



Housing Authority of the City of Alameda

701 Atlantic Avenue - Alameda, California 94501-2161 - TEL: (510) 747-4300 - FAX: (510) 522-7848 - TDD: (510) 522-8467

IF YOU WISH TO ADDRESS THE BOARD:

1. Please file a speaker's slip with the Executive Director, and upon recognition by the Chair, approach the rostrum and state your name; speakers are limited to 5 minutes per item.
2. If you need special assistance to participate in the meetings of the City of Alameda Housing Authority Board of Commissioners, please contact (510) 747-4325 (TDD: 510 522-8467) or dconnors@alamedahsq.org. Notification 48 hours prior to the meeting will enable the City of Alameda Housing Authority Board of Commissioners to make reasonable arrangements to ensure accessibility.

AGENDA

REGULAR MEETING OF THE BOARD OF COMMISSIONERS

DATE & TIME

Wednesday December 21, 2016 7:00 p.m. –

6:00 p.m. - Presentation and Discussion of Redevelopment and Design Options at Rosefield Village

LOCATION

Independence Plaza, 703 Atlantic Avenue, Alameda, CA

Welcome to the Board of Commissioners of the Housing Authority of the City of Alameda meeting. Regular Board of Commissioners meetings are held on the third Wednesday of each month in the Ruth Rambeau Memorial Community Room at Independence Plaza.

Public Participation

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

PLEDGE OF ALLEGIANCE

1. ROLL CALL - Board of Commissioners
2. 6:00 p.m. - Presentation and Discussion of Redevelopment and Design Options at Rosefield Village



3. CONSENT CALENDAR

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

- 3-A. Approve Minutes of the Board of Commissioners Regular Meeting held November 16, 2016. Page 3
- 3-B. Amend the Property Management Policy – Page 8
- 3-C. Accept the Holiday and Office Closure Schedule for 2017 - Page 13
- 3-D. Approve A Short-term Internship Program to Provide Research and Analysis Support for Housing Authority Projects and Programs and Offer Professional Development Opportunities to Undergraduate and Graduate Students – Page 16
- 3-E. Accept the Quarterly Investment Report – Page 18
- 3-F. Accept the Quarterly Police Report – Page 40

4. AGENDA

- 4-A. Accept Changes to the Administrative Plan Revisions – Page 45
- 4-B. Presentation of Summary of Rent/Income Study at Independence Plaza – Page 83
- 4-C. Adopt the Resolution to Adopt the Revised Housing Authority's Employee Policies and Procedures Handbook - Page 98
- 4-D. Report to the Board of Commissioners on 2016 Pay & Benefits Survey - Page 185
- 4-E. Approve Out-of-State Travel - Page 189

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

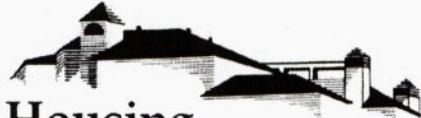
6. COMMISSIONER COMMUNICATIONS, (Communications from the Commissioners)

7. ADJOURNMENT

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Note

- If you need special assistance to participate in the meetings of the Housing Authority of the City of Alameda Board of Commissioners, please contact 510-747-4325 (TDD: 510-522-8467) or dconnors@alamedahsg.org. Notification 48 hours prior to the meeting will enable the Housing Authority of the City of Alameda Board of Commissioners to make reasonable arrangements to ensure accessibility.
- Documents related to this agenda are available for public inspection and copying at the Office of the Housing Authority, 701 Atlantic Avenue, during normal business hours.
- KNOW YOUR RIGHTS UNDER THE Ralph M. Brown Act: Government's duty is to serve the public, reaching its decisions in full view of the public. The Board of Commissioners exists to conduct the business of its constituents. Deliberations are conducted before the people and are open for the people's review.
- In order to assist the Housing Authority's efforts to accommodate persons with severe allergies, environmental illnesses, multiple chemical sensitivity or related disabilities, attendees at public meetings are reminded that other attendees may be sensitive to various chemical based products. Please help the Housing Authority accommodate these individuals.





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DRAFT MINUTES

REGULAR MEETING OF THE BOARD OF COMMISSIONERS OF THE HOUSING AUTHORITY OF THE CITY OF ALAMEDA HELD WEDNESDAY, NOVEMBER 16, 2016

The Board of Commissioners meeting was called to order at 7:00 p.m.

1. ROLL CALL

Present: Commissioners Kay, McCahan, Rickard, Shipe, and Chair Kurrasch
Absent: Commissioner Allen and Tamaoki

2. Public Comment on Closed Session Items (In Open Session)

3. CLOSED SESSION – 6:45 p.m. - Adjournment to Closed Session to Consider:

3-A. Conference with Legal Counsel – Anticipated Litigation. Significant Exposure to Litigation Pursuant to Government Code Section 54956.9(b): One(1) Potential Case

4. Adjournment of Closed Session

5. RECONVENE REGULAR MEETING – 7:09 p.m.

6. Announcement of Action Taken in Closed Session, if any: No Action Taken

PLEDGE OF ALLEGIANCE

7. CONSENT CALENDAR

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

Commissioner Rickard referred to the Property Operations Section on page 10 of the Monthly Overview Report and requested to receive a chart of the vacancies. Ms. Cooper said yes and that this is on the schedule for January and will probably be presented by properties and not address as to avoid any potential break-ins.

Commissioner Rickard commented on the Work Order Analysis Chart on page 12 and commented about the frequency of the work orders per unit. Mr. Cook,



Maintenance Supervisor, said the increase is due in part because we just started the HQS inspections. Inspections usually generate the work orders. There was more discussion on this procedure.

Commissioner Rickard requested clarification on the RFP for the architect for Rosefield Village Project. Ms. Johnson gave background information on the RFQ that was previously done and talked about where we are in this process. Commissioner Rickard said that he is not comfortable signing off on the whole development project. He requested that the site plan be brought back to the Board for a decision at that time. Ms. Johnson talked about the next steps and the first step would be to come back to the Board at a pre-meeting before the December meeting for input and then come back to the Board in January for site planning. Ms. Johnson said that we could change our mind at any time but would be required to pay, if the change fell out of the scope.

Commissioner McCahan complemented staff on an amazing job on the Rent Control and RRAC Issues. He said that it was a testament to the confidence level that the voters of Alameda have in our staff. Ms. Cooper recognized Claudia Young for doing a great job.

Commissioner McCahan commented on the number of failed annual inspections on page 46 and said that we must come up with a way to fix this and made suggestions, such as check before you inspect and list minimum qualifications to be met prior to inspection.

One speaker commented that the question of heaters and heating elements must be addressed during the HQS Inspections.

Commissioner Rickard moved to approve the Consent Calendar and Commissioner McCahan seconded. The motion carried unanimously. Items accepted or adopted are indicated by an asterisk.

- *7-A. Approve Minutes of the Board of Commissioners Special Meeting held October 19, 2016, Page 5
- *7-B. Accept the Monthly Overview Report – Page 9
- *7-C. Accept the Budget Variance Report for September – Page 21
- *7-D. Approve Records Disposition List – Page 35
- *7-E. Accept the Housing Authority 2015-16 Fiscal Year End Report – Page 41

8. AGENDA

- 8-A. Approve Resolution Authorizing the Executive Director or Designee to Enter into the Ground Lease, the Limited Partnership Agreement, and to Execute the Loan Documents and Project Agreements, Guaranties, Security Assignments, Deeds of



Trusts and Ancillary Documents Required for the Development of Del Monte Apartments - Page 55

Ms. Johnson handed out an enlarged version of the Financial Summary of the Del Monte Project document that is already part of the packet.

Ms. Johnson said the Del Monte Project is coming along and gave an update on the project and on the upcoming deadlines. She talked about the credit investor and the limited partner and said currently the project has a solid financial forecast. Ms. Johnson talked about some of the key closing documents that are listed in the staff report.

Commissioner Shipe moved to accept the staff recommendation on page 57 and Commissioner McCahan seconded. The motion carried unanimously.

Commissioner Rickard recused.

Roll Call: Commissioner Kay yes, McCahan yes, Shipe yes, and Chair Kurrasch yes.

- 8-B. Authorize the Executive Director to Proceed with and to Execute Necessary Documents to Purchase the Property or the Outstanding Loan at the Marina Shores Unit and to Approve the Accompanying Cost

Authorize the Executive Director to Proceed with the Repurchase of any BMR Unit that is in Default or for Sale, Up to the Maximum Affordable Housing Sale Price Plus Related Fees and Legal Costs, Utilizing Non-federal Funds. The Executive Director Would Inform the Board of Any Purchase No Later Than the Board Meeting Following the Repurchase - Page 73

Ms. Cooper gave a brief overview and invited Ms. Johnson to speak on specifics. Ms. Johnson said the AHA is responsible for administering the Below Market Home Ownership Program. A study was done last summer of the homes in the portfolio and the Program has mostly been successful. Ms. Johnson talked about the requirements of the covenant. In August we received notification that this particular home was in default and we then took the necessary steps to inform the owner of their options. However they took no action. Staff then looked at multiple options that are listed in the report. After this report was written we found out that the owner wanted to sell the property. Ms. Cooper commented that this is an unusual circumstance and then talked about the options of dealing with someone who has defaulted on their mortgage. Ms. Cooper said that we are looking into an approach that does not have an abrupt end for the family. Ms. Johnson said the City is in agreement.

There was discussion about HQS. Ms. Cooper said that we would have a full property report, including termite report.

Ms. Johnson answered questions from the Board.

Commissioner Rickard said that he has some reservation about the Housing Authority buying this property because we are using our money and not increasing the supply of



affordable housing He said that previously we talked about providing some presentations to discuss strategies, but we have not had that presentation.

Ms. Johnson said that staff will contact the City to confirm if the City funds can be used to assist with the purchase cost.

Commissioner Rickard said that he would be comfortable with the second clause in the recommendation if there was a sunset provision in 2 years. Ms. Cooper agreed.

Commissioner Rickard moved to accept the staff recommendation on page 77 with the modification that there is a two year sunset provision on the Executive Director authorization to repurchase any BMR unit. Commissioner McCahan seconded. The motion carried unanimously.

8-C. Amend the Property Management Policy – Page79

Tonya Schuler, Senior Management Analyst, said the Amendment to the Property Management Policy started as result of the change in the Fair Housing Law relating to the criminal history. She said the Fair Housing Law changed slightly and there is a disparate impact that you have to look at. HUD came out with the fact that PHAs on the voucher program could not deny applicants assistance just based on an arrest, where in the past you could. She said if a person showed a pattern of arrest they could be denied, but not for just one arrest.

Ms. Schuler went on to talk about other changes to the Property Management Policy listed in the staff report.

Commissioner Shipe moved to accept the staff recommendation on page 82 and Commissioner Rickard seconded. The motion carried unanimously.

8-D. 1) Accept the Annual Update (October 1, 2015 to October 31, 2016) on the Ordinance Establishing the Moratorium, Rent Stabilization and Limitations on Evictions Ordinance 3148, and Rent Program, 2) Authorize the Executive Director to Approve the Extension of the Services Agreement to Administer Rent Stabilization and Limitations on Evictions, Ordinance 3148, Rent Program through March 31, 2017 - Page 117

Claudia Young, Director of Rent & Community Programs, thanked the Board for their comments and said she would pass on the message to her staff.

Ms. Young talked about the data going back to October 2015 when the first Ordinance happened which lead to Ordinance 3148. She said the data in 3148 gives us an opportunity to look at our processes, procedures, what is working and not working and look at everything as a whole.



Ms. Young asked the Board to accept the update and sign the extended service agreement.

Chair Kurrasch said he is in agreement and would like the City to get out the RFP.

Commissioner McCahan asked if going forward we would build in a set of scope of work triggers. Ms. Young said that with her experience on the first couple of ordinances, knowing that anything could change, this would definitely be covered.

Commissioner Rickard asked if this is synergistic with AHA. Ms. Young said that there are definitely opportunities for the Housing Authority.

There was more discussion and explanation on the RFP and the scope by Ms. Cooper.

Commissioner Shipe moved to accept the staff recommendation on page 125 and Commissioner McCahan seconded. The motion carried unanimously.

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

None

10. COMMISSIONER COMMUNICATIONS (Communications from the Commissioners)

Commissioner Rickard said that in light of the recent federal election, it is likely to change our business, and asked if we have any idea what this means for us. Ms. Cooper said we are involved in many groups that are watching this. Ms. Cooper said the question is how much will the current administration try to pass between now and January. Beyond that there is a long range of what might and might not happen. Whoever is appointed to the HUD Secretary position will be a key indicator for us.

Chair Kurrasch attended the groundbreaking and thanked Victoria Johnson for her tremendous efforts with regards to Warehouse 36 – Del Monte property.

11. ADJOURNMENT

There being no further business, Chair Kurrasch adjourned the meeting at 8:09 pm.

Arthur Kurrasch, Chair

Vanessa M. Cooper
Executive Director/Secretary





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To: Honorable Chair and
Members of the Board of Commissioners

From: Vanessa M. Cooper
Executive Director

Prepared by: Tonya Schuler-Cummins, Senior Management Analyst
Date: December 21, 2016

Re: Amend Property Management Policy

BACKGROUND

The Policy for Management of Authority-owned Properties (Property Management Policy) provides guidance to staff in administering its housing stock.

DISCUSSION

This revision adds in language to clarify that the Housing Authority will follow all applicable laws for senior properties. It also adds a section of California state law as an appendix.

FINANCIAL IMPACT

There is not direct financial impact of these policy changes.

RECOMMENDATION

Staff recommends adoption of the proposed changes to the Policy for Management of Authority-owned Properties.

Respectfully submitted,

Vanessa M. Cooper
Executive Director

VMC/TMSC

Attachment:

Policy for the Management of Housing Authority-Owned Properties Amendment:
2016-04



Policy for the Management of Housing Authority-Owned Properties
Amendment: 2016-04

Purpose: This amendment to the Policy for the Management of Housing Authority-Owned Properties "Property Management Policy" clarifies that the Housing Authority will abide by all state laws governing Senior Properties.

Proposed deletions are struck-out and proposed additions are underlined.

1. Revise Section *8.1 Eligibility Criteria* to clarify that the Housing Authority will abide by all laws governing Senior Housing.

- b. Age Requirements for Seniors Complexes. Age requirements exist for complexes designed for seniors, which include Anne B. Diament Plaza, Lincoln/Willow, Senior Condos, and Independence Plaza.

Anne B. Diament Plaza: The head of household and all other members of the family must be 62 years of age or older. The age requirement does not apply to a live-in aide.

Lincoln/Willow: The head of household and all other members of the family must be 62 years of age or older. The age requirement does not apply to a live-in aide.

Senior Condos: The head of household and all other members of the family must be 62 years of age or older. The age requirement does not apply to a live-in aide.

Independence Plaza: The head of household must be 62 years of age or older. All other family members must be a person who resides with the head of household and is at least 55 years of age or a spouse/domestic partner. The age requirement does not apply to a live-in aide.

The Housing Authority will comply with all state and federal laws governing senior properties, including the Unruh Civil Rights act.

2. Add Appendix E: California Civil Code 51.3 to input the verbiage from the California law governing senior properties to the Policy.

APPENDIX E: CALIFORNIA CIVIL CODE SECTION 51.3

(a) The Legislature finds and declares that this section is essential to establish and preserve specially designed accessible housing for senior citizens. There are senior citizens who need special living environments and services, and find that there is an inadequate supply of this type of housing in the state.

(b) For the purposes of this section, the following definitions apply:

(1) "Qualifying resident" or "senior citizen" means a person 62 years of age or older, or 55 years of age or older in a senior citizen housing development.

(2) "Qualified permanent resident" means a person who meets both of the following requirements:

(A) Was residing with the qualifying resident or senior citizen prior to the death, hospitalization, or other prolonged absence of, or the dissolution of marriage with, the qualifying resident or senior citizen.

(B) Was 45 years of age or older, or was a spouse, cohabitant, or person providing primary physical or economic support to the qualifying resident or senior citizen.

(3) "Qualified permanent resident" also means a disabled person or person with a disabling illness or injury who is a child or grandchild of the senior citizen or a qualified permanent resident as defined in paragraph (2) who needs to live with the senior citizen or qualified permanent resident because of the disabling condition, illness, or injury. For purposes of this section, "disabled" means a person who has a disability as defined in subdivision (b) of Section 54. A "disabling injury or illness" means an illness or injury which results in a condition meeting the definition of disability set forth in subdivision (b) of Section 54.

(A) For any person who is a qualified permanent resident under this paragraph whose disabling condition ends, the owner, board of directors, or other governing body may require the formerly disabled resident to cease residing in the development upon receipt of six months' written notice; provided, however, that the owner, board of directors, or other governing body may allow the person to remain a resident for up to one year after the disabling condition ends.

(B) The owner, board of directors, or other governing body of the senior citizen housing development may take action to prohibit or terminate occupancy by a person who is a qualified permanent resident under this paragraph if the owner, board of directors, or other governing body finds, based on credible and objective evidence, that the person is likely to pose a significant threat to the health or safety of others that cannot be ameliorated by means of a reasonable accommodation; provided, however, that the action to prohibit or terminate the occupancy may be taken only after doing both of the following:

(i) Providing reasonable notice to and an opportunity to be heard for the disabled person whose occupancy is being challenged, and reasonable notice to the coresident parent or grandparent of that person.

(ii) Giving due consideration to the relevant, credible, and objective information provided in the hearing. The evidence shall be taken and held in a confidential manner, pursuant to a closed session, by the owner, board of directors, or other governing body in order to preserve the privacy of the affected persons.

The affected persons shall be entitled to have present at the hearing an attorney or any other person authorized by them to speak on their behalf or to assist them in the matter.

(4) "Senior citizen housing development" means a residential development developed, substantially rehabilitated, or substantially renovated for, senior citizens that has at least 35 dwelling units. Any senior citizen housing development which is required to obtain a public report under Section 11010 of the Business and Professions Code and which submits its application for a public report after July 1, 2001, shall be required to have been issued a public report as a senior citizen housing development under Section 11010.05 of the Business and Professions Code. No housing development constructed prior to January 1, 1985, shall fail to qualify as a senior citizen housing development because it was not originally developed or put to use for occupancy by senior citizens.

(5) "Dwelling unit" or "housing" means any residential accommodation other than a mobilehome.

(6) "Cohabitant" refers to persons who live together as husband and wife, or persons who are domestic partners within the meaning of Section 297 of the Family Code.

(7) "Permitted health care resident" means a person hired to provide live-in, long-term, or terminal health care to a qualifying resident, or a family member of the qualifying resident providing that care. For the purposes of this section, the care provided by a permitted health care resident must be substantial in nature and must provide either assistance with necessary daily activities or medical treatment, or both.

A permitted health care resident shall be entitled to continue his or her occupancy, residency, or use of the dwelling unit as a permitted resident in the absence of the senior citizen from the dwelling unit only if both of the following are applicable:

(A) The senior citizen became absent from the dwelling due to hospitalization or other necessary medical treatment and expects to return to his or her residence within 90 days from the date the absence began.

(B) The absent senior citizen or an authorized person acting for the senior citizen submits a written request to the owner, board of directors, or governing board stating that the senior citizen desires that the permitted health care resident be allowed to remain in order to be present when the senior citizen returns to reside in the development.

Upon written request by the senior citizen or an authorized person acting for the senior citizen, the owner, board of directors, or governing board shall have the discretion to allow a permitted health care resident to remain for a time period longer than 90 days from the date that the senior citizen's absence began, if it appears that the senior citizen will return within a period of time not to exceed an additional 90 days.

(c) The covenants, conditions, and restrictions and other documents or written policy shall set forth the limitations on occupancy, residency, or use on the basis of age. Any such limitation shall not be more exclusive than to require that one person in residence in each dwelling unit may be required to be a senior citizen and that each other resident in the same dwelling unit may be required to be a qualified permanent resident, a permitted health care resident, or a person under 55 years of age whose occupancy is permitted under subdivision (h) of this section or under subdivision (b) of Section 51.4. That limitation may be less exclusive, but shall at least require that the persons commencing any occupancy of a dwelling unit include

a senior citizen who intends to reside in the unit as his or her primary residence on a permanent basis. The application of the rules set forth in this subdivision regarding limitations on occupancy may result in less than all of the dwellings being actually occupied by a senior citizen.

(d) The covenants, conditions, and restrictions or other documents or written policy shall permit temporary residency, as a guest of a senior citizen or qualified permanent resident, by a person of less than 55 years of age for periods of time, not less than 60 days in any year, that are specified in the covenants, conditions, and restrictions or other documents or written policy.

(e) Upon the death or dissolution of marriage, or upon hospitalization, or other prolonged absence of the qualifying resident, any qualified permanent resident shall be entitled to continue his or her occupancy, residency, or use of the dwelling unit as a permitted resident. This subdivision shall not apply to a permitted health care resident.

(f) The condominium, stock cooperative, limited-equity housing cooperative, planned development, or multiple-family residential rental property shall have been developed for, and initially been put to use as, housing for senior citizens, or shall have been substantially rehabilitated or renovated for, and immediately afterward put to use as, housing for senior citizens, as provided in this section; provided, however, that no housing development constructed prior to January 1, 1985, shall fail to qualify as a senior citizen housing development because it was not originally developed for or originally put to use for occupancy by senior citizens.

(g) The covenants, conditions, and restrictions or other documents or written policies applicable to any condominium, stock cooperative, limited-equity housing cooperative, planned development, or multiple-family residential property that contained age restrictions on January 1, 1984, shall be enforceable only to the extent permitted by this section, notwithstanding lower age restrictions contained in those documents or policies.

(h) Any person who has the right to reside in, occupy, or use the housing or an unimproved lot subject to this section on January 1, 1985, shall not be deprived of the right to continue that residency, occupancy, or use as the result of the enactment of this section.

(i) The covenants, conditions, and restrictions or other documents or written policy of the senior citizen housing development shall permit the occupancy of a dwelling unit by a permitted health care resident during any period that the person is actually providing live-in, long-term, or hospice health care to a qualifying resident for compensation. For purposes of this subdivision, the term "for compensation" shall include provisions of lodging and food in exchange for care.

(j) Notwithstanding any other provision of this section, this section shall not apply to the County of Riverside.

(Amended by Stats. 2000, Ch. 1004, Sec. 3. Effective January 1, 2001.)



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To: Honorable Chair and
Members of the Board of Commissioners

From: Vanessa M. Cooper
Executive Director

Prepared by: Janet Basta
Director of Human Resources and Operations

Date: December 21, 2016

Re: Holiday and Office Closure Schedule for 2017

BACKGROUND

Beginning Monday December 28, 2015, the Housing Authority began a schedule of closing the office to the public every other Friday. Concurrently, flexing schedules for hourly staff were harmonized so that all non-exempt staff flex on the same schedule, with the Friday office closure day coinciding with the flex (non-work) day, and designated alternate days for observance of holidays that fall on flex Fridays. Additionally, AHA is closing to the public for half-days (afternoon) during the last week of December this year.

DISCUSSION

The alternate Friday office closure has benefitted departments where a majority of staff flex, including the Housing Programs Department, as only two types of work schedules (i.e. flex or not-flex) need to be managed and those staff that do not flex have a day during each pay period with no appointments or other customer contact to focus on administrative tasks. The public has adjusted to this change as well; while initially there was an expectation that the office was open M-F, over time, visitors have become accustomed to the new schedule. Office closures are publicized physically on site, through various notices and newsletters to tenants and voucher holders, and in a prominent location on the home page of the AHA website. Consistency in schedules and holiday observances has streamlined management responsibilities related to staff management as well.

AHA plans to continue with the alternate Friday office closures in the upcoming year, and has prepared the attached calendar to identify those days. Also on the calendar are the AHA holidays and alternate designated holidays, and the half-day closure schedule for December. Note that, due to Friday holidays in November during calendar year



2017, the office will be closed to the public on the alternate designated holidays (November 9 and 22) in addition to the regular holidays observances (November 10 and 23-24). These closures will be publicized well in advance in order to avoid any reduction in customer service.

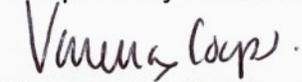
FINANCIAL IMPACT

We do not anticipate any impact to the budget as this schedule was accounted for in the current fiscal year budget.

RECOMMENDATION

For Information only.

Respectfully submitted,



Vanessa M. Cooper
Executive Director

VMC/JCB

Attachments: 2017 AHA Holiday and Office Closure Calendar



2017 AHA Holiday and Office Closure Calendar

January						
Su	Mo	Tu	We	Th	Fr	Sa
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May						
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August						
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September						
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October						
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November						
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December						
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31						

KEY: Red = Holiday Green (dark) = Office Closure Green (light) = 1/2 day Office Closure (Dec 26-29) Blue = Alt Holiday for flex staff/office closed to public

AHA Holidays 2017

Jan 1	New Year's Day (actual)	Feb 20	Presidents' Day	Sep 4	Labor Day	Nov 23	Thanksgiving Day
Jan 2	New Year's Day (observed)	May 29	Memorial Day	Nov 10	Veteran's Day (observed)	Nov 24	Day After Thanksgiving
Jan 16	Martin Luther King Day	Jul 4	Independence Day	Nov 11	Veterans Day (actual)	Dec 25	Christmas Day



Housing Authority of the City of Alameda

701 Atlantic Avenue - Alameda, California 94501-2161 - Tel: (510) 747-4300 - Fax: (510)522-7848 - TDD: (510) 522-8467

To: Honorable Chair and
Members of the Board of Commissioners

From: Vanessa Cooper
Executive Director

Prepared by: Victoria Johnson, Director of Housing and Community Development

Date: December 21, 2016

Re: Approve A Short-term Internship Program to Provide Research and Analysis Support for Housing Authority Projects and Programs and Offer Professional Development Opportunities to Undergraduate and Graduate Students

BACKGROUND

In 2015 and 2016 the Board approved a summer internship program that provided professional development opportunities to college students. The internship was advertised at local colleges and universities and many qualified applications were received. In 2015 two students were selected and in 2016 three students were selected to work on multiple projects over the summer. The interns worked on multiple research projects, made presentations to the Board, provided staffing at the Reading Room, helped to expand the Family Self-Sufficiency program and assisted with a wide range of other tasks. Based on this success, and the ongoing need for short-term qualified help, staff requests Board approval to renew the program. All interns have been paid an hourly salary through a temporary staffing service

DISCUSSION

It is proposed to continue the program in 2017 and to engage up to four interns for up to 16 weeks beginning in spring 2017. Based on student schedules, it is expected that there may be staggered start and end dates. Staff will again advertise the internship opportunities at Bay Area colleges including the College of Alameda, University of California at Berkeley, CSU East Bay and San Francisco State University.

The interns will work on special research and other projects and may provide support to the Housing Programs, Rent Programs, Community Development and Administrative Departments.

FINANCIAL IMPACT



In 2015 and 2016 the estimated total cost and budget for interns was \$15,000 per year; the actual cost of the program was within this amount. For 2017, staff estimates total program cost below \$25,000. Current staffing vacancies in the departments leave unexpended funds available to meet the cost of the intern program.

RECOMMENDATION

Approve the creation of up to four short-term internship positions to provide temporary research and analysis support to Housing Authority work projects.

Respectfully submitted,


Vanessa M. Cooper
Executive Director

VC/VJ





Housing Authority of the City of Alameda

701 Atlantic Avenue - Alameda, California 94501-2161 - Tel: (510) 747-4300 - Fax: (510)522-7848 - TDD: (510) 522-8467

To: Honorable Chair and
Members of the Board of Commissioners

From: Vanessa M. Cooper, Executive Director

Submitted by: Marie Wang, Finance Director

Date: December 21, 2016

Re: Quarterly Investment Report

BACKGROUND

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

DISCUSSION

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

AHA currently holds \$13,741,322 (51.2% of funds) in LAIF as of September 30, 2016. These funds are on demand and can be used for immediate needs. The prior quarter balance was \$14,431,823.

In February, 2016, the Housing Authority Board approved \$13 million to be invested in government securities and agencies through the approved investment advisor, PFM Asset Management. As of September 30, 2016, the balance is \$13,079,945. (48.8%). The prior quarter balance was \$13,078,381. Attached is the PFM report for the reporting quarter which provides additional details.

LAIF:	\$13,741,322
PFM:	
US Treasury Bond/Note – Market Value:	\$12,941,252
Accrued Interest	17,515
Cash	121,178
<u>Total PFM</u>	<u>\$13,079,945</u>
Total Investment	\$26,821,267

The following is the schedule of investments as of September 30, 2016:

Investment Type	Issuer/Holder	Date	Maturity	Return	Purchase cost	Par Value	Market Value
State of California Investment Pool	Local Agency Investment fund (LAIF)	Open	On Demand	0.634%		\$13,741,322	\$13,741,322
US Treasury	US Bank/PFM	2/19/16	2/15/17	.625%	\$1,600,438	\$1,600,000	\$1,601,552
Federal Home Loan Banks Discount Note	US Bank/PFM	2/19/16	5/24/17 - 3/19/18	.875%	\$2,481,971	\$2,480,000	\$2,483,464
FANNIE MAE	US Bank/PFM	2/19/16 - 8/18/16	8/28/17 - 2/26/19	.875% - 1.875%	\$8,871,497	\$8,770,000	\$8,856,236
Cash	US Bank/PFM						\$121,178
Accrued Interest	US Bank/PFM						\$17,515

In March 2016, staff met with PFM and reviewed the investments. Since some of the investments made extended beyond Year 3 and beyond AHA's currently projected liquidity needs, it was decided to sell those longer investments to meet a more conservative interpretation to the agency's investment policy. The longer investments were sold on April 4, and the trade was made with the realized gain of \$8,863 compared with amortized cost, and the gain was subsequently reinvested in the 1-3 year time frame on April 5 to be in full compliance with the investment policy. The maturity distribution of all the investments are now within 3 years.

The Federal Home Loan Banks Discount Note of \$1,730,000 matured on August 17, 2016. The FANNIE MAE Note of \$1,727,657 was then purchased on August 18, 2016.

Please also see below for the table of the detailed transactions for the quarter of July – September, 2016.

Transaction Type	Trade Date	Settle Date	Security Description	CUSIP	Principal Proceeds	Accrued Interest	Total Amount
MATURITY	8/17/2016	8/17/2016	FEDERAL HOME LOAN BANKS DISC NOTE	313384C49	\$1,730,000.00	\$0.00	\$1,730,000.00
BUY	8/18/2016	8/18/2016	FANNIE MAE GLOBAL NOTES	3135GORT	\$1,727,656.50	\$2,431.77	\$1,730,088.27

The Housing Authority's ordinary expenditure requirements for the next six months are more than sufficiently covered by two sources, namely: (1) anticipated revenues, grants and subsidies, and (2) liquidity of current investments. Staff will present the cash flow report and the update of the investment policy in the January Board Meeting.

RECOMMENDATION

It is recommended that the Board of Commissioners accept the report on the Housing Authority's investment portfolio as of September 30, 2016.

Respectfully submitted,



Vanessa M. Cooper
Executive Director

VC/MW

Attachments: PFM report for September 30, 2016



PFM Asset Management LLC

HOUSING AUTHORITY - CITY OF ALAMEDA

Investment Performance Review For the Quarter Ended September 30, 2016

Client Management Team

Monique Spyke, Director
Joseph Creason, Portfolio Manager
Jeremy King, Client Consultant

PFM Asset Management LLC

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San Francisco, CA 94111
415-982-5544

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Harrisburg, PA 17101-2044
717-232-2723

HOUSING AUTHORITY - CITY OF ALAMEDA QUARTERLY MARKET SUMMARY

Summary

- The volatile effects of Britain's Brexit vote to leave the European Union (EU) quickly dissipated at the beginning of the third quarter as investors concluded that any effects could take up to two years to play out. Investors turned their focus back to fundamental economic factors, such as growth, inflation, and the timing of future rate hikes by the Federal Reserve (Fed).
- The Fed left rates unchanged at its third quarter meetings and lowered rate expectations in September. Given the upcoming U.S. presidential election, the market expects no action at the Fed's November meeting, but holds roughly a 60% chance of a rate hike in December.
- Other central banks continued to implement accommodative monetary policy. The European Central Bank (ECB) kept its benchmark interest rate near 0% and continued its 80-billion-euro monthly bond-buying program. Meanwhile, the Bank of Japan (BoJ) introduced two policies: one keeps 10-year Japanese government bond yields near zero percent; the other expands money supply until inflation remains above the 2% target. The Bank of England (BoE) joined the easing by cutting its interest rate to 0.25% from 0.50% and enacting a bond purchase program to the tune of 10 billion pounds a month.

Economic Snapshot

- The U.S. economy continued to grow at a slow but steady pace. Consumers drove growth in the first half of the year, while business investment lagged. The labor market remained strong, with the unemployment rate remaining below 5% throughout most of the third quarter. The housing market was arguably the economy's strongest sector as home sales rose to levels not seen since before the 2008 financial crisis.
- U.S. gross domestic product (GDP) grew at a 1.4% rate in the second quarter, a modest rebound from the first quarter's 0.8% rate. Consumer spending drove growth in the second quarter, contributing the most to GDP since 2014, while weakness in business investment detracted the most since 2009. Economic growth is expected to rebound in the third quarter to between 2.5% and 3%.
- The unemployment rate ticked up to 5.0% by the end of the third quarter, as the pace of hiring aligned with the pace of economic growth. September's modest addition of 156,000 jobs rounded out a quarter that added 575,000 jobs, the most jobs added since the first quarter of 2016.

Weekly unemployment filings continued to fall to levels not seen since the early 1970s, while job openings reached record levels. Both were positive indications of labor market strength.

- Inflation pressures firmed slightly over the third quarter as the personal consumption expenditure (PCE) price index, the Fed's favored inflation metric, rose 1.7% for the year ended August 31. Housing and medical costs continued to rise. Average hourly earnings, an important measure of wages in the manufacturing sector, grew 2.6% over the 12 months ended September, the 19th consecutive month of greater than 2% year-over-year (YoY) growth.

Interest Rates

- Interest rates rose significantly in the third quarter, reversing second-quarter declines spurred by Brexit. Short-term yields led the rise, as expectations rebounded for a Fed rate hike this year, slightly flattening the yield curve. The two-year Treasury yield climbed 18 basis points (bps), while the yield on the 10-year Treasury rose 12 bps.
- In the money market space, shorter-term Treasury yields rebounded from their second-quarter compression. Short-term credit instruments, like commercial paper and negotiable bank certificates of deposit (CDs), continued to offer significant added income as yields remained elevated ahead of the Securities and Exchange Commission's money market reform effective October 14.

Sector Performance

- Returns declined for U.S. Treasury indexes for the third quarter as yields rose, decreasing market values. The declines offset second quarter gains. Shorter maturity issues outperformed longer maturities.
- Non-callable federal agency spreads drifted tighter during the quarter, leading to the sector's modest outperformance relative to comparable maturity Treasuries.
- Corporate yield spreads tightened throughout most of the third quarter, reaching their lowest levels of the year, as Brexit fears abated and investors' search for yield continued. The sector once again outperformed Treasuries.
- Mortgage-backed (MBS) and asset-backed securities (ABS) outperformed Treasuries for the first quarter this year as rising interest rates decreased prepayment risk.

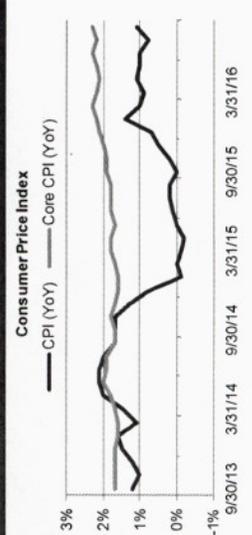
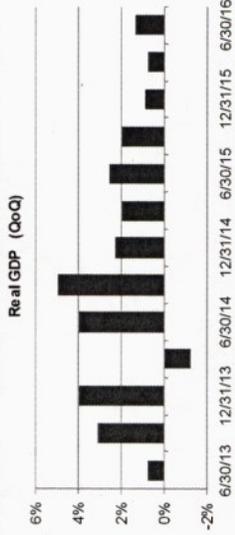
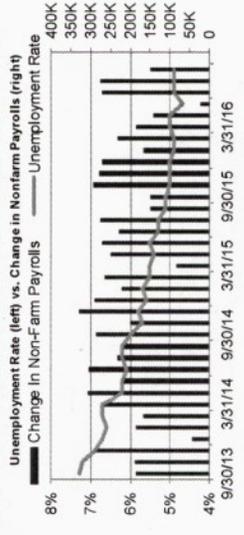
HOUSING AUTHORITY - CITY OF ALAMEDA QUARTERLY MARKET SUMMARY

Economic Snapshot

Labor Market	Latest	Jun 2016	Sep 2015
Unemployment Rate	Aug'16	4.9%	5.1%
Change In Non-Farm Payrolls	Aug'16	151,000	149,000
Average Hourly Earnings (YoY)	Aug'16	2.4%	2.4%
Personal Income (YoY)	Aug'16	3.1%	4.0%
Initial Jobless Claims (week)	9/23/16	254,000	277,000

Growth	2016Q2	2016Q1	2015Q4
Real GDP (QoQ SAAR)	1.4%	0.8%	2.6%
GDP Personal Consumption (QoQ SAAR)	4.3%	1.6%	2.9%
Retail Sales (YoY)	Aug'16	1.9%	2.1%
ISM Manufacturing Survey (month)	Aug'16	49.4	50.0
Existing Home Sales SAAR (month)	Aug'16	5.33 mil.	5.44 mil.

Inflation / Prices	Aug'16	Jul'16	Jun'16
Personal Consumption Expenditures (YoY)	1.0%	0.9%	0.2%
Consumer Price Index (YoY)	1.1%	1.0%	0.0%
Consumer Price Index Core (YoY)	2.3%	2.3%	1.9%
Crude Oil Futures (WTI, per barrel)	Sep 30	\$48.24	\$45.09
Gold Futures (oz.)	Sep 30	\$1,313	\$1,116



1. Data as of Fourth Quarter 2015 2. Data as of First Quarter 2015

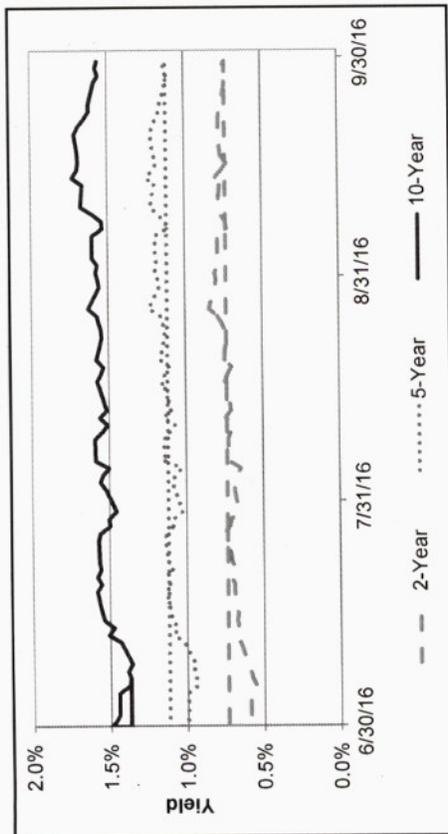
Note: YoY = year over year, QoQ = quarter over quarter, SAAR = seasonally adjusted annual rate, WTI = West Texas Intermediate crude oil

Source: Bloomberg

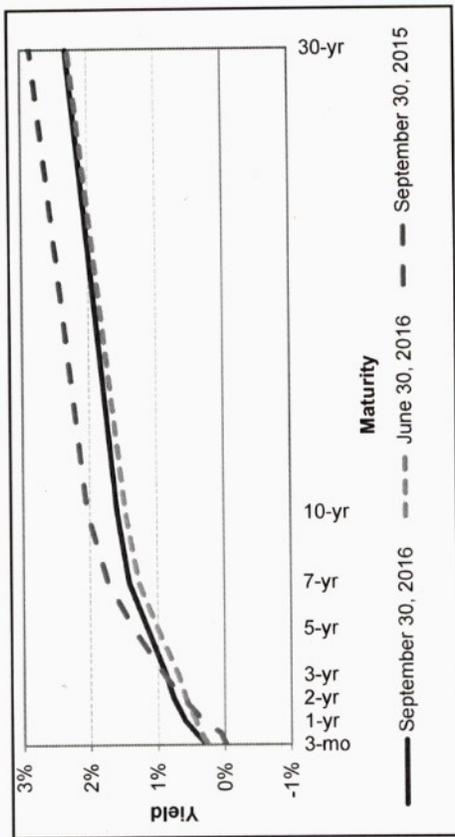
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Interest Rate Overview

U.S. Treasury Note Yields



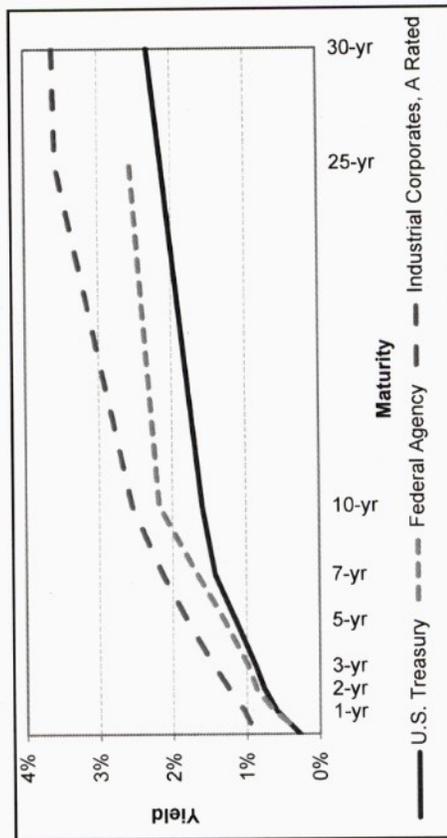
U.S. Treasury Yield Curve



U.S. Treasury Yields

Maturity	9/30/16	6/30/16	Change over Quarter	9/30/15	Change over Year
3-month	0.28%	0.26%	0.02%	(0.02%)	0.30%
1-year	0.59%	0.44%	0.15%	0.31%	0.28%
2-year	0.76%	0.58%	0.18%	0.63%	0.13%
5-year	1.15%	1.00%	0.15%	1.36%	(0.21%)
10-year	1.60%	1.47%	0.13%	2.04%	(0.44%)
30-year	2.32%	2.29%	0.03%	2.85%	(0.53%)

Yield Curves as of 9/30/2016



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HOUSING AUTHORITY - CITY OF ALAMEDA QUARTERLY MARKET SUMMARY

BofA Merrill Lynch Index Returns

As of 9/30/16 Returns for Periods ended 9/30/16

	Duration	Yield	3 Month	1 Year	3 Years
1-3 Year Indices					
U.S. Treasury	1.90	0.78%	(0.11%)	0.88%	0.85%
Federal Agency	1.69	0.90%	0.03%	0.94%	0.95%
U.S. Corporates, A-AAA rated	1.90	1.48%	0.17%	2.04%	1.60%
Agency MBS (0 to 3 years)	2.22	1.40%	0.29%	2.43%	1.67%
Taxable Municipals	1.99	1.95%	0.56%	3.44%	2.71%
1-5 Year Indices					
U.S. Treasury	2.73	0.90%	(0.19%)	1.52%	1.43%
Federal Agency	2.14	0.98%	0.00%	1.36%	1.41%
U.S. Corporates, A-AAA rated	2.76	1.66%	0.30%	3.01%	2.44%
Agency MBS (0 to 5 years)	3.29	1.81%	0.61%	3.29%	2.91%
Taxable Municipals	2.64	1.90%	0.52%	4.16%	3.64%
Master Indices (Maturities 1 Year or Greater)					
U.S. Treasury	6.59	1.28%	(0.33%)	4.33%	3.70%
Federal Agency	3.90	1.27%	0.13%	2.98%	2.82%
U.S. Corporates, A-AAA rated	7.16	2.46%	0.89%	7.52%	5.38%
Agency MBS (0 to 30 years)	3.49	1.90%	0.61%	3.66%	3.57%
Taxable Municipals	4.09	2.43%	0.09%	5.53%	5.19%

Returns for periods greater than one year are annualized.

