)(3) and 24 CFR 85.36(c)(4), as SHA deems appropriate, for various procurement transactions or processes with the goal of acquiring highly qualified contractors on the terms most beneficial to SHA.
- B. The SHA is authorized to adopt an alternative system of procurement for certain construction projects that includes the following exemption from 24 CFR 85.36: Increase the small acquisition purchase ceiling for federally funded construction projects from \$100,000 to \$200,000, thereby allowing informal solicitations for federally-funded construction projects to be the same as for non-federally funded construction projects, in order to increase efficiency of procurement procedures and timeliness of project completion..
- C. The SHA is authorized to adopt alternative procurement provisions that expand the definition described in 24 CFR 85.36 for emergency or public exigency procurements with the goal of providing more flexibility to SHA in allowing for procurements on an emergency or public exigency basis due to special conditions resulting from unforeseeable or unintended events.
- D. The SHA is authorized to adopt alternative procurement systems that will include the following exemption from 24 CFR 85.36 with the goal of maximizing use of electronic procurement methods: Bid solicitation and receipt may be accomplished using alternative electronic means rather than the standard sealed bid method for bid receipt.
- E. The SHA is authorized to use these alternative methods or systems of procurement as outlined in items A through D above, in relation to its procurement transactions, and in so doing will certify to the following:
  - The contract price is reasonable for the goods, services, or property, which is the subject of the contract.
  - The selected contractor is qualified to perform the terms of the contract.
  - No individual member, officer, or employee of the SHA shall derive personal financial benefit from nor hold an interest in the contract.
  - Reasonable efforts to procure competitive prices and services were made.
  - The procurement was performed consistent with applicable SHA policies and procedures.

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## Good Cause Justifications for Procurement Policy and Procedure Changes

### **Good Cause Justification for item A**

SHA will use the competitive proposal procurement method or the pre-qualification/bid method to procure construction services and other scopes of work with design specifications. The discretionary use of these procurement methods will be primarily for selection of general contractors for various construction related projects, among others, demolition projects, infrastructure projects, environmental clean-up, and housing development projects. These methods will be used where projects have detailed design plans and construction drawings, with specifications that precisely describe the work, from materials, to dimensions, to tolerances.

24 CFR 85.36(d)(2) indicates that the “preferred method” for procuring construction services is through the use of the sealed bids method of procurement. However, the regulation does not prohibit the use of the competitive proposals procurement method for procuring construction services. In addition, 24 CFR 85.36 (c) (4) allows for the use of prequalified lists so long as the lists are current, include sufficient competition, and potential bidders may prequalify during a solicitation period. It is SHA’s goal that the use of the competitive proposals and/or prequalification procurement methods should be used at SHA’s discretion and structured in a manner that meets SHA’s business needs, similar to the selection of other procurement methods. SHA allows firms to prequalify at any time for its roster lists. For those projects where the prequalification process is used, SHA will use an open prequalification process prior to the solicitation of the project. All of the firms that are prequalified under that process will then be eligible to participate in the particular solicitation. By using the competitive proposals method for construction services, SHA will have the opportunity to drill down into a bidder’s relevant qualifications and experience, and negotiate a price most advantageous to SHA. The end result is the selection of a highly qualified and experienced contractor at a competitive price.

The use of these methods will in no way limit competition. SHA will continue to publicize such procurements to the public in an effort to reach a very broad range of potential respondents. This procurement method is more consistent with private sector business practice, and, as such, we believe will likely attract a higher caliber of contractors for SHA’s construction projects where these methods are applied. In fact, research has shown that qualified contractors are more likely to compete on projects when they know the Owner is evaluating them on experience and qualifications, as well as price. SHA believes the monetary savings obtained by broadening the use of these procurement methods will be substantial.

