

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: Yolo County Housing PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): 07/2012 PHA Code: CA044				
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: 431 Number of HCV units: 1,487				
3.0	Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only				
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)				
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program
	PHA 1:				PH HCV
	PHA 2:				
	PHA 3:				
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update. Note: See Attachment ca044a01 for information regarding Section 5.0 through 10.0.				
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: See page 3 of Attachment ca044a01.				
5.2	Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. See page 3 of Attachment ca044a01.				
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. See pages 6 - 19 of Attachment ca044a01.				
7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i> See page 19 of Attachment ca044a01.				
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. See page 20 of Attachment ca044a01.				
8.1	Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing. See page 20 of Attachment ca044a01.				
8.2	Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. See page 20 of Attachment ca044a01.				

8.3	<p>Capital Fund Financing Program (CFFP). <input checked="" type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p> <p>See page 20 of Attachment ca044a01.</p>
9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p> <p>See page 21 of Attachment ca044a01.</p>
9.1	<p>Strategy for Addressing Housing Needs. Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p> <p>See page 22 of Attachment ca044a01.</p>
10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA’s progress in meeting the mission and goals described in the 5-Year Plan.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p> <p>See pages 25 - 30 of Attachment ca044a01.</p>
11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

5.1 Mission. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

5.2 Goals and Objectives. Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

6.0 PHA Plan Update. In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.
3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.
4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.
5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.
6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: **1)** development name and number; **2)** designation type; **3)** application status; **4)** date the designation was approved, submitted, or planned for submission, and; **5)** the number of units affected.
7. **Community Service and Self-Sufficiency.** A description of: **(1)** Any programs relating to services and amenities provided or offered to assisted families; **(2)** Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; **(3)** How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. **(Note: applies to only public housing).**
8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.
10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.
11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.
12. **Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.
13. **Violence Against Women Act (VAWA).** A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers

- (a) **Hope VI or Mixed Finance Modernization or Development.** 1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm
Note: This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed.
- (c) **Conversion of Public Housing.** With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or

that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>

- (d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 Capital Improvements. This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report. PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

1. At the end of the program year; until the program is completed or all funds are expended;
2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 Capital Fund Financing Program (CFFP). Separate, written HUD approval is required if the PHA proposes to pledge any

portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

9.1 Strategy for Addressing Housing Needs. Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)**

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. **(Note: Standard and Troubled PHAs complete annually).**

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.

YOLO COUNTY HOUSING

FY2012 ANNUAL UPDATE TO THE FY2010-FY2014 FIVE-YEAR AGENCY PLAN

SECTION 5.0 THROUGH 10.0

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5.0 Five-Year Plan

5.1 Mission Statement

“Working together to provide quality affordable housing and community development services for all.”

5.2 Goals and Objectives

- **Analyze opportunities for operational cost savings that will be necessary due to cuts in funding. (Added)**
- **Complete renovations to public housing properties to meet accessibility requirements. (Added)**
- Continue to increase the sustainability of the Agency’s portfolio by reducing energy usage using both simple and complex strategies.
- Maintain leasing rates, on-time collections and other benchmarks for on-going programs at a rate equal to or above generally accepted standards.
- Maintain High Performer status under the Public Housing Assessment System (PHAS).
- Continue to train staff on Asset Management to ensure compliance with all new HUD regulations.
- Achieve and maintain a 98% lease-up in the budget year (combined between tenant-based Housing Choice Voucher (HCV) and project-based vouchers and includes either units or budget authority).
- Close an additional three (3) homes through the HCV Home Ownership Program in the coming year.
- Continue to achieve High Performer status on Section 8 Management Assessment (SEMAP) score.
- Implement new owner outreach materials to attract potential new owners to participate in the HCV Program.
- Complete full enrollment in the Family Self-Sufficiency Program (FSS) to comply with the HUD requirement.

- Continue to upgrade computer systems including servers, software, and memory capacity.
- Continue with annual customer satisfaction surveys; gather and interpret results; identify strengths and areas of needed improvement in YCH services.
- Install individual meters at apartments where there is currently no meter.
- Develop eco-friendly landscaping plan to reduce water usage.
- Install broadband access capability to reach all sites and offer inexpensive in-home broadband access to residents as an additional revenue source.
- Continue to deploy Facebook page to help distribute information to residents and applicants.
- Upgrade website to include better information, easier navigation and install access portals for customers – landlords, tenants, and participants.
- Move forward with additional elements of YCH’s “Welcome Home” strategy that are already outlined in the Plan, including development of a welcome packet for residents, participants, and landlords.
- Apply for additional funding including the Capital Fund Education and Training Community Facilities (CFCF) Program and Resident Opportunity and Self-Sufficiency (ROSS) Service Coordinators Program.

6.0 PHA Plan Update

- (a) **Identify specifically which plan elements have been revised since the PHA's prior plan submission.**

Yolo County Housing has revised the following elements:

Goals and Objectives

Goals and Objectives have been updated by removing completed Goals and adding new Goals for the upcoming years.

Financial Resources

The Financial Resources section has been revised to include projected amounts for FY2012.

Resident Services

The Resident Services section has been updated to include current information regarding resident programs.

Fiscal Year Audit

The Audit for the Fiscal Year ending 6/30/2010 has been completed and is included with the Agency Plan. The Audit for 6/30/2011 is in the process of being completed.

Capital Improvements

The Agency Plan includes a copy of the FY2012 Capital Fund Annual Statement. Performance and Evaluation Reports for the FY 2009, FY2010 and FY2011 Capital Funds are also included. The projections for the FY2012 CFP are based on the actual 2011 amount.

Policies

Staff is in the process of updating the Public Housing Admissions and Continued Occupancy Policy and the Section 8 Housing Choice Voucher Program Administrative Plan. A full copy of each Plan will be available at YCH's main office when completed.

(b) Identify where the 5-Year and Annual Plan may be obtained by the public.

The FY2012 Annual update to the FY2010-FY2014 Five-Year Agency Plan will be available for review during the 45-day Public Hearing Notice period at Yolo County Housing's Main Office which is located at 147 West Main Street in Woodland, California.

1. Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures

The YCH's policies governing resident eligibility, selection, and admission including admissions preferences for both the Public Housing and Housing Choice Voucher Programs are described in this section. Unit assignment policies for public housing and wait list procedures for both programs are also described.

The Admissions and Continued Occupancy Policy (ACOP) covers the specific requirements for admission to the public housing program. These requirements for the HCV Program are stated in the Administrative Plan. The information listed below highlights some of the main factors used in determining eligibility and admission to both programs and is not meant to be exhaustive. Both documents are on file at YCH's main office and should be referred to for specific questions.

Public Housing – Admissions and Continued Occupancy Policy (ACOP)

It is the Yolo County Housing's policy to admit qualified applicants only. An applicant is qualified if s/he meets the following criteria:

Heads a household where at least one member of the household is either a citizen or eligible non-citizen.

Has an Annual Income at the time of admission that does not exceed the low income limit for occupancy as established by HUD and posted separately in YCH offices.

Meets or exceeds the tenant Selection and Suitability Criteria as set forth in the ACOP.

The qualifying factors of eligibility will not be verified until the family is in a position on the waiting list to be offered a housing unit.

The applicant must qualify as a family. A family may be a single person or group of persons. Discrimination on the basis of a familial status is prohibited, and a group of persons may not be solely denied on the basis that they are not related by blood or marriage.

Applicants with a previous outstanding debt to YCH or any other PHA resulting in from a previous tenancy in a public housing or Housing Choice Voucher programs must be paid in full prior to admission.

YCH requires that a criminal background check and a credit check be performed upon admission and at all re-examinations when the tenant supplies any information to criminal activity. Any applicant and/or participant who has been convicted of any criminal activity including felony behavior in the past (3) three years will be denied admission and/or terminated.

Persons evicted from public housing, Indian housing, Section 23, the Voucher Program, or any Section 8 program because of drug-related criminal activity are ineligible for admission to Public Housing for a three (3) year period beginning with the date of such conviction.

YCH will permanently deny admission to public housing to persons convicted of manufacturing or producing methamphetamines on the premises of the assisted housing project in violation of any Federal or State law.

YCH will deny admission to public housing to any family in which a family member is subject to a lifetime sex offender registration requirement.

A detailed interview will be conducted with all applicants. The interview will contain questions designed to evaluate the qualifications of applicants to meet the essential requirements of tenancy. All submitted information will be subject to third party verification.

It is the policy of YCH to ensure that all families who express an interest in housing assistance are given an equal opportunity to apply, and are treated in a fair and consistent manner. Families who wish to apply for any of YCH's programs must complete a written application when application-taking is open. Applications will be made available in an accessible format upon request from a person with a disability.

Applicants may choose which site-based waiting list on which they wish to be placed.

The application process will involve two phases. The first is the "initial" application for admission (referred to as a pre-application). This first phase is to

determine the family's eligibility for, and placement on, the waiting list. The second phase is the "final determination of eligibility for admission" (referred to as the full application). The full application takes place when the family reaches the top of the waiting list. At this time, YCH ensures that verification of all HUD and YCH eligibility factors is current in order to determine the family's eligibility for an offer of a suitable unit.

If after a review of the pre-application the family is determined to be preliminarily eligible, they will be notified in writing that they will be placed on the waiting list. If the family is determined to be ineligible based on the information provided in the pre-application, YCH will notify the family in writing, state the reason for denial, and inform them of their right to an informal hearing.

It is the YCH's policy that each applicant is assigned an appropriate place on the waiting list for the development(s) in which the applicant wishes to reside. Applicants will be listed in sequence based upon the date and time the application is received, the size and type of unit required, the site in which they wish to reside, and the factors of preference or priority.

Housing Choice Voucher Program – Administrative Plan

YCH is responsible for ensuring that each individual and family admitted to the HCV program meets all program eligibility requirements. This includes any individual approved to join the family after the family has been admitted to the program. The family must provide any information needed by YCH to confirm eligibility and determine the level of assistance.

To be eligible for the HCV program, each applicant family must:

- Qualify as a family as defined by HUD and YCH.
- Have income at or below HUD specified income limits.
- Qualify on the basis of citizenship or the eligible immigrant status of family members.
- Provide social security number information for all family members as required.
- Consent to YCH's collection and use of family information as provided for in YCH-provided consent forms.
- YCH must determine that the current or past behavior of household members does not include activities that are prohibited by HUD or YCH.

Income limits are used for eligibility only at admission. Eligibility is established by comparing a family's annual income with HUD's published income limits. To be income eligible, a family must be one of the following:

- A very-low income family or
- A low-income family that has been "continuously assisted" under the 1937 Housing Act.

HUD requires YCH to deny assistance in the following cases:

- Any member of the household has been evicted from federally-assisted housing in the last three (3) years for drug-related criminal activity.
- YCH determines that any household member is currently engaged in the use of illegal drugs.
- YCH has reasonable cause to believe that any household member's current use or pattern of use of illegal drugs, or current abuse or pattern of abuse of alcohol, may threaten the health, safety, or right to peaceful enjoyment of the premises by other residents.
- Any household member has ever been convicted of drug-related criminal activity for the production or manufacture of methamphetamine on the premises of federally assisted housing.
- Any household member is subject to a lifetime registration requirement under a state sex offender registration program.

If any household member is currently engaged in, or has engaged in any drug-related or violent criminal activity, within the last three years, the family will be denied admission.

HUD authorizes YCH to deny assistance based upon the family's previous behavior in assisted housing. YCH will deny assistance to an applicant family if:

- The family does not provide information that HUD or YCH determines is necessary to the administration of the program.
- The family does not provide complete and true information to YCH.
- Any public housing agency has terminated assistance under the program for any family member within the last three (3) years.
- Any family member has been evicted from federally assisted housing in the last three (3) years.
- Any family member has committed fraud, bribery, or any other corrupt or criminal act in connection with any other federal housing program.
- The family owes rent or other amounts to any public housing agency in connection with the HCV, Certificate, Moderate Rehabilitation, or public

housing programs, unless the family repays the full amount of the debt prior to being selected from the waiting list.

- The family has breached the terms of a repayment agreement entered into with YCH, unless the family repays the full amount of the debt covered in the repayment agreement prior to being selected from the waiting list.
- A family member has engaged in or threatened violent or abusive behavior towards YCH personnel.

YCH is authorized to obtain criminal conviction records from law enforcement agencies to screen applicants for admission to the HCV program. This authority assists YCH in complying with HUD requirements and in-house policies to deny assistance to applicants who are engaging in or have engaged in certain criminal activities. In order to access these records, YCH requires each applicant household to submit a consent form signed by each adult household member.

When a family wishes to receive HCV assistance, the family must submit an application that provides YCH with the information needed to determine the family's eligibility. The application process involves two phases. The first phase involves placing the family on the waiting list. This process requires the family to declare any preferences to which they may be entitled and the family's income.

In the event two or more applicants with identical preferences are eligible for placement on the waiting list, their order of placement will be determined by the date and time of the application or by the order in which the family was randomly selected in the lottery process.

The second phase is the final determination of eligibility, which takes place when the family nears the top of the waiting list.

YCH is permitted to close the waiting list if it has an adequate pool of families to use its available HCV resources. YCH will close the waiting list when the estimated waiting period for housing assistance for the most current applicants on the list reaches 12 months. Before reopening the waiting list, YCH must publish a public notice stating that it will be reopened.

YCH has established the following preferences for admission to the HCV program:

- Applicants with special provisions, which includes, tenants residing in units owned and or managed by YCH required to move due to special circumstances, and approved by the Executive Director.
- Applicants who live or work in Yolo County.
- Any citizen of the United States, who served in the military, naval, or air service of the United States who received an honorable discharge or was released from active duty under honorable conditions. This preference applies to the surviving spouses of veterans.
- HCV participants who have been terminated due to over-leasing or lack of federal funding.
- Families who have at least one adult employed and has been employed for at least six (6) months. Definition of employment includes receipt of employment benefits. This preference is automatically extended to elderly families and a family whose head of household or spouse is receiving income based on their permanent disability.
- Involuntarily displaced.

Each preference is given a point value of one and the points are cumulative. Applicants with the highest point total are ranked highest on the list.

Once an applicant family has been selected from the waiting list, YCH will notify the family by first class mail. The family will be sent a packet of forms to be completed and returned by a specified date.

2. Financial Resources

The table below lists Yolo County Housing’s anticipated financial resources, such as PHA Operating, Capital and other anticipated Federal resources available to the Agency, as well as tenant rents and other income available to support public housing and housing choice voucher programs in Fiscal Year 2012.

Funding Source	Amount	Use
FY2011 PH Operating Fund	\$361,104	PH Oper.
FY2012 Capital Fund Program	\$739,572	PH Mod.
FY2011 Capital Fund Program	\$819,349	PH Mod.
FY2010 Capital Fund Program	\$278,523	PH Mod.
Housing Choice Voucher Program	\$10,000,000	HCV Oper.
Public Housing Dwelling Rent	\$1,677,436	PH Operations
Interest	\$1,780	PH Operations
Other Income	\$37,007	PH Operations
Total	\$13,914,771	

Note: The Capital Fund amounts for FY2010 and FY2011 are the unobligated amounts as of 12/31/2011.

3. Rent Determination

Public Housing

A family’s income determines eligibility for assistance and is also used to calculate the family’s rent payment. The first step in calculating income-based rent is to determine each family’s total tenant payment (TTP). Then, if the family is occupying a unit that has tenant-paid utilities, the utility allowance is subtracted from the TTP. The result of this calculation, if a positive number, is the tenant rent. If the TTP is less than the utility allowance, the result of this calculation is a negative number, and is called a utility reimbursement, which may be paid to the family or directly to the utility company by YCH.

HUD regulations specify the formula for calculating the total tenant payment (TTP) for a tenant family. TTP is the highest of the following amounts rounded to the nearest dollar.