Source: BofA Merrill Lynch Indices

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Disclosures

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- The portfolio complies with the Authority's Investment Policy and California Government Code.

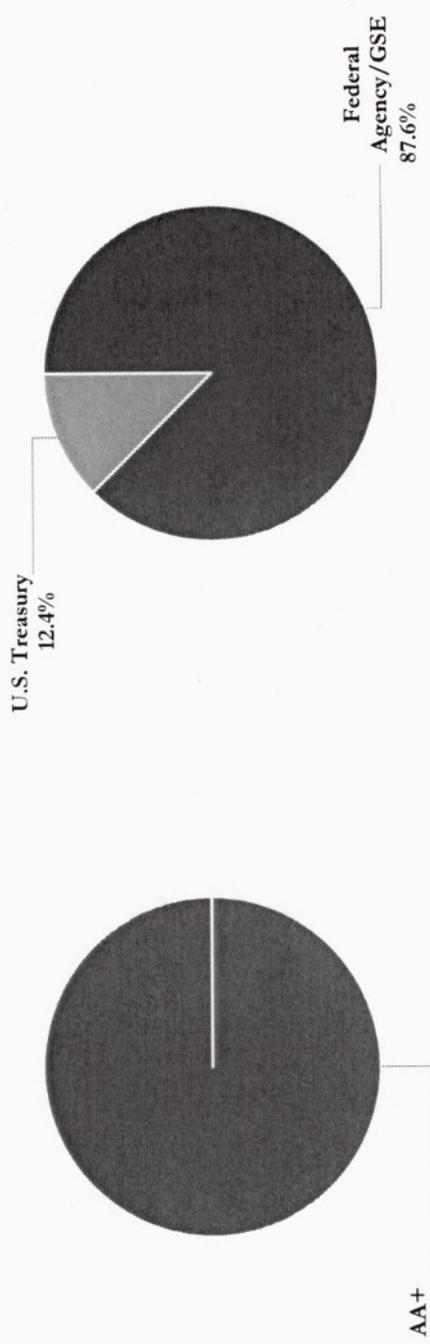
<u>Security Type¹</u>	<u>September 30, 2016</u>	<u>% of Portfolio</u>	<u>Permitted by Policy</u>
U.S. Treasury	\$1,601,552	12.3%	100%
Federal Agency/GSE	\$11,339,700	86.8%	100%
Money Market Fund	\$121,178	0.9%	20%
Totals	\$13,062,430	100.0%	

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Notes:

1. End of quarter trade-date market values of portfolio holdings, excluding accrued interest

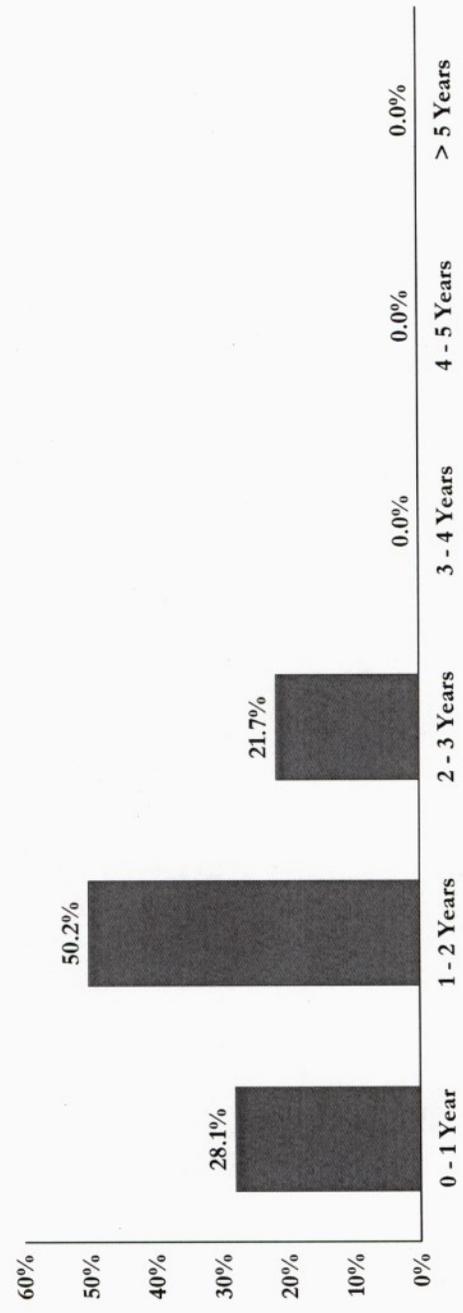
Credit Quality (S&P Ratings) Sector Allocation



Portfolio Statistics
As of September 30, 2016

Par Value:	12,850,000
Total Market Value:	13,079,945
Security Market Value:	12,941,252
Accrued Interest:	17,515
Cash:	121,178
PFM	
Amortized Cost:	12,931,770
Yield at Market:	0.75%
Yield at Cost:	0.82%
Effective Duration:	1.49 Years
Duration to Worst:	1.49 Years
Average Maturity:	1.51 Years
Average Credit: **	AA

Maturity Distribution



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** An average of each security's credit rating assigned a numeric value and adjusted for its relative weighting in the portfolio.

Portfolio Earnings
Quarter-Ended September 30, 2016

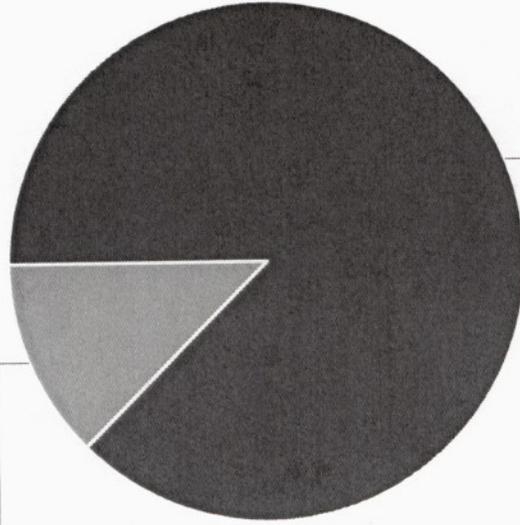
	Market Value Basis	Accrual (Amortized Cost) Basis
Beginning Value (06/30/2016)	\$12,975,904.65	\$12,943,198.52
Net Purchases/Sales	(\$2,343.50)	(\$2,343.50)
Change in Value	(\$32,308.81)	(\$9,084.83)
Ending Value (09/30/2016)	\$12,941,252.34	\$12,931,770.19
Interest Earned	\$35,123.84	\$35,123.84
Portfolio Earnings	\$2,815.03	\$26,039.01

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Sector Allocation
As of September 30, 2016

Sector	Market Value (\$)	% of Portfolio
Federal Agency/GSE	11,339,700	87.6%
U.S. Treasury	1,601,552	12.4%
Total	12,941,252	100.0%

U.S. Treasury
12.4%



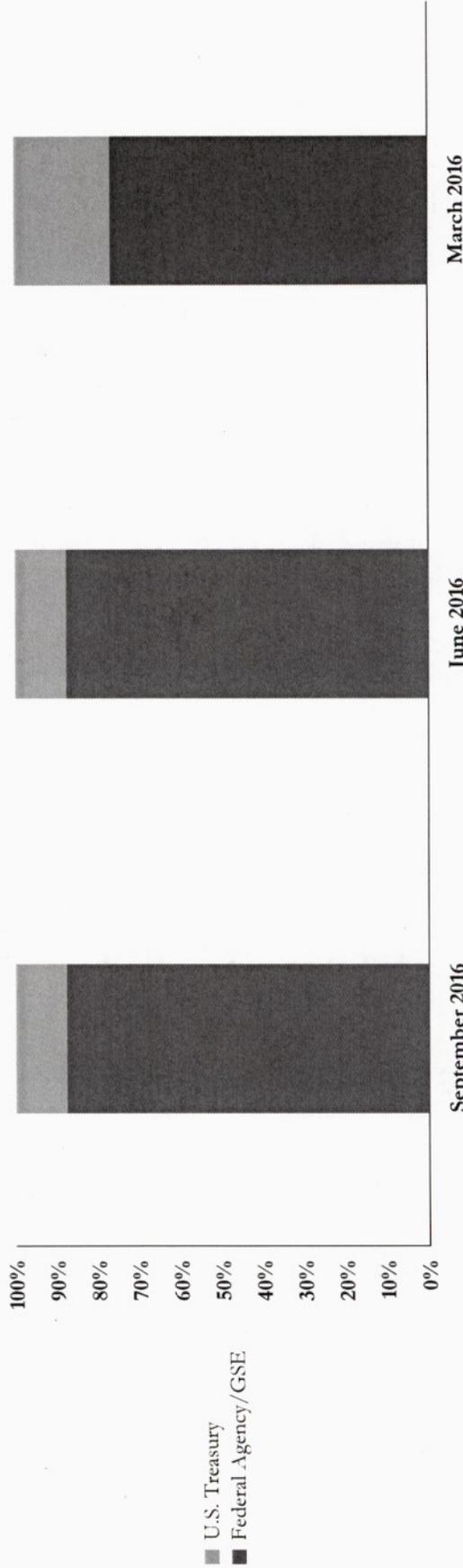
Federal Agency/GSE
87.6%

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Detail may not add to total due to rounding.

Sector Allocation

Sector	September 30, 2016		June 30, 2016		March 31, 2016		December 31, 2015	
	MV (\$MM)	% of Total	MV (\$MM)	% of Total	MV (\$MM)	% of Total	MV (\$MM)	% of Total
Federal Agency/GSE	11.3	87.6%	11.4	87.7%	10.0	76.8%	0.0	0.0%
U.S. Treasury	1.6	12.4%	1.6	12.3%	3.0	23.2%	0.0	0.0%
Total	\$12.9	100.0%	\$13.0	100.0%	\$13.0	100.0%	\$0.0	0.0%

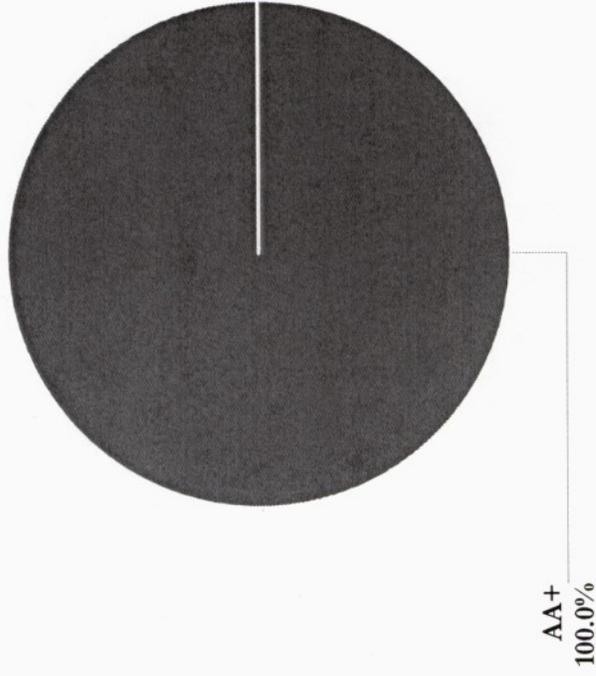


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Detail may not add to total due to rounding.

Credit Quality
 As of September 30, 2016

S&P Rating	Market Value (\$)	% of Portfolio
AA+	\$12,941,252	100.0%
Totals	\$12,941,252	100.0%



AA+
100.0%

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Detail may not add to total due to rounding.

Issuer Distribution
As of September 30, 2016

Issuer	Market Value (\$)	% of Portfolio
FANNIE MAE	8,856,236	68.4%
FEDERAL HOME LOAN BANKS	2,483,464	19.2%
UNITED STATES TREASURY	1,601,552	12.4%
Grand Total:	12,941,252	100.0%

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Sector/Issuer Distribution

As of September 30, 2016

Sector / Issuer	Market Value (\$)	% of Sector	% of Total Portfolio
Federal Agency/GSE			
FANNIE MAE	8,856,236	78.1%	68.4%
FEDERAL HOME LOAN BANKS	2,483,464	21.9%	19.2%
Sector Total	11,339,700	100.0%	87.6%
U.S. Treasury			
UNITED STATES TREASURY	1,601,552	100.0%	12.4%
Sector Total	1,601,552	100.0%	12.4%
Portfolio Total	12,941,252	100.0%	100.0%

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Quarterly Portfolio Transactions

Trade Date	Settle Date	Par (\$)	CUSIP	Security Description	Coupon	Maturity Date	Transact Amt (\$)	Yield at Market	Realized G/L (BV)
BUY									
8/18/16	8/18/16	1,725,000	3135G0RT2	FANNIE MAE GLOBAL NOTES	0.87%	12/20/17	1,730,088.27	0.76%	
Total BUY		1,725,000					1,730,088.27		
INTEREST									
7/1/16	7/1/16	0	MONEY0002	MONEY MARKET FUND			0.30		
7/20/16	7/20/16	845,000	3135G0E33	FNMA NOTES	1.12%	7/20/18	4,753.13		
8/1/16	8/1/16	0	MONEY0002	MONEY MARKET FUND			0.32		
8/15/16	8/15/16	1,600,000	912828B74	US TREASURY NOTES	0.62%	2/15/17	5,000.00		
8/19/16	8/19/16	1,170,000	3135G0ZA4	FANNIE MAE BENCHMARK NOTE	1.87%	2/19/19	10,968.75		
8/26/16	8/26/16	1,615,000	3135G0J53	FNMA BENCHMARK NOTE	1.00%	2/26/19	8,075.00		
8/28/16	8/28/16	1,010,000	3135G0MZ3	FANNIE MAE GLOBAL NOTES	0.87%	8/28/17	4,418.75		
9/1/16	9/1/16	0	MONEY0002	MONEY MARKET FUND			0.66		
9/18/16	9/18/16	820,000	3135G0YM9	FANNIE MAE GLOBAL NOTES	1.87%	9/18/18	7,687.50		
9/18/16	9/18/16	1,585,000	3135G0YM9	FANNIE MAE GLOBAL NOTES	1.87%	9/18/18	14,859.38		
9/19/16	9/19/16	1,465,000	3130A7CX1	FHLB NOTES	0.87%	3/19/18	6,409.38		
Total INTEREST		10,110,000					62,173.17		
MATURITY									
8/17/16	8/17/16	1,730,000	313384C49	FEDERAL HOME LOAN BANKS DISC NOTE	0.00%	8/17/16	1,730,000.00		0.00
Total MATURITY		1,730,000					1,730,000.00		0.00

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Important Disclosures

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- Market values which include accrued interest, are derived from closing bid prices as of the last business day of the month as supplied by a third party vendor. Where prices are not available from generally recognized sources the securities are priced using a yield based matrix system to arrive at an estimated market value.
- In accordance with generally accepted accounting principles, information is presented on a trade date basis; forward settling purchases are included in the monthly balances and forward settling sales are excluded.
- Performance is presented in accordance with the CFA Institute's Global Investment Performance Standards (GIPS). Unless otherwise noted, performance is shown gross of fees. Quarterly returns are presented on an unannualized basis. Returns for periods greater than one year are presented on an annualized basis. Past performance is not indicative of future returns.
- Bank of America/Merrill Lynch Indices provided by Bloomberg Financial Markets.
- Money market fund/cash balances are included in performance and duration computations.
- Standard & Poor's is the source of the credit ratings. Distribution of credit rating is exclusive of money market fund/LGIP holdings.
- Callable securities in portfolio are included in the maturity distribution analysis to their stated maturity date, although they may be called prior to maturity.
- MBS maturities are represented by expected average life.

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Glossary

- **ACCRUED INTEREST:** Interest that is due on a bond or other fixed income security since the last interest payment was made.
- **AGENCIES:** Federal agency securities and/or Government-sponsored enterprises.
- **AMORTIZED COST:** The original cost of the principal of the security is adjusted for the amount of the periodic reduction of any discount or premium from the purchase date until the date of the report. Discount or premium with respect to short term securities (those with less than one year to maturity at time of issuance) is amortized on a straight line basis. Such discount or premium with respect to longer term securities is amortized using the constant yield basis.
- **BANKERS' ACCEPTANCE:** A draft or bill of exchange accepted by a bank or trust company. The accepting institution guarantees payment of the bill, as well as the insurer.
- **COMMERCIAL PAPER:** An unsecured obligation issued by a corporation or bank to finance its short-term credit needs, such as accounts receivable and inventory.
- **CONTRIBUTION TO DURATION:** Represents each sector or maturity range's relative contribution to the overall duration of the portfolio measured as a percentage weighting. Since duration is a key measure of interest rate sensitivity, the contribution to duration measures the relative amount or contribution of that sector or maturity range to the total rate sensitivity of the portfolio.
- **DURATION TO WORST:** A measure of the sensitivity of a security's price to a change in interest rates, stated in years, computed from cash flows to the maturity date or to the put date, whichever results in the highest yield to the investor.
- **EFFECTIVE DURATION:** A measure of the sensitivity of a security's price to a change in interest rates, stated in years.
- **EFFECTIVE YIELD:** The total yield an investor receives in relation to the nominal yield or coupon of a bond. Effective yield takes into account the power of compounding on investment returns, while nominal yield does not.
- **FDIC:** Federal Deposit Insurance Corporation. A federal agency that insures bank deposits to a specified amount.
- **INTEREST RATE:** Interest per year divided by principal amount, expressed as a percentage.
- **MARKET VALUE:** The value that would be received or paid for an investment in an orderly transaction between market participants at the measurement date.
- **MATURITY:** The date upon which the principal or stated value of an investment becomes due and payable.
- **NEGOTIABLE CERTIFICATES OF DEPOSIT:** A CD with a very large denomination, usually \$1 million or more that can be traded in secondary markets.
- **PAR VALUE:** The nominal dollar face amount of a security.

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Glossary

- **PASS THROUGH SECURITY:** A security representing pooled debt obligations that passes income from debtors to its shareholders. The most common type is the mortgage-backed security.
- **REPURCHASE AGREEMENTS:** A holder of securities sells these securities to an investor with an agreement to repurchase them at a fixed price on a fixed date.
- **SETTLE DATE:** The date on which the transaction is settled and monies/securities are exchanged. If the settle date of the transaction occurs on a non-business day (i.e. coupon payments and maturity proceeds), the funds are exchanged on the next business day.
- **TRADE DATE:** The date on which the transaction occurred however the final consummation of the security transaction and payment has not yet taken place.
- **UNSETTLED TRADE:** A trade which has been executed however the final consummation of the security transaction and payment has not yet taken place.
- **U.S. TREASURY:** The department of the U.S. government that issues Treasury securities.
- **YIELD:** The rate of return based on the current market value, the annual interest receipts, maturity value and the time period remaining until maturity, stated as a percentage, on an annualized basis.
- **YTM AT COST:** The yield to maturity at cost is the expected rate of return, based on the original cost, the annual interest receipts, maturity value and the time period from purchase date to maturity, stated as a percentage, on an annualized basis.
- **YTM AT MARKET:** The yield to maturity at market is the rate of return, based on the current market value, the annual interest receipts, maturity value and the time period remaining until maturity, stated as a percentage, on an annualized basis.

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

www.treasurer.ca.gov/pmia-laif/laif.asp
 December 12, 2016

ALAMEDA HOUSING AUTHORITY

EXECUTIVE DIRECTOR
 701 ATLANTIC AVENUE
 ALAMEDA, CA 94501

PMIA Average Monthly Yields

Account Number:

Tran Type Definitions

October 2016 Statement

Effective Date	Transaction Date	Tran Type	Confirm Number	Authorized Caller	Amount
10/14/2016	10/13/2016	QRD	1518223	SYSTEM	20,954.09

Account Summary

Total Deposit:	20,954.09	Beginning Balance:	13,720,367.88
Total Withdrawal:	0.00	Ending Balance:	13,741,321.97

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Housing Authority of the City of Alameda

701 Atlantic Avenue - Alameda, California 94501-2161 - TEL: (510) 747-4300 - FAX: (510) 522-7848 - TDD: (510) 522-8467

To: Honorable Chair and
Members of the Board of Commissioners

From: Vanessa M. Cooper
Executive Director

Prepared by: ZeeLaura Page, Management Analyst

Date: December 21, 2016

Re: Quarterly Police Report

BACKGROUND

The Housing Authority budget for this fiscal year provides for community policing services. This report on those services covers the fourth quarter of this fiscal year (FY2017) from July 1, 2016 to September 30, 2016. The Police Department uses the calendar year; therefore, the data provided by the Police Officers refer to the 3rd Quarter 2016.

DISCUSSION

Attached as Exhibit A are the quarterly statistics provided by the officers compiled into chart form showing the number of reports written and arrests made during this quarter of the fiscal year. These reports indicate that the number of crime reports written on Housing Authority properties made up 1.5 percent of the total number of reports written city wide and 0.8 percent of the arrests. The population of Housing Authority properties in relation to the city as a whole is 1.7 percent; therefore, the level of police report activity during this period is consistent with what would be expected for a population of this size, but the number of actual arrest is significantly less.

The Director of Property Operations and the Senior Property Manager meets weekly with the two assigned officers to determine if households are in non-compliance with their lease, and if so, enforces the lease. This quarter the officers continued their community policing activities of walking the properties and proactively spending time talking with residents. In July for the 4th of July holiday, the officers provided glow sticks, and resource information to residents as a safe alternative to fireworks.

Exhibit B provides a visual indication of the comparison of this activity and also is used to identify potential trends. For ease of comparison, the number of reports written on



Housing Authority properties has been multiplied by 50 so that they can be compared with the much larger numbers for the city as a whole. This chart demonstrates that activity on Housing Authority properties tends to be less predictable than the city.

Staff will continue to review the statistics regularly to determine if any trends are developing and to address any issues as quickly as possible.

FINANCIAL IMPACT

The services provided are a budgeted item and this reporting is part of the Services agreement.

RECOMMENDATION

This report is provided for information only.

Respectfully submitted,



Vanessa M. Cooper
Executive Director

VMC/zp

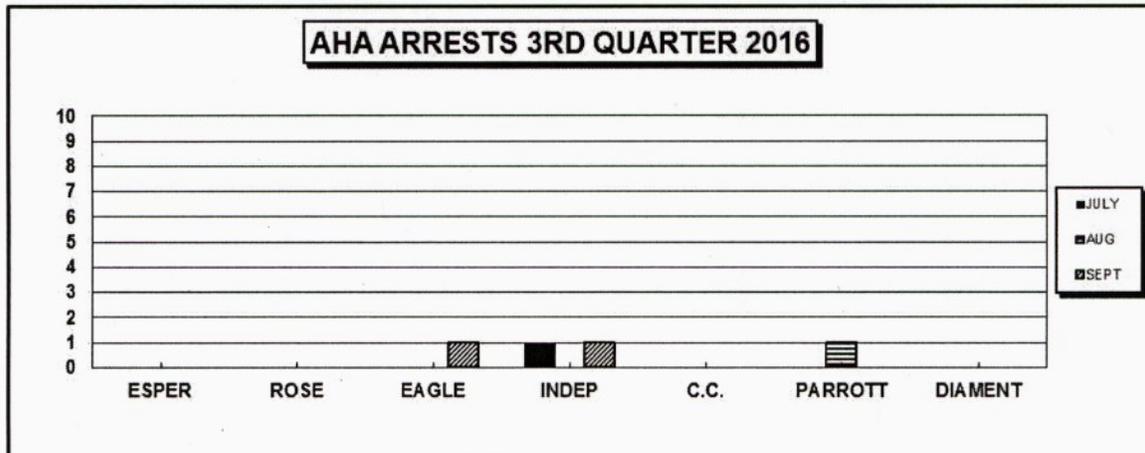
Attachments:

- A. Police Reports and Arrests Charts for 3rd Quarter of 2016
- B. Police Activity Comparison over a Two-year Period

cc: Officer Joshua Ramirez
Officer Jordan Halog



RD	114	144	145	146	124	212	349	AHA	CITY
	ESPER	ROSE	EAGLE	INDEP	C.C.	PARROTT	DIAMENT	TOTAL	TOTAL
MURDER	0	0	0	0	0	0	0	0	0
% CITY	#N/A								
RAPE	0	0	0	0	0	0	0	0	0
% CITY	#N/A								
ROBBERY	0	0	0	0	0	1	0	1	4
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	25.0%	0.0%	25.0%	
ASSAULT	0	0	1	0	0	0	0	1	50
% CITY	0.0%	0.0%	2.0%	0.0%	0.0%	0.0%	0.0%	2.0%	
BURG	0	0	0	0	0	0	0	0	9
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
THEFT	0	0	0	0	0	0	0	0	25
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
VEH THFT	0	0	0	0	0	0	0	0	5
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
NARC	0	0	0	0	0	0	0	0	33
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
INTOX	0	0	0	0	0	0	0	0	59
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
VANDAL	0	0	0	0	0	0	0	0	1
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
OTHER	0	0	0	2	0	0	0	2	342
% CITY	0.0%	0.0%	0.0%	0.6%	0.0%	0.0%	0.0%	0.6%	
TOTAL	0	0	1	2	0	1	0	4	528
% CITY	0.0%	0.0%	0.2%	0.4%	0.0%	0.2%	0.0%	0.8%	

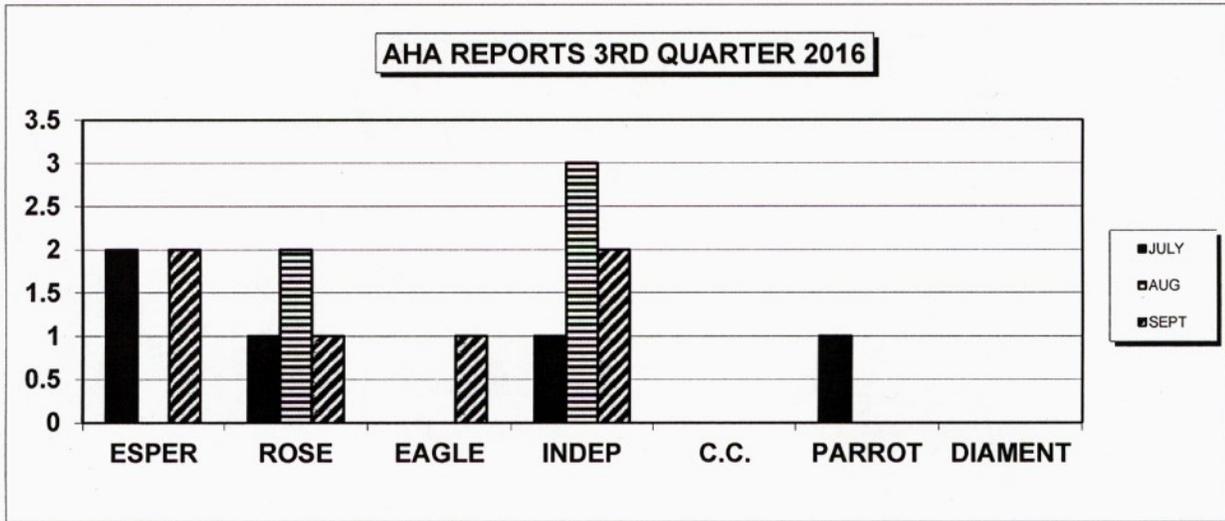


	ESPER	ROSE	EAGLE	INDEP	C.C.	PARROTT	DIAMENT	TOTAL
JULY	0	0	0	1	0	0	0	1
AUG	0	0	0	0	0	1	0	1
SEPT	0	0	1	1	0	0	0	2
TOTAL	0	0	1	2	0	1	0	4

3RD QUARTER 2016

CRIME REPORTS

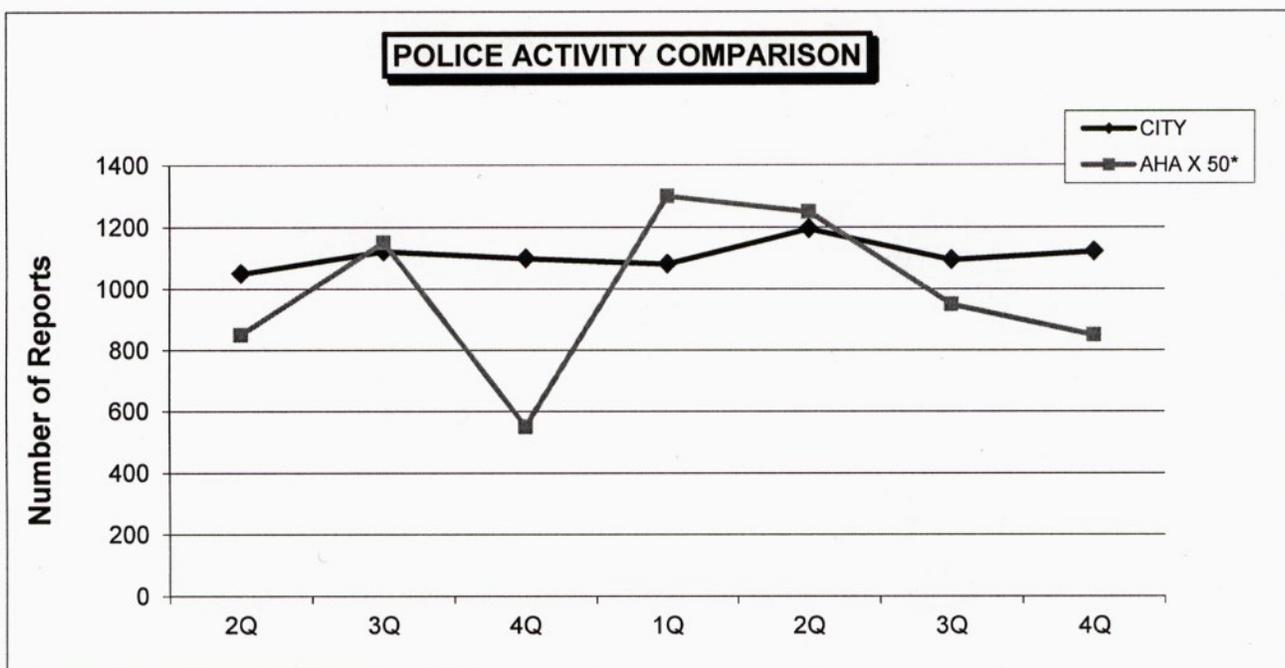
RD	114	144	145	112	124	212	325	AHA	CITY
	ESPER	ROSE	EAGLE	INDEP	C.C.	PARROT	DIAMENT	TOTAL	TOTAL
MURDER	0	0	0	0	0	0	0	0	0
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
RAPE	0	0	0	0	0	0	0	0	1
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
ROBBERY	0	0	0	0	0	0	0	0	17
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
ASSAULT	0	0	1	1	0	0	0	2	89
% CITY	0.0%	0.0%	1.1%	1.1%	0.0%	0.0%	0.0%	2.2%	
BURG	0	0	0	0	0	0	0	0	57
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
THEFT	0	0	0	0	0	0	0	0	315
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
VEH THFT	0	2	0	0	0	0	0	2	117
% CITY	0.0%	1.7%	0.0%	0.0%	0.0%	0.0%	0.0%	1.7%	
NARC	0	0	0	0	0	0	0	0	34
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
INTOX	0	0	0	1	0	0	0	1	61
% CITY	0.0%	0.0%	0.0%	1.6%	0.0%	0.0%	0.0%	1.6%	
VANDAL	0	0	0	0	0	0	0	0	74
% CITY	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
OTHER	4	2	0	4	0	1	0	11	320
% CITY	1.3%	0.6%	0.0%	1.3%	0.0%	0.3%	0.0%	3.4%	
TOTAL	4	4	1	6	0	1	0	16	1085
% CITY	0.4%	0.4%	0.1%	0.5%	0.0%	0.1%	0.0%	1.5%	



	ESPER	ROSE	EAGLE	INDEP	C.C.	PARROT	DIAMENT	TOTAL
JULY	2	1	0	1	0	1	0	5
AUG	0	2	0	3	0	0	0	5
SEPT	2	1	1	2	0	0	0	6
TOTAL	4	4	1	6	0	1	0	16

HOUSING AUTHORITY OF THE CITY OF ALAMEDA
POLICE ACTIVITY
ON HOUSING AUTHORITY PROPERTIES
COMPARED WITH THE CITY AS A WHOLE

	2Q FY15	3Q FY15	4Q FY15	1Q FY16	2Q FY16	3Q FY16	4Q FY16	1Q FY16
CITY	1050	1122	1099	1082	1195	1095	1122	1085
AHA X 50*	850	1150	550	1300	1250	950	850	800
AHA	17	23	11	26	25	19	17	16



* Note: Housing Authority numbers are multiplied by 50 to make it possible to compare with the much larger numbers for the City as a whole.

management analyst (Reports/Property Management/Police Reports/Quarterly Trend Chart)
12/5/2016



Housing Authority of the City of Alameda

701 Atlantic Avenue - Alameda, California 94501-2161 - TEL: (510) 747-4300 - FAX: (510) 522-7848 - TDD: (510) 522-8467

To: Honorable Chair and
Members of the Board of Commissioners

From: Vanessa M. Cooper
Executive Director

Prepared by: Tonya Schuler-Cummins, Senior Management Analyst

Date: December 21, 2016

Re: Amend the Administrative Plan Chapters 3, 4, 5, 6, 7, 8, 10, 11, 12, 15, 16, and 17 to implement HUD changes to the 1) Student Rule, 2) Family Unification Program (FUP), and 3) rent reasonableness requirements; to allow for operation of a Veterans Affairs Supportive Housing (VASH) program; to remove outdated language for voucher extensions due to previous revisions; to implement new flexibility in reductions in payment standards; to allow for criminal history screening for families using portability; to only require annual reporting for supportive services in PBV units; and to bring the Family Self-Sufficiency chapter into compliance while setting in policy current practices. Amendment (2016-04) and Attachment A

BACKGROUND

On September 21, 2016, in the Federal Register HUD published the *Eligibility of Independent Students for Assisted Housing Under Section 8 of the U.S. Housing Act of 1937; Additional Supplementary Guidance* to clarify the 2005 final rule for the Student Rule and change verification requirements for students under the age of 23 claiming assistance separate from their parents and in situations where there may be no contact with the parents.

On October 24, 2016, in the Federal Register HUD published the *Housing Opportunity Through Modernization Act of 2016: Initial Guidance* to clarify which provisions of the Housing Opportunity Through Modernization Act of 2016 (HOTMA) were self-implementing, which require more HUD guidance, and providing initial guidance for some changes such as allowing families to retain a higher payment standard when the Fair Market Rents reduce and for FUP youth to stay on the program for 36 months rather than 18 months.



On November 14, 2016, the Housing Authority was informed by HUD that the agency was receiving an award of 45 VASH vouchers for use under the Project-Based Voucher program.

DISCUSSION

Many of the changes in this revision are to comply with changes to HUD regulations or guidance as issued in the Federal Register.

The first such compliance change is to the requirements under which a student is considered independent from their parents when receiving housing assistance and what verifications are needed for youth separated from their parents, such as those leaving Foster Care. The notice removes the requirement that independent students, who may not have any contact with their parents, obtain income verification from these estranged parents.

The second compliance change is to revise the FUP graduate preference to reflect the change in regulations of allowing FUP youth to stay in the program for 36 months. This doubles the amount of time these FUP youth can receive assistance under the FUP program. Once the youth graduates (now at 36 months) under AHA's FUP, the youth can request a regular Housing Choice Voucher (HCV). The Housing Authority will verify compliance with the program, and will issue an HCV, if one is available. This revision does not change any of the requirements to receive the HCV except allowing the youth to remain under FUP for 36 months.

The third compliance change is an optional change allowed under HOTMA. The Housing Authority is electing to allow in-place families to retain a higher payment standard if a drop in the Fair Market Rents (FMRs) require the Housing Authority to reduce the payment standard. The previous requirement was that housing authorities had to reduce the payment standard at the second annual after the decrease. This made it difficult to track for each family. It also resulted in families living in units, found rent reasonable, but having to pay more to stay in-place due to a drop in FMRs. This revision provides some protection to these in-place families. If the family composition remains the same, the family will benefit from the higher payment standard until a move of units.

The fourth compliance change is a mandatory change of when rent reasonableness is required due to a drop in FMRs. HUD changed the threshold from a 5% to a 10% decrease in the FMRs to require a rent reasonableness test to be performed on all families in that unit size.

This revision provides clarification on voucher extensions now that vouchers are issued for an initial 180 days. A family does not need to request an initial term of a voucher of 120 days as a reasonable accommodation as all vouchers are issued for 180 days initially. This sentence should have been removed earlier, but was missed in previous revisions. The Housing Authority still processes requests for voucher extensions past the 180 days due to reasonable accommodation requests for persons with disabilities.



This revision also sets the groundwork for allowing for the operation of a VASH program due to the recent award by HUD of 45 new vouchers to be used under the Project-Based Voucher program. It is anticipated that an entire new chapter will be formulated to provide staff additional assistance with administering the program, but these changes allow a program to be operated.

This revision allows for a criminal history check to be run on incoming portability families. This has been the practice of the Housing Authority for many years, but it was never placed in the Administrative Plan. With recent changes to portability, HUD has attempted to make the portability process more transparent to the family exercising portability, so this revision allows for that transparency.

Staff completed an extensive review of the Family Self-Sufficiency (FSS) Program chapter after it was observed that the chapter left many items to staff discretion, but did not provide specific guidelines. To avoid any future misunderstandings, the chapter is being extensively reworded to remove any ambiguity.