Under the design-bid-build approach, SHA has no discretion to select bidders based on reasons other than price. The technical responsibility check performed through the sealed bid process is a poor substitute for the in-depth evaluation of matters such as quality of staff, quality of work, relevant experience that are among the items evaluated and made a basis in the selection of contractors in the alternative procurement methods. We believe that the use of high performing construction contractors obtained through competitive proposals and/or a prequalification process will significantly reduce costs by reducing the burdens of administering poor performer contracts through completion of their contracts. We also believe the competitive proposal process can include negotiation of the best price with the selected contractor. With the alternative procurement methods for selected construction contractors, we get a high performer contract at a competitive price from a robust competitive process.

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### **Good Cause Justification for Provision B**

HUD regulations in 24 CFR 85.36 establish the small acquisition purchase ceiling at \$100,000. SHA's goal in increasing this ceiling from \$100,000-\$200,000 for all of its construction contracts is to conform with the State of Washington's "small works" authorization level for construction rosters and SHA's policy for bidding non federally funded construction projects. The State of Washington law authorizes SHA and other local governments to use a construction roster to informally solicit bids for construction projects of \$200,000 or less.

The small works construction roster is an efficient way to procure construction work for both SHA and its contractors. Rosters for different specialties are established through an open continuous competitive process. The small works roster process is cost effective as it eliminates the need to formally advertise for each individual job and to prepare detailed plans and specs for small straight-forward jobs. At the same time, the roster program is an effective way to enable small minority, women owned, and Section 3 contractors to compete for SHA construction work.

Establishment of a common small works purchase ceiling for both federal and non federal funded projects will provide for consistency across our procurement processes, streamlining the solicitation process further, allowing for the same bidding process to be used. With more potential work available, the roster will also be more attractive to the contractor community. And, raising the ceiling should also reduce costs, since we will have the ability to increase the use of the roster for most of the work estimated under the proposed ceiling.

Consistent with State law, our current practice requires that solicitation opportunities be "equitably distributed" among the contractors on the Roster. Through rotation, we will continue to ensure that all firms are afforded an opportunity to bid on our small construction projects. SHA believes that making the small works ceiling common for both locally and federally funded small construction projects will result in increasing the roster's appeal to the contracting community, thereby increasing competition on its projects.

### **Good Cause Justification for Provision C**

SHA's goal in adopting this new policy is to provide greater flexibility in its procurement processes when procuring for services in an emergency or public exigency circumstance when there are special conditions due to unforeseeable or unintended events and, SHA determines that the benefits of engaging in a solicitation process are significantly outweighed by the consequences or costs to SHA that will likely be incurred if a standard solicitation process is followed. The current definition in 24 CFR 85.36 is overly narrow and doesn't contemplate circumstances where there are significant costs and other factors associated with the delays that will result if the standard solicitation process is followed.

SHA's new policy does not eliminate any of the requirements for SHA to engage in a competitive solicitation as soon as possible to meet its procurement needs once the emergency or public exigency has passed.

### **Good Cause Justification for Provision D**

SHA may adopt new procurement processes with the goal of expanding its use of electronic procurement methods and systems to include the option to receive bids, quotes, or proposals through electronic means via the internet or other secure on-line based application. The use of the internet to place solicitations and receive bids and proposals will dramatically reduce the

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administrative costs associated with the procurement process and support SHA's conservation efforts. Multiple savings will be realized through the following: 1) generation of competitive pricing (lower cost to submit a bid/quote), 2) reduction in acquisition cycle and administrative review, 3) reductions and/or elimination of requisitions, 4) reduction in administrative costs of the procurement process, including reduced paper usage.

## **APPENDIX F: MIXED-FINANCE PROTOCOL**

This appendix provides the mixed-finance protocol for which SHA is seeking HUD's approval.