30% of the family's monthly adjusted income

10% of the family's monthly gross income

The flat rent

Housing Choice Voucher

HUD regulations specify the formula for calculating the total tenant payment (TTP) for an assisted family. TTP is the highest of the following amounts, rounded to the nearest dollar:

30% of the family's monthly adjusted income

10% of the family's monthly gross income

4. Operation and Management

YCH has a staff maintenance mechanics which provides general maintenance services at each site to help ensure the units are kept in good working order. If a resident needs an item repaired, they are asked to call the management office and place a work order. Once the work order is entered, a maintenance mechanic will go to the unit to repair the item. If the need for repair was not caused by the resident, then YCH does not charge the resident. If the resident caused the repair, then they are charged according to the Maintenance Charge List on file at the office.

The Authority also has a preventative maintenance schedule in which items such as filters for the HVAC systems are changed out on a regular basis. The Authority also has a pest control plan in which each unit is sprayed once a month to help control pest infestation.

YCH also has many policies which management uses to operate the Agency on a daily basis. These polices are listed below:

- Personnel
- Procurement
- Vehicle Guidelines
- Distracted Driver
- IT Policy
- Uniform Policy
- Capitalization
- A/R Write-off
- Surplus Property
- Signature Authority
- Records Retention
- Credit and Investment
- Section 3
- Applicant Screening
- Eviction
- Tracking Crime
- Reasonable Accommodation
- Facility Use
- Pet
- Admissions and Continued Occupancy (LIPH)
- Administrative Plan (HCV)
- Grievance
- Domestic Violence

5. Grievance Procedures

Public Housing

Applicants who are determined ineligible, who do not meet YCH admission standards, or where YCH does not have an appropriate size and type unit in its inventory will be given written notification promptly, including the reason for the determination. Ineligible applicants will be offered an opportunity for a hearing. A request for a hearing must be submitted to YCH within ten (10) working days from the date of the notification of their ineligibility. If an informal hearing is requested, YCH will conduct the hearing within twenty (20) working days of the request. Informal hearings will be conducted by an impartial hearing officer. The person who is designated as the hearing officer cannot be the person who made the initial determination of ineligibility or a subordinate of that person. Within ten (10) working days of the date of the hearing, the hearing officer will

mail a written decision to the applicant and place a copy of the decision in the applicant's file.

Housing Choice Voucher

When YCH makes a decision that has a negative impact on a family, the family is generally entitled to appeal the decision. For applicants, the appeal takes the form of an informal review; for participants, or for applicants denied admission based on citizenship issues, the appeal takes the form of an informal hearing.

Informal reviews are provided for program applicants. An applicant is someone who has applied for admission to the program, but is not yet a participant in the program.

6. Designated Housing for Elderly and Disabled Families

Currently, Yolo County Housing has two (2) public housing developments which are designated for occupancy by elderly and disabled residents. The developments are Riverbend Senior Manor I and II and are located in West Sacramento. Because these developments were constructed solely for the purpose of housing elderly tenants, YCH does not have to reapply for the elderly designation.

YCH does not plan to apply for approval to designate more developments as elderly-only occupancy in FY2012.

7. Community Service and Self-Sufficiency

Yolo County Housing maintains over 45 partner service agreements with local city, county, state and non-profit agencies to provide services and education for residents of our Low Income Public Housing and Agricultural Services Programs. The services vary at each location depending on availability and the needs of the community residing at that site.

At the public housing sites located at Winters, Woodland, and West Sacramento, resident and community services include the monthly Emergency Food Assistance Program (EFAP) provided by the Yolo County Food Bank, quarterly resident meetings held by YCH to assist residents with access to services, information and resources, on-site computer labs are open daily for adults to access the internet, conduct job search activities, and enhance their computer skills and youth (ages 5-18) with YCH staff available to provide homework assistance, computer tutorial support, and other educational activities. Day care

centers at the Winters and Woodland sites are operated by the YMCA and provide access to quality day care and preschool services to resident families. All residents receive an annual YCH calendar which highlights meetings, resident services, emergency planning information, ADA/504 information, fair housing, and other pertinent information related to their quality, safe and affordable housing community.

The YCH Client Services Coordinator (CSC) provides one-on-one assistance to families in need including connecting families to community resources and referrals. The CSC works with partners in developing youth programs (such as soccer, poster and essay contests), adult programs (financial literacy workshops, nutrition, health), and coordinates the quarterly resident meetings at each location. The CSC works in cooperation with site resident councils.

Future Plans All Properties: Develop a “Welcome Home” program which includes information that welcomes the resident to their new home and provides a coupon pack from local businesses as a way to introduce residents to their community. Apply for grant opportunities to maintain staff support of resident services through HUD such as a Resident Opportunities Self-Sufficiency (ROSS) grant. YCH will work with the WIB, public and private sector partners in identifying and expanding employment and educational opportunities for residents.

At the Winters site (which includes Esparto residents), YCH has a partnership with the University of California at Davis Cooperative Extension 4-H that provides education in nature and ecology (this property borders Putah Creek), youth soccer skills, and after-school homework assistance during the school year. Rural Innovations Social Economics, Inc (RISE) provides weekly classes and activities to parents and children. Narcotics Anonymous holds weekly meetings on-site Wednesday evenings. The Yolo County Health Department (YCHD) also provides a monthly literacy and nutrition program for children up to the age of five years old called the GET READY Program. In addition, the YCHD has provided education in nutrition, exercise and car seat safety. Winters Health Care provides an annual health fair, dental screenings, nutrition, and other educational resources to Winters families.

Future Plans (Winters): The development of a Community Garden project on-site. Through additional community partnerships, YCH will be expanding the provision of health, parent, and educational services to residents.

At the Woodland site (which includes Yolo and Knights Landing residents), the UC Davis TANA Center (a community art center) offers education opportunities dedicated to inspiring local youth and reinforcing culture through silk-screening, mural painting and other classes. Woodland youth have the opportunity to

participate in programming at no cost. In partnership with the Yolo Family Resource Center, YIIN, and 4-H, Woodland youth participate in the YCH Summer Soccer League. Residents have access and priority to the Yolo County Office of Education Early Head Start Program located on-site as well.

Future Plans (Woodland): YCH staff continues to explore grant opportunities to build an adult education and job training center on site at Woodland. This would enhance service delivery in the areas of youth and adult education (ESL, HS Diploma/GED) as well as post-secondary education and/or training opportunities tied to the future economy. YCH will expand partnerships with UC Davis TANA, Yolo Family Resource Center, 4-H, and other partners to enhance Woodland youth leadership opportunities. As part of the Welcome Home Initiative, YCH plans to pilot a resident team called “CAST” (Community Awareness and Support Team) to enhance resident safety and emergency preparedness.

The Bryte Broderick Community Action Network (BBCAN) and the West Sacramento Historical Society is on-site at the Riverbend Manor sharing office space as community partners with YCH to provide services and volunteer opportunities to the community. The Elderly Nutrition Program (ENP) will continue to operate out of the community room providing a hot lunch meal to resident seniors at a reduced rate. Our partnership with the City of West Sacramento has resulted in the installation of a new computer learning center within the Riverbend Manor Community Room including a part-time staff to provide assistance to senior residents. The City of West Sacramento Senior Center maintains operations of some programs at the Riverbend Community Room. Other services include Legal Services of Northern California, Veterans Services, and ExperienceWorks which all provide services on site at Riverbend Manor. Seniors from both YCH and the community at large have access to a variety of education and recreation opportunities.

Future Plans (West Sacramento): Expand programs, services, and volunteer opportunities to all residents through future partnerships.

8. Safety and Crime Prevention

Fortunately, the Agency does not have a major crime problem at any of its sites. Even though crime is not a major problem, YCH still works hard to ensure that all residents feel safe in their homes. Each site manager has a good relationship with local law enforcement. Officers stop by the site offices on a periodic basis to discuss crime issues with the site managers. Local law enforcement agencies also send reports to management detailing any crimes committed on each site.

9. Pets

Yolo County Housing has adopted a Pet Policy covering the ownership of pets in its' public housing developments. The policy explains the YCH's policy on the keeping of pets and any criteria or standards pertaining to the policies. The rules adopted are reasonably related to the legitimate interest of the PHA to provide a decent, safe and sanitary living environment for all tenants, and to protect and preserve the physical condition of the property, as well as the financial interest of the Agency. The full Pet Policy is on file at the main office and can be reviewed during normal operating hours.

10. Civil Rights

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

11. Fiscal Audit

The Fiscal Audit for the Year ended June 30, 2010 is attached to the Agency Plan as attachment ca044f01. The Fiscal Audit for the Year ended June 30, 2011 is in the process of being completed.

12. Asset Management

The Agency's management staff is continually looking for areas where cost reductions can take place without affecting the level of service to current and potential public housing residents and HCV Program participants.

Management is also reviewing the Agency's housing inventory to determine what needs to be addressed at each property to maintain long-term viability. Depending on the results of this review, the Agency may decide on various options including limited rehabilitation, complete modernization, demolition, or disposition of properties. Before any option is undertaken, it will be presented in the Agency Plan for review by the public. At this time, there are no plans for demolition of any properties. Management is analyzing the possibility of disposing of some vacant land which has been acquired over the years. This land would be used for future development of additional affordable housing units. It is the intent of the Agency to retain as much housing for the low-income residents of Yolo County as possible. This, of course, is dependent on a reasonable continued funding level by the federal, state, and local governments.

13. Violence Against Women Act

The Agency has adopted a Domestic Violence Policy consistent with the Violence Against Women Act (VAWA). The Domestic Violence Policy covers residents and applicants for both the Public Housing and the Housing Choice Voucher Program. The policy states that no person who has been a victim of domestic violence will be denied or removed from housing based solely on the domestic violence act. The full policy is available at the office and can be reviewed during normal operating hours.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-Based Vouchers

(a) Hope VI or Mixed Finance Modernization or Development

Yolo County Housing will not be pursuing any Hope VI or Mixed Finance Modernization or Development in FY2012. YCH reserves the right to pursue the use of these programs in the future, if warranted.

(b) Demolition and/or Disposition

YCH will not pursue any demolition activities of the public housing properties under its ownership in FY2012.

(c) Conversion of Public Housing

YCH will not convert any public housing to tenant-based assistance in FY2012.

(d) Homeownership

YCH does not presently have or does not plan to apply for approval for a public housing homeownership program in FY2012.

(e) Project-Based Vouchers

To expand the availability of affordable housing in Yolo County, YCH is planning to use project-based vouchers in the upcoming fiscal year. The current Annual Contributions Contract with HUD allows YCH to use up to 20% of its voucher program budget authority to attach funding to specific units rather than using it for tenant-based assistance. Based on current projections, YCH would use approximately 10% of the budget authority for project-based vouchers. This would equate to about fifty (50) units. While no specific locations have been

determined at this time, the units are expected to be located outside of areas of poverty. The implementation of project-based vouchers is consistent with the Agency Plan because it will help to increase the quality of affordable housing and expand housing opportunities to low-income families in Yolo County.

8.0 Capital Improvements

8.1 Capital Fund Annual Statement/Performance and Evaluation Report

See attachments:

ca044b01 – FY2012 CFP Annual Statement
ca044d01 – FY2011 CFP Performance and Evaluation Report
ca044e01 – FY2010 CFP Performance and Evaluation Report
ca044f01 – FY2009 CFP Performance and Evaluation Report

8.2 Capital Fund Program Five-Year Plan

See attachment:

ca044c01 – FY2012-2016 CFP Five-Year Plan

8.3 Capital Fund Financing Program (CFFP)

Yolo County Housing has been approved to use the Capital Fund Financing Program. The amount of the debt repayment is included in the Capital Fund Annual Statements and Five-Year Plan. (see above)

9.0 Housing Needs

Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the “Overall” Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being “no impact” and 5 being “severe impact.” Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI	6,239	5	5	5	3	4	4
Income >30% but <=50% of AMI	4,677	4	4	4	3	3	3
Income >50% but <80% of AMI	3,715	3	3	3	3	2	3
Elderly	1,446	3	3	3	4	2	3
Families with Disabilities	2,512	3	4	4	5	4	4
White	8,061	3	3	3	3	3	3
Black	465	3	3	3	3	3	3
Hispanic	4,219	3	3	3	3	3	3
Native American	159	3	3	3	3	3	3
Asian	2,484	3	3	3	3	3	3
Pacific Islander	94	3	3	3	3	3	3

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction/s
Indicate year:
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)

9.1 Strategy for Addressing Housing Needs

Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1: Maximize the number of affordable units available to the PHA within its current resources by:

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Maintain or increase Voucher lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction, while preserving the maximum number of families able to be assisted
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase Voucher lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration

Strategy 2: Increase the number of affordable housing units by:

- Apply for additional section 8 and/or Voucher units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing, Voucher, or Section 8 project-based assistance.

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work but, that are mindful of current extreme unemployment rates

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

- Maintain housing that is designated for elderly occupants.

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Affirmatively market to local non-profit agencies that assist families with disabilities

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs

Strategy 2: Conduct activities to affirmatively further fair housing

- Counsel Voucher tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units

Reasons for Selecting Strategies

- Funding constraints
- Staffing constraints
- Influence of the housing market on PHA programs

10.0 Additional Information

(a) Progress in Meeting Goals and Objectives

- Continue to increase the sustainability of the Agency's portfolio by reducing energy usage using both simple and complex strategies.

Progress: Signed a Memorandum of Understanding with the Butte and Sutter Housing Authorities to combine efforts. Completed a Request For Proposal and received HUD approval to proceed. Currently out to bid for qualified Energy Service Contractor.

- Maintain leasing rates, on-time collections and other benchmarks for on-going programs at a rate equal to or above generally accepted standards.

Progress: YCH honored by HUD as Consistently High Occupancy for achieving a 98.16% annual occupancy rate. On-time rent collections are at 98.66%.

- Continue to improve the Public Housing Assessment System (PHAS) score.

Progress: YCH received a score of 90 on the Public Housing Assessment System (PHAS) and is considered a High Performing agency.

- Continue to train staff on Asset Management to ensure compliance with all new HUD regulations.

Progress: Employees continue to attend training on an as needed basis.

- Achieve and maintain a 98% lease-up in the budget year (combined between tenant-based Housing Choice Voucher (HCV) and project-based vouchers and includes either units or budget authority).

Progress: The current lease-up rate is 94%. Vouchers are currently being issued to help bring the lease-up rate to 98%.

- Close an additional three (3) homes through the HCV Home Ownership Program in the coming year.

Progress: Remains a goal.

- Continue to achieve High Performer status on Section 8 Management Assessment (SEMAP) score.

Progress: YCH scored 95% on the SEMAP for the fiscal year ending June 30, 2011, making the Housing Choice Voucher Program a High Performer for the 2nd consecutive year.

- Implement new owner outreach materials to attract potential new owners to participate in the HCV Program.

Progress: Staff continues to work with private landlords by providing education materials explaining the benefits of participating in the HCV Program.

- Complete full enrollment in the Family Self-Sufficiency Program (FSS) to comply with the HUD requirement.

Progress: There are currently fifteen (15) families enrolled in the FSS Program which is in compliance with the HUD requirement.

- Continue to upgrade computer systems including servers, software, and memory capacity.

Progress: The conversion to “cloud computing” is approximately 90% complete.

- Continue with annual customer satisfaction surveys; gather and interpret results; identify strengths and areas of needed improvement in YCH services.

Progress: While the annual customer satisfaction surveys were not completed in 2011, YCH staff received customer feedback during the quarterly resident meetings.