The changes to this chapter include:

- Clarify that families not participating in the FSS program will not be adversely affected under the Housing Choice Voucher program
- Outline what type of services will be available under the FSS program
- Update language to use the most current terminology such as Limited English Proficiency (LEP), listing of protected classes, removal of outdated programs such as Welfare to Work, ????
- Clarify that the Housing Authority does not offer any incentives to participate in the FSS program beyond the establishment of the escrow account
- Clarify that applications are not continuously accepted and the application will only be available when applications are being accepted and the order that applicants will be admitted to the FSS program
- Clarifying that monies owed making the family ineligible for admission to the FSS program may come from any program or housing operated by the Housing Authority. For example, unpaid rent owed to the AHA may cause the family to be ineligible for the FSS program.
- Adding in the requirements of the composition of the Program Coordinating Committee as required by regulation
- Removed discretionary actions and replaced with the conditions under which action will be taken, such as if an FSS participant does not respond to the communication efforts, the participant will be terminated from the FSS program or if the family has made progress toward the goals, the Director of Housing Programs can extend the contract
- Clarifying that if a family exercises portability during the first year, the escrow account will be forfeited unless the family is moving for good cause, including a reasonable accommodation request or a domestic violence (VAWA) issue
- Adding in new portability requirements to explain to the participants how the portability move will affect the escrow account



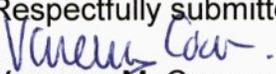
- Adding in policies on when the Housing Authority will work with other housing authorities under portability by allowing the family to remain in the AHA's FSS program or the other housing authority's FSS program
- Adding in policies on when incoming portable families are admitted to the AHA's FSS program and the policy that they do not have priority over wait list families
- Clarifying that the Informal Hearing will be operated according to policies in Chapter 15
- Clarifying the process for requesting a partial disbursement from the FSS account and the required responses from the Housing Authority

FINANCIAL IMPACT

This Amendment to the HCVP Administrative Plan will not have an immediate significant financial impact.

RECOMMENDATION

We recommend approval of the attached Amendment (2016-04) and Attachment A to the HCVP Administrative Plan.

Respectfully submitted,

Vanessa M. Cooper
Executive Director

VMC/tms

Attachments: AHA Housing Choice Voucher Program Administrative Plan Amendment 2016-04 and Attachment A



Chapter 17 Family Self-Sufficiency Program

A. OVERVIEW

Family Self Sufficiency (FSS) is a HUD program to help Section 8 Housing Choice Voucher and Project Based Voucher participants obtain employment which will lead to economic independence and self sufficiency through individual planning, case management services and community resources. It is expected that families participating the in FSS program will need services and tThe following services offered through FSS community linkages to meet those needs may include: job training and employment counseling; substance/alcohol abuse treatment or counseling; money management, child care, transportation, education, household skill training and homeownership counseling. Participation in the FSS program is voluntary and involves adherence to a five-year Contract of Participation by admitted participant families. Selection of a family to not participant in the FSS program will not affect their admission to a housing assistance program.

The development of the services and activities under this FSS program have been coordinated with the JOBS Program; the programs provided under the JTPA; and any other relevant employment, child care, transportation, training, and education programs (e.g., Job Training for the Homeless Demonstration program) in the applicable area, and that implementation will continue to be coordinated, in order to avoid duplication of services and activities.

B. PURPOSE (24 CFR 984.101)

The purpose of the Family Self Sufficiency (FSS) program is to reduce the dependency of Section 8 Voucher Participants on public assistance by achieving economic independence and self sufficiency over a five year period. Under the FSS program, the Housing Authority of the City of Alameda (AHA) will establish relationships with public and private agencies which will enable voucher participant families opportunities for skills building, job training, counseling, education, and other forms of social services; which should reduce or eliminate the need for public assistance over the time as they become active participants in the general workforce and possible candidates for homeownership.

This is a voluntary program and in the event a participant family fails to meet its obligations under the FSS Contract of Participation, the AHA will not terminate the participant family from the Section 8 Voucher program. A family will not be terminated from the voucher program for not enrolling in the FSS program.

C. NON-DISCRIMINATION (24 CFR 5.105)

In selecting participating families, ~~assurances will be evident that the selection was~~ will be made in a nondiscriminatory manner without regard to race, color,

Attachment A

religion, age, sex (includes, but is not limited to, pregnancy, childbirth, or medical conditions related to pregnancy or childbirth, as well as gender identity and gender expression), marital or family status, disability, medical condition, national origin, ancestry, source of income, and sexual orientation, gender identity, marital status, blindness, visual handicap, physical handicap, or mental impairment in compliance with Title VI of the Civil Rights Act of 1964 as amended, Title VIII of the Civil Rights Act of 1968 as amended, and Executive Orders 11063 & 12892.

AHA will not discriminate against otherwise qualified persons on the basis of disabilities and will make reasonable accommodations to allow participation in the FSS Program by persons with disabilities. AHA may decide that an accommodation is not reasonable if it causes undue financial and/or administrative burdens.

D. ESTIMATE OF PARTICIPATING FAMILIES (24 CFR 984.201)

The Housing Authority of the City of Alameda will initially recruit and maintain at least 26 participant families in the Family Self-Sufficiency program. However based on evidence of program number fluctuations due to port-outs, terminations and graduations, AHA will attempt to consistently maintain 30-35 participant families whenever fiscally sound to do so.

E. RECRUITMENT (24 CFR 984.201)

At the re-establishment of the Family Self-Sufficiency Program in May 2011, all voucher participants were contacted by direct mail. The mailing consisted of a brief description of the FSS program and dates of upcoming informational sessions in which interested persons could attend and acquire additional information about the program. Applications for admittance were made available at the informational sessions. Efforts were made to provide program information in a number of languages so that individuals with non-English Limited English Proficiency (LEP) speaking families were able to access the program. Subsequently, all voucher participants routinely receive a FSS brochure included in their annual re-exam packet and FSS information in periodic newsletters.

In addition, AHA, marketing activities to the Section 8 Voucher program participants will also include:

- a) Distribution of FSS program brochures to any participant who has requested additional information prior to becoming a new FSS participant
- b) Conducting FSS program presentations during Voucher briefings for new participants
- c) Reminder of FSS program and its benefits in AHA Participant Newsletters and annual re-examination packets
- d) Displaying FSS program posters throughout agency to market program

Attachment A

- e) Updating AHA's website with FSS program information and application, when accepting applications, for online inquiries
- f) Distribution of FSS program brochures and applications to Housing Specialists to distribute during annual or interim certifications to inquiring participants
- g) Informational meetings with guest speakers, as budget and time allows

The only incentive offered by the AHA to participant in the FSS program is the establishment of the FSS account in accordance with requirements set forth in 24 CFR 984.305.

F. ELIGIBILITY (24 CFR 984.201)

The FSS program is open to current Section 8 voucher participants under AHA's numerous voucher programs which include: Housing Choice, Project Based, ~~Welfare to Work (WTW)~~, Mainstream, Non-Elderly Disabled (NED), and Family Reunification Program (FUP) voucher holders. All current voucher participants are eligible to voluntarily apply to the FSS program.

To be selected to participate in the FSS program, a participant must be ~~the~~ head-of-household under AHA's ~~numerous~~ Voucher Programs. ~~A~~ To be eligible a participant must be a participant in good standing as per verification verified by the voucher program caseworker that they family are in compliance with Family Obligations and/or from the accounting department stating there are no monies owed to the AHA.

- a) ~~Families that owe money to the Housing Authority, are behind in monthly installment payments, or have not entered into a payment agreement; will not be eligible for participation in the FSS Program. Families may be ineligible for monies owed from any program or housing operated by the Housing Authority.~~

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Style: Bullet + Aligned at: 0.75" + Indent at: 1"

The FSS family includes everyone in the household. However; only one escrow account will be established per household. Other members of a household (over 18) are eligible to receive supportive services under the FSS program if the head ~~of~~ household has signed a Contract of Participation.

G. PROGRAM COORDINATING COMMITTEE (24 CFR 984.202)

The role of the Program Coordinating Committee (PCC) is to help secure commitments of public and private resources for the operation of the program; and to assist in developing the Action Plan and implementing the FSS program. The PCC (or body serving a similar function for Alameda and AHA participants) will generally meet on a quarterly basis. One member of the PCC will be a participant in the voucher program and one will be an AHA representative, as required by 24 CFR (b)(1)(ii).

- a) Recommended Membership for PCC includes:

Administrative Plan

17-3August 2013NovemberDecember 2016

Attachment A

- a. Local agencies responsible for carrying out JOBS training programs, or programs under the JTPA, and
 - b. Other organizations, such as other State, local or tribal welfare and employment agencies,
 - c. Public and private education or training institutions,
 - d. Child care providers,
 - e. Nonprofit service providers, private business, and
 - f. Any other public and private service providers with resources to assist the FSS program.
- b) AHA will maintain a PCC in accordance with HUD regulations.

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H. APPLICATION AND SELECTION PROCESS (24 CFR 984.203)

All potential participants must complete the initial FSS application and self-survey and will be screened for a priority status preference.

- a) Priority Status: applies to participants who are currently enrolled in and/or attending any educational or training program including but not limited to:
- a) Workforce Investment Act programs administered through One-Stop Career Centers: Adult/Youth Low Income Programs, Dislocated Workers Program, Eastbay Works; College/University coursework and other educational programs that lead to employment.

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Fifty percent of the available FSS slots will be targeted to voucher holders who have one or more family members currently enrolled in, or on a waiting list for a Priority Status related service programs. Once the priority status applicants are identified, the rest of the FSS applicants will be placed on a wait list in order of date and time of FSS application, and the only out of order admissions will be to fill every other available slot with a priority status family.

Once pulled from the FSS waitlist, prospective participants will meet with FSS staff for an orientation interview which explains the program rules and regulations, the Contract of Participation, the Individualized Training and Service Plan (ITSP) and Escrow account accumulation. During the program overview, the participant's motivation to become economically self-sufficient by ending cash aid assistance and obtaining and maintaining employment is discussed and emphasized.

I. ASSESSMENT AND ITSP (24 CFR 984.303 (b)(2))

The process of identifying support needs begins with the potential participant's own self assessment. Prior to the initial interview, each applicant must complete a Self Assessment form. Each client is asked to examine their goals, family dynamics, school and employment patterns; financial and health concerns. Then through a series of discussions between the prospective participant and the Coordinator potential barriers/hindrances to achieving stated goals will be identified and a plan of action will be developed to successfully maneuver

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through barriers and while also striving towards successful completion of goal plan.

The Individual Training and Services Plan (ITSP) will grow out of those discussions between the FSS Coordinator and prospective participant. Specific goals will be identified and sequenced. FSS staff will work with the participant to map the sequence of small steps that need to be taken to achieve each goal and to establish realistic target dates for their completion.

- a) The ITSP will be reviewed at least annually by both parties and may be amended by mutual agreement between the participant and FSS Staff, with such changes made in writing and signed, then becoming the required attachment to the initial FSS Contract of Participation.

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J. CASE MANAGEMENT

Case management is a key factor in ensuring comprehensive service delivery. Case management establishes a systematic, continuous process in which families are actively involved in planning the steps they can take to improve their lives and in evaluating the results. Case management is not merely service brokering, but a problem-solving partnership among practitioners and clients. AHA employs a FSS Program Coordinator who fulfills the following functions:

- a) Assist in briefing of applicants;
- b) Provide information and referral services to participants;
- e) Assist in identifying and utilizing appropriate community resources;
- d) Coordinate services for participants with various Health and Human Services/Social Services agencies, and other non-profit groups;
- e) Monitor participant's progress in meeting goals set out in ITSP;
- f) Work with other agencies' case managers;

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K. CONTRACT OF PARTICIPATION (24 CFR 984.303)

All applicants selected for participation in the FSS program will be required to sign a five-year Contract of Participation. AHA will use a contract format approved by HUD. The contract will include an Individual Training and Services Plan (ITSP). The contract will include the family's annual income, earned income, and the Total Tenant Payment (TTP) in effect as of the effective date of the contract.

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a) Family Responsibilities:

a.a) Seek and maintain suitable employment* throughout the term of the contract. AHA recognizes that suitable employment varies with the capability and circumstances of each the FSS Participant.

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- *a. Suitable Employment: based on the Head-of-Household's skills, training, education and available employment opportunities in AHA's jurisdiction.

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b-b) All FSS Participants must work full-time (min. 32 hrs. week) of his/her contract in suitable employment, earning at least minimum wage, matching the client's final goal outlined in the ITSP.

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a. Self-employed participants must work at the capacity outlined in their ITSP, earning a net income which is at least equivalent to rate of minimum hourly wage and full-time work hours per week.

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b. A FSS participant with circumstances/conditions that affect their ability to work 32 hrs per work may request a modification to this requirement.

e-c) Approved (in the ITSP) job training or education leading toward full-time employment may constitute "suitable employment" until the last six months of the FSS Client's participation in the FSS Program.

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a. *Suitable Employment may also be a part-time job that has possibilities for advancement and full-time hours near the end of the FSS Client's participation in the FSS Program.

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d-d) Complete activities in the ITSP within the specified dates; and

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e-e) Provide the AHA with information about the family's participation in the FSS program upon request, including:

a. Information regarding employment, job interviews, training, educational attendance, and other FSS services and activities. Specifically, FSS participants must return phone calls, respond to written correspondence, surveys etc., from FSS staff in a timely manner.

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f-f) FSS Participants who do not respond to communication efforts by the FSS Coordinator may will be terminated from the FSS Program after reasonable effort is made by the FSS Coordinator to receive a response.

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g-g) All FSS participant family members must:

a. Comply with the family obligations under the Section 8 program; and
b. Become independent from welfare assistance** and remain independent from welfare assistance for at least 12 months prior to the expiration of the contract of participation.

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A. **Welfare Assistance defined: Welfare assistance means (for purposes of the FSS program only) income assistance from Federal or State welfare programs, and includes only cash maintenance payments designed to meet a family's ongoing basic needs.

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b)h) Contract of Participation Extension:

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a. A participant in the FSS program may request in writing an extension of the contract of participant, if the family is unable to complete its goals within the five-year period due to a good cause,

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• Good Cause defined: a serious illness, involuntary loss of employment for the head-of-household, or other circumstances beyond the family's control.

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b. If the FSS Coordinator determines there is a good cause for contract extension, then an initial extension shall be granted, in writing, for up to a one year period, and the ITSP will be modified in writing to reflect the extension and ongoing goals.

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- At the end of the initial one year extension, if the FSS participant can show that the effects of the good cause delay have been alleviated, and
- FSS Participant has shown significant progress towards completing final goals, an additional one year extension may be granted with approval of the Director of Housing Programs on a case-by-case basis.
- At no time shall the allotted contract of participation extension exceed more than two years from the initially contracted Contract of participation completion date.

L. TERMINATION OF CONTRACT OF PARTICIPATION (24 CFR 984.303 (h))

The FSS Contract of Participation will be terminated if the FSS Participant's Section 8 Voucher assistance is terminated in accordance with HUD requirements.

AHA ~~may~~ will terminate the contract of FSS families who do not comply with the family responsibilities in the FSS Contract of Participation. Termination from the FSS Program will not cause a family to lose its Section 8 housing assistance.

Termination of the Contract of Participation:

- a) ~~AHA may~~ will terminate the family's Contract of Participation if:
- a. The family and AHA mutually agree to terminate the contract; or
 - b. AHA determines the family is not complying with, or has not complied with its responsibilities under the FSS program; or
 - c. The family withdraws from the FSS program; or
 - d. Such other act as is deemed inconsistent with the purpose of the FSS program (such as noncompliance with the lease, noncompliance with the Section 8 program family obligations, fraud, or a violent or drug related criminal act); or
 - e. Operation of law or
 - f. The family does not complete the requirements of the contract prior to the expiration date without good cause; or
 - g. The family exercises portability to a jurisdiction that does not have a FSS program or the family is not accepted into the new jurisdiction's FSS program.
 - g-h. The family exercises portability to a jurisdiction, without good cause, prior to meeting the one year initial jurisdiction requirement. Good cause includes reasonable accommodation requests and VAWA cases.
- b) Contract of Participation termination, whether by choice or due to noncompliance with obligations and/or responsibilities, will result in forfeiture of escrow account funds.

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Hearing Procedures:

Administrative Plan

17-7August 2013NovemberDecember 2016

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- a) A family that is terminated from the FSS Program has the right to request an Informal Hearing. The procedures for requesting, scheduling and conducting an Informal Hearing will comply with the same as for the termination of a voucher. The Informal Hearing Policies and Procedures of the Housing Authority, as are described in Chapter 15 of this the Housing Authority's Administrative Plan.

M. ESCROW ACCOUNT IMPLEMENTATION (24 CFR 984.305)

The FSS program provides for the establishment of an escrow account. The amount of the escrow credit is based on increases in the family's total tenant payment (TTP) resulting from increases in the family's earned income during the term of the FSS contract subsequent to signing the contract. FSS escrow credits will be calculated monthly and in accordance with HUD regulations. Interest on the FSS escrow account balances will be allocated monthly.

The money in the escrow account belongs to the Housing Authority until the FSS participant completes the goals in the Contract of Participation. Upon successful completion of the contract, the participant shall receive all of the money in the escrow account less any amount owed to the Housing Authority.

- a) Establishing Escrow Account:
 - a. FSS escrow funds must be deposited into a single, interest-bearing depository account. The accounting for these funds will be supported through a subsidiary ledger that records the balance of each individual FSS participant's account.
 - b. AHA will report to the family at least annually on the escrow account including:
 - i. The balance at the beginning of the reporting period,
 - ii. The amount credited during the period,
 - iii. Any deductions made from the account for amounts due AHA before interest was distributed,
 - iv. The amount of interest earned on the account, and
 - v. The total in the account at the end of the reporting period

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- b) Forfeiture of Escrow Account:
 - a. A participating family has no right to any funds from its FSS escrow account if the family's Contract of Participation is terminated, declared null and void, or the AHA determines the family did not successfully graduate from the FSS program.
 - a.b. A participating family that withdrawals from the AHA FSS program or ports to another jurisdiction prior to the one year initial jurisdiction requirement will forfeit its escrow account. See Section O for more details.

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- b-c. The AHA will close the family's escrow account and will treat forfeited escrow funds as program receipts for payment of program expenses under the AHA budget for the applicable Section 8 program, and shall be used in accordance with HUD requirements governing the use of program receipts.
- e-d. A Participant whose Escrow Account is forfeited has the right to request an Informal Hearing.

N. ESCROW DISBURSEMENTS (24 CFR 984.305 (c))

The AHA may will permit the family to withdraw funds from the FSS escrow account before completion of the contract if the family has completed specific interim goals, designated by the AHA, and needs some of the FSS escrow account funds to complete the contract.

a) Partial Disbursement of Escrow Account Funds to FSS Participant:

- a. An FSS Participant in good standing with the AHA and FSS program may request a partial disbursement of escrow account funds up to, but not exceeding, 50% of the total balance at time of request one time during their 5 year contract of participation;
- b. FSS Participant must submit in writing, to FSS Coordinator, a request for funds, specifically stating the purpose of the funds request and how the expenditure will assist participant to further their FSS contract goals.
 - a) i.e. medical and/or mental health expenditure, child care expenditure, transportation expenditure, work related expenditure, job training or educational expenditure, credit repair and/or other activities that support a family's effort to achieve self-sufficiency.
- c. The written request must be signed and dated by the FSS participant.
- d. FSS Coordinator will then review participant's FSS file and determine if all qualifications for partial disbursement have been met:

b) Qualifications for partial Disbursements:

- a. FSS participant and household is in compliance with Section 8 Family Obligations
- b. FSS participant must have been actively participating on FSS program for at least one year.
 - a) Actively participating defined: completing quarterly check-ins, attending FSS-sponsored workshops and functions; working towards completing goals.
- c. Participant must have successfully completed at least one interim goal.
- d. Participant must have accumulated at least \$1000 in their escrow account prior to request for partial disbursement.
 - a) A waiver to the minimal \$1000 amount is possible in the event of extreme hardship.

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- e. Once qualifications are determined successful, FSS Coordinator then forwards written request from the participant and successful qualifications documents to Director of Housing Programs for approval.
- f. Director of Housing Programs will review request, qualifications and make a determination to approve or disapprove.
- g. If approved, a written check request and supportive documentation is completed and forwarded to Executive Director for final approval and signature.
 - a) ~~At all times~~ If possible, the expenditure must be such that the payment can be made directly to vendor.
 - b) The FSS participant must provide vendor information including billing and/or price amounts.
 - b)h. If not approved, the FSS Coordinator will communicate to the requestor the reason for the disapproval in writing.
- c) Final Disbursement:
 - a. The participating family will receive a disbursement of its escrow funds upon successful completion of the Contract of Participation.
 - a) Successful Completion is defined as:
 - 1. Written verification that Head-of-Household has satisfied final goal requirements set out in ITSP for suitable employment.
 - 2. Written verification that no one in FSS participant's household has received any Federal, State or other public welfare assistance in the 12 months prior to five-year contract expiration date or date of early termination of contract.
 - b. The Family Self-Sufficiency Coordinator and the Director of Housing Programs will review final disbursement requests and written verifications.
 - c. A thorough audit of the Escrow Account ledger and FSS Participant's case file will be made prior to final disbursement.
 - d. The family may use its final disbursement escrow funds for any purpose.

O. PORTABILITY (24 CFR 984.306)

In order to participate in the FSS Program, families must live in the initial jurisdiction for not less than one year before the family will be considered for a move under portability. AHA has the authority to approve a family's request to move during this period. Moves will only be approved for approved reasonable accommodation requests for an individual with disabilities or is a move protected under the VAWA.

AHA must clearly explain to any FSS family that is requesting to move under portability how such a move may impact the family's participation in FSS, including any affections on continued participation, graduation, and possible

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forfeiture of escrow funds. In cases where the portability move would result in forfeiture of the FSS escrow funds, a waiver can be requested from HUD if the move is for good cause.

Outgoing Portability:

- a) After one year a family can choose to continue to participate in the FSS Program but move to another jurisdiction with the following conditions:
 - a. The family must demonstrate to the satisfaction of AHA that it will be able to fulfill its responsibilities under the original (or a modified) Contract of Participation in the receiving jurisdiction.
 - b) If a participating family moves and is unable to fulfill its obligations under the Contract of Participation (or a modification thereof), AHA will:
 - a. terminate the participating family from the FSS Program; and
 - b. the family will forfeit its escrow account.
 - c) If the family is participating in the FSS Voucher program and moves outside the AHA's jurisdiction, AHA may will transfer the balance of the family's escrow account upon:
 - a. Receipt of a written request from the Receiving Housing Authority's (RHA) FSS staff providing proof that the participating family has been admitted to the receiving RHA's FSS program. This notice must be to AHA FSS program staff within 120 days from lease up.
 - e) Failure to enroll into receiving Housing Authority's FSS program within 120 days from lease up, will result in a termination from the AHA FSS program.
 - b. The RHA should contact the AHA as soon as possible to coordinate the current submission of FSS Addendums to IMS/PIC and the transfer of the escrow account. The RHA must meet any HUD portability notification requirements.
 - d)
 - e)d) All other provisions of portability remain the same under the FSS Program

Effects of escrow accounts for families who move to other jurisdictions are detailed in PIH Notice 2016-08:

- a) If an FSS family moves and the receiving HARHA absorbs the family:
 - a) and issues their own Voucher, the receiving HA sets up an escrow account. AHA must close out the family's escrow account and forward the balance to the receiving HA.
 - a. If the RHA does not operate an FSS program, the family's participation in the FSS program will terminate and the escrow account may be forfeited.

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b. If the RHA does operate an FSS program, the family may enroll in the RHA's program or remain in the AHA's program. Both options require approval from the RHA. The AHA would only agree to the second option if it believes the family can continue to meet the obligations of the contract of participation. The escrow account will be transferred to the RHA.

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b) If the FSS participating family moves, and the RHA-receiving HA decides not to absorb (chooses to administer the voucher and bill) the AHA, the family may request to remain in the AHA's FSS program with AHA and RHA approval, or, with RHA approval, enroll in the RHA's program. The escrow account will remain with the AHA.

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c) If they family wishes to remain in the AHA's program, the family must demonstrate they can continue in AHA's FSS Program by:
a. Following through with goal updates with FSS staff, and
b. AHA will maintain the escrow account.
c.a. The receiving HA must provide AHA with a breakdown of employment income versus other income in order to enable AHA to calculate escrow account deposits

d) If the family enrolls in the RHA's FSS program under a billing situation and the family completes the Contract of Participation, the receiving RHA will notify AHA and certify that the family is no longer receiving housing assistance.

a. If the family has met the requirements for successful completion of contract which allows for final disbursement of escrow account, then AHA will pay out the escrow account to the family.

e) If the family enrolls in the RHA's FSS program under a billing situation and if the family does not complete the Contract of Participation, when it expires, the escrow account is forfeited.

a. the receiving HA shall notify AHA and the escrow account is forfeited and reverts to AHA.

Incoming Portability:

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f)a) AHA is not obligated to accept incoming portable FSS participants into the FSS program. Acceptance of incoming portable clients into the AHA FSS program is entirely at the discretion of AHA. AHA will accept portable FSS participants into its program under the following conditions:

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- a. There is an available slot in the program.
- b. The AHA has available funds and staff for the admission.
- c. The family is in good standing with the FSS program from the original Housing Authority.
- d. There is not a wait list for the FSS program.

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b) If the AHA is unable to admit the family into its FSS program, and the Initial Housing Authority (IHA) is willing to allow the participant to remain in the IHA's program, the AHA will approve this as long as:

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a. The IHA promptly notifies the AHA of any IMS/PIC submission data

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- b. The IHA agrees to follow HUD guidance on escrow funds and other program requirements.
- g) It is the responsibility of all FSS families exercising portability into the jurisdiction of AHA to notify AHA of their status in the FSS program. This notification should be done at voucher issuance but no later than lease-up to ensure that the AHA may timely submit all electronic information to IMS/PIC. If the family notifies the AHA of their participation in the FSS program too late for the AHA to meet any HUD portability deadlines, the AHA will not accept the family into the FSS program.
- a. Incoming Port FSS Participants have 120 days from lease up in AHA's jurisdiction to notify AHA FSS staff about their desire to transfer their Contract of Participation to AHA jurisdiction.
- c)
h)d) If AHA accepts the family into the FSS program, the AHA will execute a new FSS Contract of Participation. The client will remain in the AHA FSS program until 5 years from the start of their initial contract with their initial Housing Authority unless early graduation, termination, or extension of their contract by AHA occurs.

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AHA Housing Choice Voucher Program Administrative Plan Amendment: 2016-04

Program: Housing Choice Voucher Program (HCVP)

Effective Date: December 22, 2016

Purpose: This amendment to the Administrative Plan of the Housing Authority of the City of Alameda (AHA) Section 8 Administrative Plan revises Chapters 3, 4, 5, 6, 7, 8, 10, 11, 12, 15, 16, and 17 to to implement HUD changes to the 1) Student Rule, 2) Family Unification Program, and 3) rent reasonableness requirements; to allow for operation of a Veterans Affairs Supportive Housing (VASH) program; to remove outdated language for voucher extensions due to previous revisions; to implement new flexibility in reductions in payment standards; to allow for criminal history screening for families using portability; to only require annual reporting for supportive services in PBV units; and to bring the Family Self-Sufficiency chapter into compliance while setting in policy current practices.

Proposed deletions are struck-out and proposed additions are underlined.

1. Revise Chapter 3, Section 3-II.E. *STUDENTS ENROLLED IN INSTITUTIONS OF HIGHER EDUCATION* [24 CFR 5.612 AND FR Notice 4/10/06 to reflect the new federal register published on September 21, 2016.

Definitions

In determining whether and how the new eligibility restrictions apply to a student, the AHA will rely on the following definitions [FR 4/10/06, p. 18148 and 9/21/16, p. 64932].

Dependent Child

In the context of the student eligibility restrictions, *dependent child* means a dependent child of a student enrolled in an institution of higher education. The dependent child must also meet the definition of *dependent* in 24 CFR 5.603, which states that the dependent must be a member of the assisted family, other than the head of household or spouse, who is under 18 years of age, is a person with a disability, or is a full-time student. Foster children and foster adults are not considered dependents.

Independent Student

The AHA will consider a student "independent" from his or her parents and the parents' income will not be considered when determining the student's eligibility if the following four criteria are all met:

1. The individual is of legal contract age under state law.

2. The individual has established a household separate from his/her parents for at least one year prior to application for occupancy or the individual meets the U.S. Department of Education's definition of independent student.

To be considered an *independent student* according to the Department of Education, a student must meet one or more of the following criteria:

- The individual is 24 years of age or older by December 31 of the award year;
 - The individual is an orphan, in foster care, or a ward of the court or was an orphan, in foster care, or a ward of the court at any time when the individual was 13 years of age or older;
 - The individual is, or was immediately prior to attaining the age of majority, an emancipated minor or in legal guardianship as determined by a court of competent jurisdiction in the individual's State of legal residence;
 - The individual is a veteran of the Armed Forces of the United States (as defined in subsection (c)(1) of HEA) or is currently serving on active duty in the Armed Forces for other than training purposes;
 - The individual is a graduate or professional student;
 - The individual is a married individual;
 - The individual has legal dependents other than a spouse;
 - The individual has been verified during the school year in which the application is submitted as either an unaccompanied youth who is a homeless child or youth (as such terms are defined in section 725 of the McKinney-Vento Homeless Assistance Act) (42 U.S.C. 11431 *et seq.*), or as unaccompanied, at risk of homelessness, and self-supporting, by—
 - a local educational agency homeless liaison, designated pursuant to section 722(g)(1)(J)(ii) of the McKinney-Vento Homeless Assistance Act;
 - the director of a program funded under the Runaway and Homeless Youth Act or a designee of the director;
 - the director of a program funded under subtitle B of title IV of the McKinney-Vento Homeless Assistance Act (relating to emergency shelter grants) or a designee of the director; or
 - a financial aid administrator; or
 - The individual is a student for whom a financial aid administrator makes a documented determination of independence by reason of other unusual circumstances.
- ~~• Be at least 24 years old by December 31 of the award year for which aid is sought~~
- ~~• Be an orphan or a ward of the court through the age of 18~~
- ~~• Be a veteran of the U.S. Armed Forces~~
- ~~• Have one or more legal dependents other than a spouse (e.g., dependent children or an elderly dependent parent)~~
- ~~• Be a graduate or professional student~~
- ~~• Be married~~

3. The individual was not claimed as a dependent by his/her parents pursuant to IRS regulations, as demonstrated on the parents' most recent tax forms.
4. The individual provides a certification of the amount of financial assistance that will be provided by his/her parents. This certification must be signed by the individual providing the support and must be submitted even if no assistance is being provided.

2. Revise Chapter 3, Section 3-III.D. *SCREENING* to

Screening for Eligibility

Public housing agencies are authorized to obtain criminal conviction records from law enforcement agencies to screen applicants for admission to the HCV program. This authority assists the PHA in complying with HUD requirements and PHA policies to deny assistance to applicants who are engaging in or have engaged in certain criminal activities. In order to obtain access to the records the AHA must require every applicant family to submit a consent form signed by each adult household member [24 CFR 5.903].

PHAs are required to perform criminal background checks necessary to determine whether any household member is subject to a lifetime registration requirement under a state sex offender program in the state where the housing is located, as well as in any other state where a household member is known to have resided [24 CFR 982.553(a)(2)(i)].

If the AHA proposes to deny assistance based on a criminal record or on lifetime sex offender registration information, the AHA must notify the household of the proposed action and must provide the subject of the record and the applicant a copy of the record and an opportunity to dispute the accuracy and relevance of the information prior to a denial of admission. [24 CFR 5.903(f) and 5.905(d)].

Screening for the Veterans Affairs Supportive Housing (VASH) program will be carried out per HUD regulation.

3. Revise Chapter 4, Section 4-II.C. *OPENING AND CLOSING THE WAITING LIST* [24 CFR 982.206] to reflect the change in the FUP program from 18 months to 36 months.

Closing the Waiting List

The AHA will close a waiting list if it has an adequate pool of families for the applicable program. Generally, this will be when the wait for applicants reaches 12 months for the most current applicants. Alternatively, the AHA will continue to accept applications only from certain categories of families that meet particular preferences or funding criteria.

The tenant-based waiting list is always open to an otherwise eligible applicant that:

- is eligible as set forth by a HUD award of funding to the AHA for a targeted category of Section 8 eligible families (see Section 4-III.B. Targeted Funding); or

- is an emancipated youth currently receiving housing assistance from AHA pursuant to HUD's Family Unification Program (FUP) regulations effective 2009 or later who, as determined by the Alameda County Social Services Agency, has successfully graduated from FUP and has been referred to the AHA by Alameda County Social Services;
 1. Eligible FUP graduates must be in good standing with the AHA. Good standing is defined as not in violation of Program regulations, not delinquent in paying rent to owner and does not owe a PHA money.
 2. Eligible FUP graduates must be in good standing with the Alameda County Social Services Agency and have met all case management obligations.
 3. Qualifies for the Terminated Preference (see 4-III.C). Subject to the approval of the Executive Director, FUP eligible graduates will be certified for HCV participation 60 days prior to the end date of the ~~18~~36-month FUP participation deadline. The Housing Choice Voucher will be effective on the first day following the ~~18~~36-month FUP participation deadline.

FUP graduates must request HCV participation within thirty (30) days from the end of the ~~18~~36-month FUP participation deadline. Failure to request HCV participation within this time period may result in denial of assistance.

4. Revise Chapter 4, Section 4-III.B. *SELECTION AND FUNDING SOURCES* to add operation of the Veterans Affairs Supportive Housing (VASH) program.

Targeted Funding [24 CFR 982.204(e)]

HUD may award the AHA funding for a specified category of families on the waiting list. The AHA must use this funding only to assist the families within the specified category. Within this category of families, the order in which such families are assisted is determined according to the policies provided in Section 4-III.C.

The AHA administers the following types of targeted funding:

- Mainstream Program
- Shelter Plus Care Program
- Bessie Coleman Mod Rehab Program
- Family Unification Program
- Veterans Affairs Supportive Housing (VASH)

5. Revise Chapter 4, Section 4-III.C. *SELECTION METHOD* to allow for operation of the VASH program, to update the limit on a FUP voucher from 18 months to 36 months, and to clarify that families receive the displaced preference if the

redevelopment activity invokes either the federal relocation law or the state relocation law.

The AHA will describe below the method for selecting applicant families from the waiting list, including the system of admission preferences that will be used [982.202(d)].

When a vacancy exists at a PBV site, the AHA will notify the next families on the applicable waiting list. The AHA's letter to the applicants also will state that if the applicant is interested in residing in the vacant PBV unit, that the applicant will not lose her or his place on the AHA's HCV waiting list.

All applicants indicating interest in the PBV unit will be prescreened by the AHA for Section 8 eligibility and referred to the owner in the order in which the screening has been completed. However, if the tenant selection criteria of the owner include screening for credit and criminal background, these procedures may be performed prior to completion of the full eligibility process. If, on the basis of property owners screening for suitability, including, the credit and criminal background screening process, the owner will not offer tenancy to the applicant, the AHA will not complete the voucher eligibility process and the applicant will be removed from the selected grouped site-based project-based waiting list and sent a notice to this effect.

Wait list referrals to the PBV owner will remain active for consideration for a PBV vacancy for a period of 120 days from the date of selection from the wait list. Referred tenants will be screened by the owner and readied for occupancy. First ready, is first referred back to the AHA for eligibility determination and leasing. Readiness is defined to mean having met all of the owner's screening criteria and accepted for tenancy.

In the event that multiple families are made ready for a PBV unit, as a tie breaker for who is assigned the unit, the family who has the highest rank from the referral list of all "ready" families will be processed by the AHA for eligibility determination and offered the available unit.

An owner may continue to work on suitability screening for up to three families from the latest referral list in anticipation of any additional vacancies that may arise during the 120-day referral period. The AHA will also continue the eligibility process for any family made ready by the owner.

If no unit is scheduled to be vacated by an existing tenant or there are no impending vacancies prior to the expiration of the 120-day period, all unassigned referrals will be returned to the project's PBV wait list.

If the AHA referrals do not provide the PBV owner with a suitable tenant for the unit and the wait list is exhausted, the owner may refer a Section 8 eligible individual or family to the AHA's grouped site-based PBV waiting list if it is open. The referred family must meet the AHA's Section 8 eligibility criteria. See chapter 16 for other options when the wait list is exhausted.

If any PBV wait list has been exhausted, and prior to opening the wait list for targeted outreach, the AHA may query HCV tenants to see if any tenant-based assisted household is interested in a PBV unit. Admission to the PBV program for HCV Tenants will be on a first ready, first served basis. Any additional HCV tenant families interested in PBV units

will be informed that the unit(s) has been leased and no further action will be taken on their behalf.

PBV Wait List applicants shall have priority over all HCV assisted tenants for PBV units.

PBV units approved under the Request for Proposals to build units for VASH-eligible households can only be filled with families referred by the VA as allowed under the VASH program. As these families are referred by the VA, the VA maintains all wait lists for this program.

Local Preferences and Point Values [24 CFR 982.207; HCV p. 4-16]

HUD allows housing authorities to establish local preferences, and the AHA has established local preferences, that give priority to serving families that meet those criteria. All local preferences are consistent with the AHA plan and the consolidated plan, and are based on local housing needs and priorities that are documented by generally accepted data sources.

The AHA has established local preferences for the HCV Program, the PBV Program at the Alameda Point Collaborative (APC) Property, the PBV Program at Jack Capon Villa (JCV), and the PBV Program at all other sites. These preferences and their point values are:

<u>HCV Program</u>	<u>PBV Program at APC & JCV</u>	<u>PBV Program at Other</u>
<u>FUP</u> Graduates (25 Points)	In Place (37 points)	In Place (37 points)
Displaced (9 points)	Supportive Services (10 pts.)	Displaced (9 points)
Special Provisions (8 points)	Displaced (9 points)	Terminated (7 points)
Terminated (7 points)	Terminated (7 points)	Residency (6 points)
Residency (6 points)	Residency (6 points)	Family (3 points)
Family (3 points)	Family (3 points)	Veteran (2 points)
Veteran (2 points)	Veteran (2 points)	

Preference points are aggregated to produce the total preference points for each applicant. Applicants with the same total preference points will then be sorted by the method in which they were selected to be placed on the waiting list (i.e., date and time of application or order of random selection).

FUP Graduates. Emancipated Youth assisted with Family Unification Program (FUP) funding pursuant to FUP regulations dated 2009 or later who were given rental assistance for a fixed term of ~~eighteen~~thirty-six months who are now aging out of that ~~eighteen~~thirty-six-month period and referred by Alameda County Social Service for assistance under the HCV Program. Admissions are limited to five per calendar month for this preference subject to availability of vouchers.

Displaced. Special Admissions are explained in 4-III.B and qualification for this preference is not qualification for a Special Admission. Applicants eligible for this preference must meet one of the following criteria in order to gain admission to the Project-Based Voucher Program waiting lists.

Displaced Person(s). A person or persons whose dwelling in AHA's jurisdiction, as determined by AHA:

- Has been destroyed, rendered uninhabitable or projected to be uninhabitable for at least 180 days from the date of displacement as a result of action or inaction by a landlord in response to a disaster declared by the Federal Government or the State of California—provided that the family was meeting all conditions of occupancy at the time of its occurrence; or
- Has been, or will be, rendered legally or functionally uninhabitable for, at least, 180 days from the date of displacement as a result of redevelopment activity or actions invoking the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Relocation Act) ~~and~~ or Section 104(d) of the Housing and Community Development Act (HCD).

6. Revise Chapter 5, Section 5-II.E. *VOUCHER TERM, EXTENSIONS, AND SUSPENSTIONS* to correct the chapter due to the initial term being 180 calendar days and reasonable accommodation requests no longer needed to request 120 days for an initial voucher.

Voucher Term [24 CFR 982.303]

The initial term of a voucher will be 180 calendar days. The initial term must be stated on the voucher [24 CFR 982.303(a)].

~~A person with a disability may request an initial term of 120 days to have an equal opportunity to seek housing. Such request will be approved upon verification of need.~~

The family must submit a Request for Tenancy Approval

7. Revise Chapter 6, Section 6-III.C. *APPLYING PAYMENT STANDARDS* to use new flexibility on allowing an in-place family to retain a higher payment standard if the Fair Market Rents decrease.

Changes in Payment Standards

When the AHA revises its payment standards during the term of the HAP contract for a family's unit, it will apply the new payment standards in accordance with HUD regulations.

Decreases

If the payment standard decreases, the family will receive the higher (old) payment standard while the family continues to receive voucher assistance in that unit as long as the family composition does not change. If the family composition changes and the result is a reduction in subsidy size, the new payment standard will be applied at the next annual when the subsidy size is changed.

If the family moves, the new payment standard will be applied to the new unit.