### **Mixed-finance Protocol**

SHA is authorized to close mixed-finance transactions without further HUD approval. Plans for such closings will be included in the Annual MTW Plan and evidence of the consummation thereof is included in the next Annual MTW Report. In lieu of the development proposal and rental term sheet, SHA will provide the following documentation solely for informational purposes:

- A. For information purposes, no later than 30 business days prior to the proposed closing of the mixed-finance transaction, SHA will provide HUD a transaction summary memo (the "Transaction Summary Memo") to HUD. The Transaction Summary Memo will include a brief narrative which will describe (i) the proposed development, including type of units, number of units and unit mix, (ii) the surrounding neighborhood and other ongoing or planned revitalization activity in the area, (iii) the development project participants, including financing participants, their role and the type and amount of financing to be provided such participants and (iv) a final budget and sources and uses. SHA will also be responsible for conducting due diligence in connection with the mixed-finance transaction. SHA will share the results of its due diligence with HUD upon request when the Mixed-Finance Post-Closing Memo is transmitted to HUD. SHA acknowledges and agrees that a Part 50 or Part 58 Environmental Review must be completed before HUD can release funds. HUD will insure that the requested funds are set up in LOCCS within two (2) business days of faxing a written request to Mr. Geritz (or subsequent designee).
- B. No later than 10 business days following the closing, SHA will provide HUD with a memo updating all material changes to the Transaction Summary Memo (the "Mixed Finance Post-Closing Memo").
- C. In connection with each closing, SHA shall prepare and deliver to HUD, and HUD and SHA shall execute a Mixed-Finance Amendment to the Consolidated Annual Contribution Contracts. SHA will also prepare and execute a certificate regarding certain compliance requirements. HUD and SHA will agree upon the form, which will become Exhibit 1 to the MTW Agreement
- D. SHA will submit a copy of all evidentiaries associated with the closing described in the Transaction Summary Memo no later than 30 business days following the closing.

## APPENDIX G: HOUSEHOLD AND APPLICANT DEMOGRAPHICS

This Appendix provides specific data on changes in the number and characteristics of housed households or applicants over the past fiscal year. Slight variations in totals from table to table indicate that some detailed data is missing for a few households. Hispanic households and applicants included are in their claimed race, e.g., White, African/African American, etc.

### Existing Households

#### Race of head of household

Low-Income Public Housing Residents as of 12/31/2007

Community type	White	African/ African American	Native American	Asian/ Asian American	Native Hawaiian & Pacific Islander	Total
Garden Communities	129	530	23	505	3	<b>1,190</b>
High-Rises <sup>1</sup>	1,623	643	73	451	0	<b>2,790</b>
Mixed Income	17	19	1	1	0	<b>38</b>
Partnership Units	12	31	1	5	0	<b>49</b>
Scattered Sites <sup>2</sup>	186	307	15	120	0	<b>628</b>
Townhouses	13	30	2	12	0	<b>57</b>
<b>LIPH Total</b>	<b>1,980</b>	<b>1,560</b>	<b>115</b>	<b>1,094</b>	<b>3</b>	<b>4,752</b>
<b>Percent: Actual</b>	<b>41.67%</b>	<b>32.83%</b>	<b>2.42%</b>	<b>23.02%</b>	<b>0.06%</b>	<b>100.00%</b>
FY 2007 Plan Projection	1,997	1,580	106	1,102	2	4,787
Percent: Projected	41.72%	33.01%	2.21%	23.02%	0.04%	100%
% Change from Projections	-0.85%	-1.27%	8.49%	-0.73%	50.00%	-0.73%
Difference in Ratios	-0.05%	-0.18%	0.21%	0.00%	0.02%	0.00%

<sup>1</sup>Excludes 9 households whose race is unknown. <sup>2</sup>Excludes 2 households whose race is unknown.