- Install individual meters at apartments where there is currently no meter.
Progress: Hasn't been addressed at this time due to other needs taking precedent. Remains as a Goal.
- Develop eco-friendly landscaping plan to reduce water usage.
Progress: Eco-friendly landscaping was installed at Riverbend Manor earlier in 2011.
- Install broadband access capability to reach all sites and offer inexpensive in-home broadband access to residents as an additional revenue source.
Progress: Two additional hot spots were set up. One is located at Cottonwood and the other one is at Riverbend Manor. YCH now has a total of six (6) hot spots.
- Continue to deploy Facebook page to help distribute information to residents and applicants.
Progress: On-going, the site is projected to go "live" on February 12th.
- Upgrade website to include better information, easier navigation and install access portals for customers – landlords, tenants, and participants.
Progress: A new professionally designed website is in development with a projected completion date of May 2012.
- Move forward with additional elements of YCH's "Welcome Home" strategy that are already outlined in the Plan, including development of a welcome packet for residents, participants, and landlords.
Progress: YCH is moving forward with the "Welcome Home" initiative and will be implementing a pilot program at the Yolano-Donnelly site in Woodland.
- Apply for additional funding including the Capital Fund Education and Training Community Facilities (CFCF) Program and Resident Opportunity and Self-Sufficiency (ROSS) Service Coordinators Program.
Progress: YCH is planning to apply for additional funding through these programs in the upcoming Fiscal Year as available.

(b) Significant Amendment and Substantial Deviation/Modification

Substantial Deviation from the 5-year Plan:

A “Substantial Deviation” from the 5-Year Plan is an overall change in the direction of the Authority pertaining to the Authority’s Goals and Objectives. This includes changing the Authority’s Goals and Objectives.

Significant Amendment or Modification to the Annual Plan:

A “Significant Amendment or Modification” to the Annual Plan is a change in a policy or policies pertaining to the operation of the Authority. This includes the following:

- Changes to rent or admissions policies or organization of the waiting list.
- Additions of non-emergency work items in excess of 10% of total Capital Fund Program budget (items not included in the current Annual Statement or 5-Year Action Plan) or change in use of replacement reserve funds under the Capital Fund.
- Any change with regard to demolition or disposition, designation, homeownership programs or conversion activities.

(c) Memorandum of Agreement

YCH is no longer operating under a Memorandum of Agreement with HUD.

(d) Resident Advisory Board Comments and Public Comments

A Resident Advisory Board (RAB) meeting was held on 2/16/2012. Listed below is a summary of the YCH staff presentations and the RAB comments.

YCH staff presentations:

Janis Holt (Resource Administrator) explained the Welcome Home initiative. Janis discussed the plan and mentioned that the first pilot for this initiative is planned to be implemented at the Yolano-Donnelly site in Woodland. Part of the Welcome Home initiative includes training a group of residents who may be interested in participating in “CAST” Community Awareness and Support Team.

Training may include CPR and First Aid, Emergency Preparedness, Neighborhood watch activities etc.

Albert Castillo (I.T.) informed the Committee about the conversion to Cloud Computing. Albert stated that YCH is at 90% completion in conversion to the Cloud Computing. There will be wireless antennae access for residents to use their own computer at each of the computer learning center sites. Riverbend Senior Manor in West Sacramento has a new Computer Learning Center and Coordinator who will start work on 2/21/2012. All of the Computer Learning Center Sites have new computers installed with the exception of Winters. Computers for Winters have been purchased and will be installed soon. YCH has a Facebook page and a new Web page in the planning states which is www.ych.ca.gov. Mr. Castillo also informed the RAB Committee that YCH plans to install cameras at its site to increase security and hopefully reduce vandalism.

Mark Stern (Finance Director) discussed the current status of our Capital Funds. In that discussion, it was relayed that the Woodland AMP did well financially this year. The West Sacramento and Winters AMPs did not do as well financially. Additionally, Mark mentioned that in 2012, YCH will receive approximately 10% less money due to the decrease in Capital Funds HUD awarded this year.

RAB Committee member comments:

Woodland

Veronica Cesena embraced the idea of the Welcome Home Initiative which is to offer residents the opportunity to learn CPR and First aid, emergency preparedness, neighborhood watch activities to ensure safety. She feels this will help residents become aware of who comes into the complex. Veronica also liked the idea of installing cameras.

West Sacramento

Joe Walters would like to have security cameras installed at the Riverbend Manor I building facing Cummins way. Also, maybe look at changing the time the gate closes. Currently the gates close at 6:00 p.m. Monday to Friday and 4:00 p.m. on weekends. Would like to propose a change to 6:00 p.m. seven days a week. Joe will ask his neighbors about the time proposal.

Joe Pinola asked if residents from Las Casitas were able to use the pool tables at Riverbend Senior Manor. Janis responded to the request and said that rules need to be developed before any decision is made because there is a concern about having children over using the pool tables. For now only residents from

Riverbend Senior Manor are allowed to use the items in the Riverbend Senior Manor community room.

Regina Vega recommended having something similar to CAST in the mean time at the West Sacramento site. She indicated she felt residents are willing to help patrol now to prevent criminal activity in the Complex.

Yolano-Donnelly

Veronica Cesena mentioned it is believed that individuals who are not residents at the complex come and vandalize the property.

Public Comments

Other than general support, there were no specific public comments regarding the FY2012 Annual Update.

(e) Challenged Elements

No element of the FY2012 Annual Update to the FY2010-FY2014 Five-Year Agency Plan has been challenged.

(f) Off-Line Units

Currently, Yolo County Housing is not using any public housing units for non-housing purposes.

Part I: Summary					
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450112 Replacement Housing Factor Grant No: Date of CFFP: _____:			FFY of Grant: 2012 FFY of Grant Approval: 2012
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³	\$147,914.00			
3	1408 Management Improvements	\$110,936.00			
4	1410 Administration (may not exceed 10% of line 21)	\$73,957.00			
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$30,000.00			
8	1440 Site Acquisition				
9	1450 Site Improvement	\$92,000.00			
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment - Nonexpendable	\$43,100.00			
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment	\$23,245.00			
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA	\$218,420.00			
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of line 2- 19)	\$739,572.00			
21	Amount of Line 20 Related to LBP Activities				
22	Amount of Line 20 Related to Section 504 Activities				
23	Amount of Line 20 Related to Security - Soft Costs				
24	Amount of Line 20 Related to Security - Hard Costs				

Part I: Summary					
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450112 Replacement Housing Factor Grant No: Date of CFFP: _____:			FFY of Grant: 2012 FFY of Grant Approval: 2012
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
25	Amount of Line 20 Related to Energy Conservation Measures				
Signature of Executive Director		Date		Signature of Public Housing Director	
				Date	

¹ To be completed for the Performance and Evaluation Report

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Yolo County Housing			Grant Type and Number Capital Fund Program Grant No: CA30P04450112 CFFP (Yes/No): Replacement Housing Factor Grant No:			Federal FY of Grant: 2012		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	Operations							
PHA-Wide	Operations	1406	LS	\$147,914.00				
	Subtotal 1406			\$147,914.00				
	Management Improvements							
PHA-Wide	Resident Services Coordinator	1408	1	\$37,772.00				
PHA-Wide	Resident Services Coordinator Assistants	1408	1	\$45,164.00				
PHA-Wide	PHA Staff/Commissioner Training	1408	LS	\$7,500.00				
PHA-Wide	Resident Training	1408	LS	\$500.00				
PHA-Wide	Develop 5-Year Agency Plan/Update Policies	1408	LS	\$5,000.00				
PHA-Wide	Update Utility Allowances	1408	LS	\$0.00				
PHA-Wide	Update Computer software and training(which includes PHAS, staff training, and tendoc files)	1408	LS	\$15,000.00				
	Subtotal 1408			\$110,936.00				

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450112 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2012		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	<u>Administration</u>							
PHA-Wide	Administrative costs related to the CFP	1410	LS	\$73,957.00				
	Subtotal 1410			\$73,957.00				
	<u>Fees and Costs</u>							
PHA-Wide	A&E Design Fee	1430	LS	\$25,000.00				
PHA-Wide	Capital Fund Program Update Fee	1430	LS	\$5,000.00				
	Subtotal 1430			\$30,000.00				
	<u>Site Improvements</u>							
AMP 2	Site improvements related to ADA Compliance at CA044-04	1450	LS	\$0.00				
AMP 2	Site improvements related to ADA Compliance at CA044-02,08,18, and 25 (Phase 2)	1450	LS	\$92,000.00				
AMP 3	Site improvements related to ADA Compliance at CA044-28	1450	LS	\$0.00				
	Subtotal 1430			\$92,000.00				

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450112 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2012		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	<u>Dwelling Equipment</u>							
PHA-Wide	Install carbon monoxide/smoke detectors	1465.1	431	\$43,100.00				
	Subtotal 1465.1			\$43,100.00				
	<u>Non-Dwelling Equipment</u>							
PHA-Wide	Computer and equipment upgrades	1475	LS	\$15,000.00				
PHA-Wide	Purchase maintenance tools	1475	1	\$8,245.00				
	Subtotal 1475			\$23,245.00				
	<u>Collateralization or Debt Service</u>							
PHA-Wide	Debt Service for CFFP	1501	LS	\$218,420.00				
	Subtotal 1501			\$218,420.00				
	Total CFP			\$739,572.00				

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part III: Implementation Schedule for Capital Fund Financing Program					
PHA Name: Yolo County Housing					Federal FFY of Grant: 2012
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates ¹
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary						
PHA Name/Number: Yolo County Housing/CA044		Locality (Woodland/Yolo Co., California)			<input checked="" type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:	
A.	Development Number and Name	Work Statement for Year 1 FFY 2012	Work Statement for Year 2 FFY 2013	Work Statement for Year 3 FFY 2014	Work Statement for Year 4 FFY 2015	Work Statement for Year 5 FFY 2016
B.	Physical Improvements Subtotal	Annual Statement	\$173,835.00	\$208,867.00	\$147,765.00	\$139,065.00
C.	Management Improvements		\$110,936.00	\$110,936.00	\$110,936.00	\$110,936.00
D.	PHA-Wide Non-dwelling Structures and Equipment		\$0.00	\$0.00	\$61,300.00	\$70,000.00
E.	Administration		\$73,957.00	\$73,957.00	\$73,957.00	\$73,957.00
F.	Other		\$55,000.00	\$30,000.00	\$30,000.00	\$30,000.00
G.	Operations		\$147,914.00	\$147,914.00	\$147,914.00	\$147,914.00
H.	Demolition		\$0.00	\$0.00	\$0.00	\$0.00
I.	Development		\$0.00	\$0.00	\$0.00	\$0.00
J.	Capital Fund Financing – Debt Service		\$177,930.00	\$167,898.00	\$167,700.00	\$167,700.00
K.	Total CFP Funds		\$739,572.00	\$739,572.00	\$739,572.00	\$739,572.00
L.	Total Non-CFP Funds		\$0.00	\$0.00	\$0.00	\$0.00
M.	Grand Total		\$739,572.00	\$739,572.00	\$739,572.00	\$739,572.00

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 Expires 4/30/2011

Part I: Summary (Continuation)						
PHA Name/Number: Yolo County Housing/CA044		Locality (Woodland/Yolo Co., California)			<input checked="" type="checkbox"/> Original 5-Year Plan	<input type="checkbox"/> Revision No:
A.	Development Number and Name	Work Statement for Year 1 FFY 2012	Work Statement for Year 2 FFY 2013	Work Statement for Year 3 FFY 2014	Work Statement for Year 4 FFY 2015	Work Statement for Year 5 FFY 2016
	PHA-Wide	Annual Statement	\$575,737.00	\$663,072.00	\$585,632.00	\$600,507.00
	CA044001 Yolano Homes		\$0.00	\$0.00	\$8,100.00	\$0.00
	CA044002 El Rio Villa I		\$0.00	\$52,500.00	\$16,885.00	\$8,315.00
	CA044004 Vista Montecito		\$0.00	\$24,000.00	\$0.00	\$8,300.00
	CA044005 Ridge Cut Homes		\$0.00	\$0.00	\$2,900.00	\$0.00
	CA044006 Yolito		\$45,000.00	\$0.00	\$3,700.00	\$9,700.00
	CA044007 Donnelly Circle		\$0.00	\$0.00	\$14,200.00	\$0.00
	CA044008 El Rio Villa II		\$0.00	\$0.00	\$16,885.00	\$8,315.00
	CA044015 Riverbend Sr. Manor I		\$15,500.00	\$0.00	\$0.00	\$32,002.00
	CA044017 Riverbend Sr. Manor II		\$24,500.00	\$0.00	\$15,000.00	\$32,003.00
	CA044018 El Rio Villa III		\$0.00	\$0.00	\$59,385.00	\$8,315.00
	CA044025 El Rio Villa IV		\$0.00	\$0.00	\$16,885.00	\$8,315.00
	CA044028 Las Casitas		\$78,835.00	\$0.00	\$0.00	\$23,800.00

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2012	Work Statement for Year 2 FFY 2013			Work Statement for Year 3 FFY 2014		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
	<u>Operations/PHA-Wide</u>			<u>Operations/PHA-Wide</u>		
	Operations	LS	\$147,914.00	Operations	LS	\$147,914.00
	Subtotal 1406		\$147,914.00	Subtotal 1406		\$147,914.00
See						
Annual Statement	<u>Management Improvements/PHA-Wide</u>			<u>Management Improvements/PHA-Wide</u>		
	Resident Services Coordinator	1	\$37,772.00	Resident Services Coordinator	1	\$37,772.00
	Resident Services Assistants	1	\$45,164.00	Resident Services Assistants	1	\$45,164.00
	PHA Staff/Commissioner Training	LS	\$7,500.00	PHA Staff/Commissioner Training	LS	\$7,500.00
	Resident Training	LS	\$500.00	Resident Training	LS	\$500.00
	Five Year Agency Plan Development	LS	\$5,000.00	Five Year Agency Plan Development	LS	\$5,000.00
	Update Utility Allowances	LS	\$0.00	Update Utility Allowances	LS	\$0.00
	Update Computer Software and Training	LS	\$15,000.00	Update Computer Software and Training	LS	\$15,000.00
	Subtotal 1408		\$110,936.00	Subtotal 1408		\$110,936.00
	<u>Administration/PHA-Wide</u>			<u>Administration/PHA-Wide</u>		
	Administrative costs related to the CFP	LS	\$73,957.00	Administrative costs related to the CFP	LS	\$73,957.00
	Subtotal 1410		\$73,957.00	Subtotal 1410		\$73,957.00
	<u>Fees and Costs/PHA-Wide</u>			<u>Fees and Costs/PHA-Wide</u>		
	A and E Fees	LS	\$25,000.00	A and E Fees	LS	\$25,000.00
	Capital Fund Program Update Fee	LS	\$5,000.00	Capital Fund Program Update Fee	LS	\$5,000.00
	Physical Needs Assessment	LS	\$15,000.00	Subtotal 1430		\$30,000.00
	Energy Audit	LS	\$10,000.00			
	Subtotal 1430		\$55,000.00			
	Subtotal of Estimated Cost		See Next Page	Subtotal of Estimated Cost		See Next Page