~~If the amount on the payment standard schedule is decreased during the term of the HAP contract, the lower payment standard generally will be used beginning at the effective date of the family's second regular reexamination following the effective date of the decrease in the payment standard. The AHA will determine the payment standard for the family as follows:~~

~~**Step 1:** At the first regular reexamination following the decrease in the payment standard, the AHA will determine the payment standard for the family using the lower of the payment standard for the family unit size or the size of the dwelling unit rented by the family.~~

~~**Step 2:** The AHA will compare the payment standard from step 1 to the payment standard last used to calculate the monthly housing assistance payment for the family. The payment standard used by the AHA at the first regular reexamination following the decrease in the payment standard will be the higher of these two payment standards. The AHA will advise the family that the application of the lower payment standard will be deferred until the second regular reexamination following the effective date of the decrease in the payment standard.~~

~~**Step 3:** At the second regular reexamination following the decrease in the payment standard, the lower payment standard will be used to calculate the monthly housing assistance payment for the family unless the AHA has subsequently increased the payment standard, in which case the payment standard will be determined in accordance with procedures for increases in payment standards described below.~~

8. Revise Chapter 7, Section 7-II.E. *VERIFICATION OF STUDENT STATUS* to conform with Federal Register notice 9/21/16.

Independent Student

The AHA will verify a student's independence from his/her parents to determine that the student's parents' income is not relevant for determining the student's eligibility by doing all of the following:

- Either reviewing and verifying previous address information to determine whether the student has established a household separate from his/her parents for at least one year or reviewing and verifying documentation relevant to determining whether the student meets the U.S. Department of Education's definition of *independent student* (see Section 3-II.E);
- Reviewing a student's prior year income tax returns to verify the student is independent or verifying the student meets the U.S. Department of Education's definition of *independent student* (see Section 3-II.E) prior year income tax returns to verify whether a parent has claimed the student as a dependent; and
- Verifying income provided by a parent by requiring a written certification from the individual providing the support. Certification is also required if the parent is providing no support to the student. Financial assistance that is provided by

~~persons not living in the unit is part of annual income. (Except if the student meets the Department of Education's definition of "independent student" in paragraphs (b), (c) or (h) adopted in section II of this notice). Requesting and obtaining written certification directly from the student's parents identifying the amount of support they will be providing to the student, even if the amount of support is \$0.~~

9. Revise Chapter 7, Section 7-III.K. *PARENTAL INCOME OF STUDENTS SUBJECT TO ELIGIBILITY RESTRICTIONS* to conform with Federal Register notice 9/21/16.

7-III.K. PARENTAL INCOME OF STUDENTS SUBJECT TO ELIGIBILITY RESTRICTIONS

If a student enrolled at an institution of higher education is under the age of 24, is not a veteran, is not married, does not have a dependent child, and is not a person with disabilities receiving assistance as of November 30, 2005, the income of the student's parents must be considered when determining income eligibility, unless the student is determined independent from his or her parents in accordance with AHA policy [24 CFR 5.612 and FR 4/10/06 9/21/16, p. 6493248446].

10. Revise Chapter 8, Section 8-III.B. *WHEN RENT REASONABLENESS DETERMINATIONS ARE REQUIRED* to conform with new PIH notice changing required determinations from a 5% to a 10% drop in Fair Market Rents.

AHA- and HUD-Initiated Rent Reasonableness Determinations

HUD requires the AHA to make a determination of rent reasonableness (even if the owner has not requested a change) if there is a 5-10 percent decrease in the Fair Market Rent that goes into effect at least 60 days before the contract anniversary date. HUD also may direct the AHA to make a determination at any other time. The AHA may decide that a new determination of rent reasonableness is needed at any time.

11. Revise Chapter 10, Section 10-II.C. *RECEIVING PHA ROLE* to allow for criminal history checks on families using portability to move into AHA's jurisdiction.

INCOME ELIGIBILITY AND REEXAMINATION

HUD allows the receiving PHA to conduct its own income reexamination of a portable family [24 CFR 982.355(c)(4)]. However, the receiving PHA may not delay voucher issuance or unit approval until the reexamination process is complete unless the reexamination is necessary to determine that an applicant family is income eligible for admission to the program in the area where the family wishes to lease a unit [Notice PIH

2004-12, 24 CFR 982.201(b)(4)]. The receiving PHA does not redetermine income eligibility for a portable family that was already receiving assistance in the initial PHA's voucher program [24 CFR 982.355(c)(1)].

For any family moving into its jurisdiction under portability, the AHA will conduct a reexamination of family income and composition, including criminal background checks on adult household members. However, the AHA will not delay issuing the family a voucher for this reason. Nor will the AHA delay approving a unit for the family until the reexamination process is complete unless the family is an applicant and the AHA cannot otherwise confirm that the family is income eligible for admission to the program in the area where the unit is located.

12. Revise Chapter 11, Section 11-III.B. *CHANGES IN PAYMENT STANDARDS AND UTILITY ALLOWANCES* to use new flexibility on allowing an in-place family to retain a higher payment standard if the Fair Market Rents decrease.

Payment Standards [24 CFR 982.505]

The family share of the rent and HAP calculations must use the correct payment standard for the family, taking into consideration the family unit size, the size of unit, and the area in which the unit is located [HCV GB, p. 12-5]. See Chapter 6 for information on how to select the appropriate payment standard.

When the AHA changes its payment standards or the family's situation changes, new payment standards are applied at the following times:

- If the AHA's payment standard amount changes during the term of the HAP contract, the date on which the new standard is applied depends on whether the standard has increased or decreased:
 - If the payment standard amount has *increased*, the increased payment standard will be applied at the *first annual* reexamination following the effective date of the increase in the payment standard.
 - If the payment standard amount has *decreased*, the decreased payment standard will be applied at the ~~second annual~~ reexamination following the effective date of the decrease in the payment standard at the time of move (transfer) or at the time of an annual that changes the payment standard due to a change in family composition.
- If the family moves to a new unit, ~~or a new HAP contract is executed due to changes in the lease (even if the family remains in place)~~ the current payment standard applicable to the family will be used when the new HAP contract is processed. If the family is in a PBV unit, the family will not be allowed to remain in place, but will be required to move within 30 calendar days as described in 11-II.B.
- If a new HAP contract is executed due to changes in the lease (even if the family remains in place and the family composition stays the same) the higher of the old payment standard or the current payment standard will be used.

13. Revise Chapter 12, Section 12-I.A. *OVERVIEW* to clarify that when operating a VASH program the rules of that program will be applied.

HUD requires the AHA to terminate assistance for certain offenses and when the family no longer requires assistance. HUD permits the AHA to terminate assistance for certain other actions family members take or fail to take. In addition, a family may decide to stop receiving HCV assistance at any time by notifying the AHA.

Termination of VASH participants will be in accordance with the VASH regulations, including for failing to comply with case management requirements.

14. Revise Chapter 15, Section 15-II.B. *PAYMENT STANDARDS [24 CFR 982.503; HCV GB, Chapter7]* to use new flexibility on allowing an in-place family to retain a higher payment standard if the Fair Market Rents decreases.

Payment standards for new contracts will go into effect when a family moves ~~or at the offer of a new lease.~~ For an offer of new lease, the higher of the old payment standard or the current payment standard will be used if the family composition remains the same. For ongoing contracts, if the payment standard increases, the new payment standard will be effective at the next annual reexamination. If the payment standard decreases, the new payment standard will be implemented at the time of ~~the second annual reexamination after the date the new payment standard is adopted~~ of move (transfer) or at the time of an annual that changes the payment standard due to a change in family composition.

15. Revise Chapter 16, Section 16-II.F. *CAP ON NUMBER OF PBV UNITS IN EACH PROJECT* to allow for annual reporting of owners offering supportive services of compliance rather than quarterly reporting.

The AHA will monitor the excepted family's continued receipt of supportive services and take appropriate action regarding those families that fail without good cause to complete their supportive services requirement. Monitoring will be accomplished by requiring the owner to provide ~~quarterly~~ annual reports on the family's participation and confirming this information by certification by the tenant at the annual re-examination. All "Excepted Families" must complete an annual PBV Certification of Supportive Services.

16. Revise Chapter 16, Section 16-VIII.A. *OVERVIEW* to conform with new PIH notice changing required determinations from a 5% to a 10% drop in Fair Market Rents.

16-VIII.A. OVERVIEW

The amount of the initial rent to an owner of units receiving PBV assistance is established at the beginning of the HAP contract term. Although for rehabilitated or newly constructed housing, the agreement to enter into HAP Contract (Agreement) states the estimated amount of the initial rent to owner, the actual amount of the initial rent to owner is established at the beginning of the HAP contract term.

During the term of the HAP contract, the rent to owner is redetermined at the owner's request in accordance with program requirements, and at such time that there is a five ~~ten~~ percent or greater decrease in the published FMR.

17. Revise Chapter 16, Section 16-VIII.B. *RENT LIMITS* [24 CFR 983.301] to conform with new PIH notice changing required determinations from a 5% to a 10% drop in Fair Market Rents.

Redetermination of Rent [24 CFR 983.302]

The AHA will redetermine the rent to owner upon the owner's request or when there is a 10 ~~5~~ percent or greater decrease in the published FMR.

18. Revise Chapter 16, Section 16-VIII.C. *REASONABLE RENT* [24 CFR 983.303] to conform with new PIH notice changing required determinations from a 5% to a 10% drop in Fair Market Rents.

When Rent Reasonable Determinations are Required

The AHA will redetermine the reasonable rent for a unit receiving PBV assistance whenever any of the following occur:

- There is a 5-10 percent or greater decrease in the published FMR in effect 60 days before the contract anniversary (for the unit sizes specified in the HAP contract) as compared with the FMR that was in effect one year before the contract anniversary date;
- The AHA approves a change in the allocation of responsibility for utilities between the owner and the tenant;
- The HAP contract is amended to add or substitute a different contract unit in the same building; or
- There is any other change that may substantially affect the reasonable rent.

19. Revise Chapter 17, *Family Self-Sufficiency Program* to provide clarification on discretionary policies and to provide all information required to operate an FSS program. See attachment A for the red-lined version of this chapter.

PRESENTATION

ADMINISTRATIVE PLAN REVISIONS

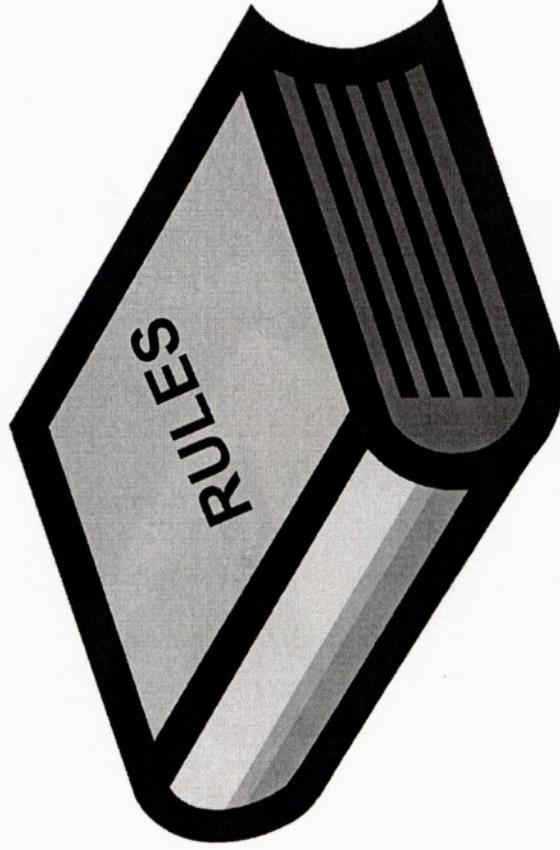
Lynette Jordan

December 2016

AHA Administrative Plan Amendment 2016-04
Program: Housing Choice Voucher Program (HCVP)
Effective Date: December 22, 2016



Housing
Authority of the City of Alameda



OBJECTIVE

- To revise Chapters 3, 4, 5, 6, 7, 8, 10, 11, 12, 15, 16, and 17
 - Add language regarding Veterans Affairs Supportive Housing (VASH) program
- Implement HUD changes
 - 1) Student Rule
 - 2) Family Unification Program
 - 3) rent reasonableness requirements
- Remove outdated language for voucher extensions

Objectives

- To implement new flexibility in reductions in payment standards
- To change the reporting requirement for supportive services in PBV units from **quarterly to annual**
- To bring the Family Self-Sufficiency Chapter into compliance while setting policy around our current practices.



12/13/2016

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Chapter 3

- **Students Enrolled in Institutions of Higher Learning**

Definition Changes:

To be considered an *independent student* according to the Department of Education,

A student must meet one or more of the following:

- Is 24 yr. or older by 12/31 of award year.
- In foster care, or a ward of the court or was an orphan, in foster care, or a ward of the court at any time when the individual was 13 years of age or older;
- The individual is, or was immediately prior to attaining the age of majority, an emancipated minor or in legal guardianship as determined by a court of competent jurisdiction in the individual's State of legal residence;
- The individual is a veteran of the Armed Forces of the United States (as defined in subsection (c)(1) of HEA) or is currently serving on active duty in the Armed Forces for other than training purposes

Chapter 3
Screening for Eligibility
Chapter 4
Waitlist-Targeted Funding

Addition:

1. Screening for VASH will be completed per HUD regulation

Chapter 4 Opening and Closing Waitlist

1. FUP has been extended voucher limit from 18 month to 36 months and under preferences.

Targeted Funding

1. VASH

PBV units approved under the Request for Proposals to build units for VASH-eligible households can only be filled with families referred by the VA as allowed under the VASH program. As these families are referred by the VA, the VA maintains all wait lists for this program

Local Preferences

Displaced Preference due to redevelopment activity
12/13/2016

Chapter 6, 7, 11, 15 Changes in Payment Standard

- **Decreases**
- If the payment standard decreases, the family will receive the higher (old) payment standard while the family continues to receive voucher assistance in that unit as long as the family composition does not change.
- If the family composition changes and the result is a reduction in subsidy size, the new payment standard will be applied at the next annual when the size is changed.
- If the family moves, the new payment standard will be applied to the new unit.
- subsidy

Chapter Changes

Chapter 7	Chapter 8 & 16	Chapter 10	Family Self-Sufficiency
<p><u>Independent Student</u> Reviewing student's prior year income tax return Verifying income / or no income provided by a parent by requiring written certification.</p> <p>12/13/2016</p>	<p><u>AHA-and HUD initiated Rent Reasonableness Determinations</u> From 5% to 10% Decrease in FMR</p>	<p><u>In-Coming Portability</u> Families moving to our jurisdiction AHA will conduct reexamine of income and composition, including Criminal background checks.</p> <p><u>Chapter 16</u> <u>Annual Reporting of Supportive Services</u> Changed from quarterly to annual</p>	<p>Provides clarification on discretionary policies and to provide all information required to operate an FSS program.</p> <p>See attachment A for the red-lined version of this chapter.</p> <p>8</p>

PRESENTATION

INDEPENDENCE PLAZA 2016 REVIEW OF INCOME,
ASSETS AND RENTS

ZeeLaura Page & Lisa Caldwell

December 2016

Independence Plaza 2016 review of income, assets and rents

ZeeLaura Page & Lisa Caldwell
December 2016

Overview of process

- In December 2015, AHA released a Request for Proposal (RFP) for a qualified firm to complete income certifications (equivalent to the LIHTC) for all households at Independence Plaza.
- In January 2016 staff shared information about the re-certification process with residents of Independence Plaza at the annual Town Hall meeting. The contract to complete the recertification's was awarded to CGI Federal (CGI).
- In April, AHA staff delivered a letter to all IP residents explaining the process and notifying them that the income certifications would begin in May 2016.

Overview of Process cont.

- CGI began the income certification process in early May by holding two informational tenant meetings for all IP residents.
- Following the two information sessions, CGI scheduled individual appointments with each tenant to collect required information on household income for every household at Independence Plaza.
- CGI spent the next few months meeting with each resident to collect all of the required documentation to certify each tenant's income.
- Of the 186 households, 179 households completed the re-certification process, 5 residents moved out during the process and 2 units were vacant at the end of the process.

Overview of Process cont.

- Translation and reasonable accommodations were provided
- For the moderate income households, this was the first time since move in that they had completed a full recertification
- For all households this was the first time we had independently verified income since move in
- AHA owns Independence Plaza but we do have a bond (loan) on the property.
- We will continue the recertification process annually as we need to be prepared for refinancing and recapitalization when the current RDA subsidy runs out. The operations of the property are heavily subsidized by the RDA. This runs out in 2026 at the latest and possibly earlier if there are large capital needs.

Income levels at IP

- 3 income levels
 - **Very Low (VLI)** – 50% of Area Median Income or less
 - **Low (LI)** – 51-80% of Area Median Income (AMI)
 - **Moderate (Mod)** – 81-120% of Area Median Income (AMI)

Regulatory restrictions on income

- Only **VLI and Mod levels** are required by the regulatory agreement and at least 86 households must be at these levels
- AHA added the **LI level** to allow more lower-income households to be housed at IP
- In 2015 AHA added a requirement that all families be at **Mod (120%)** or below to ensure that subsidized housing in AHA is available to lower income families.

Income limits for 2016

Persons in Household	Very Low Income (0-50%)	Low Income (51-80%)	Moderate (81-120%)
1 person	\$34,150	\$52,650	\$78,600
2 person	\$39,000	\$60,150	\$89,850

Note: Max occupancy is 3 in a 1 bed, 5 in a 2 bed but most units have 1 or 2 people.

Key findings include:

- The annual income levels of households at Independence Plaza range from very low income households to a number of households who are close to or beyond the 120% income moderate limit.
- 46% of units are designated VLI 50% income limit. Of those, the current rents for a 1 bedroom range from \$415 - \$500 per month.
- 18% of units are designated LI 80% income limit. Of those, the current rents for a 1 bedroom range from \$590-\$900 per month.
- 35% of units are designated Mod 120%. Of those, the current rents for a 1 bedroom range from \$790-\$1200.
- 14 households are over housed with only 1 resident in a 2 bedroom
- 2 households are over income for their unit type. These households will be given a 60 day notice notifying them that they will be moved to the higher rent. The new move in rents will be applied.

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Income reported by IP households

1 Person Household Income	Income Range	
	Lowest Income	Highest Income
Very Low Income (below 50%)	\$5,424*	\$34,039
Low Income (51-80%)	\$34,225	\$52,545
Moderate (81-120%)	\$53,814	\$76,894
2/3 Person Household Income	Income Range	
	Lowest Income	Highest Income
Very Low Income (below 50%)	\$ 0*	\$ 37,464
Low Income (51-80%)	\$ 39,337	\$ 58,973
Moderate (81-above 120%)	\$ 61,207	**

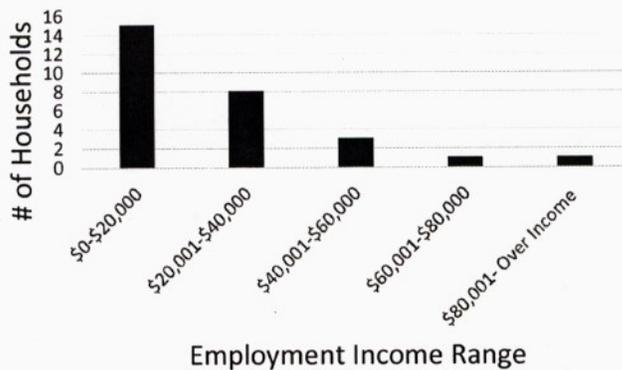
*May be under reporting

**A small number of households are over the max income of \$89,850

Sources of income

- Retirement income (social security, 401k or other retirement savings) is the key source of income for the majority of residents.
- The majority of households are not working. Those that do work are primarily working part time or at lower wage jobs.
- Of the 179 occupied units, 16% (or 28 households) are working. The average annual wage of those who are working is \$23,104.
- There are 4 households who are earning above \$65,500 (the median income for a 1-person household) per year, with one household earning over \$100,000 per year.

Employment income



Assets

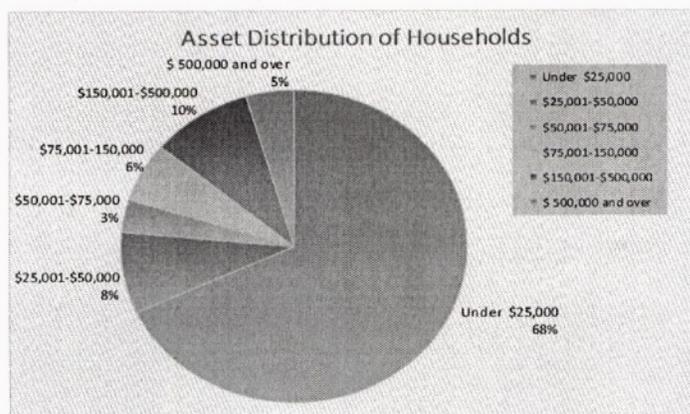
- Assets are counted as income for each household by applying the passbook rate to the value of the total asset.
- Because interest rates are very low at this time, even large asset holdings can generate very little imputed income.

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Limits on assets for new move-ins

- Since 2015, AHA has restricted assets of new applicants to maximize use of affordable housing assets during this housing crisis
- The current Property Management Policy limits new move-in households to less than \$50,000 in assets unless the funds are invested in an IRS-recognized retirement fund, such as a 401K.
- The choice of a \$50,000 liquid asset limit with no limit on retirement funds relates to recently adopted federal legislation that will place a \$100,000 total asset limit on all assisted households.
- An applicant is also ineligible for owning real property with housing located on that property.

Asset levels reported by IP residents



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Assets cont.

- Almost 25% of current tenants have assets over the new \$50,000 threshold, with 15% holding assets over \$150,000.
- Total income for those with large asset holdings may change considerably if interest rates increase in the future and could impact income eligibility.

Rent levels

New move in rents were set in 2014 for each bedroom size and for each of the three income levels.

Of the current residents, 23 moved in since those rents were set.

Bedroom Size	VL Income Unit Rent Up to 50% AMI	Low Income Unit Rent 51-80% AMI	Moderate Unit Rent 81-120%
1 bedroom	\$500	\$900	\$1,200
2 bedroom	\$650	\$1,000	\$1,400

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Actual rental rates vary between households

- Generally long term residents are paying less than new move-in rent for the same income level and same unit size. This is due to limited or no rent increases in prior years.
- For example, VLI tenants moving into day pay \$500 for a 1 bedroom, while longer term tenants may be paying as little as \$415.
- This will need to be rectified in the very near future to avoid a disparate impact.
- This also means that some LI households are paying less than new VLI move-ins- and some Moderate households are paying less than some LI households. (See next slide)

Impact on long term

- 156 residents (87%) are paying less than the new move in rent for their unit. A proposal to correct this will be provided to the Board in 2017.

Unit Assignment	1 Bedroom Rent Range		2 Bedroom Rent Range	
	Lowest rent currently charged	New move in rent	Lowest rent currently charged	New move in rent
Very Low Income (below 50%)	\$ 415	\$ 500	\$ 520	\$ 650
Low Income (51-80%)	\$ 590	\$ 900	\$ 750	\$ 850
Moderate (81-120%)	\$ 790	\$ 1,200	\$ 890	\$ 1,400

Rent levels v maximum allowable rent levels

- The new move in rents charged at IP are well below the affordable rents allowed by the state for these income levels. On average the new move in rents are 34.5 percent below the allowable rents.
- Rents in the maximum rent range are likely to be needed to refinance the property in the future.

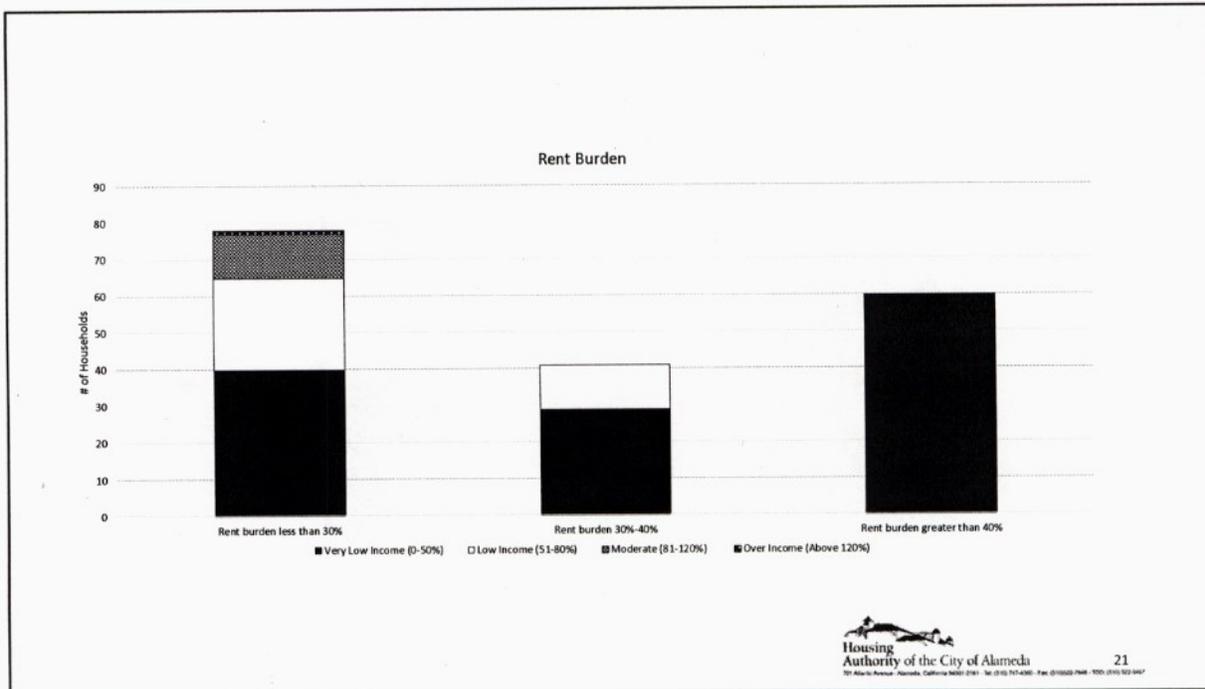
Bedroom size	New move in Levels	Maximum Rent Limit	Difference per month
1-Bedroom VLI	\$ 500	\$ 936	\$436
1-Bedroom Low	\$ 900	\$ 1,123	\$223
1-Bedroom Moderate	\$ 1,200	\$ 2,059	\$859
2-Bedroom Very Low	\$ 650	\$ 1,053	\$403
2-Bedroom Low	\$ 1,000	\$ 1,263	\$263
2-Bedroom Moderate	\$ 1,400	\$ 2,316	\$916

Rent burden

- Rent burden is the percentage of monthly income paid towards rent.
- Although these units are not federally assisted, the HUD guideline of a minimum of 30% and a maximum 40% provides a useful benchmark to evaluate the rent burden at Independence Plaza.

Annual Income level	Number of households		
	Rent burden less than 30%	Rent burden 30%-40%	Rent burden greater than 40%
Very Low Income (0-50%)	40	29	60
Low Income (51-80%)	25	12	0
Moderate (81-120%)	12	0	0
Over Income (Above 120%)	1	0	0
Total	78	41	60

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Rent burden

- Rent burden generally impacts the VLI units the most.
- Those who are paying less than 30% of their income are able to pay more.
- In the proposal to the Board, staff expects to recommend a minimum payment of 30% of income for rent.
- Staff does not expect to recommend rent reductions.

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Vacancies & waitlists

- Since November 2014 there have been 23 new move ins
- Only a very small number of households remain on current moderate (formerly market) income waitlist.
- After this list has been exhausted, names for all new vacancies will be selected from the newly-established IP waitlist which is for those at low and very low (80% AMI or below).
- In accordance with Alameda's 2016 Ordinance 3148 and as previously reported to the Board, the property must accept section 8 vouchers. Therefore, if applicants on the waitlist have a tenant based section 8 voucher they will be processed.

Over housed households

- AHA has maximum and minimum occupancy limits

Bedroom Size	Minimum Occupancy	Maximum Occupancy
1 Bedroom	1	3
2 Bedroom	2	5

Rightsizing at IP

- No IP unit exceeds the maximum occupancy
- 14 units are overhoused (i.e. have only 1 person in a 2 bedroom)
- These households will be notified shortly that they will be added to a waitlist and will be required to move to a 1 bedroom unit as vacancies arise.
- The new rent for the 1 bedroom will be the new move-in rent. The cost of a unit transfer will be borne by the family.
- Those who are required to move may apply for a reasonable accommodation (see front desk for form)
- Rightsizing has been done at all other AHA properties in the past 2 years – IP was put on hold until the study was complete

Capital improvement and refinancing

- For the past several years, staff has been looking at financing options for Independence Plaza because the tax increment subsidy that is received to keep rents affordable will expire in July 2026 (or before if there is are substantial capital need).
- The funding may well run out before that date if there is a large capital need such as a new roof or elevator repair.
- Any new financing is likely to require the maximum rents to be changed (as cited previously)

Next steps

- **Staff will return to the Board with a comprehensive new rent structure for IP in Spring 2017 including**
 - Harmonizing of rents at each income level, likely at the new move-in rent
 - Ensuring current tenants pay at least 30% of their income to rent
 - Maintenance of the budgeted income for 2016-17.
 - No any reduction in rent currently paid
 - Transition plans for those households who would experience a large rent increase and cannot afford it. (e.g. breaking down increases into 2 or 3 year increments)
- **Staff will provide a plan to achieve income and rent compliance sufficient to meet the LIHTC criteria by 2023.**

Questions?

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Housing Authority of the City of Alameda

701 Atlantic Avenue - Alameda, California 94501-2161 - TEL: (510) 747-4300 - FAX: (510) 522-7848 - TDD: (510) 522-8467

To: Honorable Chair and
Members of the Board of Commissioners

From: Vanessa M. Cooper
Executive Director

Prepared by: Janet Basta
Director of Human Resources and Operations

Date: December 21, 2016

Re: Adopt the Resolution to Adopt the Revised Housing Authority's Employee
Policies and Procedures Handbook

BACKGROUND

The Housing Authority became an autonomous agency in 2012 and adopted new personnel policies that replaced the City's Employee Handbook and the ACEA and MCEA Memorandums of Understanding. In drafting the 2012 Personnel Policies staff sought guidance from a variety of sources and perspectives. Sample personnel policies from the Housing Authority Risk Retention Pool (HARRP) provided a good starting place. Attorneys skilled in human resources and applicable California and federal laws prepared these policies. Subsequently, Liebert Cassidy Whitmore completed a thorough review of the AHA Personnel Policies to certify legal compliance at both the state and federal levels on November 4, 2014. Various changes have triggered legal or policy changes since then and have been approved by the Board.

DISCUSSION

This month, a completely revised version of the Personnel Policies (retitled Employee Policies and Procedures Handbook) is being brought to the Board for review. The document has been thoroughly reviewed by attorneys with Liebert Cassidy Whitmore, who certify compliance with state and federal levels. The document was also reviewed by an attorney with employment law expertise from Goldfarb & Lipman LLP, the firm the Agency uses for general counsel, to provide an additional level of legal review. Additionally, staff were provided with opportunities to review and comment on the manual, including three opportunities in the form of meetings with Human Resources to provide in-person feedback and an opportunity to provide written feedback. Legal input and, where possible, staff suggestions are incorporated into the final document that is being presented for review.



The policy is not being brought in track changes format, as is typical, due to the number of revisions and additions that were made along with a complete reorganizing and formatting of the policy. The intent was to make the manual more reader-friendly, to consolidate various policy/procedure information in one manual, where possible without making the manual too long, and to generally organize the content in chronological order, i.e. beginning through end of employment.

The Employee Handbook now has a change log at the end of the document, which summarizes changes to the policies that are made over time. Past changes were incorporated into the log, and a summary of the primary changes made in this revision are included. A brief explanation of the changes is below.

One policy, Employee Recognition Program, was deleted. While Agency management believes that recognition of outstanding employee performance is important, the program had not been formally operating as specified for several years. Currently, employees are recognized for major tenure milestones at staff gatherings and there is a time for celebrations at monthly staff meetings. The Agency will continue to look at strategies to effectively recognize employees, including performance and tenure, and determine if a formal program should be put in place in the future.

The new sections include ones that were added to reflect information that was missing from prior versions (i.e. Paid Family Leave, Social Security), new policies recommended as best practices (i.e. Employment of Members of the Board of Commissioners, Open Door Policy, Cell Phone Policies), and policies that were included in this manual for administrative reasons to clarify and/or consolidate information (i.e. Complaint Procedure for Complaints of Denial of Reasonable Accommodation, Professional Development, Telecommuting, Use of Facilities and Property, Parking). While it is not the intent of the Employee Handbook to provide information on all applicable employment laws and detailed information on relevant procedures, some additional content was added to address the most frequent issues and questions that arise.

The main changes to policy (as opposed to changes made for editing/formatting purposes) are described below, along with a brief summary of the rationale for the changes.

1. Additional detail was added to the Outside Employment section (Part Two) to clarify the process for requests and administration of outside employment to ensure employee performance is maintained and to minimize any conflict of interest issues.
2. The Employee Benefits section (Part Four) was revised to reflect the recent changes in benefits structure approved by the Board, including clarification of the Cafeteria Plan and health benefits for active employees and retired annuitants, and to ensure compliance with applicable laws such as the Affordable Care Act and PEMHCA.
3. The Vacation Leave policy (Part Five) was revised to include a standard cap on accrual limits; this change was made for administrative streamlining. A pay-out provision, which was successfully piloted last year, was added to the policy,



- and the process and timelines for requesting and cancellation of vacation leave was clarified for administrative purposes.
4. Changes were made to the Sick Time policy (Part Five) to ensure compliance with various recent laws regulating accrual and use of sick leave; examples include language regarding use of sick leave for issues of domestic violence, sexual assault or stalking, and restrictions on employer requests for documentation of sick leave during the first three days of sick leave use in any calendar year.
 5. Jury Duty/Witness Leave (Part Five) is restricted to two weeks with pay (instead of unlimited length of service), to encourage employees to perform their civic duty while incorporating some measure of control over salary costs and allowing for better management of staff time away from work. Additional procedures for documentation of service were also incorporated.
 6. Bereavement and Funeral Leave (Part Five) was capped at eight days per calendar year, also to aid in control of salary costs.
 7. Policies related to Overtime (Part Seven) and Overtime Pay (Part Eight) were revised to reflect federal standards for calculating overtime based on 40 hours per week, and clarification that paid time off does not count as hours worked when computing overtime (or compensatory time off). This revision is recommended for administrative purposes, so that there is one agency-wide standard for overtime calculation purposes, and to ensure that the Agency is not paying more in overtime costs than it is legally obligated to do.
 8. Changes were made to the procedures used to administer Flexible Work Schedules (Part Seven) for standardization purposes and to support a change to a standard of 72 hours per pay period for non-maintenance personnel, consistent with the agency being closed to the public every other Friday.
 9. The Reclassification Resulting in Wage Decrease (Y-Rate) policy (Part Eight) was changed to reflect that a COLA will not be applied to any Y-Rated salaries. This is consistent with common salary administration practices, and is a cost-control measure.
 10. The Bilingual Pay Policy (Part Eight) was revised to incorporate content from a separate policy and to clarify eligibility and administrative procedures in various circumstances when bilingual services are needed by the Agency.
 11. Content was added to Personnel Files (Part Eleven) to explain the process that employees are to utilize to request an inspection of their file, along with clarification of the documents that employees have access to.
 12. The Workplace Conduct policy (Part Twelve) was streamlined to present broader categories of unacceptable conduct that can be applied to specific situations.
 13. The Reduction in Force policy (Part Thirteen) was revised to clarify the procedures used to administer layoffs including the order of layoffs, and a pre-layoff review section was added to the policy.

We are requesting that these changes be approved effective January 8, 2017 to allow for time to make adjustments to administrative systems, such as payroll, needed to implement the revised policies.



FINANCIAL IMPACT

There is no fiscal impact to the proposed changes in policy. Some relatively minor savings in salary and administrative costs may be realized as various policies are put into place, such as overtime and flex schedules.

RECOMMENDATION

Adopt the Resolution to amend the Housing Authority's revised Employee Policies and Procedures Handbook, last revised 12.21.2016, effective 1.8.2017.

Respectfully submitted,


Vanessa M. Cooper
Executive Director

VMC/JCB

Attachments:

1. Draft Employee Policies and Procedures Handbook, last revised 12.21.2016, effective 1.8.2017
2. Letter from Liebert Cassidy Whitmore to HARRP, dated 12.8.2016, confirming legal review and compliance



December 8, 2016

VIA EMAIL

Ms. Adiah Swenson
Policy Administrator
Housing Authorities Risk Retention Pool
7111 NE 179th Street
Vancouver, Washington 98686

Re: *Housing Authority of the City of Alameda*
Client-Matter: AL125/006

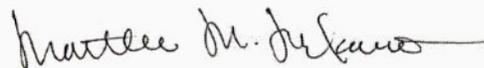
Dear Ms. Swenson:

Our firm serves as outside legal counsel for the Housing Authority of the City of Alameda. Please allow this letter to confirm that our firm recently completed a review and audit of the Housing Authority's Employee Policies and Procedures Handbook for compliance with applicable state and federal employment laws.

Please do not hesitate to contact my office with any questions or concerns.

Very truly yours,

LIEBERT CASSIDY WHITMORE



Matthew M. Nakano

MMN:ars

cc: Ms. Janet Basta, Housing Authority of the City of Alameda

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HOUSING AUTHORITY OF THE CITY OF ALAMEDA

Resolution No. _____

ADOPT REVISED PERSONNEL POLICY

WHEREAS, the Housing Authority Board of Commissioners adopted the AHA Personnel Policies April 12, 2012; and

WHEREAS, the Housing Authority Risk Retention Pool (HARRP) provided a model for the personnel policies; and

WHEREAS, Liebert Cassidy Whitmore completed a thorough review of the AHA Personnel Policies and certified legal compliance at both the state and federal levels on November 4, 2014; and

WHEREAS, Liebert Cassidy Whitmore completed a thorough review of the proposed revisions to the AHA Personnel Policies dated 12.21.2016 and has certified legal compliance of the policies at the state and federal levels;

NOW THEREFORE, BE IT RESOLVED that the Board of Commissioners of the Housing Authority of the City of Alameda hereby approves and adopts the revised Employee Policies and Procedures Handbook rev. 12.21.2016, eff. 1.8.2017.

ATTEST:

Arthur Kurrasch, Chair
Board of Commissioners

Vanessa M. Cooper
Secretary

Adopted: _____



**Housing
Authority of the City of Alameda**

EMPLOYEE POLICIES AND PROCEDURES HANDBOOK

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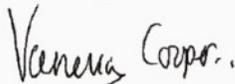
WELCOME

Welcome to the Housing Authority of the City of Alameda! Through the efforts of our staff members, the Housing Authority of the City of Alameda has established itself as a leading organization in the community and in the housing industry, and we are excited to have you join our team. As a diverse and vibrant community partner, our goal is to excel in all areas of our work, adapting to new challenges as circumstances and needs change and to provide excellent customer services to landlords, tenants, participants and partners.

Our vision and mission, along with a 2-year Agency plan and the 5-year HUD plan, guide the work that we do. To ensure our continued success, all employees need to understand and conduct their work consistent with our policies and procedures. This Handbook contains important information that you need to know about The Housing Authority, including a summary of our policies, benefits, and work expectations, and we encourage you to use it as a reference throughout your employment with us.

If you have any questions, please do not hesitate to ask either your supervisor or any Director.

Sincerely,



Vanessa Cooper, Executive Director

OUR VISION

The Housing Authority of the City of Alameda shall continue to be recognized for creatively seeking ways to expand the availability of affordable housing throughout Alameda, for caring professional staff, and excellent service provided fairly to all.

OUR MISSION

The Housing Authority of the City of Alameda, in partnership with the entire community, advocates and provides quality, affordable, safe housing; encourages self-sufficiency; and strengthens community inclusiveness and diversity in housing.

OUR GUIDING PRINCIPLES

- Our services, policies and staff considerations shall reflect this agency's value for inclusiveness, diversity and culturally sensitive services
- Our agency goals will be achieved by ongoing collaboration with customers and community partners

AGENCY GOALS AND OBJECTIVES

Goals and objectives are established every five years in conjunction with the Housing Authority's Agency Plan process. In addition, management utilizes a two-year work plan to guide key activities. Current plans, goals, and objectives are provided to new employees during the onboarding process.

PART ONE: INTRODUCTORY INFORMATION

HANDBOOK USE AND PURPOSE

This employee handbook is designed to help employees familiarize themselves with important information about the Housing Authority of the City of Alameda (hereafter also referred to as AHA, the Housing Authority, and/or the Agency), as well as information regarding their own privileges and responsibilities as employees.

It is not possible to anticipate every situation that may arise in the workplace or to provide information that answers every possible question. Also, future circumstances may require changes in the policies, practices, and benefits described in this handbook. Accordingly, AHA, upon approval by the Board of Commissioners, reserves the right to modify, rescind, supplement, or revise any provision in this handbook. While AHA will make reasonable efforts to provide employees with advance notice of any modifications or revisions to the handbook and will distribute or make available updated pages as revisions are made, advance notice of policy changes may not always be possible. Even in this event, changes to policies apply to Housing Authority employees upon their effective date, unless otherwise pre-empted by legislation. Further, the continuation of working conditions and practices not specifically authorized by resolution of the Board of Commissioners is not guaranteed by the policies in this Employee Handbook. This handbook does not create any contract of employment, express or implied, or any rights in the nature of a contract. Nor should anything in this policy be read or construed as modifying or altering the at-will relationship between AHA and those employees classified as at-will. The policies and procedures in this handbook are intended to replace all previous personnel policies, practices, and guidelines under which Housing Authority employees have worked.

Employees are expected to comply with all Agency policies. Employees who fail to do so will be subject to discipline, up to and including immediate termination.

Any questions regarding the contents of this handbook may be addressed to your supervisor or to the Director of Human Resources and Operations.