#### Section 8 Program Participants as of 12/31/2007

Program	White	African/ African American	Native American	Asian/ Asian American	Native Hawaiian & Pacific Islander	Total
HCV Tenant-based <sup>3</sup>	1,793	2,118	96	571	23	<b>4,601</b>
HCV Project-based	895	552	30	168	22	<b>1,667</b>
S8 Mod Rehab	410	124	26	147	2	<b>709</b>
S8 New Construction	59	23	4	4	0	<b>90</b>
<b>Section 8 Total</b>	<b>3,157</b>	<b>2,817</b>	<b>156</b>	<b>890</b>	<b>47</b>	<b>7,067</b>
<b>Percent: Actual</b>	<b>44.67%</b>	<b>39.86%</b>	<b>2.21%</b>	<b>12.59%</b>	<b>0.67%</b>	<b>100.00%</b>
FY 2007 Plan Projection	3,051	2,667	140	875	38	6,771
Percent of Total: Projected	45.06%	39.39%	2.07%	12.92%	0.56%	100%
% Change from Projections	3.47%	5.62%	11.43%	1.71%	23.68%	4.37%
Difference in Ratios	-0.39%	0.47%	0.14%	-0.33%	0.10%	0.00%

<sup>3</sup>Excludes households that have left SHA's jurisdiction (1,654 households, a.k.a port-outs) and those who live in SSHP and are counted in those tables (134 households), and includes households that have entered SHA's jurisdiction 232 households, a.k.a. port-ins).

SSHP Residents as of 12/31/2007

Program	White	African/ American	Native American	Asian & Pacific Islander	Total
<b>SSHP Total<sup>4</sup></b>	<b>692</b>	<b>96</b>	<b>13</b>	<b>149</b>	<b>950</b>
<b>Percent: Actual</b>	<b>72.84%</b>	<b>10.11%</b>	<b>1.37%</b>	<b>15.68%</b>	<b>100%</b>
FY 2007 Plan Projection	698	96	10	146	950
Percent: Projected	73.47%	10.11%	1.05%	15.37%	100%
% Change from Projections	-0.86%	0.00%	30.00%	2.05%	0.00%
Difference in Ratios	-0.63%	0.00%	0.32%	0.32%	0.00%

<sup>4</sup>Excludes 3 households whose race is unknown.

**Income distribution as a percent of median income**

2007 Median Incomes Levels for the Seattle-Bellevue-Everett Area

Family Size	30%	50%	80%
	Median	Median	Median
Single Individual	\$16,350	\$27,250	\$41,700
Family of Two	\$18,700	\$31,150	\$47,700
Family of Three	\$21,050	\$35,050	\$53,650
Family of Four	\$23,350	\$38,950	\$59,600
Family of Five	\$25,250	\$42,050	\$64,350
Family of Six	\$27,100	\$45,200	\$69,150
Family of Seven	\$29,000	\$48,300	\$73,900
Family of Eight	\$30,850	\$51,400	\$78,650

Distribution of Households' Annual Income as of 12/31/2007

Program	Below 30%	30% - 50%	50% - 80%	Over 80%	Total
	Median Income	Median Income	Median Income	Median Income	
Low Income Public Housing	4042	554	139	26	<b>4,761</b>
HCV Tenant-Based <sup>5</sup>	3811	652	128	8	<b>4,599</b>
HCV Project-Based	1559	100	7	1	<b>1,667</b>
Section 8 Mod Rehab	678	23	7	1	<b>709</b>
Section 8 New Construction	83	8	0	0	<b>91</b>
Seattle Senior Housing	770	140	39	4	<b>953</b>
<b>Total Households</b>	<b>10,943</b>	<b>1,477</b>	<b>320</b>	<b>40</b>	<b>12,780</b>
<b>Percent: Actual</b>	<b>85.63%</b>	<b>11.56%</b>	<b>2.50%</b>	<b>0.31%</b>	<b>100.00%</b>
FY 2007 Projected Total	10,906	1,314	268	31	12,519
Percent: Projected	87.12%	10.50%	2.14%	0.25%	100.00%
% Change from Projections	0.34%	12.40%	19.40%	29.03%	2.08%
Difference in Ratios	-1.49%	1.06%	0.36%	0.07%	0.00%

<sup>5</sup>Excludes port-outs and SSHP voucher holders.