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2012	Work Statement for Year 2 FFY 2013			Work Statement for Year 3 FFY 2014		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See						
Annual Statement	<u>Site Improvements</u>			<u>Site Improvements</u>		
	Upgrade septic lift system at CA044-06 (AMP 1)	LS	\$45,000.00	Upgrade development signage (PHA-Wide)	LS	\$75,000.00
	Install new entry gate to property at CA044-15 (AMP 3)	LS	\$12,500.00	Construct patios for dwelling units (PHA-Wide) Phase 1	LS	\$22,367.00
	Install new entry gate to property at CA044-17 (AMP 3)	LS	\$12,500.00	Install bike racks at each development (PHA-Wide)	LS	\$10,000.00
	Playground improvements at CA044-28 (AMP 3)	LS	\$3,835.00	Install traffic bollards at each site (PHA-Wide) Phase 1	LS	\$15,000.00
	Subtotal 1450		\$73,835.00	Paint building exteriors at CA044-02 (AMP 2)	5 bldgs.	\$52,500.00
				Paint building exteriors at CA044-04 (AMP 2)	8 bldgs.	\$24,000.00
				Subtotal 1450		\$198,867.00
	<u>Dwelling Structures</u>					
	Install screen doors at CA044-15 (AMP 3)	6	\$3,000.00			
	Install screen doors at CA044-17 (AMP 3)	24	\$12,000.00	<u>Dwelling Equipment (PHA-Wide)</u>		
	Exterior painting at CA044-28 (AMP 3)	19 bldgs.	\$75,000.00	Replace ranges	50	\$10,000.00
	Subtotal 1460		\$90,000.00	Subtotal 1465.1		\$10,000.00
	<u>Dwelling Equipment (PHA-Wide)</u>			<u>Collateralization of Debt Service/PHA-Wide</u>	LS	
	Replace ranges	30	\$10,000.00	Repayment of CFFP		\$167,898.00
	Subtotal 1465.1		\$10,000.00	Subtotal 1501		\$167,898.00
	<u>Collateralization of Debt Service/PHA-Wide</u>					
	Repayment of CFFP	LS	\$177,930.00			
	Subtotal 1501		\$177,930.00			
	Subtotal of Estimated Cost		\$739,572.00	Subtotal of Estimated Cost		\$739,572.00

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2012	Work Statement for Year 4 FFY 2015			Work Statement for Year 5 FFY 2016		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
	<u>Operations/PHA-Wide</u>			<u>Operations/PHA-Wide</u>		
	Operations	LS	\$147,914.00	Operations	LS	\$147,914.00
	Subtotal 1406		\$147,914.00	Subtotal 1406		\$147,914.00
See						
Annual Statement	<u>Management Improvements/PHA-Wide</u>			<u>Management Improvements/PHA-Wide</u>		
	Resident Services Coordinator	1	\$37,772.00	Resident Services Coordinator	1	\$37,772.00
	Resident Services Assistants	1	\$45,164.00	Resident Services Assistants	1	\$45,164.00
	PHA Staff/Commissioner Training	LS	\$7,500.00	PHA Staff/Commissioner Training	LS	\$7,500.00
	Resident Training	LS	\$500.00	Resident Training	LS	\$500.00
	Five Year Agency Plan Development	LS	\$5,000.00	Five Year Agency Plan Development	LS	\$5,000.00
	Update Utility Allowances	LS	\$0.00	Update Utility Allowances	LS	\$0.00
	Update Computer Software and Training	LS	\$15,000.00	Update Computer Software and Training	LS	\$15,000.00
	Subtotal 1408		\$110,936.00	Subtotal 1408		\$110,936.00
	<u>Administration/PHA-Wide</u>			<u>Administration/PHA-Wide</u>		
	Administrative costs related to the CFP	LS	\$73,957.00	Administrative costs related to the CFP	LS	\$73,957.00
	Subtotal 1410		\$73,957.00	Subtotal 1410		\$73,957.00
	<u>Fees and Costs/PHA-Wide</u>			<u>Fees and Costs/PHA-Wide</u>		
	A and E Fees	LS	\$25,000.00	A and E Fees	LS	\$25,000.00
	Capital Fund Program Update Fee	LS	\$5,000.00	Capital Fund Program Update Fee	LS	\$5,000.00
	Subtotal 1430		\$30,000.00	Subtotal 1430		\$30,000.00
	Subtotal of Estimated Cost		See Next Page	Subtotal of Estimated Cost		See Next Page

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2012	Work Statement for Year 4 FFY 2015			Work Statement for Year 5 FFY 2016		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See						
Annual Statement	<u>Dwelling Structures</u>			<u>Site Improvements</u>		
	Construct patios for dwelling units (PHA-Wide)	LS	\$55,125.00	Site improvements related to ADA Compliance at CA044-06	LS	\$9,700.00
	Unit improvements related to ADA Compliance at CA044-01	LS	\$8,100.00	Site improvements related to ADA Compliance at CA044-04	LS	\$4,700.00
	Unit improvements related to ADA Compliance at CA044-05	LS	\$2,900.00	Site improvements related to ADA Compliance at CA044-15 and 17	LS	\$54,905.00
	Unit improvements related to ADA Compliance at CA044-06	LS	\$3,700.00	Site improvements related to ADA Compliance at CA044-28	LS	\$22,600.00
	Unit improvements related to ADA Compliance at CA044-07	LS	\$10,400.00	Subtotal 1450		\$91,905.00
	Unit improvements related to ADA Compliance at CA044-02,08,18, and 25 (Phase 1)	LS	\$67,540.00			
	Subtotal 1460		\$147,765.00	<u>Dwelling Structures</u>		
				Unit improvements related to ADA Compliance at CA044-02,08,18, and 25 (Phase 2)	LS	\$33,260.00
	<u>Non- Dwelling Structures</u>			Unit improvements related to ADA Compliance at CA044-04	LS	\$3,600.00
	Replace windows at office and community ctr. at CA044-17 (AMP 3)	LS	\$15,000.00	Unit improvements related to ADA Compliance at CA044-15 and 17	LS	\$9,100.00
	Replace windows at office and community ctr. at CA044-18 (AMP 2)	LS	\$7,500.00	Unit improvements related to ADA Compliance at CA044-28	LS	\$1,200.00
	Interior remodel of office at CA044-18 (AMP 2)	LS	\$35,000.00	Subtotal 1460		\$47,160.00
	Improvements to learning center related to ADA Compliance at CA044-07	LS	\$3,800.00			
	Subtotal 1470		\$61,300.00			
	Subtotal of Estimated Cost		See Next Page	Subtotal of Estimated Cost		See Next Page

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2012	Work Statement for Year 4 FFY 2015			Work Statement for Year 5 FFY 2016		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See						
Annual Statement	<u>Collateralization of Debt Service/PHA-Wide</u>			<u>Non-Dwelling Equipment/PHA-Wide</u>		
	Repayment of CFFP	LS	\$167,700.00	Computer equipment upgrades	LS	\$15,000.00
	Subtotal 1501		\$167,700.00	Purchase maintenance tools	LS	\$10,000.00
				Purchase ¾ ton maint. truck with tool box	1 each	\$30,000.00
				Purchase dump trailer for maintenance	1 each	\$15,000.00
				Subtotal 1475		\$70,000.00
				<u>Collateralization of Debt Service/PHA-Wide</u>		
				Repayment of CFFP	LS	\$167,700.00
				Subtotal 1501		\$167,700.00
	Subtotal of Estimated Cost		\$739,572.00	Subtotal of Estimated Cost		\$739,572.00

Part I: Summary						
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450111 Replacement Housing Factor Grant No: Date of CFFP: _____:			FFY of Grant: 2011 FFY of Grant Approval: 2011	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: 1) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2011 <input type="checkbox"/> Final Performance and Evaluation Report						
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
1	Total non-CFP Funds					
2	1406 Operations (may not exceed 20% of line 21) ³	\$163,870.00	\$163,870.00	\$0.00	\$0.00	
3	1408 Management Improvements	\$119,588.00	\$119,588.00	\$0.00	\$0.00	
4	1410 Administration (may not exceed 10% of line 21)	\$81,935.00	\$81,935.00	\$0.00	\$0.00	
5	1411 Audit					
6	1415 Liquidated Damages					
7	1430 Fees and Costs	\$45,000.00	\$45,000.00	\$0.00	\$0.00	
8	1440 Site Acquisition					
9	1450 Site Improvement	\$12,861.00	\$112,861.00	\$0.00	\$0.00	
10	1460 Dwelling Structures	\$100,000.00	\$0.00	\$0.00	\$0.00	
11	1465.1 Dwelling Equipment - Nonexpendable	\$5,000.00	\$5,000.00	\$0.00	\$0.00	
12	1470 Nondwelling Structures	\$8,300.00	\$8,300.00	\$0.00	\$0.00	
13	1475 Nondwelling Equipment	\$7,500.00	\$7,500.00	\$0.00	\$0.00	
14	1485 Demolition					
15	1492 Moving to Work Demonstration					
16	1495.1 Relocation Costs					
17	1499 Development Activities ⁴					
18a	1501 Collateralization or Debt Service paid by the PHA	\$275,295.00	\$275,295.00	\$0.00	\$0.00	
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment					
19	1502 Contingency (may not exceed 8% of line 20)					
20	Amount of Annual Grant: (sum of line 2- 19)	\$819,349.00	\$819,349.00	\$0.00	\$0.00	
21	Amount of Line 20 Related to LBP Activities					
22	Amount of Line 20 Related to Section 504 Activities					
23	Amount of Line 20 Related to Security - Soft Costs					
24	Amount of Line 20 Related to Security - Hard Costs					

Part I: Summary					
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450111 Replacement Housing Factor Grant No: Date of CFFP: _____:			FFY of Grant: 2011 FFY of Grant Approval: 2011
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: 1) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
25	Amount of Line 20 Related to Energy Conservation Measures				
	Signature of Executive Director	Date		Signature of Public Housing Director	Date

¹ To be completed for the Performance and Evaluation Report

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450111 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2011		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	Operations							
PHA-Wide	Operations	1406	LS	\$163,870.00	\$163,870.00	\$0.00	\$0.00	
	Subtotal 1406			\$163,870.00	\$163,870.00	\$0.00	\$0.00	
	Management Improvements							
PHA-Wide	Resident Services Coordinator	1408	1	\$32,205.00	\$32,205.00	\$0.00	\$0.00	
PHA-Wide	Resident Services Coordinator Assistants	1408	1	\$37,386.00	\$37,386.00	\$0.00	\$0.00	
PHA-Wide	PHA Staff/Commissioner Training	1408	LS	\$10,000.00	\$10,000.00	\$0.00	\$0.00	
PHA-Wide	Resident Training	1408	LS	\$2,500.00	\$2,500.00	\$0.00	\$0.00	
PHA-Wide	Develop 5-Year Agency Plan/Update Policies	1408	LS	\$5,000.00	\$5,000.00	\$0.00	\$0.00	
PHA-Wide	Update Utility Allowances	1408	LS	\$3,500.00	\$3,500.00	\$0.00	\$0.00	
PHA-Wide	Update Computer software and training(which includes PHAS, staff training, and tendoc files)	1408	LS	\$28,997.00	\$28,997.00	\$0.00	\$0.00	
	Subtotal 1408			\$119,588.00	\$119,588.00	\$0.00	\$0.00	

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450111 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2011		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	<u>Administration</u>							
PHA-Wide	Administrative costs related to the CFP	1410	LS	\$81,935.00	\$81,935.00	\$0.00	\$0.00	
	Subtotal 1410			\$81,935.00	\$81,935.00	\$0.00	\$0.00	
	<u>Fees and Costs</u>							
PHA-Wide	A&E Design Fee	1430	LS	\$25,000.00	\$25,000.00	\$0.00	\$0.00	
PHA-Wide	Capital Fund Program Update Fee	1430	LS	\$5,000.00	\$5,000.00	\$0.00	\$0.00	
PHA-Wide	Environmental Review	1430	LS	\$10,000.00	\$10,000.00	\$0.00	\$0.00	
PHA-Wide	Asbestos Survey and Report	1430	LS	\$5,000.00	\$5,000.00	\$0.00	\$0.00	
	Subtotal 1430			\$45,000.00	\$45,000.00	\$0.00	\$0.00	

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450111 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2011		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	<u>Site Improvements</u>							
AMP 2	Site improvements related to ADA Compliance at CA044-04	1450	LS	\$0.00	\$4,000.00	\$0.00	\$0.00	
AMP 2	Site improvements related to ADA Compliance at CA044-02,08,18, and 25 (Phase 1)	1450	LS	\$12,861.00	\$8,861.00	\$0.00	\$0.00	
AMP 2	Resurface roads at CA044-02 (Phase 2)	1450	LS	\$0.00	\$50,000.00	\$0.00	\$0.00	
AMP 2	Resurface roads at CA044-08 (Phase 2)	1450	LS	\$0.00	\$50,000.00	\$0.00	\$0.00	
AMP 3	Site improvements related to ADA Compliance at CA044-28	1450	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
	Subtotal 1430			\$12,861.00	\$112,861.00	\$0.00	\$0.00	
	<u>Dwelling Structures</u>							
AMP 2	Unit improvements related to ADA Compliance at CA044-04	1460	25 bldgs.	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 2	Unit improvements related to ADA Compliance at CA044-02,08,18, and 25	1460	6	\$100,000.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 3	Unit improvements related to ADA Compliance at CA044-15 and 17	1460	24	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 3	Unit improvements related to ADA Compliance at CA044-28	1460	24	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
	Subtotal 1460			\$100,000.00	\$0.00	\$0.00	\$0.00	

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: Yolo County Housing			Grant Type and Number Capital Fund Program Grant No: CA30P04450111 CFFP (Yes/No): Replacement Housing Factor Grant No:			Federal FY of Grant: 2011		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	<u>Dwelling Equipment</u>							
PHA-Wide	Replace stoves	1465.1	50	\$5,000.00	\$5,000.00	\$0.00	\$0.00	
	Subtotal 1465.1			\$5,000.00	\$5,000.00	\$0.00	\$0.00	
	<u>Non-Dwelling Structures</u>							
AMP 2	Improvements related to ADA Compliance at El Rio Villa office	1470	LS	\$6,000.00	\$6,000.00	\$0.00	\$0.00	
AMP 3	Improvements related to ADA Compliance at Riverbend Manor office	1470	LS	\$2,300.00	\$2,300.00	\$0.00	\$0.00	
	Subtotal 1470			\$8,300.00	\$8,300.00	\$0.00	\$0.00	
	<u>Non-Dwelling Equipment</u>							
PHA-Wide	Computer and equipment upgrades	1475	LS	\$5,000.00	\$5,000.00	\$0.00	\$0.00	
PHA-Wide	Purchase maintenance tools	1475	1	\$2,500.00	\$2,500.00	\$0.00	\$0.00	
PHA-Wide	Vehicle replacement	1475	1	\$0.00	\$0.00	\$0.00	\$0.00	
	Subtotal 1475			\$7,500.00	\$7,500.00	\$0.00	\$0.00	
	<u>Collateralization or Debt Service</u>							
PHA-Wide	Debt Service for CFFP	1501	LS	\$275,295.00	\$275,295.00	\$0.00	\$0.00	
	Subtotal 1501			\$275,295.00	\$275,295.00	\$0.00	\$0.00	
	Total CFP			\$819,349.00	\$819,349.00	\$0.00	\$0.00	

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part III: Implementation Schedule for Capital Fund Financing Program					
PHA Name: Yolo County Housing					Federal FFY of Grant: 2011
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates ¹
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Part I: Summary						
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450110 Replacement Housing Factor Grant No: Date of CFFP: _____:			FFY of Grant: 2010 FFY of Grant Approval: 2010	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: 1) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2011 <input type="checkbox"/> Final Performance and Evaluation Report						
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
1	Total non-CFP Funds					
2	1406 Operations (may not exceed 20% of line 21) ³	\$198,477.00	\$198,477.00	\$198,477.00	\$198,477.00	
3	1408 Management Improvements	\$109,978.00	\$91,904.36	\$34,130.00	\$1,130.00	
4	1410 Administration (may not exceed 10% of line 21)	\$99,238.00	\$99,238.00	\$99,238.00	\$0.00	
5	1411 Audit					
6	1415 Liquidated Damages					
7	1430 Fees and Costs	\$30,000.00	\$26,500.00	\$20,705.00	\$20,705.00	
8	1440 Site Acquisition					
9	1450 Site Improvement	\$140,000.00	\$326,968.16	\$125,139.04	\$0.00	
10	1460 Dwelling Structures	\$184,087.00	\$0.00	\$0.00	\$0.00	
11	1465.1 Dwelling Equipment - Nonexpendable	\$17,709.12	\$10,000.00	\$0.00	\$0.00	
12	1470 Nondwelling Structures	\$5,000.00	\$0.00	\$0.00	\$0.00	
13	1475 Nondwelling Equipment	\$40,000.00	\$71,401.60	\$68,259.13	\$1,857.53	
14	1485 Demolition					
15	1492 Moving to Work Demonstration					
16	1495.1 Relocation Costs					
17	1499 Development Activities ⁴					
18a	1501 Collateralization or Debt Service paid by the PHA	\$167,897.88	\$167,897.88	\$167,897.88	\$167,897.88	
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment					
19	1502 Contingency (may not exceed 8% of line 20)					
20	Amount of Annual Grant: (sum of line 2- 19)	\$992,387.00	\$992,387.00	\$713,846.05	\$390,067.41	
21	Amount of Line 20 Related to LBP Activities					
22	Amount of Line 20 Related to Section 504 Activities					
23	Amount of Line 20 Related to Security - Soft Costs					
24	Amount of Line 20 Related to Security - Hard Costs					