AGENCY BACKGROUND

Our Organization: The Housing Authority of the City of Alameda is a political subdivision of the State of California and its jurisdiction includes the City of Alameda. As a result of the Act of 1937, the Alameda City Council passed Resolution No. 2507 on August 6, 1940, establishing the City's need for low-income housing and a housing authority to administer such programs. The Council has appointed a Board of Commissioners to set the policies for the Housing Authority. The Board of Commissioners, usually appointed for overlapping 4-year terms, has seven members. Two of the Board members are tenant representatives and are appointed for 2-year terms by the City Council.

The AHA Executive Director is the staff person responsible to the Board of Commissioners. The Executive Director is also charged with the responsibility of carrying out Board policy and is generally responsible for the efficient administration of Housing Authority programs. The

Executive Director (and designated personnel) has the authority to enforce the policies approved and adopted by the Board of Commissioners, and has specific authority for:

- **Budget Limitations:** All operations of the Housing Authority are subject to the operating money made available by the budgets as approved by the Board of Commissioners. The continued employment of any person is therefore subject to the funds available. The Executive Director has the right to reassign duties and responsibilities and to reclassify positions as necessary for sound fiscal and operational management, within the limitations of approved operating budgets.
- **Personnel Actions:** The Executive Director has the responsibility for all personnel decisions, including but not limited to: hiring, firing, granting promotions, approving merit increases, laying off, demoting, transferring to regular status, transferring to probationary status, and approving suspension or termination of any employee occupying positions approved by the Board of Commissioners, excluding the position of Executive Director, which is a contract management position responsible to the Board of Commissioners.

YOUR RESPONSIBILITIES AS A PUBLIC EMPLOYEE

Employees of a public agency have specific responsibilities beyond those of private sector employees. For example, new employees are expected to read and sign an Oath of Allegiance at the commencement of employment. Additional responsibilities are outlined below.

Responsibilities under Title VI, Section 504 and California Government Code Section 12921

Employees of the Housing Authority have specific responsibilities. With respect to any housing accommodations, facilities, services, financial aid or other benefits, the Housing Authority, its officers, trustees, directors, agents, servants, employees, successors, and all persons in active concert or participation with any of them, agree to refrain from any acts which on the grounds of race, color, religion, national origin, ancestry, sex, gender, gender identity, gender expression, sexual orientation, marital status, familial status, source of income, genetic information, medical condition, physical disability or mental disability, or any other category protected by law:

- Deny a person such benefits.
- Provide such benefits to a person, which are different from those provided to others.
- Subject a person to segregation or separate treatment in any matter related to such benefits.
- Restrict a person in any way from access to such benefits or enjoyment of any advantage or privilege enjoyed by others in connection with such benefits.
- Treat a person differently from others in determining whether the person satisfies any occupancy, admission, enrollment, eligibility, membership or other requirement or condition which the person must meet.
- Deny a person an opportunity to participate in the program or activity through the provision of services or otherwise provide the person an opportunity different from what is afforded others who participate.
- Deny a person the opportunity to participate as a member of a planning or advisory board, which is an integral part of the program.

- Represent because of race, color, religion, national origin, ancestry, sex, gender, gender identity, gender expression, sexual orientation, marital status, familial status, genetic information, source of income, medical condition or disability that dwellings are unavailable for rental when they are, in fact, available.

Guidelines for implementation of these responsibilities will be provided to all employees. Employees are required to acknowledge receipt and understanding of their responsibilities at the time of hire, and periodically throughout the course of employment.

Conflict of Interest / Misuse of Funds

The Housing Authority is committed to conducting business in accordance with its mission and high ethical standards. Central to the standard of ethical conduct is the Housing Authority's policy that employees shall have no direct or indirect interest, financial or otherwise, nor shall they engage in any business transaction or professional activity, or incur any obligation of any nature that is in conflict with the carrying out of their duties in the public interest. A conflict of interest is a situation in which an employee's personal or economic interest does or may interfere with, influence, appear to interfere or influence, or is, in the judgment of AHA, incompatible with the employee's duties and responsibilities at the Housing Authority of the City of Alameda or with AHA's general activities. A conflict may exist even if the conflict or incompatibility has no adverse impact on job performance.

All employees must follow the Housing Authority's standards of conduct as outlined in the Housing Authority's Administrative Plan and detailed later in this Handbook. All employees must report any actual, potential, or prospective conflicts of interest to their supervisor(s).

All employees are prohibited from soliciting or accepting gifts or gratuities of any value from outside parties, including, but not limited to vendors, contractors and tenants/program participants. Any gifts that are offered should be declined politely and respectfully. In some circumstances, it may not be possible to return a gift, such as a consumable item. In such cases, employees may accept the gift, but the gift giver should be advised that future gifts should not be offered. Consumable gifts should be provided to HR and logged. These may then either be donated by the agency to a non-profit or be made available to all employees.

In accordance with California's Political Reform Act, certain employees named in the Housing Authority's Conflict of Interest Code are required to file a Form 700 at the time of hire and on an annual basis. In some circumstances, contractors may also be required to file a Form 700.

Confidentiality

Careful custody and handling of AHA files, documents or materials (in hard copy or electronic format) containing confidential information is of critical importance to AHA and the community that we serve. Each employee is responsible for safeguarding against the theft, loss, unauthorized use or disclosure of confidential information and for following AHA's policies and procedures addressing confidentiality. Employees who have access to such information must take whatever steps are necessary to assure that AHA confidential information is handled, stored, transmitted or destroyed in a manner which will protect against loss or misuse.

All applications and records concerning any individual applying for or receiving public services that are made or kept by this Agency are confidential and are not open to examination for any purpose that is not directly connected with program administration. Except for purposes directly connected with and necessary for program administration, employees shall not publish, disclose or use any confidential information pertaining to an applicant or employee, or an applicant or recipient of our Federal Housing Programs. Confidential matters include, but are not limited to:

- Employee or client names, physical or electronic addresses, telephone numbers, social security numbers, and medical/health information.
- Information contained in employee personnel or benefits files, including but not limited to items such as records of disciplinary actions, performance evaluations, benefits application forms, beneficiary information, etc.
- Anything marked "Confidential" or "Personal", such as incoming mail, internal documents marked with these terms, etc.

Housing Authority employees are also prohibited from publishing or disclosing any list of persons who have applied for or are receiving state or federally funded public social services, whether that list is an official list or a list compiled from official sources. The Housing Authority's Confidentiality Policy provides additional and more specific guidance.

Certain positions in the agency, including all Directors, all Finance staff, and the Executive Administrative staff, have expanded access to confidential personnel and employee relations information and are designated as confidential staff.

Employees are expected to maintain AHA confidential information as confidential even after separation from the Housing Authority. Employees will return, at AHA's request at any time and/or upon termination of employment, to AHA all documents, papers, computer files or storage devices, web application passwords, or any other material in their possession that may contain or be derived from AHA confidential information.

Requests for documents or information from outside persons or entities including those that may be governed by the Public Records Act must be referred immediately to the Executive Director.

Political Activities

Public employees are expected to separate their personal political activities from activities that are sponsored by the public agency they serve. Therefore, AHA employees shall not:

- Engage in political activities during work hours.
- Use their office/employment position to influence elections or nominations, or for other political purposes.
- Solicit or receive political contributions from other employees.
- Engage in political campaigning, or solicit or receive political contributions on AHA premises or using AHA's electronic systems.
- Require or advise other employees to make political contributions.
- Use political influence in connection with their employment status.

Responsibility in a Disaster

Public employees may be called upon to become Disaster Service Workers in the event of a disaster. Supervisors will provide guidance to individual employees on how each is expected to respond.

EQUAL EMPLOYMENT OPPORTUNITY

It is the policy of the Housing Authority of the City of Alameda to afford equal opportunity in all aspects of employment to all persons without discrimination on the basis of race, religion (including religious dress or grooming), sex (including gender, gender identity, gender expression, transgender, as well as pregnancy, childbirth, breastfeeding, or related medical conditions), national origin, ethnicity, ancestry, citizenship, age, physical or mental disabilities, color, marital status, registered domestic partner status, sexual orientation (including homosexuality, bisexuality, or heterosexuality), genetic information, medical condition (including cancer and genetic characteristics), military or veteran status, exercise of rights under the Pregnancy Disability Leave Law or the California Family Rights Act, or any other basis protected by applicable federal, state, or local law. This policy shall apply to all employees and applicants for employment, and unpaid interns, and extends to all phases of employment, including recruitment, hiring, training, promotion, demotion, transfer, discipline, discharge or layoff, rehiring, compensation, and benefits. It is the responsibility of everyone in management to ensure that equal consideration is given to all applicants and employees in personnel actions. Please see the Discrimination and Harassment policy in the Standards of Conduct section for additional information and guidance.

REASONABLE ACCOMMODATION

Absent undue hardship or direct threats to the health and safety of employee(s) or others, the Housing Authority provides employment-related reasonable accommodations to:

1. Qualified individuals with any known physical or mental disability, both applicants and employees, to enable them to perform essential job functions;
2. Employees with conditions related to pregnancy, childbirth, or a related medical condition, if she so requests, and with the advice of her health care provider, which may include a temporary transfer to a less strenuous or hazardous position for the duration of her pregnancy if the transfer can be reasonably accommodated;
3. Employee victims of domestic violence, sexual assault, or stalking to promote the safety of the employee victim while at work; and
4. Employees who request reasonable accommodation to address a conflict between religious belief or observance, including religious dress and grooming practices, and any employment requirement.

REASONABLE ACCOMMODATION OF PROTECTED DISABILITIES

The Housing Authority complies with the employment-related reasonable accommodation requirements of the Americans with Disabilities Act (ADA) and the California Fair Employment and Housing Act (and any subsequent revisions or amendments thereto), including the interactive process to identify possible reasonable accommodations of protected disabilities. The Housing Authority is committed to taking all actions that are necessary to ensure equal

employment opportunity for persons with disabilities in accordance with applicable federal, state, and local laws, using the following guidelines:

1. **Request for Accommodation.** An employee or applicant who desires a reasonable accommodation in order to perform his/her essential job functions should make a request, preferably in writing, to the Director of Human Resources and Operations. A form is available from Human Resources. If a request is made verbally, AHA will either request that the employee put the request in writing or document the verbal request that the employee has made. The request must identify both the job-related function(s) at issue and the desired accommodation(s). Alternatively, employees may make their request to their direct supervisor, who will be responsible for communicating the request for accommodation to Human Resources.
2. **Requests for Medical Information.** Following receipt of the request, the Housing Authority may require reasonable documentation from a health care provider of the existence of a disability and that an accommodation is necessary. The Housing Authority may also require an employee to undergo a fitness for duty examination at the Agency's expense to determine whether the employee can perform the essential functions of the job with or without reasonable accommodation. The Housing Authority may also require that an Agency-approved physician conduct the examination.
3. **Interactive Process.** After receipt of any requested reasonable documentation of disability and need for accommodation and/or fitness for duty report, the Housing Authority will arrange for one or more discussions, in person or via telephone conference call, with the employee or applicant. The purpose of the interactive discussion process is to work in good faith to explore fully all feasible potential reasonable accommodations.
4. **Case-by-Case Determination.** The Housing Authority determines, in its sole discretion, whether reasonable accommodation(s) can be made, and the type of accommodation(s) to provide. AHA will not provide accommodation(s) that would pose an undue hardship upon Housing Authority finances or operations, or that would endanger the health or safety of the employee or others.

COMPLAINT PROCEDURE FOR COMPLAINTS OF DENIAL OF REASONABLE ACCOMMODATION

Complaints of denial of reasonable accommodation shall be directed to the Executive Director. Applicants and employees are encouraged to bring such complaints to AHA's attention promptly, so that it can address them promptly.

The Executive Director shall investigate the complaint and make a determination regarding whether a reasonable accommodation can be provided. As part of this complaint resolution procedure, the Executive Director may require the applicant/employee and an AHA representative to meet to discuss potential reasonable accommodations and to try to agree on a specific reasonable accommodation. The Executive Director shall have the authority to determine which reasonable accommodation, if any, shall be provided.

PART TWO: EMPLOYMENT AND HIRING POLICIES

WORK ELIGIBILITY

Verification of Authorization to Work in the United States

To comply with federal law, the Housing Authority of the City of Alameda employs only United States citizens and non-citizens who are lawfully authorized to work in the United States. All employment is conditioned upon receipt, by the Director of Human Resources and Operations, of acceptable documentation establishing identity and authorization to work in the United States and completion of an I-9 form within the timeline established by the U.S. Citizenship and Immigration Services (USCIS).

Background Checks

The Housing Authority of the City of Alameda believes that hiring qualified individuals contributes to our overall strategic success, and background checks serve as an important part of the selection process. The information collected helps AHA promote a safe work environment for our current and future employees, as well as program participants and residents. Therefore, all offers of employment are made conditioned upon receipt of a satisfactory background check to verify the accuracy of the information provided by the applicant during the selection process.

The Housing Authority checks criminal history records as part of the applicant selection process for all positions. Reports received are interpreted in accordance with the Equal Employment Opportunity Commission's guidelines for consideration of conviction records in employment decisions. Unless required by law, the Housing Authority will not deny employment to any applicant solely because he or she has been convicted of a crime. The Housing Authority may, however, consider the nature, date and circumstances of the offense, evidence of rehabilitation, as well as whether the offense is relevant to the duties of the position sought by the applicant.

With a candidate's prior written authorization, AHA may also collect credit information on applicants consistent with the guidelines set forth by the federal Fair Credit Reporting Act (FCRA). Credit information is generally required for finance-related and all management level positions.

All background checks, with the exception of employment references, are conducted by a third-party agency. The Housing Authority complies with all applicable federal, state and local laws, including fair employment practices and equal employment opportunity, when conducting background checks. All information obtained from the background check process will only be used as part of the employment process and will be kept strictly confidential.

Pre-Employment Physical

A post-offer, pre-employment physical examination is required if noted on the position description. Any offer of employment, and/or continued employment will be dependent upon satisfactory completion of, and passing, such physical examination.

California Driver License and Insurance

Many positions within the Agency require a valid California driver's license and the ability to meet the driving record requirements for coverage under the Housing Authority's "standard" auto liability policy. Such drivers, and any other drivers who will be authorized to drive an Agency vehicle, are required to sign an Authorization of Release of Driver Record Information at the commencement of employment. Assignment of driving responsibilities is conditional upon receipt of a satisfactory report from the State of California, Department of Motor Vehicles. If an applicant or employee cannot meet these requirements due to a disability or medical condition, he/she should notify the Director of Human Resources and Operations to discuss possible accommodations.

Should an employee who is required to drive in the performance of his/her duties be excluded from the "standard" automobile policy, agency liability and the impact on agency operations will be examined. Continued employment will be dependent upon the circumstances and the employee's ability to continue to perform the duties of the position without liability or unreasonable inconvenience to the agency.

Please refer to AHA's Vehicle Use and Accident Reporting Procedures for additional information.

EMPLOYEE CLASSIFICATIONS

Staff members are placed into classifications based on their job description and applicable wage/hour laws. All employees are classified as exempt or non-exempt; exemption classification may be changed only with written notification from Housing Authority Management.

- Exempt Employee: An executive, administrative, or professional employee who is exempt from the overtime requirements of the Fair Labor Standards Act ("FLSA"). Exempt employees are not eligible for, and will not be paid, overtime.
- Non-exempt Employee: An employee (generally paid by the hour) who is eligible for overtime pay under the FLSA.

All employees, except the Executive Director, are additionally classified as regular full-time, regular part-time, probationary, contract or temporary. These classifications determine eligibility for benefits, subject to the terms, conditions and limitations of each benefit program. With the exception of positions held by temporary employees, these positions are on the Schedule of Authorized Positions contained in the Housing Authority's budget.

- Regular Full-Time Employee: An employee who is regularly scheduled to work 36 hours or more per workweek, and who is not in a temporary or probationary status. Regular full-time employees are eligible for all benefit programs offered by AHA.
- Regular Part-Time Employee: An employee who is regularly scheduled to work fewer than 36 hours per week, and who is not in a temporary or probationary status. Part-time employees receive pro-rated benefits, where indicated, based on actual hours worked, plus any other legally mandated benefits such as workers' compensation insurance.

- **Probationary Employee:** An employee in a probationary period (see section below for definition). A probationary employee is eligible for any benefits that he/she would have in a regular full-time or part-time position, subject to probationary period requirements.
- **Contract Employee:** An employee working under a contract which outlines wages, benefits and working conditions of the position, and which takes precedence over any conflicting terms in the Employee Handbook. Contract employees may work on a full-time or part-time basis, and are "at will" employees, meaning that the employee or AHA may terminate employment at any time, with or without notice and with or without cause.
- **Temporary Employee:** An employee is an individual whose employment is normally for a defined period of time or a particular project. Temporary employees are not eligible for any Housing Authority benefits or leave provisions unless required by law. Temporary employees are "at will" employees and the employee or AHA may terminate employment at any time, with or without notice and with or without cause.

CHANGES IN EMPLOYEE CLASSIFICATIONS

Changes in employee classification may occur when a significant job change occurs (for example, a promotion or a change in work hours, etc.) that is intended to last for more than four (4) months.

PROBATIONARY PERIOD

Employees are considered probationary beginning with their date of hire. Probationary employees have all the rights and privileges of regular employees **except** they may be separated from the Housing Authority without cause, without prior notice, and without the right of appeal or hearing. During the probationary period, which is considered to be the final phase of the employment selection process, performance will be carefully evaluated and a determination made regarding whether the employee's job performance is sufficient to pass the probationary period. The fact that an employee has successfully completed the probationary period does not, however, guarantee continued employment for any period of time.

- **Duration of Probationary Period:** All appointments to a regular position will be probationary for a period of no less than 12 months. Time worked in a different class or position is not considered as part of the probationary period. AHA reserves the right, and has the sole and absolute discretion, to extend the duration of the probationary period when such an extension is determined to be appropriate and necessary.
- **Separation of Probationary Employee:** A probationary employee may be separated from employment with the Housing Authority without cause, without prior notice, and without the right of appeal or hearing. Additionally:
 1. A probationary employee rejected during the probationary period following a promotional appointment shall be reinstated to the position from which he/she was promoted, unless he/she is discharged, or unless the former position is no longer available (ie, the position has been filled or eliminated).
 2. A probationary employee who receives a promotion during the initial probationary period with AHA and is subsequently rejected from the promoted

position will not be reinstated to the prior position but will be separated from Agency employment.

CHANGE OF POSITION

- **Transfer:** Employees may be transferred as deemed appropriate by the Housing Authority. Transfers include movement within or between departments or to different work assignments. If an employee does not have all the skills required for the position to which he/she is transferred, training will be provided. Employees have the opportunity to accept or reject a transfer. If an employee rejects a transfer determined to be in the best interest of the Housing Authority or if the position originally held by the employee is eliminated, discharge or layoff may be necessary. Any eligible employee dissatisfied with his/her transfer may pursue the steps of the Grievance Procedure, outlined in the Standards of Conduct section of this Handbook.

- **Demotion:** In the event an employee is not performing his/her job satisfactorily or must be removed from a position, the employee may be demoted, subject to the procedures outlined in the Disciplinary Procedures section of this Handbook.

JOB DESCRIPTIONS

All employees shall be provided with copies of their job descriptions. Job descriptions are intended to present a descriptive list of the range of duties performed by employees; they are not intended to reflect all duties performed within the job, and employees may be required to perform duties not set forth in the job description. Job descriptions may be rewritten in the event of major new job responsibilities or other significant, ongoing changes in duties.

JOB POSTINGS

The Housing Authority attempts to find the most qualified candidates to fill position vacancies. This is accomplished through a combination of internal and external recruiting. Consideration will be given to the advancement of current employees, and employees are encouraged to apply for promotions or transfers for which they feel they are qualified.

Job openings will be of two types: Promotional (in-house) or Open (the general public may apply as well as staff). Job vacancy announcements will contain information about the required qualifications and experience, as well as instructions on how to apply. Promotional job opening announcements will be sent to all staff, posted in locations visible to current staff only, or posted on the AHA website and designated as promotional opportunities only. Open job vacancies will be advertised in appropriate internal and external recruiting sites, generally simultaneously.

The decision to post and fill positions from within or to hire from outside is made solely by AHA.

In-House Promotions

The Housing Authority encourages employees to apply for promotions to positions for which they are qualified. Promotions and transfers shall be based on the ability, qualifications, and potential of the candidates for the position. Employees must have attained regular status with the agency in order to be eligible for promotion (in other words, employees are not eligible to

be promoted during a probationary period, whether initial or promotional), unless the Executive Director authorizes an exception. Employees who are interested in posted positions should submit an employment application prior to the closing date on the job announcement. If an employee is interested in applying for a promotion, the employee may also wish to discuss the matter first with his/her immediate supervisor, department head, or the Director of Human Resources and Operations.

Only the Director of Human Resources and Operations and the Executive Director have the authority to extend job offers. All offers of employment will be in writing.

HIRING OF RELATIVES

The Housing Authority of the City of Alameda is aware that relatives of employees or Commissioners may occasionally seek employment with AHA. The Housing Authority does not discriminate in its employment and personnel actions on the basis of marital or familial status.

Notwithstanding this policy, however, in the interest of avoiding conflicts of interest, or appearances of conflicts, the Agency retains the right to refuse to appoint a person to the same department or division where a "close relationship" to another employee has the potential for creating adverse impact on supervision, safety, security or morale, or involves a potential conflict of interest. The Department Director is responsible for determining if such a potential for adverse action exists or not, and this determination is then reviewed and approved by the Executive Director or his/her designee. AHA will also utilize the following guidelines with respect to nepotism:

1. Current employees may not interview or make employment-related decisions with respect to relatives who seek employment with AHA.
2. Current employees may not supervise relatives under any circumstances.

For purposes of this policy, the definition of "close relationship" is:

- Spouse/registered domestic partner;
- Employee's, spouse's or domestic partner's child (natural child, legally adopted child, or a child for whom the employee, spouse, or domestic partner has been awarded court-appointed legal guardianship) or grandchild;
- Parent, step-parent, or grandparent of employee or spouse/domestic partner;
- Brother, sister, half-brother or sister, or brother-in-law or sister-in-law; and
- Aunt, uncle, niece or nephew.

When two existing employees become closely related, and a determination has been made that the potential for creating adverse impact as described above exists, the Director, in conjunction with the Executive Director (or designee) will make reasonable efforts to minimize potential problems through reassignment of duties or transfer. If the Housing Authority is unable to make an acceptable accommodation, then the two individuals will be notified that one of the employees must separate from AHA employment. The Housing Authority reserves the right to decide which employee must separate. Any such separation is not considered to be disciplinary; however it may be appealed pursuant to the procedures outlined in the Disciplinary Procedures of this Handbook.

It is expected that all employees, regardless of any relationship status, will conduct themselves professionally in their interactions with each other and with other employees working at AHA.

EMPLOYMENT OF MEMBERS OF THE BOARD OF COMMISSIONERS

To preserve the objectivity and integrity of the Housing Authority's Commission, any Commission member who wishes to apply for employment with AHA must first resign from the Commission.

OUTSIDE EMPLOYMENT

The Housing Authority does not generally preclude employees from holding another job during off-duty hours (i.e., those hours during which an employee is not scheduled or otherwise required to work or be on call), and will not unreasonably deny such requests, as long as they can effectively meet the performance standards for their positions with the Agency, the outside employment does not conflict with the employee's AHA work schedule, they request approval before starting the outside employment, and there is no actual or perceived conflict of interest with any other party involved. Employees are advised to think seriously about the effects that such extra work may have on the limits of his/her endurance, overall personal health, and effectiveness with the Agency. AHA will hold all employees to the same standards of performance and scheduling demands, including, for certain positions, being able to respond in emergencies, and cannot make exceptions for employees who also hold outside jobs. Further, all employees, whether they hold an outside position or not, are expected to devote their full time and attention to AHA duties during work hours, and are not to use Agency resources or time for matters unrelated to their position.

Employees who wish to hold outside employment are required to submit an Application to Engage in Outside Employment form to their supervisor, for review by the Executive Director. The Executive Director will determine if the outside employment, activity, or enterprise is compatible with the employee's employment at the Housing Authority. If the Executive Director determines such activity is compatible, or would be if any conditions or restrictions applied, he or she will authorize the activity and specify the conditions/ restrictions in writing, give the employee the outside employment authorization, and place a copy of the written authorization in the employee's personnel file. Secondary employment may not begin until it is approved by AHA. Any employee dissatisfied with the Executive Director's decision may pursue the steps of the Grievance Procedure, outlined in the Standards of Conduct section of this Handbook.

An employee must promptly report in writing to the Executive Director any of the following changes that may occur during the year of an authorized outside employment: the outside employment ends; or the authorized employment changes as to the number of work hours, location, or types of duties.

Any outside employment authorization may be revoked or suspended under the circumstances listed below. An employee may appeal the revocation or suspension as provided in this Policy.

1. The employee's work performance for the Housing Authority declines; or

2. An employee's conduct or outside employment conflicts with the conditions of the outside work authorization or is incompatible with the employee's work for the Housing Authority.

Under no circumstances may an employee use any Housing Authority equipment, vehicles, tools, supplies, machines, or any other item that is Agency property while engaged in any outside employment, activity or enterprise.

PART THREE: EMPLOYEE DEVELOPMENT

PERFORMANCE MANAGEMENT

Effective performance management is critical to the success of the Housing Authority as employees need to know what is expected of them in order to carry out our strategic plan and achieve our mission. Supervisors are expected to provide ongoing, timely feedback and coaching to their staff so that employees know what is expected of them and how they are performing so any issues can be addressed in a timely manner. Employees are expected to engage in dialogue with their supervisor to ensure a clear understanding of performance expectations and to identify any areas needing improvement. Performance reviews also provide an opportunity to discuss professional development goals and advancement or promotional opportunities that may be available. Performance review guidelines are provided by Human Resources for supervisors and employees to follow during the evaluation process.

Supervisors are to provide performance feedback to probationary employees at least every three months until regular status is attained, with a formal, written evaluation completed six months from the date of hire and at the end of the probationary period. Thereafter, reviews are done on an annual basis, to coincide with the approximate anniversary of the employee's start date with AHA as long as the employee is actively at work. If an employee receives a promotion or has a change in position/classification, a new probationary period will begin, and the pattern of evaluations will follow the guidelines above for probationary employees. At the completion of the probationary period, the employee's annual review date will be adjusted.

Performance reviews, signed by the employee and supervisor and reviewed by the Director of Human Resources and Operations, will be placed in the employee's personnel file. Employees are provided with a copy of their review and have the opportunity to provide input to and comment on it in writing within 10 business days of the evaluation. An employee does not have the right to appeal or submit a grievance regarding any matter relating to the content of a performance review.

In the event that an employee's overall performance is rated as less than satisfactory or specific areas are identified that are in need of improvement, the supervisor should develop a written performance improvement plan for the employee. Performance improvement plans should include specific goals for improvement along with the strategies and timeline to improve performance. Supervisors should notify and work with the Director of Human Resources and Operations when any performance issues are identified that require a written improvement plan.

The failure of a supervisor to perform an employee's review as outlined above in no way alters an employee's status. Recommendations for step increases, attainment of regular status, or change of status must be made by the Supervisor and approved by the Executive Director. Supervisors may perform additional mid-term reviews and extend review periods or probationary periods as deemed necessary.

PROFESSIONAL DEVELOPMENT

The Housing Authority encourages the professional growth and development of employees through a variety of means, including in-house trainings, access to webinars, membership affiliations with professional organizations, and attendance at educational conferences, meetings or seminars. To allow the Housing Authority to plan for and provide support for these efforts, all employees should discuss development goals with their supervisor at least annually as part of the performance review process.

The Housing Authority will consider employee requests to pay for membership dues and license renewals in job-related professional organizations when those fees become due after the start of employment with AHA. Employees may make this request through their supervisor, and written approval by AHA is required prior to payment or reimbursement. Employees who wish to attend a job-related conference, meeting or seminar must also make this request through their supervisor, and obtain advance written approval, prior to payment or reimbursement for the cost of the training. Further, certain positions may require subject-specific certifications that employees must obtain by attending trainings and passing exam(s) offered in conjunction with the training. Generally, AHA will pay the cost of registration and travel for any required certification, but reserves the right to limit the number of opportunities to obtain certification should the employee not be successful in passing the exam on the initial attempt.

Detailed information about procedures for submitting professional development requests can be obtained from Human Resources.

PART FOUR: EMPLOYEE BENEFITS

Once an employee satisfies certain eligibility requirements, the eligible employee may participate in the Agency's benefit program that includes:

- Health, Dental and Vision Insurance
- Life, Long-Term Disability, and Accidental Death & Dismemberment Insurance
- Retirement Benefits
- Flexible Spending Account Plans
- State Disability Insurance and Paid Family Leave
- Deferred Compensation
- Employee Assistance Program
- Educational Assistance and Tuition Reimbursement
- Credit Union
- Workers' Compensation
- Unemployment Insurance

Eligibility requirements and further information concerning these benefits programs is explained below, at new employee orientation, and updated as necessary through individual meetings and communications with staff.

The Housing Authority reserves the right to change insurance plans and benefits under those plans, to change the employer share of premium payments for the plans, if any, or change the amount it pays employees who opt out of the plan(s), with or without notice, consistent with any legal obligations it may have. In general, the employer share of premiums is approved by the Board of Commissioners and communicated to employees prior to each Open Enrollment period.

The benefits described below are available to regular, full-time employees. Benefits for part-time, temporary, and contract employees may be different. Additional information is available from Human Resources.

DEFINITION FOR ELIGIBILITY

For the purposes of benefits coverage, "eligible dependents" is defined as spouse or domestic partner and eligible dependent children. The definition of an eligible dependent may be established by the insurance provider, or in the case of CalPERS, by state law, in which case AHA will follow the most stringent definition that applies.

CAFETERIA PLAN

The Housing Authority's benefits program is managed through an IRS Section 125 Cafeteria Plan for active employees. The cafeteria plan will be available to all active employees to pay for some or all of the costs of their benefits. If the cost of the employee's benefits is more than the approved contribution amount, the difference will be deducted from the employee's paycheck on a pretax basis. The monthly Cafeteria Plan dollar amount (flex benefit contribution) is determined on an annual basis and approved by the Board of Commissioners prior to open enrollment; the Commission shall approve the value of flex benefit contributions that shall be made towards 1) health insurance and, 2) dental and vision insurance. Part-time employees who are eligible for any of the benefits listed below may receive a Cafeteria amount on a pro-rata basis. With these funds, each participating employee is able to choose the following coverage:

- Health Insurance (through the State of California's Public Employees Retirement System (CalPERS))
- Dental and Vision Care Insurance

HEALTH INSURANCE

Health insurance is offered as part of the benefits package to regular, full-time employees and regular, part-time employees who regularly work 20 hours or more per week. Currently, a choice of health insurance plans is offered through the State of California's Public Employees Retirement System (CalPERS). Detailed information about plan offerings can be found on the PERS website at www.calpers.ca.gov.

The Housing Authority contributes the statutory minimum PEMHCA contribution towards employees' health care costs for employees enrolled in the Authority's CalPERS medical insurance program. Retirees enrolled in the Authority's CalPERS medical insurance program will also receive the statutory minimum PEMHCA contribution amount as provided under Housing Authority Resolution Numbers 852 and 853 and in accordance with Government Code section 22892(c).

In addition to the PEMHCA minimum contribution, current employees will receive a health flex contribution to the cafeteria plan that can only be used for health insurance and is not available to be taken in cash. See the above section on Cafeteria Plan for more information. If the cost of the employee's benefits is more than the approved contribution amount, the difference will be deducted from the employee's paycheck on a pretax basis.

Under certain circumstances, and in compliance with CalPERS and/or Affordable Care Act requirements, some temporary employees and their eligible dependents may be offered health insurance. Human Resources will provide information to affected employees. AHA shall determine the employer share of premiums, if any, it shall make for temporary employees. Any balance of premium costs is borne by the employee and shall be deducted from the employee's paycheck.

Employees may opt out of health insurance. Employees eligible for any cash-in-lieu benefit, must provide the following in order to receive the cash-in-lieu: (1) proof that the employee and all individuals for whom the employee intends to claim a personal exemption deduction ("tax family"), have or will have minimum essential coverage through another source (other than coverage in the individual market, whether or not obtained through Covered California) for the plan year to which the opt out arrangement applies ("opt out period"); and (2) the employee must sign an attestation that the employee and his/her tax family have or will have such minimum essential coverage for the opt out period. An employee must provide the attestation every plan year at open enrollment or within 30 days after the start of the plan year. The opt-out payment cannot be made and AHA will not in fact make payment if the employer knows that the employee or tax family member does not have such alternative coverage, or if the conditions in this paragraph are not otherwise satisfied.

DENTAL INSURANCE

Dental insurance is offered as part of the benefits package to regular, full-time employees. Annually, the Housing Authority establishes the annual employer contribution to the Agency Cafeteria Plan that can be made for dental and vision insurance. If the cost of the employee's benefits is more than the approved contribution amount, the difference will be deducted from the employee's paycheck on a pretax basis.

VISION INSURANCE

Vision insurance is offered as part of the benefits package to regular, full-time employees and regular, part-time employees who regularly work 20 hours or more per week. Annually, the Housing Authority establishes the annual employer contribution to the Agency Cafeteria Plan that can be made for dental and vision insurance. If the cost of the employee's benefits is more

than the approved contribution amount, the difference will be deducted from the employee's paycheck on a pretax basis.

INSURANCE CONTINUATION (COBRA)

Upon termination or other qualifying event, employees covered under a health insurance plan have certain legal rights to remain on the insurance plan at their own expense for up to eighteen (18) months (more in some cases) through benefits under COBRA. More information regarding COBRA coverage, costs, and administrative procedures is available from the Human Resources department at the time employment ends or when an employee has a question or provides notification about other qualifying events.

Employees who experience a qualifying event must provide written notice within 60 days after the qualifying event occurs to Human Resources. This written notice must include the name of the employee, the type and date of qualifying event, the name of the insurance plan, and the names of the individual(s) eligible for COBRA. In particular, for your dependents to be eligible for COBRA continuation coverage, you must inform us if:

- You and your spouse experience divorce or legal separation
- A dependent child loses eligibility for coverage as a dependent child

LIFE AND ACCIDENTAL DEATH AND DISMEMBERMENT (AD&D) INSURANCE

Regular employees who work 30 or more hours per week are eligible for a basic life and accidental death and dismemberment insurance benefit paid for by AHA. Coverage is currently 1.5 times annual salary up to a maximum of \$100,000. Additionally, employees may elect voluntary life insurance coverage at their own expense for themselves, their spouse/partner and/or dependent children at their own expense. The cost of premiums for the employee only may be paid on a pre-tax basis; dependent coverage must be paid for on an after tax basis. AHA does not make any contribution towards voluntary life insurance premiums.

Voluntary life insurance may only be elected at the time of hire or during open enrollment and, depending on the amount requested and election date, may be subject to medical underwriting and approval by the insurance company.

LONG TERM DISABILITY INSURANCE

Regular employees who work 30 or more hours per week are eligible for long term disability insurance benefits paid for by AHA. The current benefit amount is 66.67 percent of salary (maximum payment \$7,000 per month), subject to a waiting period and age restrictions.

PUBLIC EMPLOYEES RETIREMENT SYSTEM (CALPERS)

All regular, full-time employees are eligible to become members of CalPERS, a defined benefit retirement pension plan for public employees in California. Other categories of employees may be eligible for membership in CalPERS. Please contact Human Resources if you have questions about your eligibility.

Employees enrolled in CalPERS are required to make a pre-tax retirement contribution to CalPERS through payroll deduction; contribution rates are set by CalPERS and are dependent on the employee's membership status (i.e., classic or new member). Additional information about PERS is available from Human Resources or can be found at the CalPERS website: www.calpers.ca.gov.

FLEXIBLE SPENDING ACCOUNT

All regular employees who work 30 or more hours/week may enroll in the Housing Authority's flexible spending account ("FSA") program, which allows employees to set aside pre-tax dollars to be used for eligible medical, dependent care, or transit expenses that qualify under rules established by the IRS. For information about current annual election limits and a comprehensive list of reimbursable expenses, please review the FSA materials provided by Human Resources.

STATE DISABILITY INSURANCE (SDI)

The law requires that a small percentage of each employee's wages be deducted each pay period for State Disability Insurance ("SDI"). SDI, which is administered by the State of California's Employee Development Department (EDD), provides for partial replacement of wages lost because of a non-work related accident or illness.

For employees who apply and qualify, SDI benefits, which are paid by the State, begin after the seventh day of illness or accident. Eligible employees will be paid a percentage of their regular earnings for a maximum period provided by law.

It is the employee's responsibility to notify the Director of Human Resources and Operations when a claim for disability compensation has been filed, and to provide proof of compensation from EDD. Information and claim forms can be obtained from the local EDD office or the EDD website: <http://www.edd.ca.gov/disability>.

PAID FAMILY LEAVE (PFL) INSURANCE PROGRAM

Housing Authority employees are also covered under the state-administered Paid Family Leave (PFL) insurance program. PFL is an employee-paid benefit that provides partial wage replacement when an employee is taking approved time off work to care for a seriously ill parent, child, or spouse/registered domestic partner, sibling, grandparent, grandchild, or parent in-law, or to bond with a new minor child.

While the state may grant PFL benefits when an employee is taking leave to care for a sibling, grandparent, grandchild, or parent in-law, please note that employees are not eligible to take Family/Medical Leave under FMLA/CFRA for these situations. Employees who wish to request a leave of absence to care for a sibling, grandparent, grandchild, or parent in-law should request a Personal Leave Without Pay as described in the Leaves of Absence section of this Handbook.

Up to six weeks of PFL benefits may be paid in a 12 month period. EDD determines eligibility for benefits. Employees must generally serve a seven day waiting period before PFL benefits begin.

Information and claim forms are available from the local EDD office, from the EDD website at: http://www.edd.ca.gov/Disability/Paid_Family_Leave.htm, or by calling 1-877-238-4373.

DEFERRED COMPENSATION (457 AND ROTH IRA)

Any full-time employee is eligible to defer a portion of his/her compensation by participation in a Section 457 deferred compensation plan and/or a Roth IRA. Section 457 contributions are made on a pre-tax basis, while Roth IRA contributions are made on an after-tax basis. Contributions for both types of plans may be made through regular payroll deductions. Contributions are voluntary; there are no employer contributions. See Human Resources for additional details.

EMPLOYEE ASSISTANCE PROGRAM (EAP)

The Housing Authority's Employee Assistance Plan (EAP) is designed to provide confidential assistance to full-time employees by providing professional consultation, assessment, and referral. The EAP is available to employees and their families at no charge. Contact Human Resources for more information.

EDUCATION ASSISTANCE AND TUITION REIMBURSEMENT

The Housing Authority may reimburse employees who voluntarily take educational courses that may benefit their job performance or provide preparation for promotional opportunities. The Executive Director and Department Director will make the final determination on requests for reimbursement. The current maximum amount available per employee per calendar year is \$750. The Executive Director will set the amount annually, dependent on the availability of sufficient funds.

To be eligible for education assistance, the education and training must be:

1. Related to the employee's occupational area or of demonstrated value to AHA;
2. Through an accredited educational institution/program and is a required course for a degree or certificate program; and
3. Completed during the employee's own time.

An employee who applies for education assistance must demonstrate satisfactory performance, and may not have had any documented disciplinary action, at a written warning or higher level, taken against him/her during the one year period prior to application. To apply, the employee must submit a written request to his/her supervisor outlining the type of degree or certificate program, anticipated date of completion, course of study and planned classes, and projected program cost, including tuition, academic fees, and books.

Reimbursement, if approved, shall be made when the employee completes the course or training, and receives a passing grade of C or better or passing certification requirements. Costs for programs of study that extend beyond one year may be submitted on an annual basis. Expenses must be validated by receipts, and a copy of the final transcript or certification must be presented. Reimbursement will be restricted to registration fees for tuition costs and books

listed in the course description that are required to complete the class or course. No reimbursement shall be made for late fees, parking fees, or any electronic equipment.

If an employee voluntarily terminates employment with the Housing Authority and received tuition reimbursement assistance, he/she will be required to reimburse the Housing Authority in full for any tuition assistance received during the last six months prior to his/her departure.

CREDIT UNION

Housing Authority employees are eligible to join the Alameda Municipal Credit Union.

WORKERS' COMPENSATION

The Housing Authority carries Workers' Compensation insurance coverage as required by law to protect employees who are incapacitated by injury or illness arising out of their employment. This insurance provides qualified employees with medical, surgical, and hospital treatment in addition to payment for loss of earnings that results from work related injuries or illnesses. The cost of this coverage is paid completely by the Housing Authority.

Injuries, regardless of how minor, must be reported immediately to a supervisor. The employee will be required to complete an "Employees Report of Injury" and a Housing Authority injury report form as soon as possible. When medical treatment is required, the employee will go or be taken to Concentra Medical Center, or after hours to the closest hospital (as posted in each work area), unless the employee has a written Predesignation of Personal Physician form which has been signed by the Physician on file prior to injury.

UNEMPLOYMENT INSURANCE

When an individual's employment terminates, he/she may be eligible to receive unemployment compensation. This State-provided insurance provides a weekly income for qualifying individuals who were subject to involuntary termination or lay off. The amount of compensation varies with the individual because it is based on earnings. A claim must be filed with the State by the terminating employee in order to collect this benefit.