## Total population by age group (minors, adults and elderly)

### Low-Income Public Housing Residents as of 12/31/2007

Development	Minors	Non-elderly Adults	Elderly Adults	Total Individuals	Elderly >70
Garden Communities	1,464	1,609	405	<b>3,478</b>	216
High-Rises	15	1,791	1,192	<b>2,998</b>	671
Mixed Income	24	37	5	<b>66</b>	-
Partnership Units	98	90	7	<b>195</b>	3
Scattered Sites	823	962	110	<b>1,895</b>	50
Townhouses	163	109	8	<b>280</b>	1
<b>LIPH Total</b>	<b>2,587</b>	<b>4,598</b>	<b>1,727</b>	<b>8,912</b>	<b>941</b>
<b>Percent: Actual</b>	<b>29.03%</b>	<b>51.59%</b>	<b>19.38%</b>	<b>100.00%</b>	<b>10.56%</b>
FY 2007 Plan Projection	2,648	4,731	1,662	9,041	903
Percent: Projected	29.29%	52.33%	18.38%	100.00%	9.99%
% Change from Projections	-2.30%	-2.81%	3.91%	-1.43%	4.21%
Difference in Ratios	-0.26%	-0.73%	1.00%	0.00%	0.57%

### Section 8 Participants as of 12/31/2007

Program	Minors	Non-elderly Adults	Elderly Adults	Total Individuals	Elderly >70
HCV Tenant-based <sup>6</sup>	4,366	5,158	1,240	<b>10,764</b>	665
HCV Project-based	860	1,586	352	<b>2,798</b>	206
Section 8 Mod Rehab	85	616	180	<b>881</b>	64
Section 8 New Construction	-	66	29	<b>95</b>	13
<b>Section 8 Total</b>	<b>5,311</b>	<b>7,426</b>	<b>1,801</b>	<b>14,538</b>	<b>948</b>
<b>Percent: Actual</b>	<b>36.53%</b>	<b>51.08%</b>	<b>12.39%</b>	<b>100.00%</b>	<b>6.52%</b>
FY 2007 Plan Projection	5,102	7,209	1,857	14,168	890
Percent: Projected	36.01%	50.88%	13.11%	100.00%	6.28%
% Change from Projections	4.10%	3.01%	-3.02%	2.61%	6.52%
Difference in Ratios	0.52%	0.20%	-0.72%	0.00%	0.24%

<sup>6</sup>Excludes port-outs and SSHP voucher holders.

### SSHP Residents as of 12/31/2007

	Minors	Non-elderly Adults	Elderly Adults	Total Individuals	Elderly >70
<b>SSHP Total</b>	<b>0</b>	<b>113</b>	<b>966</b>	<b>1,079</b>	<b>764</b>
<b>Percent: Actual</b>	<b>0.00%</b>	<b>10.47%</b>	<b>89.53%</b>	<b>100.00%</b>	<b>70.81%</b>
FY 2007 Plan Projection	0	114	970	1,084	763
Percent: Projected	0.00%	10.52%	89.48%	100%	70.39%
% Change from Projections	0.00%	-0.88%	-0.41%	-0.46%	0.13%
Difference in Ratios	0.00%	-0.04%	0.04%	0.00%	0.42%