Part I: Summary					
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450110 Replacement Housing Factor Grant No: Date of CFFP: _____:			FFY of Grant: 2010 FFY of Grant Approval: 2010
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: 1) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
25	Amount of Line 20 Related to Energy Conservation Measures				
Signature of Executive Director		Date		Signature of Public Housing Director	
				Date	

¹ To be completed for the Performance and Evaluation Report

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450110 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2010		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	Operations							
PHA-Wide	Operations	1406	LS	\$198,477.00	\$198,477.00	\$198,477.00	\$198,477.00	
	Subtotal 1406			\$198,477.00	\$198,477.00	\$198,477.00	\$198,477.00	
	Management Improvements							
PHA-Wide	Resident Services Coordinator	1408	1	\$67,570.00	\$30,000.00	\$15,000.00	\$0.00	
PHA-Wide	Resident Services Coordinator Assistant	1408	1	\$22,544.00	\$35,000.00	\$18,000.00	\$0.00	
PHA-Wide	PHA Staff/Commissioner Training	1408	LS	\$10,000.00	\$10,000.00	\$1,130.00	\$1,130.00	
PHA-Wide	Resident Training	1408	LS	\$10,000.00	\$5,000.00	\$0.00	\$0.00	
PHA-Wide	Develop 5-Year Agency Plan/Update Policies	1408	LS	\$5,000.00	\$1,904.36	\$0.00	\$0.00	
PHA-Wide	Update Utility Allowances	1408	LS	\$3,500.00	\$0.00	\$0.00	\$0.00	
PHA-Wide	Update Computer software and training(which includes PHAS, staff training, and microfiche files)	1408	LS	\$10,000.00	\$10,000.00	\$0.00	\$0.00	
	Subtotal 1408			\$109,978.00	\$91,904.36	\$34,130.00	\$1,130.00	

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² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450110 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2010		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	<u>Administration</u>							
PHA-Wide	Administrative costs related to CFP	1410	LS	\$99,238.00	\$99,238.00	\$99,238.00	\$0.00	
	Subtotal 1410			\$99,238.00	\$99,238.00	\$99,238.00	\$0.00	
	<u>Fees and Costs</u>							
PHA-Wide	A&E Design Fee	1430	LS	\$25,000.00	\$23,980.00	\$18,125.00	\$18,125.00	
PHA-Wide	Capital Fund Program Update Fee	1430	LS	\$5,000.00	\$2,520.00	\$2,520.00	\$2,520.00	
	Subtotal 1430			\$30,000.00	\$26,500.00	\$20,705.00	\$20,705.00	

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² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450110 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2010		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	Site Improvements							
PHA-Wide	Site improvements to meet ADA compliance	1450	LS	\$40,000.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 1	Site improvements to meet ADA compliance at CA044-01	1450	LS	\$0.00	\$12,500.00	\$0.00	\$0.00	
AMP 1	Site improvements to meet ADA compliance at CA044-05	1450	LS	\$0.00	\$1,100.00	\$0.00	\$0.00	Deferred
AMP 1	Site improvements to meet ADA compliance at CA044-06	1450	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 1	Site improvements to meet ADA compliance at CA044-07	1450	LS	\$0.00	\$29,400.00	\$0.00	\$0.00	
AMP 1	Install playground at CA044-01 (Yolano)	1450	LS	\$0.00	\$125,139.04	\$125,139.04	\$0.00	Brought forward from 2011 5-Yr Plan
AMP 2	Resurface roads at CA044-02	1450	LS	\$50,000.00	\$79,414.56	\$0.00	\$0.00	
AMP 2	Resurface roads at CA044-08	1450	LS	\$50,000.00	\$79,414.56	\$0.00	\$0.00	
AMP 3	Site improvements to meet ADA compliance at CA044-15 and 17	1450	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
	Subtotal 1450			\$140,000.00	\$326,968.16	\$125,139.04	\$0.00	

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Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450110 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2010		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	<u>Dwelling Structures</u>							
PHA-Wide	Replace water heaters	1460	30	\$10,000.00	\$0.00	\$0.00	\$0.00	ARRA Funds
PHA-Wide	Unit improvements to meet ADA compliance	1460	LS	\$54,087.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 1	Unit improvements related to ADA Compliance at CA044-01	1460	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 1	Unit improvements related to ADA Compliance at CA044-05	1460	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 1	Unit improvements related to ADA Compliance at CA044-06	1460	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 1	Unit improvements related to ADA Compliance at CA044-07	1460	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 3	Paint building exteriors at CA044-17	1460	6 bldgs.	\$30,000.00	\$0.00	\$0.00	\$0.00	2008 CFP
AMP 3	Install new HVAC systems at CA044-17	1460	24 units	\$120,000.00	\$0.00	\$0.00	\$0.00	Will be incl. in EPC
	Subtotal 1460			\$184,087.00	\$0.00	\$0.00	\$0.00	

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Part II: Supporting Pages								
PHA Name: Yolo County Housing			Grant Type and Number Capital Fund Program Grant No: CA30P04450110 CFFP (Yes/No): Replacement Housing Factor Grant No:			Federal FY of Grant: 2010		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	<u>Dwelling Equipment</u>							
PHA-Wide	Replace stoves	1465.1	50	\$17,709.12	\$10,000.00	\$0.00	\$0.00	
PHA-Wide	Replace refrigerators	1465.1	50	\$0.00	\$0.00	\$0.00	\$0.00	ARRA
	Subtotal 1465.1			\$17,709.12	\$10,000.00	\$0.00	\$0.00	
	<u>Non-Dwelling Structures</u>							
PHA-Wide	Improvements related to ADA compliance	1470	LS	\$5,000.00	\$0.00	\$0.00	\$0.00	
AMP 1	Improvements to learning center related to ADA Compliance at CA044-07	1470	LS	\$0.00	\$0.00	\$0.00	\$0.00	
	Subtotal 1470			\$5,000.00	\$3,800.00	\$0.00	\$0.00	
	<u>Non-Dwelling Equipment</u>							
PHA-Wide	Computer and equipment upgrades	1475	LS	\$5,000.00	\$31,401.60	\$31,401.60	\$0.00	
PHA-Wide	Purchase maintenance tools	1475	1	\$5,000.00	\$5,000.00	\$1,857.53	\$1,857.53	
PHA-Wide	Purchase maintenance truck w/ tool box	1475	1	\$30,000.00	\$35,000.00	\$35,000.00	\$0.00	
	Subtotal 1475			\$40,000.00	\$71,401.60	\$68,259.13	\$1,857.53	
	<u>Collateralization or Debt Service</u>							
PHA-Wide	Debt Service for CFFP	1501	LS	\$167,897.88	\$167,897.88	\$167,897.88	\$167,897.88	
	Subtotal 1501			\$167,897.88	\$167,897.88	\$167,897.88	\$167,897.88	
	Total CFP			\$992,387.00	\$992,387.00	\$713,846.05	\$390,067.41	

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² To be completed for the Performance and Evaluation Report

Part III: Implementation Schedule for Capital Fund Financing Program					
PHA Name: Yolo County Housing					Federal FFY of Grant: 2010
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates ¹
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Part I: Summary						
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450109 Replacement Housing Factor Grant No: Date of CFFP: _____:			FFY of Grant: 2009 FFY of Grant Approval: 2009	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no: 2) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2010 <input type="checkbox"/> Final Performance and Evaluation Report						
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹		
		Original	Revised ²	Obligated	Expended	
1	Total non-CFP Funds					
2	1406 Operations (may not exceed 20% of line 21) ³	\$195,018.00	\$195,018.00	\$195,018.00	\$195,018.00	
3	1408 Management Improvements	\$128,614.00	\$98,330.16	\$98,330.16	\$54,186.86	
4	1410 Administration (may not exceed 10% of line 21)	\$99,573.00	\$99,573.00	\$99,573.00	\$63,467.34	
5	1411 Audit					
6	1415 Liquidated Damages					
7	1430 Fees and Costs	\$30,000.00	\$13,004.64	\$13,004.64	\$13,004.64	
8	1440 Site Acquisition					
9	1450 Site Improvement	\$0.00	\$156,258.98	\$156,258.98	\$0.00	
10	1460 Dwelling Structures	\$342,530.00	\$269,563.69	\$269,563.69	\$269,563.69	
11	1465.1 Dwelling Equipment - Nonexpendable	\$35,000.00	\$23,405.27	\$23,405.27	\$23,405.27	
12	1470 Nondwelling Structures					
13	1475 Nondwelling Equipment	\$40,000.00	\$40,581.26	\$40,581.26	\$40,581.26	
14	1485 Demolition					
15	1492 Moving to Work Demonstration					
16	1495.1 Relocation Costs					
17	1499 Development Activities ⁴					
18a	1501 Collateralization or Debt Service paid by the PHA	\$100,000.00	\$100,000.00	\$100,000.00	\$100,000.00	
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment					
19	1502 Contingency (may not exceed 8% of line 20)	\$25,000.00	\$0.00	\$0.00	\$0.00	
20	Amount of Annual Grant: (sum of line 2- 19)	\$995,735.00	\$995,735.00	\$995,735.00	\$759,227.06	
21	Amount of Line 20 Related to LBP Activities					
22	Amount of Line 20 Related to Section 504 Activities					
23	Amount of Line 20 Related to Security - Soft Costs					
24	Amount of Line 20 Related to Security - Hard Costs					

Part I: Summary					
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450109 Replacement Housing Factor Grant No: Date of CFFP: _____:			FFY of Grant: 2009 FFY of Grant Approval: 2009
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no: 2) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2010 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
25	Amount of Line 20 Related to Energy Conservation Measures				
Signature of Executive Director		Date		Signature of Public Housing Director	

¹ To be completed for the Performance and Evaluation Report

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450109 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2009		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	Operations							
PHA-Wide	Operations	1406	LS	\$195,018.00	\$195,018.00	\$195,018.00	\$195,018.00	
	Subtotal 1406			\$195,018.00	\$195,018.00	\$195,018.00	\$195,018.00	
	Management Improvements							
PHA-Wide	Resident Services Coordinator	1408	1	\$67,570.00	\$30,000.00	\$30,000.00	\$9,330.02	
PHA-Wide	Resident Services Coordinator Assistant	1408	1	\$22,544.00	\$35,000.00	\$35,000.00	\$11,526.68	
PHA-Wide	PHA Staff/Commissioner Training	1408	LS	\$10,000.00	\$11,202.94	\$11,202.94	\$11,202.94	
PHA-Wide	Resident Training	1408	LS	\$10,000.00	\$0.00	\$0.00	\$0.00	
PHA-Wide	Develop 5-Year Agency Plan/Update Policies	1408	LS	\$5,000.00	\$3,203.00	\$3,203.00	\$3,203.00	
PHA-Wide	Update Utility Allowances	1408	LS	\$3,500.00	\$0.00	\$0.00	\$0.00	
PHA-Wide	Update Computer software and training(which includes PHAS, staff training, and microfiche files)	1408	LS	\$10,000.00	\$18,924.22	\$18,924.22	\$18,294.22	
	Subtotal 1408			\$128,614.00	\$98,330.16	\$98,330.16	\$54,186.86	

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450109 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2009		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	<u>Administration</u>							
PHA-Wide	Administrative costs related to CFP	1410	LS	\$99,573.00	\$99,573.00	\$99,573.00	\$63,467.34	
	Subtotal 1410			\$99,573.00	\$99,573.00	\$99,573.00	\$63,467.34	
	<u>Fees and Costs</u>							
PHA-Wide	A&E Design Fee	1430	LS	\$25,000.00	\$13,004.64	\$13,004.64	\$13,004.64	
PHA-Wide	Capital Fund Program Update Fee	1430	LS	\$5,000.00	\$0.00	\$0.00	\$0.00	
	Subtotal 1430			\$30,000.00	\$13,004.64	\$13,004.64	\$13,004.64	

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450109 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2009		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	Site Improvements							
AMP 1 (CA044-01)	Install security lighting at rear of development	1450	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 2 (CA044-02)	Sewer lift system upgrades	1450	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 1 (CA044-07)	Install new playground at Donnelly Circle	1450	LS	\$0.00	\$156,258.98	\$156,258.98	\$0.00	Added with 2011 Agency Plan
AMP 2 (CA044-08)	Sewer lift system upgrades	1450	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 2 (CA044-18)	Sewer lift system upgrades	1450	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
AMP 2 (CA044-25)	Sewer lift system upgrades	1450	LS	\$0.00	\$0.00	\$0.00	\$0.00	Deferred
	Subtotal 1430			\$0.00	\$156,258.98	\$156,258.98	\$0.00	

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages									Expires 4/30/2011
PHA Name: Yolo County Housing			Grant Type and Number Capital Fund Program Grant No: CA30P04450109 CFFP (Yes/No): Replacement Housing Factor Grant No:			Federal FY of Grant: 2009			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work	
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²		
	<u>Dwelling Structures</u>								
PHA-Wide	Replace water heaters	1460	30	\$10,000.00	\$0.00	\$0.00	\$0.00		
AMP 3 (CA044-15)	Remove and replace roofing	1460	LS	\$182,530.00	\$0.00	\$0.00	\$0.00	Deferred	
AMP 3 (CA044-15)	Install new HVAC systems	1460	48	\$150,000.00	\$0.00	\$0.00	\$0.00	Deferred	
AMP 3 (CA044-15)	Repair Dry rot and Paint Building (Phase 2)	1460	LS	\$0.00	\$192,512.00	\$192,512.00	\$192,512.00	Fungibility 2013 Cap Fund	
AMP 3 (CA044-17)	Replace meter enclosures and Paint	1460	5 each	\$0.00	\$77,051.69	\$77,051.69	\$77,051.69	Fungibility 2013 Cap Fund	
	Subtotal 1460			\$342,530.00	\$269,563.69	\$269,563.69	\$269,563.69		
	<u>Dwelling Equipment</u>								
PHA-Wide	Replace stoves	1465.1	50	\$15,000.00	\$23,405.27	\$23,405.27	\$23,405.27		
PHA-Wide	Replace refrigerators	1465.1	50	\$20,000.00	\$0.00	\$0.00	\$0.00	ARRA	
	Subtotal 1465.1			\$35,000.00	\$23,405.27	\$23,405.27	\$23,405.27		
	<u>Non-Dwelling Equipment</u>								
PHA-Wide	Computer and equipment upgrades	1475	LS	\$5,000.00	\$0.00	\$0.00	\$0.00	Deferred	
PHA-Wide	Purchase maintenance tools	1475	1	\$5,000.00	\$3,887.98	\$3,887.98	\$3,887.98		
PHA-Wide	Purchase maintenance truck w/ tool box	1475	1	\$30,000.00	\$36,693.28	\$36,693.28	\$36,693.28		
	Subtotal 1475			\$40,000.00	\$40,581.26	\$40,581.26	\$40,581.26		

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part II: Supporting Pages								
PHA Name: Yolo County Housing		Grant Type and Number Capital Fund Program Grant No: CA30P04450109 CFFP (Yes/No): Replacement Housing Factor Grant No:				Federal FY of Grant: 2009		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
	<u>Collateralization or Debt Service</u>							
PHA-Wide	Debt Service	1501	LS	\$100,000.00	\$100,000.00	\$100,000.00	\$100,000.00	
	Subtotal 1501			\$100,000.00	\$100,000.00	\$100,000.00	\$100,000.00	
	<u>Contingency</u>							
PHA-Wide	Contingency for cost overruns	1502	LS	\$25,000.00	\$0.00	\$0.00	\$0.00	
	Subtotal 1502			\$25,000.00	\$0.00	\$0.00	\$0.00	
	Total CFP			\$995,735.00	\$995,735.00	\$995,735.00	\$759,227.06	

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement

² To be completed for the Performance and Evaluation Report

Part III: Implementation Schedule for Capital Fund Financing Program					
PHA Name: Yolo County Housing					Federal FFY of Grant: 2009
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates ¹
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

SINGLE AUDIT REPORTS
YOLO COUNTY HOUSING
JUNE 30, 2010

Yolo County Housing

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INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL
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OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS
PERFORMED IN ACCORDANCE WITH
GOVERNMENT AUDITING STANDARDS

To the Board of Commissioners
Yolo County Housing

We have audited the financial statements of Yolo County Housing formally known as the Housing Authority of the County of Yolo as of and for the year ended June 30, 2010, and have issued our report thereon dated March 31, 2011. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States.