MEDICARE

All employees contribute to Medicare, with a deduction made from each employee's gross earnings in accordance with the law. The Housing Authority contributes an amount equal to that paid by each employee.

SOCIAL SECURITY AND PARS

The Housing Authority of the City of Alameda **does not** participate in Social Security; retirement contributions are made solely through CalPERS. Employees who are not eligible for membership in the CalPERS retirement program are enrolled in PARS (Public Agency Retirement Services) instead. Contact Human Resources if you would like additional information about PARS.

PART FIVE: PAID TIME OFF

VACATION LEAVE

The Housing Authority provides paid vacation time to regular full-time employees and part-time employees so that they may take time off to relax, recuperate and recharge.

Accrual

Vacation leave is earned by eligible full-time regular employees in accordance with years of service. Vacation credit is accrued to each eligible employee beginning with the first day of regular employment up to a maximum yearly accrual according to the following schedule:

MAXIMUM VACATION ACCRUAL					
Years of Service	Paid Days of Vacation	Years of Service	Paid Days of Vacation	Years of Service	Paid Days of Vacation
1 through 4	10	12	18.5	19	22
5	15	13	19	20	22.5
6	15.5	14	19.5	21	23
7	16	15	20	22	23.5
8	16.5	16	20.5	23	24
9	17	17	21	24	24.5
10	17.5	18	21.5	25 or more	25
11	18				

The Executive Director may grant an increase in the annual maximum accrual up to a total of 20 working days of vacation with pay upon employment to recognize previous applicable experience. The employee shall continue to earn an additional 0.5 working days of vacation per year for every year completed up to the maximum accrual of 25 days.

Regular part-time employees will accrue a pro-rata leave balance based upon actual hours worked. No other classification of employees earns paid vacation time.

Employees on Leave without Pay status do not earn vacation leave. Employees who are on paid leave will continue to earn vacation leave, though the amount earned will be prorated based on the number of hours the employee is being paid by AHA from the employee's accrued leave.

No employee may have an accrued vacation bank of more than 250 hours at any time. Once the employee hits the cap, no additional vacation will accrue until the employee takes sufficient vacation to bring his/her vacation bank below the cap. Any accrued unused vacation time will be rolled over into the following year, up to the cap.

Scheduling

For newly hired probationary employees, no accrued vacation time can be taken until six months after the first day of employment.

All vacation time must be requested and approved in advance through the electronic timekeeping system and according to the guidelines below:

<u>Amount of Vacation Leave Requested</u>	<u>Advance Notice Required</u>
2 days or less	2 business days
3 or 4 days	5 business days
5 days or more	10 business days

The only exceptions to the above will be when time off is required for unforeseen or emergency circumstances. Due to the impact of unplanned time off on Agency operations, supervisors may require documentation of the need for unforeseen or emergency leaves, particularly when this occurs frequently or an employee has a pattern of poor attendance.

Vacation leave will be scheduled at times mutually convenient to the Housing Authority and employee. Employees are encouraged to submit their requests as early as possible; requests for vacation leave will be considered up to 12 months in advance and are generally handled on a first come, first served basis. However, to facilitate scheduling during periods when it is anticipated that multiple employees may request time off (e.g., 4th of July or December holiday periods), AHA may, at its sole discretion, notify employees of a designated timeframe that requests for these times must be submitted for consideration. In the case of conflicting requests, the supervisor will talk with the employees to try to work out a mutually-agreeable arrangement. If that cannot be done, priority for leave will be based on seniority. Department Directors may establish separate guidelines for the number of employees and types of positions that can be on vacation concurrently to ensure adequate coverage of their department's work functions.

Requests to cancel vacation leave of five days or more must be submitted no less than three business days in advance of the date that the leave was to commence, and must be approved by the employee's supervisor. The supervisor and/or the Agency reserve the right to require an employee to use requested vacation leave, particularly in cases where other staffing arrangements have been made to cover the employee's time off.

Sick Leave During a Scheduled Vacation Period

An employee who is ill or injured while on vacation may be able to use accumulated paid sick leave, if any, instead of paid vacation upon presentation of satisfactory medical documentation to his/her supervisor.

Payment

The Housing Authority does not make any advance payments of vacation time (i.e., employees will not be paid for vacation time before it is accrued). AHA strongly recommends that employees arrange for direct deposit of his/her pay checks so that vacation pay that is requested in advance through the timekeeping system can be automatically paid and deposited. No responsibility can be taken by AHA for live checks provided to an employee.

Vacation Pay-Out

The Housing Authority encourages employees to use their accrued vacation time. Employees may, however, request to receive a vacation pay-out for some of their accrued and unused vacation in lieu of taking paid time off work. Vacation pay-out is limited to 60 hours in any calendar year under this policy, and employees who request a vacation pay-out are required to

have 80 hours of vacation leave remaining after the pay-out. The Executive Director shall determine the time(s) that vacation pay-out is offered. Additional criteria include:

- Vacation pay-out is available to full-time regular employees who have completed their probationary period; no other employees are eligible to participate in this program.
- Employees who wish to sell vacation leave must have used a minimum of 60 hours of vacation leave in the prior 15 months.
- Vacation pay-out requests must be in one hour increments.
- An employee may request a vacation pay-out no more than one time per calendar year, even in the event that the Executive Director offers an opportunity for vacation pay-out more than one time in the year.
- Vacation pay-out is a final transaction, i.e., vacation leave may not be reinstated once it has been paid out to the employee.

Vacation Pay at Termination

Upon termination of employment, employees will be paid for any accrued and unused vacation at his or her rate of pay at the time of separation, and will be paid on the next regular pay date.

HOLIDAYS

The Housing Authority provides 10 paid holidays for full-time employees. The Housing Authority observes the following holidays:

New Year's Day	Martin Luther King, Jr. Day
President's Day	Memorial Day
Independence Day	Labor Day
Veteran's Day	Thanksgiving Day and following Friday
Christmas Day	

Each year, the Housing Authority will publish a calendar of holidays and office closures for the following year, including alternate holidays for those employees whose flex day falls on a holiday. If a particular holiday falls on a Saturday, the preceding Friday shall generally be observed. If the holiday falls on a Sunday, the following Monday shall generally be observed. All regular full-time employees are provided a paid day off for each holiday up to the number of hours they are regularly scheduled to work on that day. Part-time employees who are regularly scheduled to work on a holiday will be paid for that holiday up to the number of hours they are regularly scheduled to work. No other classification of employees is eligible for holiday pay, unless otherwise specified.

If a non-exempt employee is scheduled or required to work on a Housing Authority observed holiday, the employee will be paid for the holiday. In addition, non-exempt employees will receive time and one-half in pay for all hours worked on such holiday. Employees on vacation at the time a holiday occurs will not have that day counted as vacation pay, but will instead receive holiday pay as described above.

FLOATING HOLIDAYS

Floating holidays allow employees to have additional paid leave to cover absences for personal reasons such as religious observances or to supplement vacation, sick and holiday leave. All regular full-time employees and probationary employees for whom January 1 falls after their hire date receive three and one-half days (28 hours for employees on a 40 hour-based workweek, 26.25 hours for employees on a 37.5 hour-based workweek) on January 1 of each year that they may request to use between January 1 and December 31. Regular part-time employees will be granted floating holiday hours pro-rated based on the percentage of time they are regularly scheduled to work, and on the schedule described above. No other classification of employees receives floating holidays.

If an employee is on a leave of absence, whether paid or unpaid, on January 1, floating holiday hours are not granted until the employee returns to active status.

Employees may carry over unused floating holiday hours to subsequent years. However, employees cease earning floating holiday hours beyond a maximum of three and one-half days, or their pro-rated hours, as defined above based on employment status and workweek hours. In the succeeding year, employees will receive on January 1 only the number of floating holiday hours that will bring their total to the appropriate maximum as defined above.

Guidelines for requesting floating holiday use are the same as those described for vacation leave above.

Upon termination of employment, employees will be paid for any unused floating holiday hours at his or her rate of pay at the time of separation, and will be paid on the next regular payroll date.

Floating Holidays and New Probationary Employees

Employees who are otherwise eligible for floating holidays and are initially hired during a calendar year receive a floating holiday allocation at the time of hire that is prorated for the remainder of the calendar year based on the hire date. Eligible employees may request to use floating holiday leave on or following the day that it is received, including during any period of their probationary period that falls in the calendar year in which they were hired.

SICK TIME

Paid sick leave is a benefit provided to protect employees in the event of their own, or a family member's, illness or medical emergency.

Accrual

Paid sick leave shall be accrued by full-time and probationary full-time employees at the rate of 7.5 hours (8 hours for maintenance workers) per month worked. Part-time employees will accrue sick leave on a pro-rata basis, based on the employee's scheduled work hours. Sick leave is not accrued to employees on Leave without Pay status. Accrual of paid sick leave will

continue to employees who are on a paid leave status, though accrual is prorated based on the number of hours the employee is being paid by AHA from the employee's accrued leave.

Temporary employees, whether full-time or part-time, shall be provided with three days (24 hours) of sick time at the time of hire, and on January 1 of each year. Temporary employees may not use sick time until their ninetieth (90th) day of employment.

Regular employees' accrued, unused sick time may be carried over from one year to the next, and, unlike vacation time, there is no limitation on the amount of sick time a regular employee may accrue. Sick time balances for temporary employees will not be carried over from year to year.

Sick Time Use

Paid sick leave will be allowed only in case of necessity for: 1) the diagnosis, care or treatment of an existing health condition of, or preventative care for, an employee; or 2) an employee who is a victim of domestic violence, sexual assault or stalking to obtain a temporary restraining order or other court assistance to help ensure the safety or welfare of the employee and/or his or her child; or to obtain medical attention and psychological counseling; services from a shelter, program or crisis center; or to participate in safety planning or other actions to increase safety. The employee's accrued paid sick leave may also be used for the diagnosis, care or treatment of an existing health condition of or preventative care for an employee's spouse, parent, child of any age or dependency status, registered domestic partner, parent-in-law, grandparent, grandchild or sibling.

Eligible new regular employees may use accrued sick time during their probationary period, beginning on their hire date, and may use paid sick time as soon as it accrues.

When a Housing Authority-paid holiday occurs while an employee is absent from work on authorized paid sick leave, no deduction will be taken from the employee's accumulated sick leave balance.

If sick leave is exhausted, regular employees who are not on leave of absence are required to use vacation and/or floating holiday leave to the extent necessary to bring their pay to an amount equivalent to their scheduled work hours.

Notification

An employee unable to report to work because of an illness or injury must notify his/her supervisor no later than one-half hour after the start of the employee's scheduled workday. If an employee knows that his/her supervisor is also out, the employee should contact another supervisor or the Director of Human Resources and Operations. The supervisor must be contacted on each additional day of absence, except in cases where the employee is on an approved leave of absence.

When an employee knows in advance of the need for sick time use, i.e., for scheduled medical/dental appointments or procedures, sick leave must be requested in advance through the electronic timekeeping system.

Health Care Provider's Certification

Employees who are absent for more than three days due to their own illness or injury are required to provide a doctor's statement certifying that the employee may safely return to work. However, the Housing Authority may require a health care provider's note to substantiate the medical need for an absence from work of any duration, including for medical/dental appointments, particularly when an accumulation of absences seems to establish (in the supervisor's judgment) a problematic use of sick time. In no event, however, shall an employee be required to provide substantiation for the use of sick leave for the first three days of sick leave used during any calendar year that involves the illness of the employee or his/her family member.

All employees, including temporary employees, who use paid sick leave to address issues related to domestic violence, sexual assault or stalking, and who cannot provide advance notice of their need for leave must provide certification of the need for leave within a reasonable time thereafter.

Coordination of Benefits

If there is an extended absence, the employee also must apply for any other available compensation and benefits for which she/he may be eligible. The paid sick leave benefit is coordinated with any payments that the employee is eligible to receive, e.g., State Disability Insurance (SDI), Paid Family Leave (PFL), workers' compensation, or other such paid benefit, such that the employee does not receive more than 100 percent of his or her regular pay while on leave.

Payment

The Housing Authority does not make any advance payments of sick time (i.e., employees may not use sick time before it is accrued).

Sick Leave at Termination

No payment is made for accrued, unused sick time upon separation or at any other time. However, regular employees who are rehired within 12 months from their date of separation shall have their sick leave balance at the time of separation reinstated. Temporary employees who are rehired within 12 months from their date of separation also shall have their sick leave balances reinstated and each will be provided with three days of sick time, as described above, up to a combined maximum of six days of sick time. A temporary employee who worked at least 90 days in the initial employment with the Agency may immediately use reinstated sick leave. A temporary employee who had not worked 90 days in his/her initial employment period with the Agency must work the remaining amount of the 90 day-qualifying period before becoming eligible to use accrued sick leave.

Employees who retire directly from AHA are eligible, under the Agency's contract with CalPERS, to receive credit in the form of additional service time for a portion of any accrued sick leave balance they have at the date of separation. Please visit the CalPERS website or see Human Resources for more information.

JURY DUTY/WITNESS LEAVE

Any employee who is summoned to serve jury duty, or subpoenaed or ordered by a judge to appear as a witness in court (other than as a litigant) will be granted paid time off for the duration of the jury duty/witness service for a maximum of two weeks on any occasion that the employee is required to physically be present in court. If additional jury duty leave is required beyond the two-week period, leave shall be provided as unpaid time off, and the employee serving jury/witness duty may elect to use any accrued paid vacation and/or floating holiday time during the unpaid portion of the leave.

The employee must submit a copy of the official summons or subpoena to his/her supervisor upon receipt and at least five calendar days prior to the beginning date of such duty or service. Proof of attendance from the court will be required in order to receive jury/witness duty pay. When an employee is excused from jury or witness duty in time to report for at least one-half of his/her regularly scheduled shift, the employee is required to report for duty.

Public employees are not entitled to court compensation except for mileage reimbursement for any portion of jury duty that is paid by the employer. Thus, an employee must remit to the Agency any pay received as juror fees or witness fees during any Agency-paid portion of leave. Mileage reimbursement may be retained by the employee.

BEREAVEMENT AND FUNERAL LEAVE

Bereavement Leave

In the event of a death in the employee's immediate family, the employee may request up to four working days off with pay per occurrence, up to a maximum of eight days per calendar year. Regular part-time employees may be granted bereavement leave pro-rated based on the percentage of time regularly scheduled to work. Bereavement leave does not apply if the death occurs while the employee is on leave without pay.

For this section, "immediate family" is defined as parents, siblings, spouse or domestic partner, children, mother- or father-in-law, grandparents, grandchildren, children of domestic partner, step-parents, step-children, or step-siblings, where there is a child-rearing relationship. In order to qualify for bereavement pay, the employee may be required by AHA to provide a death certificate (or other proof of death) and proof of relationship.

Funeral Leave

With supervisory approval, a full-time regular employee may be granted up to four hours of paid funeral leave to attend the funeral of a co-worker or former co-worker. Part-time employees may be granted time off as a personal leave without pay.

TIME OFF TO VOTE

The Housing Authority encourages its employees to fulfill their civic responsibilities by voting in elections. Generally, the polls are open for several hours in the morning and evening after regularly scheduled work hours. Accordingly, the Housing Authority expects employees to be

able to vote either before or after work hours. However, if the employee does not have sufficient time before or after work to vote, the Housing Authority will provide up to two hours off to vote, without loss of pay, provided the employee gives at least two working days' advance notice of the need.

PART SIX: UNPAID TIME OFF AND LEAVES OF ABSENCE

Unless authorized by law, Housing Authority policy, or by authorization of the Executive Director, employees are not entitled to leave of absence or time off without pay. The Housing Authority may provide unpaid leaves of absence to employees in a variety of circumstances. Employees who are considering requesting a leave of absence are encouraged to meet with the Director of Human Resources and Operations as early as possible to discuss the details of the leave and to coordinate the integration of benefits and payroll.

Employees may request a leave of absence without pay for a qualifying personal or family illness, qualifying exigency arising from a call to active duty, or justifiable personal or other reasons. "Without pay" means that AHA will not pay for time on leave except for available vacation, floating holiday, sick leave and/or comp time that the employee concurrently uses consistent with this policy. Additionally, if the employee is in a paid leave status (due to concurrent use of accrued leave), any Housing Authority-paid holidays that fall within the leave period will be paid as holidays. Any holiday that occurs after all paid time off benefits have been exhausted will be without pay. Unless required by law, employees on any type of unpaid leave do not accrue additional benefits such as vacation, sick leave, holiday pay, increases in salary, or fringe benefits. Generally, no seniority shall accrue during any unpaid portion of the leave.

The Following General Information is Applicable to All Unpaid Leaves

REQUESTS FOR LEAVE

As soon as an employee learns of the need for a leave of absence, the employee should submit a written request for leave to his/her supervisor and provide a copy to Human Resources. If the need for the leave is foreseeable, employees are required to provide at least 30 days' advance notice. Approval of the leave may be delayed if timely notice is not provided. If the employee learns of the need for leave less than 30 days before the leave is needed, the request must be made as soon as possible.

INTEGRATION OF BENEFITS

If an employee on leave is receiving State Disability Insurance ("SDI") or Paid Family Leave ("PFL") or Workers' Compensation benefits, and the employee has not exhausted his/her accrued paid benefits with the Housing Authority, AHA will generally integrate the outside paid benefit with the employee's accrued paid benefit (to the extent permitted by law) so that total compensation for the pay period does not exceed the employee's regular wages.

Employees on approved leaves under this section, who receive SDI, PFL, or Workers' Compensation benefits, must promptly notify Human Resources of the dates and amount of payment(s) so that AHA can make arrangements for integration.

MEDICAL CERTIFICATION

Human Resources will notify the employee if medical certification is required for a requested leave to be approved. If the reason for leave is the employee's own injury or illness, medical certification of the employee's ability to return to work, with or without reasonable accommodation, at the conclusion of the leave is required before the employee will be permitted to return.

RETURNING TO WORK

When applicable, an employee returning from approved leave will return to the original job held when the leave commenced, or to an equivalent job with equivalent pay and benefits. An employee has no greater right to restoration or to other benefits and conditions of employment than if the employee had been continuously working.

The Housing Authority's actions upon failure to return to work will be based upon the reason the employee does not return, as outlined below:

- If the employee is released by his/her physician to return to work and fails to do so, the Housing Authority will proceed with termination of employment.
- If upon return from leave an employee is unable to perform the essential functions of his or her job because of a physical or mental disability, the Housing Authority will engage in the interactive process with the employee to identify a potential reasonable accommodation(s). The employee will not be allowed to return to work until a reasonable accommodation is implemented or the employee is otherwise able to perform the essential functions of his or her position with or without reasonable accommodation.

CONCURRENT RUNNING OF LEAVES

If an employee is on a leave that qualifies under more than one law (e.g., leave for a serious health condition under the FMLA/CFRA that is also a Workers' Compensation injury; pregnancy disability leave that is also a serious health condition under the FMLA), the leave time will run concurrently to the extent permitted by law.

UNPAID LEAVES

The most common types of unpaid leaves are described below. Please see Human Resources for additional information about any leaves of absence, or if you have a need for leave that is not covered by the descriptions below.

Family/Medical Leave under the Family and Medical Leave Act and the California Family Rights Act ("FMLA"/"CFRA")

The Housing Authority will provide family and medical care leave for eligible employees as required by state and federal law. Rights and obligations that are not specifically set forth below are provided for in the regulations implementing the federal Family and Medical Leave Act (FMLA) and California Family Rights Act (CFRA). To the extent allowed under the law, FMLA leave runs concurrently with, and is not in addition to, the leave entitlements provided by the CFRA. Employees who misuse or abuse family and medical care leave may be disciplined up to and including termination. Employees who fraudulently obtain or use CFRA leave are not protected by the CFRA's job restoration or maintenance of health benefits provisions.

Eligibility and Leave Duration

Eligible employees, defined as those who have at least one year of service with the Housing Authority, and who have worked at least 1,250 hours in the 12 month period before the date the requested leave will begin, may request an unpaid, job-protected leave of up to 12 workweeks in a 12-month period for any of the following reasons:

- For incapacity due to pregnancy or prenatal care (entitled to FMLA leave only; see also Pregnancy Disability Leave);
- To care for the employee's child after birth, or following placement for adoption or foster care ("baby bonding") within one year of the birth or placement;
- To care for the serious health condition of the spouse, registered domestic partner, child, or parent of an employee;
- For the employee's serious health condition that makes the employee unable to work at all or unable to perform the essential functions of his or her position; or
- To handle "qualifying exigencies" arising out of the fact that the employee's spouse, registered domestic partner, child, or parent is on active duty, or is called to active duty, in support of contingency operations as a member of the Armed Forces, including the National Guard or Reserves (FMLA leave only).

In addition, eligible employees may be entitled to take a leave of up to 26 weeks in a 12-month period to care for a spouse, registered domestic partner, parent, child, or next-of-kin who is a current member of the Armed Forces and has sustained serious illness/injury in the line of military duty or who is a veteran who was discharged or released within the past five years and is undergoing medical treatment, recuperation or therapy for a serious injury/ illness. The injury or illness may constitute an exacerbation of a pre-existing condition and may also manifest itself before or after the member became a veteran.

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either inpatient care or continuing treatment by a health care provider.

The 12-month period shall be a rolling 12-month period measured backward from the date leave is taken. It is continuous with each additional leave day taken.

Additional guidelines for leave duration include:

- **Minimum Duration of Leave:** If leave is requested for the birth of a child, or for adoption or foster care placement of a child with the employee, the basic minimum duration of such leave is two weeks. However, an employee is entitled to leave for this purpose for less than two weeks' duration (but for at least one day) on any two occasions.
- **Parents Both Employed by AHA:** If both legal parents are employed by the Agency and are entitled to leave, the total number of workweeks of leave to which both may be entitled is limited to 12 workweeks for the birth of a child, or for adoption or foster care placement of a child with the employees.
- **Parents Both Employed by AHA:** If both parents of a covered servicemember are employed by the Agency and are entitled to leave to care for a covered servicemember, the aggregate number of workweeks of leave to which both may be entitled is limited to 26 work weeks during the 12-month period.

Coordination of Accrued Leave and Benefits

To the extent permitted under the law, the Housing Authority requires employees to substitute paid leave accruals while on an FMLA or CFRA leave. State Disability Insurance (SDI), Paid Family Leave (PFL), and Long Term Disability (LTD) benefits may be coordinated with accrued leave so that an employee receives up to full pay. Once accrued paid benefits are exhausted, the remainder of leave, if any, is unpaid.

Generally, employees taking FMLA/CFRA leave must use accrued paid sick (if applicable), floating holiday, and vacation time during the leave. The exceptions to this are:

- Employees on FMLA/CFRA leave for their own serious health condition and who are receiving temporary disability benefits (SDI) or workers' compensation benefits may elect to use their paid leave to supplement their disability benefit up to an amount that, when combined with the disability benefit, does not exceed their regular pay for the pay period.
- Employees taking leave to care for a family member or for baby bonding are required to use accrued vacation or floating holiday leave. They are not required to use accrued sick leave, but may elect to do so, and may elect the order in which accrued leave is used.
- Employees on FMLA leave due to pregnancy disability may elect whether or not to use floating holiday or vacation time during the leave.

Insurance Coverage

Employees on FMLA/CFRA leave retain their employer-paid group coverage (i.e., health, dental, vision, life and AD&D, and long-term disability insurance) up to a maximum of 12 weeks in a rolling 12-month period under the same terms applicable before the employee takes leave. If applicable, arrangements will need to be made for employees to pay their share of premium costs while on leave. If the employee fails to return to work from leave, the Housing Authority may recover premiums it paid to maintain health coverage for this employee.

An employee may elect to continue coverage of other, voluntary benefits for which the employee is responsible for paying the entire premium, (e.g., voluntary life and AD&D insurance), so long as he/she continues to pay the entire cost of the premium(s) while on

leave. Employees on Family/Medical Leave who are in paid status may continue to pay the full cost of the premium(s) via payroll deductions. The Authority will inform employees on Family/Medical Leave who are in unpaid status to whom direct payments should be remitted to for continued coverage.

Certification

An employee will be required to provide certification of the need for Family/Medical Leave according to the following guidelines:

- **Timely Provided Certification:** The employee should provide at least 30 days' advance notice where the need is foreseeable. When the need for leave is not foreseeable, the employee must provide notice to the employer as soon as practicable under the facts and circumstances of the particular case. For foreseeable leave due to a qualifying exigency, an employee must provide notice for leave as soon as is practicable, regardless of how far in advance such leave is foreseeable.
- **Requirements of the Certification:** The Housing Authority requires that an employee's request for leave due to a serious health condition affecting the employee or a family member, or due to a covered servicemember's serious injury or illness, be supported by a written certification from a health care provider. If leave is requested because of the employee's own serious health condition, the certification must include a statement that the employee is unable to work at all or is unable to perform the essential functions of his or her position. The first time an employee requests leave because of a qualifying exigency, AHA may require the employee to provide a copy of documentation issued by the military, in accordance with the FMLA. The Housing Authority may require second or third medical opinions, at the Housing Authority's expense, and an employee to report on his/her status and intent to return to work. This will avoid any delays to reinstatement when the employee is ready to return.
- **Failure to Provide Adequate or Timely Certification:** If an employee provides an incomplete medical certification, the employee will be given a reasonable opportunity to cure any such deficiency. If an employee fails to timely provide certification, AHA may delay or deny use of FMLA/CFRA leave until the required certification is provided, or deny FMLA/CFRA protections following the expiration of the time to provide an adequate certification.
- **Second and Third Medical Opinions:** If AHA has a good faith, objective reason to doubt the validity of a certification of the employee's claimed serious health condition, AHA may require a medical opinion of a second health care provider chosen and paid for by the Agency. If the second opinion is different from the first, the Housing Authority may require the opinion of a third provider jointly approved by the Agency and the employee, but paid for by the Agency. The opinion of the third provider will be binding. The Housing Authority will provide the employee with a copy of the second and third medical opinions, where applicable, without cost, if requested by the employee.

- **Intermittent Leave or Reduced Schedule:** For intermittent leave or leave on a reduced leave schedule taken because of one's own serious health condition, to care for a spouse, parent, son, or daughter with a serious health condition, or to care for a covered servicemember with a serious injury or illness, the employee must provide medical certification that the requested leave is medically necessary. "Medically necessary" means there must be a medical need for the leave and that the leave can best be accomplished through an intermittent or reduced leave schedule. The Housing Authority may require an employee who certifies the need for a reduced schedule or intermittent leave to temporarily transfer to an alternate position of equivalent pay and benefits that better accommodates the leave schedule.

Employment Status

If the leave is only protected under the FMLA, and not the CFRA, the employee's unpaid absence will be considered a break in service for purposes of determining seniority.

Returning to Work

When an employee is on leave for his/her own serious health condition, the Housing Authority requires written medical certification by a health care provider of an employee's ability to return to work. Failure to provide such certification will result in denial of reinstatement. Upon expiration of an authorized leave, the employee will be returned to the same, or to a comparable, position to the extent required by law.

Non-FMLA/CFRA Medical/Family Leave

Part-time employees who have at least one year of continuous service with AHA, and who are not otherwise eligible for leave under the FMLA/CFRA may nonetheless request a discretionary leave of absence for any of the reasons allowed for FMLA/CFRA leaves. The employee must provide evidence of one of the reasons for leave as stated in the FMLA/CFRA, and provide 30 days' advance notice if the need for the leave is foreseeable.

If approved, leave will not exceed a maximum duration of eight work weeks within a rolling 12-month period. Employees must exhaust any and all accrued sick leave, floating holiday, and vacation time during the leave. Once all accrued, available leave is exhausted, the leave is unpaid and no vacation or sick leave will accrue. The employee's unpaid absence will be considered a break in service for purposes of determining seniority.

Part-time employees on this leave who are otherwise eligible for employer-paid group coverage (i.e., health, dental, life and AD&D, and long-term disability insurance) with the Housing Authority will have paid group coverage insurance coverage through the end of the pay period in which their unpaid leave commences. Thereafter, employees may continue coverage under AHA's group insurance plans at their own expense. The sole exception to this is employees on pregnancy disability leave, who remain covered by AHA health benefits during their approved leave.

Upon expiration of an authorized leave of this kind, AHA will seek to return the employee to the same, or a comparable position.

Pregnancy Disability Leave ("PDL")

Employees who are disabled and unable to work due to pregnancy, childbirth, or a related medical condition are eligible to request a leave of up to four months per pregnancy. Related medical conditions include, but are not limited to, severe morning sickness, the need for prenatal or postnatal care, childbirth, postpartum depression, gestational diabetes, preeclampsia, mastitis, and loss or termination of the pregnancy and recovery therefrom.

PDL does not need to be taken all at once, but can be taken on an as-needed basis as required by the employee's health care provider, including intermittent leave or a reduced work schedule, all of which counts toward the employee's four month entitlement. If taken on an as-needed basis, every effort should be made to minimize the disruption to Housing Authority business.

Employees on PDL are required to first use accrued sick time during the leave, and may elect to use, or not to use, accrued vacation and PTO. However, employees who are FMLA-eligible, **and** concurrently taking PDL leave, **and** receiving benefits under SDI, may use their accrued leave to supplement their disability benefit up to an amount that, when combined with the disability benefit, does not exceed their regular pay for the pay period. Once accrued paid benefits are exhausted, the remainder of PDL, if any, is unpaid.

Employees on PDL retain their employer-paid health insurance during their approved leave (i.e., up to a maximum of four months) at the level and under the conditions that coverage would have been provided if the employee had continued in employment continuously for the duration of the leave. Eligible employees who take CFRA leave for baby bonding (or other qualifying reason) following their PDL leave, may receive employer-paid health insurance for up to an additional 12 workweeks. In some instances, the Agency can recover from an employee premiums paid to maintain health coverage if the employee fails to return following the PDL.

Employees will retain their employee status during the period of the approved PDL, and the absence will not be considered a break in service for purposes of determining seniority.

Upon timely return at the expiration of PDL or after transfer to a reduced work schedule, the employee is entitled to return to the same position. If the same position is no longer available (e.g., position eliminated due to a reduction in force), the Housing Authority will offer a position that is comparable in terms of pay, location, job content, and promotional opportunities, unless no comparable position exists. The Housing Authority requires written medical certification by a health care provider of an employee's ability to return to work at the end of a PDL exceeding three days in length.

If the employee fails to return to work, refer to the process outlined in the Returning to Work section above that addresses all unpaid leaves.

Industrial Injury Leave

Employees who sustain any illness or injury arising out of and in the course of their employment and are deemed to have a temporary total disability under Workers' Compensation laws are entitled to a medical leave until the earlier of the following:

- The employee is released to return to work; or
- The employee is determined to be permanently unable to return to his/her usual duties.

It is the employee's responsibility to immediately report any work-related injury to his/her supervisor, who will provide the employee with the Employee's Report of Occupational Injury form and the Housing Authority Incident Report. These forms must be completed to determine eligibility for Workers' Compensation. Employees requesting leave are required to submit medical certification of the need for leave.

Employees must exhaust all accrued paid time off during this leave, and before taking unpaid leave. Any such pay will be coordinated with third-party benefits received by the employee through Workers' Compensation. The exception to this is that employees receiving workers' compensation benefits whose leave runs concurrent with FMLA/CFRA leave are not required to use their paid leave but may elect to do so in order to supplement their disability benefit up to an amount that, when combined with the disability benefit, does not exceed their regular pay for the pay period.

Employees who are otherwise eligible for paid health insurance with AHA, and who do **not** have FMLA/CFRA leave running concurrently, will have paid health insurance coverage through the end of the month in which the unpaid portion of their leave commences. Thereafter, employees may continue coverage under the Housing Authority's group insurance plans at their own expense.

Employees returning from industrial injury leave will be returned to the same, or a comparable position, to the extent required by law.

Military Duty Leave

A Housing Authority employee will be granted a military leave of absence to carry out military obligations in accordance with the Uniformed Services Employment and Reemployment Rights Act (USERRA) and applicable state law. In accordance with federal and state law, the employee must give his/her supervisor advance notice of upcoming military service, unless military necessity prevents advance notice or it is otherwise impossible or unreasonable, and provide a copy of the military orders specifying the dates, site and purpose of the activity or mission. Within the limits of such orders, the department head may determine when the leave is to be taken and may modify the employee's work schedule to accommodate the request for leave.

Personal Leave of Absence

In addition to the previously described leaves, and in an effort to recognize the needs of employees for time off for reasons other than those described above, the Housing Authority may consider granting a personal leave of absence without pay. Personal leaves are limited to

a maximum of two months in any two year period (measured in a rolling 24-month period). Personal leaves may not be added to any of the previously described leaves.

All regular employees of the Housing Authority who have completed their probationary period may request an unpaid personal leave of absence. Job performance, attendance, and work/program requirements will all be taken into consideration before a request is approved. Requests for unpaid personal leave may be denied or granted by AHA within the sole discretion of the Executive Director.

Requests for a personal leave of absence must be submitted in writing to the Executive Director and must state specifically the reasons for the request and the proposed dates for beginning and ending the leave. Thirty days' notice is required if the need for leave is foreseeable.

Personal leaves, if granted, are without pay. Any accrued paid time off (i.e., accrued sick (if applicable), vacation, floating holiday and comp time) must be exhausted prior to the commencement of a personal leave.

Insurance benefits may be continued at the employee's own expense during any unpaid personal leave.

Employees on personal leave status for any reason are responsible for maintaining communication with their immediate supervisor or the Executive Director or designee regarding their situation no less than once each month. An employee is required to return from the personal leave on the originally scheduled return date. If the employee is unable to return, he/she must request an extension of the leave in writing within five business days before expiration of the leave, explaining the reason for and requested duration of the additional leave sought. If the leave is not extended, the employee must return to work on the originally scheduled return date or the employee will be considered to have voluntarily resigned from his/her employment. Extensions of leave are considered only on a case-by-case basis.

Other Forms of Leave

Other forms of leave may be available to employees who are victims of domestic violence, sexual assault or other crimes, are military spouses, emergency responders, or organ donors; or who require leave for children's school activities, or for volunteer firefighter or Civil Air Patrol service, as required by law. Please contact the Director of Human Resources and Operations for more information.

LEAVE DONATION PROGRAM

Eligible employees may participate as donors and recipients in the leave donation program, which provides a mechanism for assisting employees who have exhausted paid leave due to a serious or catastrophic illness or injury. This program allows a Housing Authority employee to donate his/her accrued paid vacation to a specific, eligible employee who has exhausted his/her own available leave balances.

“Serious or catastrophic illness or injury” is defined for purposes of this policy as the employee’s own medical condition which requires him/her to be absent from work for more than twenty (20) consecutive work days, or the illness or injury of the employee’s immediate family member requiring the employee’s care (which results in the employee’s absence from work for more than 20 consecutive work days).

Eligibility to Receive Benefit

To be eligible to receive leave donations, an employee must have been employed in a regular full-time position for a minimum of one year; must be absent from work due to a “serious or catastrophic illness or injury” (as defined above, and as verified by a physician’s certification); and must have exhausted all earned leave balances (including sick leave, compensatory time, vacation, and floating holiday credits). The request may be initiated prior to the anticipated date leave balances will be exhausted; however, no retroactive requests will be permitted (i.e., employees will not be granted donations for time off already treated as unpaid leave).

To be considered for a leave donation, the requesting employee, family member of the requesting employee, or another person designated in writing by the requesting employee must submit a request for such a donation to: Housing Authority of the City of Alameda, Human Resources Department, 701 Atlantic Avenue, Alameda, CA 94501. The determination of whether to award an employee leave donation and the maximum amount of leave that can be donated to the employee shall be at the Executive Director’s sole discretion and shall be final.

Benefit

Donated leave will be changed to its cash value at the donor’s base rate of pay and then credited to the recipient in equivalent hours of paid time off at the recipient’s base rate of pay. For as long as the receiving employee remains in a paid status, seniority and all other benefits will continue, with the exception that paid sick leave and paid vacation will not accrue during any period of donated paid leave. Generally, the period of donated paid leave may not exceed three months; however, the Executive Director may decide to extend the total period of donated paid leave on a case-by-case basis.

When using donated leave, disability benefits will be integrated with donated leave, just as they are when non-donated sick or vacation leave is used.

Donating Leave Credits

Donations are voluntary and may be made by any regular full-time employee who has completed his/her initial probationary period and has accrued paid time off. Other rules include:

1. Only vacation leave may be donated. Comp time, floating holiday and sick leave are not eligible for donation.
2. The total amount of time donated by any one employee may not exceed 40 hours.
3. Leave donations, if made, must be in four hour increments.
4. An employee may not donate leave hours that would reduce his/her vacation balance to less than one week (i.e., either 37.5 or 40 hours).

If the receiving employee does not use all transferred leave for the intended use, any balance will remain with the receiving employee until that employee's separation from the Housing Authority. Unused donated leave will not be returned to the donating employee(s); once the donation is made, it is a final transaction.

Upon approval of an eligible employee's request for leave donations, the Executive Director or designee will post a notice of an eligible employee's need for donations on bulletin boards accessible to employees or will communicate the need for leave donations via email; confidential medical information shall not be included in this notice. Employees wishing to donate should contact the Director of Human Resources and Operations or designee. Donations may be made for a period of 45 days after the donation request and physician certification is received. Employees may request leave donations not more than one time in each one year period beginning on the date of first request.

The Leave Donation Program is designed to be as confidential as possible, and is strictly voluntary. Employees who donate benefits will be made aware of the value of their donation. The recipient of benefits will be made aware of the value of their benefits received. Individual donations and the identities of donors are confidential, and will not be disclosed except on a need-to-know basis for administrative purposes.

PART SEVEN: WORK HOURS AND PAY

PAY PERIODS AND PAY DAYS

For all employees, the standard pay period is biweekly, and each paycheck covers work performed through the completion of the previous two-week work period. Paychecks are normally distributed every other Friday. Direct deposit is encouraged, but it is not mandatory.

Employees will receive an earnings/leave statement showing earnings and mandatory and voluntary deductions for each pay period. Each employee is responsible for notifying his/her supervisor if she/he believes there is a discrepancy on his/her earnings statement.

WORK DAY AND WORK WEEK

Normally, the workweek consists of 40 hours, and the workday consists of eight hours. Designated positions (including part-time positions) may have a shorter workweek of 37.5 hours and/or workday of 7.5 hours.

OVERTIME

Overtime is time an overtime-eligible employee actually works in excess of 40 hours in his or her designated work week. Only actual hours worked will be counted toward the 40-hour threshold for purposes of calculating Fair Labor Standards Act (FLSA) overtime pay; paid time off will not be counted. Overtime-eligible employees who are directed to work overtime must do so. Employees may only work overtime when approved in advance by a department head. Employees who have a flexible work schedule must also have advance approval for working any

hours in excess of their approved work schedule, whether or not those hours will be eligible for overtime pay.

WORK PERIOD

The Housing Authority has declared a seven-day work period which begins on Sunday at 12:00 a.m. and ends on Saturday at 11:59 p.m. for all positions.

BREAK/REST PERIODS AND MEAL PERIODS (NON-EXEMPT EMPLOYEES ONLY)

All non-exempt employees are provided a 15-minute paid rest period (i.e., break) for each four-hour period of work or major portion thereof per workday, one in mid-morning and one in mid-afternoon. The rest period shall be taken at a time designated by the employee's supervisor. Rest periods may not be used to extend the meal period or to leave work early.

Meal periods are provided to employees who work more than five (5) hours per shift. Eligible employees are required to take a daily meal period, at a length and time established by the supervisor, except that employees who are scheduled to work for 6 hours or less per day may opt to forgo their meal period. Meal periods will be no less than 30 minutes or more than one hour in length and are unpaid. Employees may not skip meal breaks to shorten the workday. Employees are free to come and go, and are not to perform any work during their meal periods. When being relieved of all duties during lunch is not possible due to Housing Authority work requirements, employees will be paid for their meal period. Any employee who works more than 12 hours per day will receive a second meal period of 30 minutes.

Rest Periods during Late Night/Early Morning Work

At times, particularly during emergencies, it may be necessary for certain staff to work late at night or early in the morning. In addition to overtime pay that is provided for this work, staff who work more than two (2) hours between 11:00 p.m. and 7:00 a.m. will be provided with one hour of paid rest period for every two hours worked. This rest period shall generally commence at the start of the next regularly scheduled shift, unless the employee's services are otherwise required to continue past the start of his/her shift. Payment for the rest period will be at the regular straight time rate, and will count as hours worked for purposes of calculating overtime.

FLEXIBLE WORK SCHEDULES

Employees may have the option to request a reduced work week, or the Executive Director may designate certain positions as subject to a flexible work schedule. Any employee requests for a reduced work schedule – or to stop flexing – must be submitted in writing, and are reviewed and approved by the supervisor and the Executive Director. Generally, once an employee's request for a flexible schedule is approved, the employee may not return to a regular schedule unless required to do so for agency business needs.

Employees currently working 75 hours per pay period may request a reduction to 72 hours; employees currently working 80 hours per pay period may request a reduction to 76 hours. Vacation and sick leave accrual are not affected by the adjusted work week option, nor is a non-exempt employee's hourly rate of pay affected. Since non-exempt employees will be working fewer hours, however, actual earnings are reduced accordingly. Exempt employees' salaries

will not be affected by a reduced work week option, unless an exempt employee performs no work during the work week. Additional information about flexible work schedules is available from Human Resources.