## People with disabilities

### Low-Income Public Housing Residents as of 12/31/2007

Development	Disabled Minor	Non-Elderly Disabled	Elderly Disabled	Total Disabled	Total Individuals
Garden Community	5	218	210	<b>433</b>	3,478
Highrise	1	1,324	575	<b>1,900</b>	2,998
Mixed Income	1	14	-	<b>15</b>	66
Partnership Units	1	2	-	<b>3</b>	195
Scattered Sites	10	146	44	<b>200</b>	1,895
Townhouse	2	5	1	<b>8</b>	280
<b>LIPH Totals</b>	<b>20</b>	<b>1,709</b>	<b>830</b>	<b>2,559</b>	<b>8,912</b>
<b>Percent: Actual</b>	<b>0.22%</b>	<b>19.18%</b>	<b>9.31%</b>	<b>28.71%</b>	
FY 2007 Projected Totals	19	1,793	809	2,621	9,041
Percent: Projected	0.21%	19.83%	8.95%	28.99%	
% Change from Projections	5.26%	-4.68%	2.60%	-2.37%	-1.43%
Difference in Ratios	0.01%	-0.66%	0.37%	-0.28%	

### Section 8 Participants as of 12/31/2007

Program	Disabled Minor	Non-Elderly Disabled	Elderly Disabled	Total Disabled	Total Individuals
HCV Tenant-based <sup>7</sup>	179	1,759	732	<b>2,670</b>	10,764
HCV Project-based	25	734	182	<b>941</b>	2,798
Section 8 Mod Rehab	3	315	122	<b>440</b>	881
Section 8 New Construction	0	55	17	<b>72</b>	117
<b>Section 8 Total</b>	<b>207</b>	<b>2,863</b>	<b>1,053</b>	<b>4,123</b>	<b>14,560</b>
<b>Percent: Actual</b>	<b>1.42%</b>	<b>19.66%</b>	<b>7.23%</b>	<b>28.32%</b>	
FY 2007 Projected Total	202	2,727	1,046	3,975	14,168
Percent: Projected	1.43%	19.25%	7.38%	28.06%	
% Change from Projections	2.48%	4.99%	0.67%	3.72%	2.77%
Difference in Ratios	0.00%	0.42%	-0.15%	0.26%	

<sup>7</sup>Excludes port outs and SSHP voucher holders.

### SSHP Residents as of 12/31/2007

	Disabled Minor	Non-Elderly Disabled	Elderly Disabled	Total Disabled	Total Individuals
<b>SSHP Totals</b>	<b>0</b>	<b>84</b>	<b>147</b>	<b>231</b>	<b>1,079</b>
<b>Percent: Actual</b>	<b>0.00%</b>	<b>7.78%</b>	<b>13.62%</b>	<b>21.41%</b>	
FY 2007 Projected Totals	0	87	154	241	1,084
Percent: Projected	0.00%	8.03%	14.21%	22.23%	
% Change from Projections	0.00%	-3.45%	-4.55%	-4.15%	-0.46%
Difference in Ratios	0.00%	-0.25%	-0.59%	-0.82%	

**Households served by unit size at year end – comparing SHA’s first year of MTW (FY 1999), the prior year (FY 2006), and the current year (FY 2007)**

Program	Year	0-Br	1-Br	2-Br	3-Br	4-Br	5+-Br	Total
Low-income Public Housing	FY 1999	257	3,158	1,470	935	231	36	6,087
	FY 2006	778	2,292	848	661	179	36	4,794
	<b>FY 2007</b>							
Housing Choice Voucher Tenant- and Project-based Assistance	FY 1999	250	1,117	1,079	872	279	82	3,679
	FY 2006	983	1,766	1,642	1,116	381	139	6,027
	<b>FY 2007</b>							
Section 8 New Construction	FY 1999	10	141	0	0	0	0	151
	FY 2006	0	95	0	0	0	0	95
	<b>FY 2007</b>	<b>0</b>	<b>91</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>91</b>
Seattle Senior Housing Program	FY 1999	161	913	85	0	0	0	1,159
	FY 2006	0	864	89	0	0	0	953
	<b>FY 2007</b>	<b>0</b>	<b>863</b>	<b>90</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>953</b>
<b>Total</b>	<b>FY 1999</b>	<b>678</b>	<b>5,329</b>	<b>2,634</b>	<b>1,807</b>	<b>510</b>	<b>118</b>	<b>11,076</b>
	<b>FY 2006</b>	<b>1,761</b>	<b>5,017</b>	<b>2,579</b>	<b>1,777</b>	<b>560</b>	<b>175</b>	<b>11,869</b>
	<b>FY 2007</b>	<b>1,909</b>	<b>5,113</b>	<b>2,648</b>	<b>1,701</b>	<b>539</b>	<b>167</b>	<b>12,077</b>
Distribution of unit sizes	FY 1999	6.12%	48.11%	23.78%	16.31%	4.60%	1.07%	100%
	FY 2006	14.84%	42.27%	21.73%	14.97%	4.72%	1.47%	100%
	FY 2007	15.81%	42.34%	21.93%	14.08%	4.46%	1.38%	100%