Internal Control Over Financial Reporting

In planning and performing our audit, we considered Yolo County Housing's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the entity's internal control over financial reporting.

Our consideration of internal control over financial reporting was for the limited purpose described in the paragraph above and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies, or material weaknesses. However, as described in the accompanying schedule of findings and questioned costs we identified certain deficiencies in internal control over financial reporting that we consider to be material weaknesses and other deficiencies that we consider to be significant deficiencies.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. We consider the deficiency described as item 2010-1 in the accompanying schedule of findings and questioned costs to be a material weakness.

A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance. We consider the deficiencies described as items 2010-1 and 2010-2 in the accompany schedule of findings and questioned costs to be significant deficiencies.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether Yolo County Housing's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions and regulations was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under Government Auditing Standards.

This report is intended solely for the information and use of the Board of Commissioners, management and federal awarding agencies and pass-through entities, and is not intended to be and should not be used by anyone other than these specified parties.

Reznick Group, P.C.

Sacramento, California
March 31, 2011

INDEPENDENT AUDITORS' REPORT ON COMPLIANCE WITH REQUIREMENTS
THAT COULD HAVE A DIRECT AND MATERIAL EFFECT ON EACH MAJOR
PROGRAM AND ON INTERNAL CONTROL OVER COMPLIANCE IN
ACCORDANCE WITH OMB CIRCULAR A-133

To the Board of Commissioners
Yolo County Housing

Compliance

We have audited Yolo County Housing's compliance with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2010. Yolo County Housing's major federal programs are identified in the summary of auditors' results section of the accompanying Schedule of Findings and Questioned Costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to each of its major federal programs is the responsibility of Yolo County Housing's management. Our responsibility is to express an opinion on Yolo County Housing's compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States; and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations." Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about Yolo County Housing's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination on Yolo County Housing's compliance with those requirements.

As described in items 2010-3 through 2010-5 in the accompanying schedule of findings and questioned costs, Yolo County Housing did not comply with requirements regarding tenant file maintenance, including rent calculations, and inter-fund receivables that are applicable to its Public Housing and Housing Choice Voucher Programs. Compliance with such requirements is necessary, in our opinion, for Yolo County Housing to comply with the requirements applicable to those programs.

In our opinion, except for the instances of material noncompliance described in the preceding paragraph, Yolo County Housing complied, in all material respects, with the requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2010.

Internal Control Over Compliance

Management of Yolo County Housing is responsible for establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered Yolo County Housing's internal control over compliance with the requirements that could have a direct and material effect on a major federal program to determine the auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of Yolo County Housing's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the paragraph above and was not designed to identify all deficiencies in internal control over compliance that might be deficiencies, significant deficiencies or material weaknesses and therefore, there can be no assurance that all deficiencies, significant deficiencies, or material weaknesses have been identified. However, as described in the accompanying schedule of findings and questioned costs we identified certain deficiencies in internal control over compliance that we consider to be material weaknesses and other deficiencies that we consider to be significant deficiencies.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A material weakness in internal control over compliance is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies in internal control over compliance described in items 2010-4 and 2010-5 in the accompanying schedule of findings and questioned costs to be material weaknesses.

A significant deficiency is a deficiency in internal control over compliance, or a combination of deficiencies in internal control over compliance, with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance. We

consider the deficiencies in internal control over compliance described in items 2010-3 through 2010-5 in the accompanying schedule of findings and questioned costs to be significant deficiencies.

Management has prepared the responses to the audit findings identified in the Schedule of Findings and Questioned Costs as “YCH Response”. Management has also prepared the Corrective Action Plan as detailed on pages 22 through 24. We have not audited Management’s Responses or Management’s Corrective Action Plan and we express no opinion on them.

Schedule of Expenditures of Federal Awards

We have audited the basic financial statements of Yolo County Housing as of and for the year ended June 30, 2010, and have issued our report thereon dated March 31, 2011, which contained an unqualified opinion on those financial statements. Our audit was performed for the purpose of forming an opinion on the basic financial statements taken as a whole. The accompanying Schedule of Expenditures of Federal Awards is presented for purposes of additional analysis as required by OMB Circular A-133 and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements, and in our opinion, is fairly stated, in all material respects, in relation to the basic financial statements taken as a whole.

This report is intended solely for the information and use of the Board of Commissioners, management, others within Yolo County Housing and federal awarding agencies and pass-through entities, and is not intended to be and should not be used by anyone other than these specified parties.

Reznick Group, P.C.

Sacramento, California
March 31, 2011

Yolo County Housing

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

Year ended June 30, 2010

Federal Grantor / Passthrough Grantor Program Title:	Federal CFDA Numbe	Federal Expenditures Amount
<i>Direct Programs</i>		
U.S. Department of Housing and Urban Development		
Public and Indian Housing	14.850 ¹	\$ 873,936
Housing Choice Voucher	14.871 ¹	10,309,399
Public Housing Capital Fund	14.872 ¹	1,521,228
Public Housing Capital Fund Formula Grant (Recovery Act Funded)	¹ 14.885	<u>613,827</u>
TOTAL		<u><u>\$ 13,318,390</u></u>

1 - audited as major programs

Yolo County Housing

NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

Year ended June 30, 2010

NOTE 1 - REPORTING ENTITY

Yolo County Housing (YCH) was established pursuant to the State Health and Safety Code in 1950 by the Yolo County Board of Supervisors. YCH is a public entity organized under the laws of the State of California's Health and Safety Code to provide housing assistance to low- and moderate-income families at rents they can afford.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Accounting

The expenditures included in the Schedule of Expenditures of Federal Awards (the Schedule) were reported under the accrual basis of accounting.

Schedule of Expenditures of Federal Awards

The Schedule summarizes the expenditures of YCH under the programs of the federal government for the year ended June 30, 2010. Award amounts may represent multi-year awards while the expenditures represent current year expenditures only.

The Schedule presents only the expenditures incurred by YCH that are reimbursable under federal programs of federal agencies providing financial assistance. For the purpose of the Schedule, financial assistance includes both federal financial assistance received directly from a federal agency, as well as federal funds received indirectly by YCH from a non-federal agency or other organization. Only the portion of program expenditures reimbursable with such federal funds is reported in the Schedule. Program expenditures in excess of the maximum federal reimbursement authorized or the portion of the program expenditures that were funded with state, local or other non-federal funds are excluded from the Schedule.

The Schedule was prepared from only the accounts of the grant programs and, therefore does not represent the financial position or results of operations of the YCH.

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS

June 30, 2010

A. SUMMARY OF AUDIT RESULTS

1. The auditors' report expresses an unqualified opinion on the financial statements of Yolo County Housing.
2. Significant deficiencies and material weaknesses were identified during the audit of the financial statements.
3. No instances of noncompliance material to the financial statements of Yolo County Housing were disclosed during the audit.
4. Material weaknesses and significant deficiencies were identified during the audit of the major federal award programs.
5. The auditors' report on compliance for the major federal award programs for Yolo County Housing expresses a qualified opinion.
6. There are audit findings relative to the major federal award programs for Yolo County Housing.
7. The programs tested as major programs include:

<u>Major Programs</u>	<u>Federal CFDA Number</u>	<u>Federal Expenditures Amount</u>
Public and Indian Housing	14.850	\$ 873,936
Housing Choice Voucher	14.871	10,309,399
Public Housing Capital Fund	14.872	1,521,228
Public Housing Capital Fund Formula Grant (Recovery Act Funded)	14.885	<u>613,827</u>
Total Major Program Expenditures		<u>\$ 13,318,390</u>
Total Federal Award Expenditures		<u>\$ 13,318,390</u>
Percentage of total federal award expenditures		<u>100%</u>

8. The threshold for distinguishing Type A and B programs was \$399,552.
9. Yolo County Housing was determined not to be a low-risk auditee.

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

June 30, 2010

B. FINDINGS - FINANCIAL STATEMENTS AUDIT

2010-1 **General Ledger Maintenance (Agency-Wide)**

Criteria - The general ledger is the collection of accounts and funds that represent the financial activity of Yolo County Housing (YCH). The general ledger represents YCH's financial picture at any given point in time. Several accounts, such as *Tenant Accounts Receivable and Accounts Payable*, are made up of smaller balances and are supported by subsidiary ledgers. Financial statements are required to be produced from time to time and shared with various readers. These readers include the Board of Commissioners, the U.S. Department of Housing and Urban Development, the State of California, the County of Yolo, and the public.

Condition - Our review of YCH's general ledger has revealed the following:

1. Several general ledger accounts did not agree to, or reconcile with, supporting documentation. In addition, the inter-fund accounts and balances are not properly reconciled to ensure that the account balances reflect the actual position of each fund.
2. Accounts payable schedules were manually created months after the year end date. YCH's system does not allow the accounts payable listing to be created automatically once the month end date has passed and the staff does not print the listing as of the month end dates, causing them to be manually recreated.

Questioned Costs - None as during the course of the audit, adjustments were proposed or provided by YCH staff for all material differences and properly accounted for in the audited financial statements.

Cause - Adequate procedures have not been fully implemented to ensure the accurate maintenance of the general ledger and timely closing of the books at the end of the year.

Effect - Although financial statements have not been materially misstated, accurate financial statements cannot be consistently produced by the general ledger in a timely manner. A material weakness in internal controls exists.

Recommendation - We recommend that YCH develop, and fully implement, controls to ensure the accurate maintenance of the general ledger with the final goal being the

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

June 30, 2010

accurate production of financial statements on a periodic basis. Analysis should be done periodically to determine the accuracy of each general ledger account. YCH may wish to consider additional training for its finance staff to increase their knowledge of the specialized accounting aspects of the many Federal and State programs administered as well as cross training of the staff for various duties.

YCH's Response -

1. We agree with the audit finding to some extent:
 - a. There are no material differences between the general ledger account balances and the supporting detail. Throughout the year, accounts are reviewed and adjustments made to reconcile balances to detail and AMP Managers receive copies of sub ledgers for Accounts Receivable to review for accuracy. This happens whether the differences are material or immaterial. Staff recognizes that readers of the financial statements need to have the most accurate information available. At and after year end, staff analyzes accounts and makes or proposes adjustments to reconcile differences that still exist. Sometimes this work is not completed prior to commencement of the audit. The yearend closing is done a few weeks after the end of the fiscal year to allow for receipt and processing of all June invoices.
 - b. Inter fund account balances are constantly changing. YCH has a single bank account that resides in the COCC for payables and payroll. Charges to programs automatically create a self balancing entry to receivables in COCC and payables in the appropriate program. An entry is created for each payable posting. Additionally self balancing entries to inter fund accounts are automatically created whenever a journal entry is posted.
2. YCH's accounting software is not capable of running an Accounts Payable Aging report. A report can be run at any time that shows what is currently unpaid but it is impossible to prepare a report that shows what was unpaid on some prior date. Since June invoices continue to be entered and paid after the end of the month, staff uses other tools within the system to manually create a list of items that were unpaid at June 30. For this reason, schedules were created months after the year end date.

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

June 30, 2010

2010-2 **Segregation of Duties – Cash Receipts and Accounts Payable**

Criteria - YCH maintains housing offices in Winters, Woodland, and West Sacramento. Each office is staffed with a Housing Specialist/Property Manager. The Housing Specialist/Program Manager accepts rents from the tenants of the housing units. This same staff member also posts the rents to the tenant ledgers, monitors the collection of the security deposits and past due rent, and prepares the bank deposits. This appears to be a long standing practice. In addition, the same situations exist for accounts payable. The staff of YCH who can set up a vendor or employee also has access to process the checks and monitor the vendor calls regarding issues with payment.

Condition - During our audit we noted the following:

1. Lack of segregation of duties over the processing of cash receipts from the tenants.
2. There is no formal process of approving vendors and new vendors are entered into the accounting system by the same individual who receives the invoices and enters the invoices into the system, cuts the checks and mails the checks. The check stock prints out with the signatures and there is no consistent or formal review of the invoices by anyone else in the department. There is a review of the listing of the checks to be printed; however, there is no review of the checks cut.

Questioned Costs - None.

Cause - YCH has not established effective internal controls over the payment of invoices, and the collection of tenant rents, including the segregation of duties, to ensure that subledgers are being maintained accurately and in an unbiased manner. Controls have not been designed and implemented that allow management or employees, in the normal course of performing their assigned duties, to prevent or detect misstatements or noncompliance on a timely basis.

Effect - A significant deficiency in the internal controls exists over the collection of tenant rents, security deposits, and accounts payable.

Recommendation - We recommend that YCH establish effective internal controls over the collection of cash receipts and payment of disbursements including segregation of duties to the extent practical under the circumstances. Further, we recommend that YCH

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

June 30, 2010

establish and implement procedures to bring all the aspects of the security deposit systems into agreement. Ledgers should be reviewed for accuracy, leases should be reviewed for completeness, and immediate action should be taken on all outstanding balances for existing tenants.

We recommend that YCH establish a formal vendor approval process and separate the roles for vendor set up and check payment. With the understanding that YCH has limited resources for accounting personnel, YCH may also consider more formalized and detailed job descriptions and cross training job functions to allow the responsibility for the financial records to be shared. The Director of Finance has a multitude of responsibilities and YCH may consider ways to cross train functions to allow for the delegation of the preparation of tasks to other staff in order to help develop a review process and some mitigation of the lack of segregation of duties.

YCH's Response -

1. YCH agrees that the best practice segregation of duties does not exist. However with rents being collected in remote locations with usually only one staff person, best practice segregation of duties is not something that can be implemented without additional staff which is not feasible with current funding. YCH implemented a "no cash payments accepted" policy several years ago. Copies of deposits with supporting documentation are submitted to the Finance office after posting. Deposit amounts are verified to bank statements. Posting errors do occur but are identified either through periodic AMP Manager review of the Accounts Receivable Sub Ledgers or tenant questions in response to statements received in the mail. Adjustments to tenant balances must be approved by the Housing Supervisor and entered into the system by the Finance Office. YCH will investigate other possible rent collection processes such as lock boxes or third party collections.
2.
 - a. After the auditors pointed out this flaw, a new procedure was established. If available, a second individual within the Finance Department will set up new vendors. Regardless of who sets up the new vendor, the Finance Director will initial a hard copy of the vendor information entered in the system.
 - b. Except for recurring invoices such as utilities, invoices are approved by appropriate staff as defined in the YCH purchasing policy.