The Housing Authority reserves the right to designate work schedules for employees on flexible work schedules, to rescind or alter the types of flexible schedules offered, if any, and to require employees to work flexible schedules subject to business needs and budget restrictions and upon two weeks written notice to the employee. Unless an exception is made by the Executive Director, new employees who would otherwise be subject to a 75 hour per pay period schedule will be placed on a flexible (72 hour per pay period) schedule upon hire.

TIMEKEEPING REQUIREMENTS

An employee's accurately-recorded time card is one of the best ways to ensure the employee receives the correct amount of pay. AHA utilizes an electronic timekeeping system, and all employees are required to submit an electronic time card every other week, on the Monday prior to payday. Non-exempt employees record actual hours worked and leave taken; non-exempt employees must report all hours worked and are strictly prohibited from performing any work "off the clock". Exempt employees report only leave taken, and report their leave usage in one-half or full day increments only. Any type of absence must be recorded on the time card and approved by the employee's supervisor.

In the event that a non-exempt employee does not record hours consistent with his/her scheduled work hours, the employee is required to use vacation and/or floating holiday leave to the extent necessary to bring their pay to an amount equivalent to their scheduled work hours. Employees are responsible for ensuring that their time cards are accurate, complete, and submitted on time. Non-exempt employees should notify their supervisor no later than the end of the next business day if they fail to clock in or out, report leave used incorrectly, or have any other adjustment that needs to be made so that corrections can be completed in a timely manner. Falsification of time cards or repeated inaccurate reporting of time will subject the employee to discipline, up to and including immediate termination.

PAYROLL DEDUCTIONS

Your payroll and earnings deductions are detailed with your paycheck. Federal and State laws require deductions from every paycheck for federal and state withholding taxes, Medicare taxes, state disability insurance, garnishments or wage attachments, and employee contributions to either the CalPERS or PARS retirement program. Other voluntary deductions may be made from an employee's paycheck with the employee's authorization. These deductions may include, but are not limited to, insurance premiums, contributions to a deferred compensation program, and deductions to fund flexible spending account elections.

REVIEW YOUR PAYCHECK

The Housing Authority makes every effort to ensure its employees are paid correctly. If a mistake is made, and called to the Housing Authority's attention, it promptly will make any correction that is necessary. Employees should review their paychecks to make sure they are correct. If an

employee believes a mistake has occurred or has any question, they should notify their supervisor no later than the end of the next business day.

If you are classified as an exempt salaried employee, you will receive a salary which is intended to compensate you for all hours you may work for the Housing Authority. This salary will be established at the time of hire or when you become classified as an exempt employee. While it may be subject to review and modification from time to time, such as during salary review times, the salary will be a predetermined amount that will not be subject to deductions for variations in the quantity or quality of the work you perform.

Under federal and state law, exempt employees' salaries are subject to certain deductions. For example, unless state law requires otherwise, your salary can be reduced for the following reasons:

- Full-day absences for personal reasons
- Full-day absences for sickness or disability
- Partial-day absences for personal leave or sick leave
- Full-week disciplinary suspensions for infractions of our written policies and procedures
- Family and Medical Leave absences (either full- or partial-day absences)
- To offset amounts received as payment for jury and witness fees or military pay
- The first or last week of employment in the event you work less than a full week
- Any full work week in which you do not perform any work

In any work week in which you performed any work, exempt employees' salaries will not be reduced for any of the following reasons:

- Your absence on a day because the Housing Authority has decided to close a facility on a scheduled work day
- Absences for jury duty, attendance as a witness, or military leave in any week in which you have performed any work
- Any other deductions prohibited by state or federal law

Unless state law provides otherwise, deductions may be made to your accrued leave for full- or partial-day absences for personal reasons, sickness or disability. If you believe you have been subject to any improper deductions, you should immediately report the matter to your supervisor.

PART EIGHT: COMPENSATION AND SALARY ADMINISTRATION

DETERMINATION OF PAY RATES

The Housing Authority desires to attract and retain strong performing employees, and accordingly attempts to pay competitive wages to its employees. To determine appropriate compensation rates for positions, AHA will take into account information about current wages and, where information is available, benefits of pertinent local agencies, and will evaluate the relationship between jobs within AHA and other public agencies. AHA will determine how

often pay rates should be reviewed. Generally, AHA plans to review pay rates at least every four years unless data indicates review on a more or less frequent basis is appropriate.

WAGE RANGES AND STEPS

The Housing Authority has established a wage range for each class of position title listed in the Schedule of Authorized Positions. Each position, with the exception of the Executive Director and contract positions, is assigned a wage range, and each range currently has five steps or rates of pay. The Salary Schedule shows all salary and wage ranges available, whether any positions are currently assigned to those ranges or not, and the corresponding rate for each step with each range. (Non-exempt employees are listed as an hourly wage at each step. Exempt employees are listed with a monthly and annual salary.) Wage ranges are subject to adjustment and change by the Board of Commissioners as conditions warrant. The current Schedule of Authorized Positions showing titles and wage ranges is posted on the AHA website.

The steps within each range shall be administered in the following manner:

- The first step of each range is the beginning wage level and is the standard hiring rate for a class or position. The Executive Director has the authority to hire an employee above Step 1 of the applicable range. Generally, AHA seeks to hire job applicants at Steps 1-3 of the assigned range unless doing so would result in a reduced compensation level for the applicant or risk the applicant not accepting the Housing Authority's job offer.
- Employees may be considered for advancement to the next step assigned to their position after a minimum of one year of satisfactory probationary service, and upon the performance evaluation and recommendation of the supervisor with approval of the Executive Director. Advancement to the next step in subsequent years may occur with each year of satisfactory service until the employee attains the top step of the range assigned to his/her position.
- The top step of each range is the final step for employees who attain and maintain a thoroughly satisfactory standard of work performance. Employees at the top of their range are eligible for any adjustments made to the range due to cost of living adjustments or re-evaluation of the wage rate schedule, but are not eligible for any further step increases so long as they remain in the same position or wage range.
- The Executive Director has the authority to approve an employee for a salary advancement of more than one step. Generally, this would only be considered when there is a need to adjust an employee's salary for internal equity reasons, or when an employee was hired at the bottom of the salary range and has demonstrated exemplary performance.

RECLASSIFICATION RESULTING IN RANGE DECREASE (Y-RATE)

When the Housing Authority deems it necessary to reclassify an employee for reasons other than misconduct, substandard performance, and/or other disciplinary action (i.e., due to position reclassification or when a position is assigned to a lower wage range as a result of a compensation study), and such action places that employee in a position receiving lower wages, the employee's wages will remain at the same step already attained. The employee will not receive any cost of living increases granted by the Board of Commissioners until such time as

the range currently assigned becomes equal to or greater than that of the previously held position.

WAGE ADJUSTMENTS

Cost of Living

The Housing Authority will employ a method to compensate employees for cost of living adjustments, if any, to the extent that funds are available. Cost of living adjustments (COLA) may be considered no more frequently than annually and require approval from the Board of Commissioners. There is no guarantee of a cost of living increase in any year.

Transfers and Promotions

In the case of lateral transfers, (i.e., transfers to another position within the same range), only fully qualified employees who meet the minimum requirements of the transfer position are eligible to be placed at the same step they attained prior to the transfer. The Executive Director shall determine the appropriate step to which transferring employees are assigned.

Employees promoted within the Agency will be placed within the wage range for the new position with step assignment determined by the Executive Director. In no event will a promotion result in a wage decrease.

The decision of within-range placement in other instances of voluntary position classification changes will be made by the Executive Director. Employees are urged to consider the effect of reclassification when applying for positions within the agency, and to ask questions of their supervisors or Human Resources. It is the employee's obligation to keep him/herself informed of the impact that changes of position may have on compensation.

Demotion in Lieu of Layoff

In the event that a position is eliminated and the employee holding that position is therefore subject to termination, AHA may, should a position assigned to a lower wage range be available that the employee is qualified for, offer such position to the employee. If the employee accepts the position, the employee shall be assigned to the wage range for the new position, with the assigned step within the range determined by the Executive Director.

OVERTIME PAY

Employees may occasionally be asked to work beyond their normally scheduled hours. When this occurs, supervisors should attempt to provide as much advance notice as possible. Opportunity for overtime (or work hours beyond the employee's regular schedule) on a particular job normally will be given to the employee who has been working on that job during the regular shift, or may be rotated among employees when multiple employees have been performing similar work. Generally, overtime is not offered to an employee who is underperforming.

The Housing Authority provides overtime compensation to non-exempt employees for all hours worked in excess of 40 hours per workweek. All overtime (or work hours beyond the

employee's regular schedule) must be approved in advance by the supervisor, except in the cases of emergency call-outs, with approval documented in the electronic time card.

In all cases, non-exempt employees will receive compensation at one and one-half their regular rate of pay for each overtime hour worked. For computation purposes, "hours worked" does not include paid vacation, sick leave, AHA-paid holidays, floating holidays, or any other paid time off. Unpaid sick leave, personal leave or any other unpaid time away from work is also not considered hours worked.

Exempt Employees and Overtime

Exempt employees are paid a fixed salary that is intended to cover all of the compensation to which they are entitled. Because they are exempt, such employees are not entitled to additional compensation for extra hours of work. Accordingly, the Agency does not maintain any time off plan or arrangement with exempt employees. Neither extra compensation nor compensatory time off will, under any circumstances, be owed or payable to an exempt employee during employment or upon separation from the Housing Authority's employ for any reason.

COMPENSATORY TIME OFF (CTO)

At the option of the non-exempt employee, AHA provides compensatory time off (CTO) as a substitute for overtime pay, for all hours worked in excess of 40 in the workweek, at the rate of one and one-half hours of paid time off for each hour of overtime worked. Employees who wish to be compensated in CTO must submit their request in advance of the time that the overtime hours are worked via a note in the electronic timekeeping system; supervisors are also to make a note in the system that overtime shall be paid in CTO for that pay period. Such requests apply to any overtime worked during the **entire** pay period.

No employee may accrue more than 120 hours of compensatory time off.

When earned compensatory time is used shall be determined by mutual agreement of the employee and his/her supervisor; however, employees are encouraged to take CTO as soon as possible after it is earned. AHA will not unreasonably deny such requests.

ON-CALL AND EMERGENCY CALL COMPENSATION

Maintenance personnel who live within 30 miles of Alameda may be required to perform rotating weeks of on-call service. A non-exempt employee will be compensated for one and one-half hours of straight time pay for each day of on-call service, even if that employee is not actually called into service. On-call service is assigned at the discretion of AHA and may be eliminated, suspended, or reassigned at any time. Hours compensated for on-call service are not considered hours worked for purposes of calculating overtime.

A non-exempt regular employee on call who is called back to work will be compensated for time worked at the usual rate of pay for the employee's position for a minimum of two hours of work, plus any overtime the employee would earn as a result of the additional work hours beyond the two hour minimum. This provision does not apply to instances in which the

employee is called to report less than two hours before her/his regular starting time and is working from the time she/he reports through his/her regular starting time. Emergencies that require an employee to work past the normal end of his/her shift will be considered hours worked for purposes of calculating overtime, and are also not subject to on-call/call-in provisions.

For more information about on-call and emergency call procedures, maintenance personnel may refer to the Maintenance On-Call Procedures document.

BILINGUAL PAY

The Executive Director (or designee) may designate employees to receive bilingual pay based on the translation needs of the Housing Authority and the employee's ability to provide the service. Bilingual pay may be authorized on either a continuing or temporary basis (i.e., for a specific activity).

In order to receive **continuing** bilingual pay, employees must pass a language proficiency exam administered by a provider of AHA's choice. Designated employees will receive a taxable salary augmentation for their additional service at a rate determined by AHA in conjunction with the budgeting process. The Human Resources Department will maintain a current list of positions and employees certified to receive the bilingual pay incentive. Employees certified to receive continuing bilingual pay receive this pay regardless of whether or not any bilingual services were actually provided during the period of compensation.

In order to receive **temporary** bilingual pay, employees must be able to demonstrate their bilingual capacity, but do not need to be certified by AHA's outside provider. Employees may be compensated at the rate of \$50 per month for up to 3 months in a calendar year. Temporary bilingual pay is authorized at times when services are anticipated to be needed, but an employee approved for temporary bilingual pay does not necessarily need to provide bilingual services during the approved period to receive bilingual pay.

Only non-exempt employees are eligible to receive either form of bilingual pay.

SHOES/BOOTS ALLOWANCE

Affected maintenance employees may request reimbursement for the purchase of steel or hard toe safety boots or shoes that are required for his/her position and which must be worn as a condition of employment. The maximum reimbursement rate for 2016 is \$220; the Executive Director has the authority to adjust this amount in subsequent years. There is no limit on the number of shoes/boots that the employee purchases with the annual allowance. Please see the Maintenance Staff Uniforms policy in Section Nine: Work Practices and Environment for more information about maintenance staff attire.

CELL PHONE ALLOWANCE

Employees who have been approved by the Executive Director to utilize their personal cell phone for AHA-related business will receive a stipend at a rate determined by AHA in

conjunction with the budgeting process. Please refer to the Information Technology and Cell Phone Policies for additional information about the use of mobile devices.

ACTING PAY

An employee who is assigned by the employee's supervisor and approved by the Executive Director, to perform a job in a higher classification during the temporary absence of another employee will receive "acting pay" during the assignment. Unless otherwise approved by the Executive Director, acting pay is set at the first step of the classification to be held temporarily as long as the amount is not less than five (5) percent above the current salary step of the employee assigned to the acting position. To be eligible for acting pay, the temporary assignment must not be for less than one full pay period.

Where an employee is assigned a temporary working classification due to the performance of duties that are above his/her normal classification and for which there is no classification available, the employee may be eligible to receive acting pay at the discretion of the Executive Director. Acting pay will be paid at no less than five (5) percent over the employee's current hourly wage, even if this temporary increase is at a level higher than the top of the wage range to which the employee is assigned.

PART NINE: WORKPLACE HEALTH AND SAFETY

DRUG & ALCOHOL-FREE WORKPLACE

As part of the Housing Authority's ongoing commitment to a safe and healthy workplace, the Housing Authority maintains a drug and alcohol-free workplace. Any employee who reports to work while under the influence of drugs or alcohol runs the risks of endangering his/her safety and the safety of others, destruction of or damage to personal or AHA property, and a loss of productivity and workplace morale.

All employees are required to understand and comply with the Housing Authority's drug and alcohol-free workplace policy. Employees conducting Housing Authority business regardless of location are prohibited from all of the following:

- Unauthorized use, possession, purchase, sale, manufacture, distribution, transportation, or dispensing of alcohol or a controlled substance in either Housing Authority workplaces or wherever Housing Authority business is performed.
- Reporting to work while under the influence of alcohol or a controlled substance.

Use of prescribed medications and drugs in accordance with physician's instructions is not a violation of this policy, as long as the medications or drugs do not interfere with the employee's ability to perform his/her duties. An employee must notify his/her supervisor before beginning work when taking medications or drugs that could interfere with the safe and effective performance of duties or the operation of Housing Authority equipment. If there is a question regarding an employee's ability to perform assigned duties safely and effectively while using prescribed medications, the Housing Authority may require medical clearance.

If the Housing Authority reasonably suspects that an employee is under the influence of alcohol or drugs, the employee shall be prevented from engaging in further work and may be detained for a reasonable time until he or she can be safely transported from the work site. If the Housing Authority has reasonable suspicion that an employee is under the influence of alcohol or drugs, the Housing Authority may require the employee to submit to AHA's drug/alcohol testing procedure. "Reasonable suspicion" is based on objective factors a reasonable person would believe that the employee is under the influence of drugs or alcohol at work. Examples of objective factors include, but are not limited to: unusual behavior, slurred or altered speech, body odor, unkempt appearance, red or watery eyes, unsteady gait, lack of coordination, sleeping on the job, a pattern of abnormal or erratic behavior, a verbal or physical altercation, puncture marks or sores on skin, runny nose, dry mouth, dilated or constricted pupils, agitation, hostility, confused or incoherent behavior, paranoia, euphoria, disorientation, inappropriate wearing of sunglasses, tremors, an accident involving agency equipment or property, or other evidence of recent drug or alcohol use. In order to receive authority to test, the supervisor must record the facts that support reasonable suspicion and discuss the matter with the Executive Director or designee. If there is a reasonable suspicion of drug or alcohol abuse at work, the employee will be relieved from duty and placed on sick leave until the test results are received. Refusal to submit to the Housing Authority's drug/alcohol testing procedure may constitute insubordination and subject the employee to discipline.

The Housing Authority has established an Employee Assistance Program (EAP) to assist those employees who voluntarily seek help for alcohol or drug problems. Employees who think they may have an alcohol or drug usage problem are urged to seek confidential assistance from the EAP. Employees should contact Human Resources for additional information about the EAP.

As a condition of employment, Housing Authority employees are expected to abide by the terms of this policy and are required to notify the Housing Authority of any criminal drug statute conviction occurring in the workplace within five days of the conviction. Disciplinary action will be taken against those who violate this policy.

SMOKING

For health and safety considerations, the Housing Authority discourages smoking. Smoking by employees, including the use of e-cigarettes or other unregulated nicotine products, is prohibited in all locations on Housing Authority property, including office/maintenance areas, dwelling units/grounds, and vehicles, and while conducting AHA business, regardless of location.

SAFETY AND SECURITY

The Housing Authority strives to provide a secure work environment for our employees and visitors. It is the policy of AHA to provide and maintain safe and healthful working conditions. Every AHA employee shares a responsibility for the prevention of accidents and everyone is expected to cooperate to the fullest to make sure our agency is a safe place to work. Employees are required to be safety conscious and to report immediately any unsafe or hazardous condition directly to his/her supervisor or the Injury and Illness Prevention Program (IIPP) Administrator. Employees also are required to participate in regular safety trainings, to

read and follow the Housing Authority's Safety Policies and Rules, and to become familiar with AHA's IIPP, provided as separate documents.

Our building is equipped with an alarm system that is activated during non-business hours, and exterior doors/gates that are locked at all times (except the front entrance door) as are reception area doors that provide access to the interior of the office. Each employee is required to comply with all AHA security procedures and immediately report any breach of security to his/her supervisor. These procedures include, but are not limited to the following:

- Immediately report lost or stolen keys/access badges or missing AHA property to your supervisor.
- Copying or giving AHA keys/badges, alarm codes, or parking lot remote controls to an unauthorized individual is strictly prohibited.

We encourage employees to be prudent about bringing personal items to work. The Housing Authority is not responsible for losses resulting from theft or damage to employees' personal property.

VIOLENCE IN THE WORKPLACE

The Housing Authority is committed to providing a safe, violence-free workplace. Therefore, the Housing Authority strictly prohibits employees, consultants, customers, visitors, vendors, or anyone else on Housing Authority premises or engaging in a Housing Authority-related activity from behaving in a violent or threatening manner. This policy applies in any location where Agency business is conducted, including vehicles and parking lots. As part of this policy, the Housing Authority seeks to prevent workplace violence before it begins and reserves the right to deal with behavior that suggests a propensity towards violence even prior to any violent behavior occurring. Any violation of this policy may lead to criminal prosecution, and/or disciplinary action, up to and including termination.

Prevention of workplace violence begins with the recognition of potential early warning signs and the establishment of agency procedures for responding to any situation that presents the possibility of violence.

Employees are prohibited from participating in or promoting acts of intimidation, violence, threats, coercion, assault and/or abusive behavior toward any person while in the course of Housing Authority employment. The Housing Authority has zero tolerance for any conduct that references workplace violence, even if it was intended to be harmless, humorous, a prank, blowing off steam, or venting.

Workplace Violence Definition

Workplace violence is defined as any conduct that causes an individual to reasonably fear for his or her personal safety or the safety of his or her family, friends, and/or property. Specific examples of workplace violence include, but are not limited to, the following:

- Threats of any kind or acts of physical harm directed toward an individual or his/her family, friends, associates, or property

- Threatening, physically aggressive, or violent behavior, such as intimidation of or attempts to instill fear in others
- Destruction of, or threat of destruction of Agency property or another employee's property
- Fighting, challenging another person to fight, or participating in dangerous or threatening horseplay
- Striking, punching, slapping, or assaulting another person
- Grabbing, pinching, or touching another person in an unwanted way whether sexually or otherwise
- Harassing or threatening phone calls
- Surveillance of or stalking another person
- Other behavior that suggests a propensity towards violence, such as belligerent speech, excessive arguing or swearing, sabotage or threats of sabotage of Housing Authority property, or a demonstrated pattern of refusal to follow AHA policies and procedures
- Defacing AHA property or causing physical damage to the facilities
- With the exception of security personnel, bringing weapons or firearms of any kind on Housing Authority premises or while conducting Housing Authority business.

Reporting

If any employee observes or becomes aware of any of the above-listed actions or behavior by an employee, customer, consultant, visitor, or anyone else, he/she should notify any manager or supervisor immediately. The Housing Authority will take appropriate steps to provide security, such as: placing the employee alleged to have engaged in workplace violence on administrative leave, pending investigation; asking any threatening or potentially violent person to leave the site; or immediately contacting the appropriate law enforcement agency.

Employees are required to report to the Executive Director or designee if any restraining order is in place, or if any potentially violent non-work-related situation exists that could result in violence in the workplace. Employees may be required to obtain a restraining order against a particular individual in the interest of staff safety.

Investigation

All reports of workplace violence will be taken seriously and investigated promptly and thoroughly. In appropriate circumstances, the Housing Authority will inform the reporting individual of the results of the investigation. To the extent possible, AHA will maintain the confidentiality of the reporting employee and of the investigation but may need to disclose results in appropriate circumstances, for example, in order to protect individual safety. AHA will not tolerate retaliation against any employee who reports workplace violence.

Corrective Action and Discipline

If the Housing Authority determines that workplace violence has occurred, the Housing Authority will take appropriate corrective action, including possible discipline of offending employees up to and including termination. The appropriate corrective action will depend on the particular facts but may include oral or written warnings, probation, reassignment of responsibilities, suspension, or termination. If the violent behavior is that of a non-employee,

the Housing Authority will take appropriate corrective action in an attempt to ensure that such behavior is not repeated.

Under certain circumstances, the Housing Authority may forego disciplinary action on the condition that the employee takes a medical leave of absence. In addition, the Housing Authority may require that the employee participate in counseling, either voluntarily or as a condition of continued employment.

Employee Assistance Program

Any employee who believes that he or she may have a problem that could lead to violent behavior is encouraged to seek confidential assistance from the Employee Assistance Program (EAP). For information about accessing the EAP, contact Human Resources.

PART TEN: WORK PRACTICES AND ENVIRONMENT

PUNCTUALITY AND ATTENDANCE

All employees are expected to be responsible and demonstrate respect for fellow employees by establishing a record of punctuality and regular attendance. Attendance and punctuality are important to the efficient operation of any business, and are factors considered in evaluating an employee's overall job performance. Employees are expected to be present and ready to work at their scheduled work time each day and for the duration of their work shift. Non-exempt employees must adhere to their scheduled workday, and any established break and meal periods. Frequent tardiness, excessive absenteeism, or abuse of sick leave will not be tolerated, and will result in disciplinary action.

Employees who are unable to report for work for any reason must notify their immediate supervisor no later than one-half hour after their regularly scheduled start time on the first day and each subsequent day of an unscheduled absence. Employees must indicate the reason for the absence, type of leave needed (i.e., sick or vacation), and the probable duration of the absence. Upon returning to work, employees must accurately record any absences in the electronic timekeeping system.

An employee is deemed to have resigned from his/her position if he or she is absent for three consecutive scheduled work days/shifts without prior authorization and without notification during the period of the absence. The employee will be given written notice, at his or her address of record, of the circumstances of the job abandonment, and an opportunity to provide an explanation for the employee's unauthorized absence. An employee who promptly responds to the agency's written notice, within the timeframe set forth in the written notice, can arrange for an appointment with the Executive Director or designee before final action is taken, to explain the unauthorized absence and failure of notification. An employee separated for job abandonment will be reinstated upon proof of justification for such absence, such as severe accident, severe illness, false arrest, or mental or physical impairment which prevented notification. No employee separated for job abandonment has the right to a post-separation appeal.

LEAVING DURING WORK HOURS

Non-exempt employees who leave the premises during their work time for any reason unrelated to their job must get approval from their supervisors (or designated alternates) for any period of absence prior to leaving work. As a courtesy and to ensure an appropriate level of management coverage, exempt employees who need to leave work unexpectedly are requested to notify their supervisors as well.

TELECOMMUTING

Telecommuting is a work arrangement in which some of the employee's work is performed at home. Telecommuting is a privilege that may be appropriate for some employees and some jobs. It is not an entitlement or an Agency-wide benefit.

The Housing Authority may allow exempt staff the option to telecommute on an occasional, informal basis for a limited period of time when the employee's work can reasonably be carried out from home without unduly impacting either the employee's own level of work productivity, or that of his/her fellow employees or any subordinates, including providing for an appropriate level of overall management presence in the office. All informal telecommuting arrangements are made on a case-by-case basis at the discretion of the supervisor and are memorialized in writing in advance. Supervisors should know the specific work to be performed and the projected amount of time expected before granting permission for short-term, informal work-at-home arrangements. All employees who telecommute, even on an occasional, informal basis, are responsible for ensuring a safe home workplace and taking appropriate steps to safeguard AHA confidential information. AHA reserves the right to designate only certain exempt positions as eligible for telecommuting.

GUESTS AND VISITORS

Employees must discourage frequent or regular visits from family or friends to ensure that the workplace is not unduly interrupted and to maintain a professional atmosphere for both employees and the public. Should it be necessary for a friend or family member to call on an employee during business hours, visits are to be kept to a minimum and visitors are to be directed to areas away from other employees and/or the public so as not to be disruptive. The employee being visited may not perform any work during the visit to ensure work accuracy and client confidentiality.

All visitors are required to sign in upon arrival at the AHA office. Visitors are to remain in the reception area until escorted by the appropriate employee, and must remain in the company of an employee at all times while in the AHA office.

While AHA is sensitive to employees' dependents' needs, it is not appropriate for minor children or other minor visitors of employees to be in the workplace during working hours, except for very brief visits. In those cases where minors are in the workplace, they must be directly supervised by the employee at all times.

In the interest of maintaining the health and well-being of all AHA employees, visitors who are ill should not be brought to the workplace. AHA provides sick leave so that employees may provide care for their sick dependents at home. Employees may contact AHA's Employee Assistance Program for assistance with finding emergency care providers for sick dependents.

Any supervisor is authorized to ask visitors to leave the office should it be deemed necessary.

BREASTFEEDING-FRIENDLY WORKPLACE

The Housing Authority encourages employees and management to have a positive, accepting attitude toward working women and breastfeeding. AHA promotes and supports breastfeeding and the expression of breast milk by employees who are breastfeeding their babies.

It shall be the policy of the Housing Authority to provide:

- Information about breastfeeding support prior to an employee's leave for pregnancy disability or related condition.
- Reasonable amount of break time to express milk or breastfeed. In the event that an employee requires additional break time, other than the scheduled rest or meal periods, additional unpaid time off will be provided for this purpose. Supervisors are encouraged to consider flexible break times, schedules, or other reasonable accommodation to meet employees' needs.
- A designated room within the AHA office, which shall be furnished with an electrical outlet, comfortable seating, a table, and appropriate signage to ensure privacy.

All other employees should avoid interrupting an employee during an authorized break under this policy, except to announce an emergency or other urgent circumstance.

USE OF FACILITIES AND PROPERTY

Employees are asked to treat Housing Authority property as they would their own. Specifically, employees are to keep their work area and AHA common areas clean and well maintained and limit their use of AHA equipment to work-related purposes. Employees are required to receive written supervisory approval before removing any Housing Authority property from the premises. Employees may decorate their work spaces, as long as such decorations are consistent with AHA policies. Employees must consult with the Director of Human Resources and Operations before displaying items in or making any alterations to public spaces or common areas.

TOOLS AND EQUIPMENT

The Housing Authority supplies employees with all tools and equipment necessary to carry out assigned duties. Employees are responsible for the safekeeping of all tools and equipment. Use of agency tools or equipment for other than official Agency business, loss of equipment, or any unusual damage above and beyond normal wear and tear are grounds for disciplinary action. Responsibility for replacement due to normal wear and tear lies with the Housing Authority.

INSPECTION OF TOOL BOXES/DESKS/COMPUTERS/VEHICLES

Tool boxes, desks, computers, agency vehicles, etc., are the property of the Housing Authority and are provided to employees for their use and convenience during work hours. As a result, Housing Authority employees have no expectation of privacy in their use of any Agency equipment or resource. It is understood that the Housing Authority has the right to open and inspect any such tool boxes, desks, computer directories, or vehicles, as well as any contents, effects, or articles that are contained in same at any time, with or without advance notice or the employee's personal consent. This includes, but is not limited to, inspections of emails, history of Internet usage, logs of calls made and received on Agency telephones and Agency-issued cellular phones/smart phones, text messages sent and received on Agency-issued cellular phones/smart phones, and voicemail on Agency telephones and Agency-issued cellular phones/smart phones. Inspections may be conducted before, during or after working hours by the employee's supervisor or a department head when there is a customer service or business or program related need. For situations involving suspected inappropriate conduct, the Executive Director or Director of Human Resources and Operations shall designate the individual(s) authorized to carry out the inspection

USE OF MOTOR VEHICLES

Employees must follow the Housing Authority Vehicle Use and Accident Reporting procedures provided as a separate document, and are required to sign an acknowledgement that they have received the information. Assignment of driving responsibilities, in either an agency vehicle or in the employee's own vehicle, is conditional upon receipt of a satisfactory report from the State of California, Department of Motor Vehicles.

Employees who use their own automobiles for travel on authorized AHA business will be reimbursed for mileage at the rate established by the Internal Revenue Service. Employees must have prior supervisory approval for the use of personal vehicles and must have on file in advance of using their personal vehicle, a copy of their driver license and evidence that they obtained at their own expense the minimum insurance coverage for property damage and public liability.

EXPENSE REIMBURSEMENT

Reasonable and customary expenses incurred in the performance of one's job or to attend trainings/conferences will be reimbursed. Reimbursement requires prior authorization by the employee's immediate supervisor and/or Department Director or Executive Director, written approval of actual expenses, and completion of a signed expense reimbursement form with all required documentation/receipts attached.

Employees must follow the Housing Authority's Training and Travel and Reimbursement Policy, provided as a separate document. Employees are expected to be prudent with expenses, particularly when traveling.

DRESS GUIDELINES

The Housing Authority's objective in establishing guidelines for work attire is to enable our employees to be comfortable in the workplace, while also projecting a professional and businesslike image in dealing with other employees, volunteers, and the general public. All employees are asked to observe good grooming and personal hygiene habits, and are expected to dress in a businesslike manner appropriate for their position in the agency. The following guidelines have been developed to provide general parameters for appropriate work attire and to help employees exercise good judgment about similar items that are not specifically addressed.

Basic Guidelines Regardless of whether it is a regular work day or a designated "casual dress day," clothing must be clean, neat, and fit properly. Clothing that is revealing, including tight clothing such as spandex pants or leggings, see-through clothing, or clothing that shows bare shoulders, back or midriff, or that exposes underwear is not appropriate. Clothing with inappropriate wording or logos, such as offensive images or wording including profanity, and sports/exercise attire may not be worn. In all situations, clothing should be comfortable and practical for work, but not distracting or offensive to others. Clothing that is torn, frayed, ripped, or excessively worn as well as overly casual items are not considered appropriate for the office.

Employees may observe dress and/or grooming practices consistent with their religious beliefs; any employee requiring special clothing accommodations for any reason should advise his/her supervisor in advance.

Regular Work Days

All employees should wear casual business attire on Mondays through Thursdays, and a clean and neat appearance should be maintained at all times. Casual business attire may include dresses, trousers or pressed khakis, pants, or skirts with a shirt or blouse neatly tucked in unless it is designed to be worn on the outside. Employees should use good judgment about whether or not business casual attire is appropriate on a daily basis, depending on whether meetings or other work is scheduled where customary business attire, such as a suit and tie, pantsuit, or dress/skirt and jacket, would be more appropriate.

Clean, polished shoes should be worn at all times. Open-toed shoes and sandals may be worn so long as they are an appropriate style for the workplace and the employee is performing office-based work. Fabric may also play a role in determining whether or not an article of clothing is appropriate. For example, solid color Capri pants in a microfiber or light wool fabric would be appropriate office attire, whereas those that are multicolored, highly patterned, or made of a casual fabric are not. Other examples of inappropriate attire include jeans, shorts, tank tops, mini-skirts/dresses, track or warm-up suits, flip flops, beach sandals, tennis shoes, and faded, patched or torn/ripped clothing of any kind.

Because of the work they do, employees performing off-site facilities-related work and employees who are performing inspections may wear jeans or other sturdy work clothing on days they are performing this type of work, though a neat appearance is still important. Sturdy closed-toe shoes must be worn at all times when performing off-site work.

Casual Dress Days

The Housing Authority observes "casual Fridays" on which more casual clothing may be worn. However, it is important that employees understand that a neat, professional appearance is always necessary, especially when interacting with the public. As such, if you have an appointment or meeting that involves customers or participants other than members of staff, you should follow the Regular Work Day guidelines provided above.

If you do not have meetings scheduled on a Friday, casual wear, such as jeans, khaki or cargo pants, more casual Capri pants, tee shirts, and clean tennis shoes are acceptable. Leggings with an over-the-hip top are also acceptable. Under special circumstances (e.g., storage clean-up, moving furniture, etc.) casual attire may be worn on work days other than Fridays upon supervisory approval. In all situations, clothing should be comfortable and practical for work, but not distracting or offensive to others. The inappropriate items described above are not appropriate on Casual Dress Days, with the exceptions of jeans and tennis shoes.

Supervisor Responsibility

Supervisors are responsible for interpreting and monitoring dress and grooming standards and have the authority to make decisions regarding what is inappropriate office or field appearance and to determine what action will be taken when guidelines are not being followed. The action taken will be based on the severity of the infraction, and may include counseling employees whose attire is considered inappropriate or sending the employee home to change into appropriate work attire.

MAINTENANCE STAFF UNIFORMS

Employees in certain maintenance positions are permitted to wear jeans or other sturdy work clothing, though a neat appearance is still important. Maintenance workers are required to wear uniform shirts, which are provided and cleaned by the Housing Authority. AHA may also provide other work/weather/safety related gear or equipment such as jackets, hats, foul weather gear, and gloves to employees who work outdoors. Employees are responsible for the safekeeping of all items they are furnished, must wear AHA-provided attire, and may not substitute personal items for AHA-provided items when on the job site. Damaged or worn gear must be submitted to the Department Head for replacement.

SCENT FREE WORKPLACE

Scents are prohibited in the workplace. Some employees and members of the public suffer from unpleasant and, in acute cases, life-threatening physical effects from scented products. Personal fragrant products (e.g., fragrances, colognes, lotions, powders and other similar products) that are perceptible to others should not be worn by employees. Other fragrant products (e.g., scented candles, potpourri and similar items) and plants are also not permitted in the workplace.

Employees required by medical necessity to use medicinal lotions or skin creams that contain odors perceptible must request a reasonable accommodation from their supervisor or Human Resources.

Employees with other allergies or substance sensitivities are encouraged to make their needs known to the Director of Human Resources and Operations so that appropriate steps may be taken to limit any health risk to the employee.

PARKING

The Housing Authority shall attempt to provide employees with free parking at the AHA office. However, parking spaces are limited and so may be assigned or allocated on a first-come first-served basis at the time of employment by Human Resources. In the event that adequate spaces are not available for all employees, Human Resources will establish a formal parking policy, that takes into account reasonable accommodations, business needs, and where possible employee preference.

SOLICITATIONS

It is a Housing Authority policy to prevent work disruptions and protect employees from harassment related to solicitations. During working time, employees are prohibited from soliciting or distributing literature or other materials to another employee, nor may employees use AHA's electronic communication systems or display such materials in the public areas of the office, such as the lobby, at any time to do the same. Working time includes the working time of both the employee doing the soliciting or distributing and the employee to whom the soliciting/distributing is being directed. Working time does not include break periods, meal periods, or any other specified periods during the workday when employees are not engaged in performing their work.

Persons who are not employed by the Housing Authority shall not distribute literature or other materials or solicit employees or visitors on Housing Authority property at any time or for any purpose without approval of the Executive Director.

REFERENCES

The Executive Director (or designee) and the Director of Human Resources and Operations are the only individuals authorized to provide information of any kind regarding current or former employees, volunteers, or vendors.

Generally, only hire and termination dates, job titles, and earnings are provided in response to a reference or verification of employment request. Except as provided by this policy, all employee information is considered confidential.

PART ELEVEN: INFORMATION AND COMMUNICATION

TECHNOLOGY, VOICE MAIL AND ELECTRONIC MAIL

Housing Authority employees are permitted to use AHA's voice mail, electronic mail, computers, software, temporary or permanent files, networking sites and internet access (collectively "Technology Systems") to perform their work and communicate with others for

business purposes. Computers and Internet access, telephones and cell phones, and other forms of information technology are provided to employees based upon business needs. The e-mail system is to be used for AHA or work-related email only, and not for personal purposes. Employees must utilize their official Housing Authority email address for all Housing Authority communications sent via email. Employees are prohibited from using their private email address (i.e., Gmail, Yahoo!, Hotmail/MSN, etc.) for Housing Authority business. In no event should Housing Authority's Technology Systems be used to send jokes, comments or information to others that may be perceived as discriminatory, harassing, offensive, disruptive, or otherwise in violation of any AHA policy. Any technology provided by the Housing Authority may not be used to send material that disparages an individual, company, or business entity, or to disclose personal information without authorization.

Employees may not install, copy, stream, or download software onto AHA computers unless authorized to do so by the Senior Management Analyst or the Director of Human Resources and Operations. Employees also are prohibited from downloading any personal files onto work computers, as this may result in reduced capacity, slower computer speed for all employees, and maintenance and support issues. In addition, it places the employee's computer and the entire AHA network at risk for viruses, compromised network security, and other problems.

Non-exempt employees are prohibited from accessing any AHA Technology Systems, including email, from outside the office or during non-work hours.

Employees do not have any right or expectation of privacy in any Housing Authority Technology Systems, including email sent to or received by AHA computers or transmitted via AHA's servers and networks. The Housing Authority may monitor and/or search the contents of all voice mail, computer files, and electronic communications (including email) to promote the administration of AHA's operations and policies or for any other business reason.

Use of personal technology devices during work time is discouraged. Further, no employee may use unauthorized personal devices, software, or other technology in conjunction with Housing Authority property or Technology Systems.

All employees are provided training on and required to sign an acknowledgment that they have reviewed and understand AHA's Information Technology Policy at the time of hire and periodically during the course of employment.

USE OF AGENCY-ISSUED CELL PHONES

All Housing Authority cell phones are provided as a tool to conduct Agency-related business. Agency cell phones are issued on an as-needed basis with the approval of the Executive Director. All Housing Authority employees shall use such devices in a responsible, appropriate, and safe manner. All employees assigned communications equipment shall assume the responsibility to use the equipment in accordance with the provisions of this policy and the Housing Authority's Information Technology Policy.

- Employees are prohibited from installing any third party equipment or applications to Agency cell phones unless approved by the employee's supervisor in writing.

- Employees have no expectation of privacy as to data residing in telecommunications devices and /or voice mail. The Housing Authority may inspect that data at any time and without notice, as permitted by state and federal law.
- Employees shall protect Housing Authority cell phones from loss or damage. An employee assigned an Agency phone is responsible for its good care and will be required to reimburse the Agency's cost for any damage, or lost cell phones due to negligence. If a device is damaged, fails to work properly, or is stolen or lost, the employee shall immediately notify the Executive Director.
- Agency cell phones should only be used by employees in the performance of their official duties. Personal use of Housing Authority cell phones is strictly prohibited and will result in disciplinary action and reimbursement of charges for personal use.
- Employees shall acquaint themselves with the rate plan that applies to their cell phone and use their best efforts to make the most economical and cost efficient use of the cell phone. Cell phones are unique in that they may have charges for both incoming and outgoing calls and texts. In addition, local calls can still incur airtime charges if the plan minutes are exceeded. A call may be made from a cell phone only if it cannot be made at any other time with a provided wired landline telephone. Because cell phones have additional "air time" and possible other charges, employees are expected to use a wired landline telephone when available.

USE OF PERSONAL CELL PHONES

The Housing Authority recognizes the need for employees to be able to be contacted in the event of an emergency or other urgent situation. Employees are expected to observe the following guidelines, however, to avoid unnecessary disruption in the workplace and maintain productivity:

- Cell phones shall be turned off or set to silent or vibrate mode during meetings, conferences and in other locations where incoming calls may disrupt normal workflow.
- Employees may carry and use personal cell phones while at work on a sporadic basis. If employee use of a personal cell phone causes disruptions or loss in productivity, the employee may become subject to disciplinary action. Department heads reserve the right to request that the employee provide cell phone bills and usage reports for calls made during the working hours of that employee to determine if use is excessive.
- Employees are prohibited from making or receiving calls on a cell phone while driving within the course and scope of employment, unless the employee has a hands-free device, and texting or emailing while driving is prohibited at all times. Please see the Vehicle Use and Accident Reporting procedure for more information.