Notes: The Morrison is excluded from SSHP after FY 2001. Housing Choice Vouchers excludes Mod Rehab units.

## Applicant demographics

Low-Income Public Housing Applicants as of 12/31/2007<sup>8</sup>

Unit Size	White	African/ African American	Native American	Asian & Pacific Islander	Total
0/1 bedroom	1,008	787	62	429	<b>2,286</b>
2 bedroom	245	418	23	146	<b>832</b>
3 bedroom	50	98	8	25	<b>181</b>
4 bedroom	6	28	1	4	<b>39</b>
5 bedroom		8	1	1	<b>10</b>
<b>LIPH Total</b>	<b>1,309</b>	<b>1,339</b>	<b>95</b>	<b>605</b>	<b>3,348</b>
<b>Percent: Actual</b>	<b>39.10%</b>	<b>39.99%</b>	<b>2.84%</b>	<b>18.07%</b>	<b>100.00%</b>
FY 2007 Plan Projection	3,537	3,627	303	1,491	8,958
Percent: Projected	39.48%	40.49%	3.38%	16.64%	100.00%
% Change from Projections	-62.99%	-63.08%	-68.65%	-	-62.63%
Difference in Ratios	-0.39%	-0.49%	-0.54%	1.43%	

<sup>8</sup>Applicants to HOPE VI communities are not included in this analysis.

Housing Choice Voucher Applicants as of 12/31/2007

Unit Size	White	African/ African American	Native American	Asian & Pacific Islander	Total <sup>9</sup>
<b>All bedroom sizes<sup>10</sup></b>	<b>449</b>	<b>693</b>	<b>47</b>	<b>146</b>	<b>1,335</b>
<b>Percent: Actual</b>	<b>33.63%</b>	<b>51.91%</b>	<b>3.52%</b>	<b>10.94%</b>	<b>100.00%</b>
FY 2007 Plan Projection	1,408	1,705	131	383	3,627
Percent: Projected	38.82%	47.01%	3.61%	10.56%	100.00%
% Change from Projections	-68.11%	-59.35%	-64.12%	-	-63.19%
Difference in Ratios	-5.19%	4.90%	-0.09%	0.38%	

<sup>9</sup>An additional 374 households did not specify race on initial application.

<sup>10</sup>SHA no longer tracks Housing Choice Voucher applicants by bedroom size.

Section 8 New Construction Applicants as of 12/31/2007

Unit Size	White	African/ African American	Native American	Asian & Pacific Islander	Total
0/1 bedroom	23	6	2	2	<b>33</b>
<b>Section 8 New Construction</b>	<b>23</b>	<b>6</b>	<b>2</b>	<b>2</b>	<b>33</b>
<b>Percent: Actual</b>	<b>69.70%</b>	<b>18.18%</b>	<b>6.06%</b>	<b>6.06%</b>	<b>100.00%</b>
FY 2007 Plan Projection	200	180	16	31	427
Percent: Projected	46.84%	42.15%	3.75%	7.26%	100.00%
% Change from Projections	-88.50%	-96.67%	-87.50%	-	-92.27%
Difference in Ratios	22.86%	-23.97%	2.31%	-1.20%	