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

June 30, 2010

- c. After approval of the Pre Check Report, the checks cut are not reviewed prior to mailing. The Finance Director does review the check register on the computer in the process of updating the bank balance tracking spreadsheet.

C. FINDINGS AND QUESTIONED COSTS - MAJOR FEDERAL AWARD PROGRAMS
AUDIT

2010-3 **Public Housing Tenant File Review (CFDA #14.850)**

Criteria - The primary activity of the Public Housing Program is the rental of owned housing to low income persons, families, and seniors (family). YCH is required by HUD to select the tenants using the waitlist. YCH is also required to perform an annual recertification for each family to determine family income and composition. As YCH staff is analyzing information obtained from the families and through third party verification, decisions are made to determine which information is the most reliable and will result in rent that is fair and in compliance with HUD regulations. HUD regulations also require that each family be given the choice of paying a rent based on a percentage of their income or a flat rent set by YCH. Additional regulations require YCH to inspect each unit on an annual basis to ensure decent and safe living conditions for its tenants.

Condition - During our audit, we reviewed a sample of 60 Public Housing tenant files and found the following in certain tenant files:

1. The properly signed application was not retained in some of the files sampled and that is needed in order to show how the family was entered into the system or how the family was pulled from the waitlist.
2. Certain files sampled did not contain documentation of a properly signed lease agreement with the current lease amount.
3. Certain files sampled did not contain documentation of proper annual inspections.
4. Documentation was not always retained in some of the tenant files sampled to describe the methods used to calculate the tenant income and the tenant rent.
5. The EIV System was not systematically utilized to verify the income as required by HUD. In addition, verification from a third party or EIV was not completed or maintained in certain of the files sampled.

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

June 30, 2010

Questioned Costs - None.

Cause – Adequate internal controls have not been established to ensure that HUD requirements are adequately documented. The tenant files lack adequate documentation to support decisions and calculations made regarding the income, rent, and the recertification process. Adequate controls have not been established to ensure that unit inspections are performed, and the results documented, on an annual basis.

Documentation was not properly retained to show how a tenant was selected from the waitlist.

Effect - A significant deficiency in internal control over the maintenance of the Public Housing tenant files exists. YCH cannot clearly document compliance with various HUD regulations due to the lack of proper supporting documentation maintained in the tenant files.

Recommendation - We recommend that YCH continue to improve its internal controls over the maintenance of the tenant files to ensure that work done is adequately documented to clearly show compliance with HUD regulations. YCH should consider establishing quality assurance procedures to ensure that tenant files contain adequate documentation for all decisions and calculations made regarding tenant rent and the recertification procedures. Further, unit inspections should be performed on an annual basis and documentation retained to prove compliance with this requirement.

YCH's Response -

1. Files in question were for families who applied for the program over 10 years ago and are current residents. YCH staff was unable to locate original applications. YCH has since implemented requirements for “historical information” to be copied and pulled to retain with “active” file.
2. YCH lease agreement is renewed automatically for a term of one calendar year as stated in Part 1 Section II of the Residential Lease Agreement. It specifically states that “Unless otherwise modified or terminated in accordance with Section XVI, this lease shall automatically be renewed for successive terms of one calendar year. Additionally, per 24 CFR 966.4 Subpart A (Lease Provisions) (2) Lease term and renewal. (i) The lease shall have a twelve month term. Except as

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

June 30, 2010

provided in paragraph (a)(2)(ii) of this section, the lease term must be automatically renewed for the same period. According to regulations leases are “automatically renewed” and therefore are not required to be updated unless the lease is modified or there is a change in household composition. YCH files do contain documented rent changes notices (amendments) that do not require a signature.

3. YCH is required to conduct annual inspections on every unit in each amp. These inspections are reviewed by management staff to ensure the quality and findings. However, documentation for inspections conducted by YCH staff may not have been filed and/or archived properly for audit retrieval. YCH will continue to improve controls to ensure that unit inspections are performed on an annual basis and documentation is retained in file to prove compliance with this requirement.
4. In addition to the annual inspections by YCH staff, there is also an annual UPCS inspection of all units by an outside agency (USIG). Documentation of these inspections is not maintained in the tenant’s file but rather in a central UPCS inspection file.
5. Some of the verification and calculation documents may not have been retained in some of the files as indicated. As a correction to this inconsistency, we have recently adopted the HUD’s Verification Hierarchy. This Hierarchy is more detailed in the verification process and it will give more guidance in following a consistent method for rent calculation and the retention of supporting documents. Furthermore, YCH will establish quality assurance procedures to ensure that tenant files contain adequate documentation for all decisions and calculations made regarding tenant rent and the recertification procedures.
6. PHAs are required to run EIV reports during mandatory reexaminations as per 24CFR 5.233. However, for interim re-exams EIV is not required if the interim was due to a change of household composition and rent reduction as stated in YCH’s internal ACOP policy and Public Housing Occupancy Guidebook Chapter 13(Interim rent adjustments are made as a result of changes in family income or changes in family composition between annual reexaminations. Housing Authorities are required to decrease rent in certain instances (described below), but they have options regarding changes or activities that will trigger interim rent increases. The options an authority chooses must be detailed in its Admissions

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

June 30, 2010

and continued Occupancy Policy (ACOP) and outlined in its annual PHA Plan). In addition, HUD requires agencies to use EIV “when it is available” and throughout the period in question HUD’s online EIV system was not always available and staff utilized other “acceptable” forms of verification.

2010-4 **Intercompany Accounts Review (CFDA #14.850)**

Criteria - HUD’s regulation states that surplus cash calculation should be done before distribution and funds advanced should be properly documented to avoid misuse of the funds of any Asset Management Project (AMPs). Also, HUD allows for management type fees to be paid to the Central Office Cost Center (COCC) by the AMPs. However, the funds of each of the AMPs should remain in the AMP until a surplus cash calculation is done to determine the amount of the funds that can be withdrawn or transferred to other AMPs.

Condition - As of June 30, 2010, the AMPs collectively had a net receivable from the COCC in the amount of \$1,582,716. Such net receivable increased by \$236,578 as compared to the prior year balance of \$1,346,138.

Questioned Costs - \$1,582,716

Cause – Adequate internal controls have not been established to ensure that HUD requirements are adequately followed. Proper accounting was not maintained for the inter-fund accounts. A monthly reconciliation is not done to ensure that the inter-fund account balances between the AMPs and the COCC are properly supported and documented.

Effect - A material weakness in internal control over compliance exist as Federal funds are being loaned from the AMPs to the COCC.

Recommendation - We recommend that YCH continue to improve its internal controls to ensure that the inter-company accounts are properly monitored and the due to/due from are adequately documented to clearly show compliance with HUD regulations. Inter-fund accounts should be reconciled on monthly basis and retain proper documentation for the distribution of surplus cash or advances between AMPs from prior period cash. The bulk of the amounts due of \$1,582,716 originated from the prior years and management should investigate the reasons for the balance and enter into negotiations with HUD as to the best approach to cure the deficit.

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

June 30, 2010

YCH's Response -

YCH does agree that there is an inter fund balance that needs to be investigated to determine its source but Federal Funds are not being loaned or advanced to the COCC. During the audit period, the AMPs incurred expenses of \$3.6 million and cash transferred to COCC (from Tenant Rents) or deposited into COCC (Operating Subsidy) amounted to only \$2.5 million. Also, there have been no transfers of surplus cash among the AMPs.

In view of the current year increase in receivable from COCC when in fact cash transfers to reimburse COCC for expenses paid or fees earned were significantly less than actual expenses incurred, staff believes that there continue to be a systemic flaw in the manner inter fund activity flows through the general ledger. This issue arises from ongoing issues that occurred in the initial setup of the system in 2005 that we continue to investigate. We also will bring in professional assistance from the software vendor to identify where these issues reside.

Unauthorized transfers from HCV to LIPH have been identified in the general ledger in the 2005-2006 Fiscal Year. Between the identified transfers and an entry to reverse them that was done backwards, staff can quickly find \$569k due to LIPH from HCV. Further investigation of this inter fund balance has commenced.

2010-5 **Housing Choice Voucher Intercompany Accounts (CFDA #14.871)**

Criteria - HUD's regulation states that HCV funds will be used for the payment of voucher and administration costs of the HCV program and should not be used for any other purpose.

Condition - As of June 30, 2010, the HCV Fund has a net receivable of \$633,863 from the COCC. The net receivable increased by \$217,173 as compared to the prior year balance of \$416,690; such increase includes an adjustment of \$133,658 to increase the Net Restricted Assets (NRA) that resulted from NRA negotiations between HUD and YCH.

Questioned Costs - \$633,863

Cause - Adequate internal controls have not been established to ensure that HUD requirements are adequately followed. Proper accounting was not maintained for the inter-fund accounts. A monthly reconciliation is not done to ensure that the inter-fund

Yolo County Housing

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

June 30, 2010

account balances between the HCV Program and the COCC are properly supported and documented.

Effect - A material weakness in internal control over compliance exist as the advances of HCV funds to the COCC are considered a misuse of federal funds.

Recommendation - We recommend that YCH establish quality assurance procedures to ensure Inter-fund accounts are reconciled on monthly basis and proper documentation should be retained in the file to support the payment of operating expenses advanced by YCH. In addition, YCH should substantiate the amounts the COCC owe to the HCV Program and how such amounts will be repaid to the HCV Program. The bulk of the amounts due of \$633,863 originated from the prior years and management should investigate the reasons for the balance and enter into negotiations with HUD as to the best approach to cure the deficit.

YCH's Response -

YCH does agree that there is an inter fund balance that needs to be investigated to determine its source. In view of the current year increase in receivable from COCC when cash transfers to reimburse COCC for expenses paid or fees earned were nearly equal to actual expenses incurred, staff believes that there continues to be a systemic flaws in the manner inter fund activity flows through the general ledger. This issue arises from ongoing issues that occurred in the initial setup of the system in 2005 that we continue to investigate. We also will bring in professional assistance from the software vendor to identify where these issues reside.

Unauthorized transfers from HCV to LIPH have been identified in the general ledger in the 2005-2006 Fiscal Year. Between the quickly identified transfers and an entry to reverse them that was done backwards, staff can easily find \$569k due to LIPH from HCV. This indicates that the majority of the receivable is due from LIPH rather than from COCC.

Yolo County Housing

STATUS OF PRIOR AUDIT FINDINGS

June 30, 2010

The previous audit report for the year ended June 30, 2009 contained the following audit findings. A description of the prior year audit findings and their status are as follows:

SECTION II - FINANCIAL STATEMENTS FINDINGS

II-2009-1 **General Ledger Maintenance**

The prior auditor noted a deficiency in internal controls over the maintenance of the general ledger and the generation of financial reports. This condition continues to exist. See finding 2010-1.

II-2009-2 **Segregation of Duties - Cash Receipts handling (All Programs)**

The prior auditor noted significant deficiencies in internal controls over the maintenance of tenant ledgers due to the lack of segregation of duties. This condition continues to exist. See finding 2010-2.

SECTION III - MAJOR FEDERAL AWARD PROGRAMS FINDINGS

III-2009-A **Public Housing Tenant File Review (CFA # 14.850)**

The prior auditor noted deficiencies and lack of documentation from their review of the tenant files. This condition continues to exist. See finding 2010-3.

III-2009-B **Housing Choice Voucher Tenant File Review (CFA # 14.871)**

The prior auditor noted deficiencies and lack of documentation from their review of the tenant files.

Yolo County Housing

MANAGEMENT'S CORRECTIVE ACTION PLAN

June 30, 2010

FINDINGS - FINANCIAL STATEMENTS AUDIT

2010-1 General Ledger Maintenance

- A. YCH agrees with the Auditor's Finding.
- B. YCH has taken the following steps to ensure accurate maintenance of the general ledger:
 - Establish procedures to perform periodic reconciliations of General Ledger Balances;
 - Researching permanent general ledger balances that are out of balance with supporting documentation;
 - Requested the software provider to include an AP Aging report in a future update;
 - Plans to request technical assistance from the software provider to resolve continuing issues with the inter fund accounts.
- C. This finding is a continuation of finding 2009-1. Although the Finance Director and Finance Staff have made significant improvements, full implementation of internal procedures to improve the maintenance of the general ledger has been slowed by the limited staff available in the Finance Department. Improvements continue to be made.

2010-2 Segregation of Duties - Cash Receipts

- A. YCH agrees with the Auditor's Finding.
- B. YCH has established the following procedures:
 - Procedures have been established that require site staff to submit copies of all deposits to Finance for verification of posting;
 - AMP Managers are provided Tenant Accounts Receivable registers for accuracy review and submission of adjustments if necessary;

Yolo County Housing

MANAGEMENT'S CORRECTIVE ACTION PLAN - CONTINUED

June 30, 2010

- Tenants are periodically mailed Account Statements with any questions to be directed to the Finance Director;
 - A procedure for approval of vendor set-up has been established;
 - A procedure for formal approval of check registers has been established.
 - YCH will investigate third party rent collection options as a possible solution.
- C. This is a continuation of finding II-2009-2. Best practice segregation of duties cannot be accomplished because of the limited number of staff available at the AMP sties and within the Finance Department. .

Yolo County Housing

MANAGEMENT'S CORRECTIVE ACTION PLAN - CONTINUED

June 30, 2010

FINDINGS - FEDERAL AWARDS PROGRAMS

2010-3 Public Housing Tenant File Review (CFDA #14.850)

- A. YCH agrees with the Auditor's Finding
- B. YCH has taken the following steps to resolve these issues:
 - Missing documents noted by the auditor have been located and placed in the tenant files;
 - All AMP Managers have been certified in Occupancy and Rent Calculation;
 - The Real Estate Services Supervisor has given each of the AMP Managers a checklist for all documents that should be included in tenant files;
 - The Real Estate Services Supervisor will perform random audits of tenant files for accuracy of calculations and file completeness.
- C. This finding is a continuation of finding III-2009-A. An audit of all files has not yet been completed but progress has been made. File standardization makes file review easier to accomplish.

2010-4 Intercompany Accounts Review (CFDA #14.850)

- A. YCH agrees with the Auditor's Finding that there is an Inter Fund balance that needs to be researched and reconciled but does not agree that Federal Funds are currently being loaned to the COCC.
- B. YCH is taking the following steps to rectify the situation:
 - 5 the distribution of LIPH Program into three separate AMPs.

Yolo County Housing

MANAGEMENT'S CORRECTIVE ACTION PLAN - CONTINUED

June 30, 2010

2010-5 Housing Choice Voucher Intercompany Accounts (CFDA #14.871)

- A.** YCH agrees with the Auditor's Finding that there is an Inter Fund balance that needs to be researched and reconciled but does not agree that Federal Funds are currently being loaned to the COCC.

- B.** YCH is taking the following steps to rectify the situation:
 - Reviewing the initial set up of the General Ledger from 2005:

 - Requesting technical assistance from the software vendor to identify where the issues reside;

 - Has identified entries to the Inter Fund accounts that were made in 2005-2006 that appear to be the primary source of the balances.

FINANCIAL STATEMENTS AND
INDEPENDENT AUDITORS' REPORT

YOLO COUNTY HOUSING

JUNE 30, 2010

Yolo County Housing
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To the Board of Commissioners
Yolo County Housing

We have audited the accompanying basic financial statements of Yolo County Housing, formally known as the Housing Authority of the County of Yolo as of and for the year ended June 30, 2010, as listed in the table of contents. These financial statements are the responsibility of Yolo County Housing's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Yolo Counting Housing as of June 30, 2010, and the results of its operations and cash flows for the year then ended, in conformity with accounting principles generally accepted in the United States of America.

In accordance with Government Auditing Standards we have also issued our report dated March 31, 2011 on our consideration of Yolo County Housing's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards and should be considered in assessing the results of our audit.