SOCIAL MEDIA

The Housing Authority respects the right of employees to use social media for self-publishing and self-expression during personal time on their own devices. To assist employees in making responsible decisions about their use of social media as it relates to their employment, the Housing Authority has established the following guidelines for appropriate use of social media. Housing Authority employees may not:

- Use AHA-owned equipment or software to conduct personal blogging or social network activities

- Use their Housing Authority email address to register on social networks, blogs, or other online tools utilized for personal/social purposes unless authorized by the Executive Director
- Post photographs of other employees, clients/customers, or vendors on personal posts
- Link from a personal blog, social network, or website to the Housing Authority's website without identifying yourself as a Housing Authority employee
- Provide any references or statements of endorsement for other AHA employees on social media sites; any references provided must be done in accordance with the Housing Authority's References policy contained in this Handbook

On personal social media site, each employee should express only personal opinions, and must never represent him/herself as a spokesperson for the Housing Authority. If AHA is a subject of content the employee is creating, the employee must be clear and open about the fact that he/she is an employee of AHA; it must be made clear that these views do not represent those of AHA and the employee is not speaking on behalf of AHA. If the employee intends to post content regarding AHA, it is best to include a disclaimer such as "The postings on this site are my own and do not necessarily reflect the views of The Housing Authority of the City of Alameda."

Employees should understand that they are personally responsible for their commentary on blogs and social networks and can be held personally liable for commentary that is slanderous, obscene, defamatory or libelous by any offended party. Further, employees must comply with the agency's Confidentiality policy when using social media. Employees should remember that colleagues, supervisors, and agency partners often have access to the online content that is posted. Inappropriate postings that may include discriminatory remarks, harassment, threats of violence, or similar inappropriate or unlawful conduct will not be tolerated. Any conduct on social media that adversely affects an employee's job performance, the performance of fellow employees, or otherwise adversely affects staff, volunteers, contractors, vendors, or any other people who work on behalf of or receive services from the Housing Authority is not permitted.

EMPLOYEE INFORMATION

It is important that personnel files contain up-to-date information regarding each employee. Employees should inform Human Resources immediately whenever there are changes in their personal data (such as address, telephone number, marital status, domestic partnership, number of dependents, and the person to notify in case of emergency), that may affect their pay, benefits, or communications with the Housing Authority.

PERSONNEL FILES

Employees have the right to inspect their personnel records relating to their performance or to any grievance concerning them during regular office hours, upon written request to the Director of Human Resources and Operations. An inspection request form is available from Human Resources and on AHA shared drives that employees may use to make their request. Records will be made available for inspection within 30 days of receipt of the written request. An appointment to inspect the file may be made with the Director of Human Resources and Operations, who will accompany the employee or his/her representative while he/she inspects

the file. Employees may obtain copies, at their own cost, of any document in their personnel file to the extent required by law. Personnel records are the property of the Housing Authority and are not allowed to be taken from the office of the Director of Human Resources and Operations without prior written authorization. No person inspecting a personnel file is permitted to add or remove any document or other item to/from the personnel file.

Prior to making a copy of any personnel records or allowing inspection, the Housing Authority may redact the names of nonsupervisory employees. Under no circumstances will the Housing Authority provide access or copying of the following categories of personnel file documents: records relating to the investigation of a possible criminal offense; letters of reference; and ratings, reports, or records that were obtained prior to employment, prepared by identifiable examination committee members, or obtained in connection with a promotional examination.

The Housing Authority will furnish the employee with one copy of all performance reviews and written reprimands or warnings prior to placement of such documents into the employee's personnel file. Employees are encouraged to retain these documents for their records. The employee may be required to acknowledge the receipt of any document entered into his/her personnel file.

INTERNAL COMMUNICATION

Bulletin boards, mailboxes, meetings, and office e-mail are used to communicate important information to employees on a regular basis. Each employee is responsible for reading posted or distributed information on a timely basis.

MEDIA RELATIONS

Employees should not respond to any inquiries or requests received from a newspaper, radio or television station, or any other type of media for comments or statements on behalf of the Housing Authority. Instead, employees should refer such requests to the Executive Director. The Executive Director will respond directly or provide written authorization to another staff member to serve as AHA spokesperson.

PART TWELVE: STANDARDS OF CONDUCT

DISCRIMINATION AND HARASSMENT

The Housing Authority does not tolerate discrimination or harassment in the workplace or in a work-related situation based on an individual's race, color, religion (including religious dress and grooming), sex (including gender, gender identity, gender expression, transgender, as well as pregnancy, childbirth, breastfeeding, or related medical conditions), national origin or ancestry, citizenship, age, marital status, registered domestic partner status, physical or mental disability, medical condition, sexual orientation (including homosexuality, bisexuality or heterosexuality), genetic information, military or veteran status, having taken a protected leave, or any other basis protected by law, or based on a perception that an individual has any of these characteristics, or based on a perception that an individual is associated with a person

who has, or is perceived to have, any of these characteristics. **All such discrimination or harassment is prohibited and is a violation of the Housing Authority's workplace conduct rules.** Conduct need not arise to the level of a violation of state or federal law to violate this Policy. Instead a single act can violate this Policy and provide grounds for discipline up to termination or other appropriate sanctions.

This policy covers the conduct of all Housing Authority employees, volunteers, and unpaid interns as well as conduct of persons with whom the Agency contracts to do business, such as independent contractors, suppliers, or vendors when the conduct is directed at, or involves, an Agency employee, volunteer, or contractor. Under certain circumstances, harassment can also include conduct taken by those who are not employees, volunteers or contractors, such as elected officials, members of the Board of Commissioners, appointed officials, or even members of the public.

Harassment can take many different forms and may include, but is not limited to:

- Verbal conduct such as epithets, derogatory or degrading comments, slurs, or unwanted comments and jokes made on the basis of a protected classification. This includes inappropriate comments about appearance, dress, physical features, gender identification, or race, ethnic or sexually-oriented stories and jokes.
- Visual conduct such as derogatory posters, cartoons, drawings, emails or gestures related to a protected classification. This includes pinching, grabbing, patting, or making explicit or implied job threats or promises in return for submission to physical acts.
- Physical conduct such as blocking normal movement, restraining, touching, or otherwise physically interfering with the work of another individual.
- Demanding or threatening that an employee's job, advancement, compensation, assignment, or other benefit is dependent upon submission to sexual demands, performing or submitting to actions of a sexual nature, or toleration of harassment.
- Retaliation by any of the above means for having reported harassment or discrimination, or having assisted another employee to report harassment or discrimination.

Sexual harassment under this policy includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

- Submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment;
- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or
- Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Internal Complaint Procedure

Anyone who believes he/she has been discriminated against or harassed in connection with his/her employment, services, or volunteer capacity at AHA, or has observed or is aware of such discrimination or harassment, or who believes she/he has been subject to retaliation, should immediately notify any of the following individuals:

- Any supervisor or manager,
- The Director of Human Resources and Operations, or any other member of Housing Authority Management, or
- The Executive Director or designee.
- If a complaint is about the Executive Director, the Chair of the Board of Commissioners should be notified.

There is no need to follow the chain of command. Any supervisor or manager who receives a complaint should notify the Executive Director immediately, or the Director of Human Resources and Operations in the Executive Director's absence. Complaints may be made verbally or in writing.

A prompt and, to the extent possible, discreet investigation will be conducted, and appropriate corrective action commensurate with the severity of the offense will be taken for any conduct deemed to violate this policy or otherwise to be inappropriate. The Housing Authority also will take reasonable steps to protect the complainant from further harassment, discrimination or retaliation, and take reasonable steps to protect the complainant from retaliation as a result of communicating the complaint.

Option to Report to Outside Administrative Agencies

Both the state and federal governments have agencies whose purpose is to address unlawful harassment, discrimination and retaliation in the workplace. An individual has the option to report harassment, discrimination and retaliation to these agencies, both of whom offer legal remedies and a complaint process.

- For the State of California, the agency is called the Department of Fair Employment and Housing ("DFEH"). The local address and telephone number for the DFEH is 1515 Clay Street, Suite 701, Oakland, CA 94612, Phone: (510) 622-2941.
- For the federal government, the agency is called the Equal Employment Opportunity Commission ("EEOC"). The local address and telephone number for the EEOC is 1301 Clay Street, Suite 1170-N, Oakland, CA 94612-5217, Phone: (800) 669-4000.

Other Reporting Option

The Housing Authority may provide an additional option for third party reporting of harassment, discrimination, and other workplace wrong doing, such as theft or fraud. AHA currently provides employees with access to an Employee Protection Line, which provides for 24/7 reporting which may be done anonymously. Employees may call 1-800-576-5262 or go to www.employeeprotectionline.com to make a report. AHA's code number is 10311.

Retaliation is Prohibited

Adverse conduct taken against any individual for complaining of, reporting, or participating in any investigation of a complaint of harassment or discrimination is strictly prohibited. "Adverse conduct" includes but is not limited to: disciplinary action, counseling, taking sides because an individual has reported harassment or discrimination, spreading rumors about a complainant, shunning and avoiding an individual who reports harassment or discrimination, or making real or implied threats of intimidation to prevent an individual from reporting harassment or discrimination. Individuals are protected by law and by Housing Authority policy from

retaliation for opposing unlawful discriminatory practices, for filing an internal complaint under this policy or for filing a complaint with the DFEH or EEOC, or for otherwise participating in any proceedings conducted by the Housing Authority under this policy and/or by either of these agencies.

Each department head shall endeavor to provide a work environment that is free from harassment and discrimination. Anyone who is found by the Housing Authority to have violated this policy, or whose conduct is found otherwise to be inappropriate, will be subject to appropriate corrective action, up to and including immediate termination of employment.

WORKPLACE CONDUCT

The Housing Authority is committed to promoting the highest standards of personal and professional conduct, and requires of its employees cooperation, efficiency, productivity, and compliance with its policies and procedures. While it is not possible to provide an exhaustive list of the types of conduct that are impermissible, examples of conduct that may result in disciplinary action, up to and including immediate termination, include, but are not limited to, any of the following:

- Ongoing substandard job performance
- Excessive tardiness or absenteeism, unauthorized absenteeism, or failure to observe work schedules
- Rudeness or discourtesy toward a fellow employee, supervisor, volunteer, tenant, or member of the general public
- Dishonesty, making any false representation or statement, or making any omission of a material fact
- Falsification of one's own or another employee's time card
- Working overtime without authorization or refusing to work assigned overtime, except under extenuating circumstances
- Fighting, roughhousing, violent or threatening language or gestures, or conduct that is abusive, hostile, discourteous, offensive or disrespectful (such as slandering or ridiculing others, making false accusations, humiliating others in public, shunning/ostracizing others, or the sabotage or undermining of a person's work performance)
- Possessing a weapon or firearm on Housing Authority property
- Theft, deliberate damaging, or unauthorized use of Housing Authority property or the property of another employee or tenant; or unauthorized use of Housing Authority time or property for personal gain
- Failing to follow established safety or security procedures; knowingly creating an unsafe work situation for oneself or any coworker; or failing to report an on-the-job injury
- Refusing to perform a work-related duty when directly instructed to do so by a supervisor or member of management
- Refusing to cooperate with the investigation of a work-related matter
- Conviction, meaning any judicial determination of guilt, of a crime that has a nexus to the employee's job duties

- Unapproved outside employment or activity, or other enterprise that constitutes a conflict of interest with service to the Housing Authority
- Violation of the Housing Authority's discrimination and harassment, drug & alcoholfree workplace, conflict of interest, or confidentiality policies
- Any conduct that impairs, disrupts or causes discredit to the Housing Authority, to the public service, or other employees
- Violation of any other Housing Authority policy, rule or regulation.

OPEN DOOR POLICY

The Housing Authority has an open door policy that encourages employee participation in decisions that will affect them and their daily professional responsibilities. Employees who have a difference of opinion, misunderstanding or conflict with another AHA employee are encouraged to address the situation directly with the employee(s) involved. This policy also encourages employees who have job-related problems or complaints to talk them over with their supervisor or a manager at any level of management who they feel can help them. The Housing Authority believes that employee concerns are best addressed through informal and open communication.

To the extent possible, AHA will maintain confidentiality in addressing and resolving concerns brought to its attention. However, in the course of investigating and resolving concerns, some dissemination of information to others on a need to know basis may be necessary.

No employee will be retaliated against for raising a concern in good faith.

DISCIPLINE, TERMINATION, AND GRIEVANCE PROCEDURE

Discipline and Termination

It is mandatory that all employees observe AHA's Workplace Conduct policy and perform to the best of their abilities at all times. Disciplinary action will be taken when the employee's conduct or performance does not meet expectations for his/her position, adversely affects the work of his/her department, or violates Housing Authority policy. The following constitutes the Housing Authority's policy regarding disciplinary actions:

1. Policy Coverage

The following categories of persons can be terminated at-will and have no rights to any of the pre-or post-disciplinary processes or procedures in this policy: (a) temporary employees, (b) provisional or seasonal employees, (3) probationary employees, (4) any person who serves pursuant to a written employment contract, and (5) any person who is designated "at-will" in any Housing Authority policy, document, acknowledgement, resolution or ordinance. While individuals in these categories do not have rights to pre- or post-discipline processes, AHA may nonetheless employ disciplinary steps in an effort to address and resolve performance issues or conduct that would not be cause for immediate termination.

2. Causes for Discipline

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Regular full-time employees and part-time employees may be counseled, warned, suspended, demoted, discharged or incur a reduction in pay for performance or conduct issues including, but not limited to, behavior that violates AHA's Workplace Conduct Policy, described in the previous section.

3. Administrative Leave

A department director may place an employee on an administrative leave with pay pending a potential disciplinary action. Administrative leave with pay is authorized: (a) when the department director believes that the employee's continued presence at the work site could have detrimental consequences for Housing Authority operations, including situations where the employee appears to be a danger either to him/herself or to others; or (b) pending investigation into charges of misconduct. If the charges against the employee are substantiated by the investigation, appropriate disciplinary action may be taken in accordance with these procedures.

4. Types of Discipline

Generally, the Housing Authority will practice progressive discipline, which includes counseling, oral warnings, written warnings, suspension, demotion or pay reduction, and termination. By using progressive discipline, we hope that most employee performance problems can be corrected at an early stage. Although one or more of these steps may be taken in connection with a particular employee, no formal order or system is necessary; AHA may advance to whatever disciplinary step it concludes is appropriate for the circumstances, and any, all, or none of the following disciplinary steps may be invoked. Supervisors are required to consult with the Director of Human Resources and Operations prior to the issuance of any discipline, with the exception of employee counseling and oral warnings.

The types of personnel actions and/or discipline are:

a. Counseling

The supervisor counsels the employee, generally following a minor offense in an effort to eliminate possible misunderstandings and to identify what constitutes acceptable conduct or performance. A memo documenting the counseling will be prepared by the supervisor and retained in the supervisor's file. Counseling may not be appealed by the employee.

b. Oral Warning

The supervisor issues an oral warning to an employee when poor performance or misconduct warrants a disciplinary action more severe than supervisory counseling. An oral warning will be memorialized in writing and retained in the supervisor's file. An oral warning may not be appealed by the employee.

c. Written Warning

A supervisor may discipline an employee by furnishing him/her with a written statement of the specific reasons for reprimand and a notice of the corrective action required. A written warning is designed to make sure that the employee is aware of the misconduct

or performance problem, including the degree of seriousness, and the consequences if the problem is not corrected. Written warnings are signed by the employee to acknowledge receipt, and a copy of the warning will be retained in the employee's personnel file. The employee has the right to have a written response attached to the warning in his/her personnel file if the response is submitted to the Human Resources Department within 10 working days of the date the warning was received. Written warnings may not be appealed by the employee.

d. Suspension

A department director may suspend an employee from his or her position without pay for cause, generally for serious or ongoing offenses. Unless the employee poses an imminent danger to him/herself or others, the department director must secure approval for the suspension from the Executive Director or the Director of Human Resources and Operations prior to imposing the suspension. Documents related to a suspension shall become part of the employee's personnel file when the discipline is final. An employee subject to suspension will receive prior written notice and appeal rights as described below.

e. Demotion

A department director may demote an employee from his or her position for cause, generally for serious or ongoing offenses. The Executive Director or Director of Human Resources and Operations must approve the demotion prior to imposition unless the employee poses an imminent threat to him/herself or others. Documents related to a demotion shall become part of the employee's personnel file when the discipline is final. An employee subject to demotion will be entitled to prior written notice and appeal rights as described below.

f. Reduction in Pay

A department director may reduce an employee's pay for cause, generally for serious or ongoing offenses. The Executive Director or Director of Human Resources and Operations must approve the reduction in pay prior to imposition unless the employee poses an imminent threat to him/herself or others. A reduction in pay for disciplinary purposes may take one of two forms: (1) a decrease in salary to a lower step within the salary range, or (2) a decrease in salary paid to an employee for a fixed period of time. Documents related to a reduction in pay shall become part of the employee's personnel file when the discipline becomes final. An employee subject to a reduction in pay is entitled to prior written notice and appeal rights as described below.

g. Discharge

A department director may discharge an employee from his or her position for cause. The Executive Director or Director of Human Resources and Operations must approve the discharge prior to imposition unless the employee poses an imminent threat to him/herself or others. Termination can result from a single serious offense that violates AHA policy, such as, but not limited to, theft, fighting, or other acts of violence at work, or it can be the final step in a process designed to correct offenses or performance deficiencies.

Documents related to discharge shall become a part of an employee's personnel file when the discipline becomes final. A discharged employee is entitled to prior written notice and appeal rights as described below.

5. Skelly Process – Pre-Disciplinary Procedure for Suspension, Demotion, Reduction in Pay, or Discharge

Only regular, for-cause employees have the right to the conference and appeal processes outlined in this Section.

a. Notice of Intent to Discipline

The employee will be provided a written notice of intent to discipline in the event of a proposed suspension, demotion, reduction in pay or discharge. Such notice will contain:

- i. The level of discipline intended to be imposed;
- ii. The specific charges upon which the intended discipline is based;
- iii. A summary of the facts upon which the charges are based;
- iv. A copy of all written materials, reports, or documents upon which the intended discipline is based;
- v. Notice of the employee's right to respond to the department director regarding the charges within 5 calendar days from the date of the Notice, either by requesting a conference, or by providing a written response, or both;
- vi. Notice of the employee's right to have a representative of his or her choice at the conference, should he or she choose to respond orally; and
- vii. Notice that the failure to respond at the time specified shall constitute a waiver of the right to respond prior to the imposition of discipline.

b. Employee's Response and the Skelly Conference

- i. If the employee requests a conference to respond orally to the charge(s), the conference must be scheduled at least seven calendar days after the date of the Notice. The conference will be an informal meeting with the department director, at which the employee has an opportunity to rebut the charges against him or her and present any mitigating circumstances. The department director will consider the employee's presentation before determining any final disciplinary action. The Executive Director (or, in the Executive Director's absence, the Director of Human Resources and Operations) may designate, in his or her sole discretion, an independent hearing officer to conduct the Skelly Conference.
- ii. The employee's failure to make an oral response at the arranged conference time, or the employee's failure to deliver his or her written response by the date and time specified in the notice, constitutes a waiver of the employee's right to respond prior to the imposition of the discipline. In that case, the proposed disciplinary action will be imposed on the date specified.

c. Final Notice of Discipline

Within five calendar days of receipt of the employee's timely written response or within five calendar days of the informal conference, the department director will either (1)

dismiss the notice of intent and take no disciplinary action against the employee, (2) modify the intended disciplinary action, or (3) impose the intended disciplinary action. In any event, the department director will prepare and provide the employee with a notice that contains the following:

- i. The level of discipline, if any, to be imposed and the effective date of the discipline;
- ii. The specific charges upon which the discipline is based;
- iii. A summary of the facts upon which the charges are based;
- iv. A copy of all written materials, reports, or documents upon which the discipline is based; and
- v. A statement of the nature of the employee's right to appeal.

6. Evidentiary Appeal Pursuant to Grievance Procedure

A regular, for-cause employee may appeal a final notice of discipline in the form of suspension, demotion, reduction in pay, or termination by delivering a request for appeal to the Executive Director, pursuant to the Grievance Procedure For Evidentiary Appeal of Discipline, below.

Grievance Procedure

The Housing Authority has established the following grievance procedure that is available to all regular employees who have completed the probationary period.

The Housing Authority wishes to provide each employee fair and impartial treatment. Employees can use this procedure to address any disciplinary action or any claim of unfair treatment relating to their wages, hours or working conditions. Oral and written warnings are not subject to appeal. Failure by the grievant to comply with any of the time limits in this grievance procedure shall constitute an automatic waiver and/or withdrawal of the grievance. Failure by the Housing Authority to comply with any of the time limits in this grievance procedure shall entitle the employee to move his or her grievance to the next available step of this grievance procedure.

1. Procedure for Evidentiary Appeal of Discipline

This subsection 1 applies to appeals of final notices of discipline only. A regular, for-cause employee may appeal a final notice of discipline in the form of suspension, demotion, reduction in pay, or termination by filing a written request for an appeal, which must be received by the Executive Director no later than seven calendar days from the date of the notice of final discipline.

The Executive Director will conduct an evidentiary hearing and issue written findings and a decision. The Executive Director may designate, in his or her sole discretion, an independent hearing officer to conduct the evidentiary hearing and render a written recommended decision. If the Executive Director conducts the hearing, his or her written decision shall be final administrative action. There is no process for reconsideration.

If the Executive Director was not the appeal hearing officer, he or she shall review the findings and recommendations of the designee who served as appeal hearing officer and may then affirm, revoke, or modify the findings, recommendations, or disciplinary action taken. The decision of the Executive Director is final administrative action. There is no process for reconsideration.

The Housing Authority will mail a copy of the final written findings and decision, along with a proof of service of mailing that confirms that each of the parties and each of the parties' representatives were mailed the final written findings and decision. This includes mailing a copy directly to the employee. It shall be the responsibility of the employee to inform AHA of his/her address. Pursuant to Code of Civil Procedure section 1094.6, the parties have 90 days from the date of the proof of service of mailing of the written findings and decision to appeal the decision to the Superior Court in and for the County of Alameda.

2. Procedure to Grieve Non-Disciplinary Matters

The following procedure applies to all grievances, other than appeals of final notices of discipline.

a. Informal Step

Before filing a formal written grievance, no more than seven calendar days following the act or omission giving rise to the grievance, or no later than seven calendar days following the date upon which the employee reasonably should have known of the act or omission, the grievant shall attempt to resolve the grievance through an informal conference with the grievant's immediate supervisor. The supervisor shall respond to the employee's concerns within seven calendar days following the informal conference.

b. Step 1

If the matter is not resolved at the informal step, no later than seven calendar days following the supervisor's response at the informal step, the grievant must present the grievance in writing to the immediate supervisor. The written grievance shall contain a clear, concise statement of the grievance, the specific provision(s) of the policy allegedly involved, and the specific remedy sought. The immediate supervisor shall communicate a written decision to the employee within seven calendar days after receiving the grievance.

c. Step 2

In the event the grievant is not satisfied with the decision at Step 1, the grievant may appeal the decision to the department director or his/her designee within seven calendar days. The department director or his/her designee shall communicate a decision within seven calendar days after receiving the appeal.

d. Step 3

In the event the grievant is not satisfied with the decision at Step 2, the grievant may appeal the decision to the Executive Director within seven calendar days. If necessary for due process considerations, the Executive Director may forward written appeals of

discipline to an independent appeal officer, for review and consideration. Failure to meet this time limit by the grievant shall constitute an automatic waiver and withdrawal of the grievance. The Executive Director or designee shall communicate a decision within seven calendar days after receiving the appeal. The decision of the Executive Director is final. No decision or action may deny the legal right of any employee to seek recourse as may be allowed by law.

If the Executive Director, or the designated representative, determines that it is appropriate to do so, a grievance may be returned to a prior level for reconsideration.

3. Additional Provisions

Employees are encouraged to utilize this procedure without fear of reprisal. No employee will be discriminated or retaliated against because the employee has elected to use this procedure.

If an employee fails to initiate a grievance or request a review of any decision to the appropriate step within the time limits established in this policy, the grievance shall not be subject to further review.

This policy does not apply to claims involving alleged sexual or other forms of unlawful harassment or discrimination. Such claims must be made pursuant to the Agency's Discrimination and Harassment policy.

PART THIRTEEN: ENDING EMPLOYMENT

VOLUNTARY TERMINATION OF EMPLOYMENT

Employees who find it necessary to resign are requested to give advance notice in writing to their supervisor specifying the last day at work; this date will be considered the effective date of resignation. Full-time and regular part-time employees are expected to give at least two weeks' advance notice of the effective date of resignation. If AHA asks an employee who has voluntarily resigned to leave AHA employment before the end of the notice period (e.g., if a replacement is to begin immediately), AHA may elect to pay the employee for the entire notice period, up to a maximum of two weeks. Employees who do not provide the requested notice will be considered ineligible for rehire and the date of resignation will be the last day of actual work.

A resignation becomes final when the Executive Director or Director of Human Resources and Operations accepts the resignation in writing. Once a resignation has been accepted, it is final and irrevocable. A resignation can be accepted by the Executive Director or Director of Human Resources and Operations even if it is submitted less than two weeks prior to the planned resignation date.

PAYROLL AND THE RETURN OF HOUSING AUTHORITY PROPERTY

All employees separating from AHA will receive their final paycheck at the next regularly scheduled payroll date. Employees are required to turn over all keys, access cards, parking lot remotes, FSA benefit cards, other agency credit cards, passwords, documents, and any other AHA-furnished uniforms, tools and equipment to the Director of Human Resources and Operations before leaving on their last day of work. Employees must also remove all personal belongings from their workspace on or before their last day of work; employees will not be allowed to re-enter the office for this purpose after their last day of work without prior authorization from the department director.

REDUCTION IN FORCE

Layoffs

While the Housing Authority will endeavor to avoid layoffs, it may initiate a layoff (aka reduction in force) if it determines that such action is warranted based on economic circumstances, operational reasons or other factors that it deems important to Housing Authority operations, (e.g., significant changes in HUD regulations or requirements, loss of a grant or contract, or a change in business model). AHA reserves the right to determine when and whether it is necessary to implement a reduction in force (RIF), which employees would be affected, and the method of implementation. Generally, AHA shall give primary consideration to the needs, circumstances, and operational needs of AHA. The following terms and conditions are guidelines which AHA anticipates it will apply in the event of a RIF. Since AHA cannot foresee the future circumstances that may impact AHA funding and programs, it reserves the right to change the below terms and conditions at any time, at its sole discretion.

To reduce the potential need to eliminate position(s), the Housing Authority may take any or all of the following actions:

- Employees may be hired for temporary or fixed term positions, with the duration of the position dependent on the availability of funding. Employees hired for temporary positions are not eligible for separation or severance pay under this policy.
- The Housing Authority may reduce positions through attrition rather than lay-off, as long as a workforce can be maintained that supports the program and operational needs at the time.
- The Housing Authority may require all or a portion of employees to opt for the flex work week for a definite or indefinite period of time.
- The Housing Authority may require all or a portion of employees to go on furlough (i.e., work fewer hours per week or take a specified period of time off work without pay).
- The Housing Authority may reduce a position(s) from full-time to part-time dependent on program needs and availability of funding.

Should the need arise to eliminate positions, AHA shall determine if the RIF will occur on an agency-wide basis, or in one or more departments and /or classifications. Once AHA determines there is a need for layoffs and determines in which areas of the agency they will occur, layoffs will generally be made in the following order:

1. Temporary employees
2. Part-time employees

3. Full-time employees in their initial probationary period
4. Regular, full-time employees

Layoffs of regular, full-time employees will be based on seniority within a job title, except as otherwise provided. Seniority is defined as the length of continuous paid employment with the Housing Authority (and City of Alameda), calculated from the date of original hire, including the probationary period as a full-time employee. Time spent in leave without pay status is excluded, except as required by law.

So long as employees are in good standing, layoffs of employees will be based on seniority with the least senior employee being the first to be laid off. The Executive Director, may, however, elect a different order of layoff if:

- It can be demonstrated that an employee who would otherwise be subject to layoff possesses special skills, training, or abilities that are required by the Housing Authority; or
- A more senior employee's past job performance or disciplinary record justifies an alternative order for layoffs. Under this policy, an employee would be considered not to be in good standing if the employee: 1) received an overall rating of less than "meets expectations" on the most recent performance review conducted, 2) one or more written warnings were given to the employee in the 12 month period preceding the layoff, and/or 3) the employee has been on a Performance Improvement Plan and has not shown satisfactory improvement, even if the PIP is not concluded at the time of layoff. Additionally, a record of any discipline for serious misconduct for reasons other than performance would be justification for an alternate order of layoff, even if the conduct did not result in termination at the time of the event.

An employee subject to layoff may be allowed, in lieu of layoff, to demote to a lower paying classification previously held by the employee, if such position is vacant; employees have no right to "bump" another employee from such a position. The Executive Director has the discretion to make an exception to "bumping" for titles of non-exempt positions which include multiple levels, currently Housing Specialist and Maintenance Technician positions. Should an employee accept a position at a lower salary and level of responsibility, such employee will be required to reapply for any higher level positions that become available in the future.

Employees who are laid off, with the exception of temporary employees, will be provided either a minimum of two weeks advance notice of the layoff or in-lieu-of-notice pay equal to two weeks' straight-time wages.

Insurance benefits, and continuation of such benefits, are subject to the same terms and conditions as any terminating employee.

Pre-Layoff Review

An employee who has been noticed for layoff, and who has any questions or concerns about the layoff decision or process may make an appointment to be heard by the Executive Director for an informal pre-layoff review. The employee must request this meeting in writing within five work days from the date of the notice of layoff. The Executive Director's decision is final.

Re-employment

Employees who are laid off or who are eligible to demote or transfer in lieu of layoff will have, for a period of one year, re-employment rights to future vacancies in the position previously held. The Housing Authority will maintain a preferred list with the names of the employees laid off in inverse order of layoff. Future vacancies in those affected positions will first be filled from the preferred list in inverse order of layoff, provided that the employee retained or rehired is capable of performing the work required, and did not have any disciplinary action imposed at a written warning or higher level in the six months prior to layoff. A former employee offered re-employment will have seven days to accept the offer. If a former employee does not accept re-employment within seven days, the next person on the list will be offered re-employment.

EXIT INTERVIEWS

The Director of Human Resources and Operations or the Executive Director will schedule an exit interview with each employee who voluntarily leaves the Housing Authority prior to the last day of work. These conversations allow employees to communicate their views on their work, agency operations, training needs, and the work environment, as well as provide the employee with an opportunity to discuss benefits and insurance. Although exit interviews are not mandatory, employees are encouraged to participate in them and to speak frankly about their employment experience with the Housing Authority.



ACKNOWLEDGEMENT OF RECEIPT

RECEIPT OF MANUAL

I have received a copy of the Housing Authority of the City of Alameda's Employee Policies and Procedures Handbook dated December 21, 2016. I understand that it contains important information on Housing Authority policies, as well as, my privileges, rights, and responsibilities as an employee. I understand and agree that it is my responsibility to familiarize myself with and abide by these policies. I further understand that the Housing Authority may change, rescind or add to any policies, benefits, or practices described in the Handbook.

I have read and understand the Employee Policies and Procedures Handbook, and I understand that I am governed by its contents.

Signature

Date

Print Name

CHANGE LOG

Item	Date
Original adoption of Personnel Policy by Commission	4/18/2012
Adoption of expanded definition of family for Paid Sick Leave policy eff 1/1/15	12/17/2014
Adoption of resolution to make expanded definition of family retroactive to 7/1/14	1/21/2015
Adoption of changes to Paid Sick leave policy to comply with Healthy Workplace Healthy Family Act eff 7/1/15	6/17/2015
Adoption of change to Declaration of Work Period and Deferred Compensation (to reflect addition of Roth IRA) policies	7/22/2015
Adoption of changes to Holiday policy, including Floating Holidays eff 1/1/16	11/18/2015
Adoption of revised Discipline, Termination, and Grievance Procedure	8/17/2016
Revision to Personnel Policy including: <ol style="list-style-type: none"> 1. Revision of title and format, and reorganization of content 2. Edits and rewording that did not change policy intent, but clarified or added to policy 3. Addition of: <ol style="list-style-type: none"> a. Complaint Procedure for Complaints of Denial of Reasonable Accommodation b. Changes in Employee Classifications c. Employment of Members of the Board of Commissioners d. Professional Development e. Definition of Eligibility (Benefits section) f. Paid Family Leave g. Social Security (to clarify that AHA does not participate) h. Floating Holiday (separated from Holiday policy) i. Review Your Paycheck j. Cell Phone Allowance k. Telecommuting l. Breastfeeding-Friendly Workplace m. Use of Facilities and Property n. Expense Reimbursement o. Scent Free Workplace p. Parking q. Use of Agency-Issued Cell Phones r. Use of Personal Cell Phones s. Internal Communications t. Open Door Policy 4. Deletion of: Employee Recognition Program 5. Significant changes to: 	12/21/2016



Housing Authority of the City of Alameda

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To: Honorable Chair and
Members of the Board of Commissioners

From: Vanessa M. Cooper
Executive Director

Prepared by: Janet Basta
Director of Human Resources and Operations

Date: December 21, 2016

Re: Report to the Board of Commissioners on 2016 Pay & Benefits Survey

BACKGROUND

On July 18, 2012, following separation from the City of Alameda, the Board of Commissioners approved Koff & Associates, a public sector human resources consulting firm, to conduct classification and compensation studies for all existing and proposed Housing Authority positions. The classification study was the first step, and resulted in new job descriptions that reflected the positions and associated responsibilities, and to update them to include other mandatory components, such as physical requirements.

With updated job descriptions, Koff & Associates conducted a salary survey to determine wages and benefits for comparable positions. That study resulted in a new salary schedule and schedule of authorized positions, which was approved by the Board of Commissioners on March 21, 2013, and adopted retroactive to January 1 2013.

DISCUSSION

In November 2015, the Board approved an amendment to the Koff and Associates contract which provided funding for them to conduct the current compensation study. As Koff conducted the last study that was done, utilizing them again allowed AHA to complete this study more economically and efficiently than utilizing another firm.

As Classifications had been thoroughly reviewed in late 2012, it was determined that a Classification Study did not need to be conducted again in 2016. The current study focused on total compensation, which is prudent to study every three to four years, dependent on market conditions, to ensure that salaries/benefits remain competitive in the marketplace and support the Agency in attracting and retaining excellent staff.



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A methodology similar to the one used in 2012 was employed for the current study. Benchmark classifications, which included twenty of the thirty-four classifications in place at the time of the study, were selected. Benchmark classifications are those classifications that are tied to market salary data during the salary setting process, and are commonly used classifications that lend themselves to comparisons with other agencies. These classifications anchor AHA's overall compensation plan to the market, and classifications that are not surveyed are subsequently aligned on the compensation plan using internal equity principles. For example, Housing Specialist II was sampled and the ranges for Housing Specialist I and II were set in alignment with this classification to allow for relative experience and job description.

Comparator agencies were also identified to gather data from. Comparator agencies are generally public agencies recommended to be of similar size, budgets, services, geography, and compensation philosophy. Nine of the eleven comparator agencies were also used in the 2012 study; two additional government agencies located in Alameda (the City of Alameda and First 5 Alameda County) were added to the current comparator agencies. Data was collected from the comparator agencies on monthly base salaries as well as the range of benefits provided to employees.

Data reflecting median values of total month salary and total monthly compensation (salary plus benefits) was compiled and reviewed. A general rule of 5% above or below the median, for salary and/or total compensation, was used as a benchmark to determine competitiveness with the labor market; this is a common variation to use as it allows for differences in compensation policy and positions when applying the study methodology. Compensation also took into account the 37.5 hour working week for hourly employees at AHA.

Overall, AHA classifications are 5.2% above the market median for base salaries, but 2.1% below the market median for total compensation, a difference of 7.3%. This lower value of the AHA benefits package is similar to what was found in the prior study, when differences in retirement formulas/contributions were found to be a primary difference in the benefits package. Additional considerations that emerged from this study include: 1) 7 of the 11 agencies surveyed (64%) participate in social security, where AHA does not; and 2) 8 of the 11 offer administrative leave to management employees of 40-120 hours per year, while AHA does not offer a comparable benefit.

The majority of classifications/titles fell within the +/- 5% range when considering total monthly salary. The positions that were more than 5% above the median monthly salary were: Deputy Executive Director, Director of Finance, Director of Human Resources and Operations, Executive Assistant, Housing and Community Development Program Manager, Housing Assistant, Housing Specialist II, Maintenance Technician II, and Management Analyst. However, when considering total monthly compensation (i.e., both salary and benefits), consistent with the primary criteria used to determine wage ranges in the earlier study, the only classifications that were above 5% were the Deputy Executive Director (not currently in budget), Director of Finance, and Housing Assistant; no positions were more than 6.6% above the median when the value of benefits was factored in.



One position (Facilities Project Specialist) was more than 5% below market in both total monthly salary and total monthly compensation. .

Typically, salaries greater than 5% above the median would be brought to the market median and assigned to a lower wage range; we are not recommending reassigning any salaries to a lower wage range or recommending reduction in any current employees' salary levels, however, as most of the positions affected are single-incumbent classes, where adjustments can be made when the incumbent leaves/retires; are recent hires, hired with the current range advertised and not at the top of the current wage range; are in a classification that was previously Y-Rated and is at one of the lower salary grades already; and in one case, the position is currently vacant with no immediate plans to fill it. Any employees that are currently Y-rated, based on the 2012 study, will continue to be Y-rated until the range assigned to their position catches up to their salary level.

Further, the lower value of the AHA benefits package in many cases offsets the higher salary level assigned to the position, bringing the total monthly compensation with the +/- 5% range. Additionally, there is anecdotal information that the job market in the Bay Area is becoming more competitive. The unemployment rate in all nine Bay Area counties is currently below the state average, ranging from a low of 3.1 percent in San Mateo County to a high of 5.3 percent in Solano County, while the state's unemployment rate is at 5.5 percent. AHA has experienced lower numbers of applicants applying for positions over the past year, and temporary agencies that we work with have reported that administrative, finance, and property management positions are in high demand. The Agency anticipates it will need to continue to be competitive in the job market and anticipates a number of retirements in the next five years with approximately 28% of current employees expected to retire in that period, and an additional 22% in the subsequent five year period. Looking at Agency turnover, of the eight staff members that left the Agency in the past 12 months, only one left for a higher salary. This is a strong position to be in, in terms of retaining our experienced and qualified staff members.

Management is recommending that one position, Facilities Project Specialist, be assigned to one grade higher than where it is currently placed. This will bring the median salary for this position to the market level identified in the study. This will be brought to the board for approval in January 2017.

Management is further not recommending any changes to the salary schedule based on the Total Compensation Study. AHA will continue to review data and is likely to bring a recommendation regarding a cost of living increase to the Board on an annual basis, to ensure that salaries remain competitive in the upcoming years and until the next study is done.

Staff will bring back a recommendation on the benefits aspects of the survey in 2017. Also this Total Compensation Study did not include the Executive Director position. A study was conducted for the hire of the current Executive Director in 2014 and a revised study will be done for that position by September 2017.



FISCAL IMPACT

The cost to implement the one position change is not fiscally significant. Currently budgeted salaries and benefits are sufficient to cover the one increase, and no adjustment needs to be made based on this Study.

RECOMMENDATION

This information is presented for review and discussion only this month. A revised Schedule of Authorized Positions will be brought to the Board for approval in January 2017.

Respectfully submitted,



Vanessa M. Cooper
Executive Director

VMC/JCB





Housing Authority of the City of Alameda

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To: Honorable Chair and
Members of the Board of Commissioners

From: Vanessa M. Cooper
Executive Director

Date: December 21, 2016

Re: Approve Out-of-State Travel for Staff

BACKGROUND

It has been Housing Authority practice that out-of-state travel be approved by the Board of Commissioners.

DISCUSSION

There is sufficient funds in the training budget for out-of-state conferences and training.

NAHRO Washington Conference is March 26-28, 2017 in Arlington, VA, NAHRO Summer Conference is July 16-18, 2017 in Indianapolis, IN and NAHRO National Conference is October 27-29, 2017 in Pittsburg, PA. It is proposed that three persons attend each of these Conferences.

National Community Development Association's Winter Conference is February 15-17, 2017 in Washington, DC, we are proposing to send one staff member.

HCV Financial Accounting and Reporting Training - February 14-16 - Portland, OR, we are proposing to send one staff member.

FISCAL IMPACT

Travel costs and per diem will be approximately \$10,000. No change in the budget for travel and training is required.

RECOMMENDATION

Approve out-of-state travel for staff.



Honorable Chair and
Members of the Board of Commissioners

December 21, 2016
Page 2 of 2

Respectfully submitted,



Vanessa M. Cooper
Executive Director

VMC:dc

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