SSHP Applicants as of 12/31/2007

Unit Size	White	African/ African American	Native American	Asian & Pacific Islander	Total
0/1 bedroom	493	163	20	90	<b>766</b>
2 bedroom	13	4	2	8	<b>27</b>
<b>SSHP Total</b>	<b>506</b>	<b>167</b>	<b>22</b>	<b>98</b>	<b>793</b>
<b>Percent: Actual</b>	<b>63.81%</b>	<b>21.06%</b>	<b>2.77%</b>	<b>12.36%</b>	<b>100.00%</b>
FY 2007 Plan Projection	334	67	13	52	466
Percent: Projected	71.67%	14.38%	2.79%	11.16%	100.00%
% Change from Projections	51.50%	149.25%	69.23%	88.46%	70.17%
Difference in Ratios	-7.87%	6.68%	-0.02%	1.20%	

**Income distribution as a percent of median income**

Applicant Household Annual Incomes as of 12/31/2007

Program	Below 30% Median Income	30% - 50% Median Income	50% - 80% Median Income	Over 80% Median Income	Total
Low Income Public Housing	3,004	292	36		<b>3,347</b>
Housing Choice Voucher- tenant based	Income data not available. <sup>11</sup>				<b>1,709</b>
Section 8 New Construction	30	3	0	0	<b>33</b>
Seattle Senior Housing	678	79	26	8	<b>791</b>
<b>Unique Households<sup>12</sup></b>	<b>3,430</b>	<b>342</b>	<b>57</b>	<b>21</b>	<b>3,850</b>
<b>Percent: Actual</b>	<b>89.09%</b>	<b>8.88%</b>	<b>1.48%</b>	<b>0.55%</b>	
FY 2007 Projected Totals	11,303	777	149	55	12,284
Percent: Projected	92.01%	6.33%	1.21%	0.45%	
% Change from Projections	Not applicable since HCV income data not available.				-69.66%
Difference in Ratios	-2.92%	2.55%	0.27%	0.10%	

<sup>11</sup>When a wait list of 4,000 was established in May 2006 by lottery, it was decided to enter income data after the applicant is called in off the wait list and completes an income certification. Therefore, HCV applicant data is not available.

<sup>12</sup>Since applicant households may appear on more than one wait list, the Unique Households row will not equal the total of the program rows.

## APPENDIX H: FY 2007 EXPENDITURES BY LINE ITEM

The table below shows FY 2007 budget and expenditures by line item for the Consolidated MTW Budget and Other Programs. FY 2007 was a 15-month fiscal year due spanning from October 1, 2006 through December 31, 2007. This was due to SHA's transition from an October 1-September 30 fiscal year to a January 1-December 31 fiscal year.

### Planned vs. actual expenditures – MTW budget

Expenses	Budget (15 mo)	Actual Expenditures (15 mo)
Administration and General	\$22,154,105	\$21,920,000
Housing Assistance Payments	75,811,585	67,460,000
Utilities	4,212,519	4,370,000
Maintenance and Contracts	13,166,689	12,620,000
Capital and Development Projects	10,692,881	11,790,000
Capital Equipment and Non-Routine	1,601,415	640,000
<b>Total Expenses</b>	<b>\$127,639,194</b>	<b>\$118,800,000</b>

### Planned vs. actual expenditures – other programs

Expenses	Budget (15 mo)	Actual Expenditures (15 mo)
Administration and General	\$21,737,580	\$22,830,000
Housing Assistance Payments	15,509,826	12,840,000
Utilities	1,755,325	1,900,000
Maintenance and Contracts	7,064,238	7,410,000
Community Service Grants	1,109,655	1,020,000
HOPE VI Mixed Financing	82,447,932	44,910,000
Other Capital	49,400,076	27,810,000
homeWorks	35,439,846	61,030,000
<b>Total Expenses</b>	<b>\$214,464,478</b>	<b>\$179,750,000</b>