The Management's Discussion and Analysis on pages 5 to 18 is not a required part of the basic financial statements, but is supplemental information required by accounting principles generally accepted in the United States of America and the Governmental Accounting Standards Board. We have applied certain limited procedures that consisted principally of inquiries of management regarding the methods of measurement and presentation of the supplementary information. However, we did not audit the information and we express no opinion on it.

Our audit was conducted for the purpose of forming an opinion on the basic financial statements taken as a whole. The accompanying supplemental information on pages 55 through 62, including the financial data schedule required by the U.S. Department of Housing and Urban Development, is presented for purposes of additional analysis and is not a required part of the basic financial statements of Yolo County Housing. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, is fairly stated, in all material respects, in relation to the basic financial statements taken as a whole.

Reznick Group, P.C.

Sacramento, California
March 31, 2011

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS

June 30, 2010

As management of the Housing Authority of the County of Yolo (YCH), we offer readers of YCH's financial statements this narrative overview and analysis of the financial activities of YCH for the year ended June 30, 2010. Since the MD&A is designed to focus on the current year's activities, resulting changes and currently known facts, please read it in conjunction with YCH's financial statements beginning on page 19.

This discussion and analysis is intended to serve as an introduction to the basic financial statements for YCH. The MD&A is designed to:

- Assist the reader to focus on significant financial issues;
- Provide an overview of YCH's financial activity;
- Identify changes in YCH's financial position (i.e. its ability to address the next and subsequent years' challenges); and
- Identify individual fund issues or concerns.

OVERVIEW OF THE FINANCIAL STATEMENTS

YCH's financial statements are designed to provide readers with a broad overview of YCH's finances in a manner similar to a private sector business. YCH employs, exclusively, Enterprise Funds which utilize the full accrual basis of accounting. The Enterprise method of accounting is similar to accounting utilized by the private sector. All Enterprise Funds and business-type activities are consolidated into a total for the agency taken as a whole.

YCH's financial statements include a Statement of Net Assets (similar to a balance sheet), a Statement of Activities (similar to an Income Statement), a Statement of Cash Flows, the Notes to financial statements, and certain supplemental information.

Certain funds administered by YCH are programs provided by the U.S. Department of Housing and Urban Development (HUD). Others are segregated to enhance accountability and control. A summary of YCH funds is presented below:

Low Rent Public Housing

Under the Low Rent Public Housing (LRPH) program, YCH rents units that it owns to low or very low income households. The LRPH Program is operated under an Annual Contributions Contract (ACC) with HUD. Public Housing Agencies are limited by law in the amount of rent

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

collected to no more than thirty percent (30%) of a family's adjusted income, or the resident may choose what is known as "flat rent." The latter is a set rental amount comparable to local market rents. The rental amount does not increase or decrease over a three-year period; no matter the resident's actual income. Flat rents are designed to encourage residents to maximize their earnings in the hope that they may eventually purchase their own homes.

HUD, through the ACC, provides an operating subsidy to cover the gap between rents collected and annual operating expenses.

The ACC provides a Capital Fund Program designed to enable YCH to make capital improvements to its properties and otherwise provide long term assets for the benefit of tenants and the administration. On March 16, 2010, HUD approved a Section 30 Workout Plan that allows YCH to use a portion of each Capital Fund Grant to make debt service payments from that date forward. The Workout plan also removed any obligation for YCH to repay \$1,670,807 of Capital Funds used for purchase and rehabilitation of the Administration Building prior to receiving HUD approval.

Housing Choice Voucher Program

Under the Housing Choice Voucher Program (formerly known as Section 8 tenant-based assistance), YCH administers contracts with independent landlords that own rental property. YCH subsidizes the families' rents through a housing Assistance Payment (HAP) payable to the landlord. The program is administered under an ACC with HUD that provides annual funding to enable YCH to structure a lease that generally sets the participant's rent between thirty percent (30%) and forty percent (40%) of household income and pays YCH a fixed monthly administrative fee for each unit under lease on the first of every month.

Vouchers can also be applied toward the purchase of a home by tenants. YCH will use HUD's HAP funds to subsidize the participant's home loan for fifteen years unless the participant is disabled or elderly in which case there is no time limit on the use of HAP funds to subsidize the loan.

New Hope Community Development Corporation (Component Unit)

New Hope Community Development Corporation (NHCDC) is a 501(c)(3) non-profit corporation created to develop affordable housing and community based economic development ventures. Its primary business activities during the year ended June 30, 2010 was the operation of Cottonwood Meadows Senior Apartments.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

Office of Migrant Services, Migrant Farm Labor Program (Other State/Local)

YCH manages Migrant Centers in Davis, Madison and Dixon, California. Pursuant to contracts with the State of California Department of Housing and Community Development, Office of Migrant Services, YCH remits rents collected from tenants to the State Office of Migrant Services, which in turn reimburses YCH for its costs of operating the Migrant Centers. The Dixon Migrant Center is managed by YCH on behalf of the Dixon Housing Authority of Solano County.

Other Funds

- Business Activities - used to administer various non-government subsidized programs.
- Davis Solar Rural Rental Assistance (Other State/Local).
- Public Housing Capital Fund Program.

REQUIRED FINANCIAL STATEMENTS

The financial statements of YCH offer both short-term and long term financial information about YCH activities and include:

- The **Statement of Net Assets** which is similar to a balance sheet. The Statement of Net Assets reports all of YCH assets and liabilities for the year ended June 30, 2010 and provides information about the nature and amounts of investments in resources (assets) and the obligations to YCH's creditors (liabilities). It also provides the basis for evaluating the capital structure of YCH and assessing the liquidity and financial flexibility of YCH. The statement is presented in a format in which assets minus liabilities equals "Net Assets", formerly known as equity. Assets and liabilities are presented in order of liquidity, and are classified as "current" (convertible to cash within one year), and "non-current".
- The **Statement of Activities** accounts for all of YCH's revenue and expenses for the year ended June 30, 2010. The statement reflects the results of YCH's operations over the year and can be used to determine YCH's credit worthiness and its ability to successfully recover all its costs through grants, tenant charges and other income.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

- The **Statement of Cash Flows** provides information about YCH's cash receipts and cash payments during the year ended June 30, 2010. This statement reports cash receipts, cash payments, and net changes in cash resulting from operations, capital and related financing, and noncapital financing and investing activities. The statement provides answers to questions of where cash came from, what cash was used for and what caused changes in cash for the reporting period covered.
- The accompanying **Notes to the financial statements** provide additional information that is essential to a full understanding of the data provided in the financial statements.
- In addition to the basic financial statements and accompanying notes, this report also presents certain supplementary information. This supplementary information section contains the Combining Schedules of Net Assets; Combining Schedules of Revenues Expenses and change in Net assets and Cash Flows along with the Financial Data Schedule (FDS) report electronically submitted to HUD.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

FINANCIAL ANALYSIS OF YCH AS A WHOLE

The following analysis focuses on YCH's net assets and revenues, expenses and changes in fund net assets during the years ended June 30, 2010 and 2009.

NET ASSETS

	<u>2010</u>	<u>2009</u>	<u>Net Change</u>	<u>%</u>
ASSETS				
Current assets	\$ 2,778,546	\$ 1,930,621	\$ 847,925	44%
Restricted assets	1,916,766	1,582,506	334,260	21%
Capital assets, net	17,792,425	17,534,765	257,660	1%
Other non-current assets	43,672	42,478	1,194	3%
	<u>\$ 22,531,409</u>	<u>\$ 21,090,370</u>	<u>\$ 1,441,039</u>	<u>7%</u>
LIABILITIES				
Current liabilities	\$ 1,628,656	\$ 1,453,603	\$ 175,053	12%
Payable from restricted cash	188,870	241,363	(52,493)	
Non-current liabilities	4,740,785	5,128,162	(387,377)	-8%
	<u>\$ 6,558,311</u>	<u>\$ 6,823,128</u>	<u>\$ (264,817)</u>	<u>-4%</u>
NET ASSETS				
Invested in capital assets, net of debt	\$ 14,021,527	\$ 12,707,831	\$ 1,313,696	10%
Restricted	1,561,930	1,355,170	206,760	15%
Unrestricted	389,641	204,241	185,400	91%
	<u>\$ 15,973,098</u>	<u>\$ 14,267,242</u>	<u>\$ 1,705,856</u>	<u>12%</u>

The assets of YCH exceed its liabilities as of June 30, 2010 by \$15,973,098. Compared to 2009, this is a 12% increase which resulted from the following unusual items and normal operations:

- During the fiscal year ended June 30, 2010, YCH's assets increased by \$1,441,044(7%).
 - Restricted Cash increased by \$334,000 because HAP Housing Choice Voucher subsidy received exceeded voucher payments issued.
 - Current Assets increased primarily because of \$396,000 Capital Fund Receivable at June 30 and OMS Receivable of \$155,000.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

- ARRA Funding resulted in an increase in Capital Assets. Construction increased capital assets by \$1,050,000 but the change was only \$258,000 net of depreciation.
- 1% change in Capital Assets over powers the 44% and 21% changes in Current Assets and Restricted Assets thereby reducing the overall percentage increase in Total Assets.
- YCH's total liabilities decreased by \$264,817 (4%) in the year ended June 30, 2010.
 - Accounts payable increased by \$115,000 for contractor payments related to the ARRA construction projects.
 - Deferred Revenue increased by \$217,000 for overpayment from HUD of funding for Rescission of the payment standard decrease.
 - Other Post Employment Benefits (OPEB) liability increased by \$292,000 in accordance with the requirements of GASB 45.
 - Notes payable decreased by nearly \$720,000 as a result of normal monthly payments and approval of the Section 30 workout Plan (CFFP) which allowed YCH to make prepayments of loan principal to the extent funding was included in the approved Capital Fund Grants.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

CHANGES IN NET ASSETS

	<u>2010</u>	<u>2009</u>	<u>Net Change</u>	<u>%</u>
Operating revenues				
Operating revenues - tenants	\$ 2,133,584	\$ 2,221,991	\$ (88,407)	-4%
HUD HCV Grants	10,309,399	9,220,371	1,089,028	12%
HUD Operating and Capital Grants	3,117,423	1,110,618	2,006,805	181%
Other government grants	1,731,663	2,428,197	(696,534)	-29%
Other revenue	174,164	215,980	(41,816)	-19%
	<u>17,466,233</u>	<u>15,197,157</u>	<u>2,269,076</u>	<u>15%</u>
Operating expenses				
Administration	2,198,736	2,152,376	46,360	2%
Tenant services	78,692	74,956	3,736	5%
Utilities	838,489	781,738	56,751	7%
Ordinary maintenance and operations	1,868,977	1,722,496	146,481	9%
Extraordinary maintenance	-	78,008	(78,008)	-100%
General expenses	698,240	775,784	(77,544)	-10%
Housing assistance payments	8,928,887	9,158,462	(229,575)	-3%
Depreciation expense	793,808	892,848	(99,040)	-11%
	<u>15,405,829</u>	<u>15,636,668</u>	<u>(230,839)</u>	<u>-1%</u>
Non-operating revenue (expenses)				
Investment income - restricted cash	7,555	15,551	(7,996)	-51%
Interest income	7,640	20,690	(13,050)	-63%
Interest expense	(370,778)	(379,946)	9,168	-2%
Gain (loss) on disposition of fixed assets	4,641	(105,843)	110,484	-104%
Amortization of loan costs	(3,606)	(2,803)	(803)	29%
	<u>(354,548)</u>	<u>(452,351)</u>	<u>97,803</u>	<u>-22%</u>
Changes in net assets	1,705,856	(891,862)	2,597,718	-291%
Prior period adjustments	-	2,407,084	(2,407,084)	-100%
Beginning net assets	14,267,242	12,752,020	1,515,222	12%
Ending net assets	<u>\$ 15,973,098</u>	<u>\$ 14,267,242</u>	<u>\$ 1,705,856</u>	<u>12%</u>

Total operating revenues increased by \$2,269,076 (15%) over 2009.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

- HUD LRPH Operating Grants increased by \$183,000;
- HUD HCV HAP Funding increased by \$993,000;
- HUD HCV Operations Funding increased by \$96,000;
- HUD Capital Fund earnings increased by \$1,715,000;
- The decrease in Rental Income of \$88,000 primarily resulted from lower tenant incomes; and
- The decrease in Other Government income resulted from completion in 2009 of the purchase and remodel of the ADMH homes.

Operating expenses during the year ended June 30, 2010 decreased by \$230,839 (1% in overall).

- HCV HAP Voucher Cost decreased by nearly \$230,000.

The combination of increased revenue from Operating Fund, Capital Fund and Housing Choice Vouchers along with the reduced expenditures for Housing Choice Vouchers resulted in a net income of \$1,705,856.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

CASH FLOWS

	<u>2010</u>	<u>2009</u>	<u>Net Change</u>	<u>%</u>
Cash flows from operating activities:				
Tenant receipts	\$ 2,118,634	\$ 2,192,152	\$ (73,518)	-3%
Other receipts	175,328	138,953	36,375	26%
Operating and administrative expenditures	(5,480,772)	(5,318,491)	(162,281)	3%
Housing assistance payments	(8,928,887)	(9,281,179)	352,292	-4%
Net cash used in operating activities	<u>(12,115,697)</u>	<u>(12,268,565)</u>	<u>152,868</u>	<u>-1%</u>
Cash flows from noncapital financing activities:				
Operating grants received	<u>13,127,873</u>	<u>11,987,435</u>	<u>1,140,438</u>	<u>10%</u>
Net cash provided by noncapital financing activities	<u>13,127,873</u>	<u>11,987,435</u>	<u>1,140,438</u>	<u>10%</u>
Cash flows from capital financing activities:				
Grants to acquire capital assets	1,723,236	255,011	1,468,225	576%
Acquisition of capital assets	(1,051,626)	(758,152)	(293,474)	39%
Proceeds from disposal of fixed assets	4,801	-	4,801	-
Financing costs paid	(4,800)	-	(4,800)	-
Principal paid on debt	(720,014)	(183,696)	(536,318)	292%
Interest paid on debt	(375,532)	(379,946)	4,414	-1%
Net cash (used in investing activities)	<u>(423,935)</u>	<u>(1,066,783)</u>	<u>642,848</u>	<u>-60%</u>
Cash flows from investing activities:				
Interest income - restricted cash	7,555	20,690	(13,135)	-63%
Interest income	7,640	15,551	(7,911)	-51%
Net cash provided by investing activities	<u>15,195</u>	<u>36,241</u>	<u>(21,046)</u>	<u>-58%</u>
Net increase (decrease) in cash	603,436	(1,311,672)	1,915,108	-146%
Cash, beginning of year	<u>2,894,516</u>	<u>4,206,188</u>	<u>(1,311,672)</u>	<u>-31%</u>
Cash, end of year	<u>\$ 3,497,952</u>	<u>\$ 2,894,516</u>	<u>\$ 603,436</u>	<u>21%</u>
Cash and cash equivalents	\$ 1,581,186	\$ 1,312,010	\$ 269,176	21%
Restricted cash and cash equivalents	<u>1,916,766</u>	<u>1,582,506</u>	<u>334,260</u>	<u>21%</u>
Total cash, end of year	<u>\$ 3,497,952</u>	<u>\$ 2,894,516</u>	<u>\$ 603,436</u>	<u>21%</u>

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

COMPARISON OF ACTUAL TO BUDGET FOR THE YEAR ENDED JUNE 30, 2010

	<u>Actual</u>	<u>Budget</u>	<u>Net Change</u>	<u>%</u>
Operating Revenue:				
Tenant	\$ 2,133,584	\$ 2,134,715	\$ (1,131)	0%
Interfund fees	1,169,006	1,126,113	42,893	4%
HUD HCV Grants	10,309,399	9,256,025	1,053,374	11%
HUD Operating and Capital Grants	3,117,423	1,934,862	1,182,561	61%
Other Government Grants	1,731,663	1,755,382	(23,719)	-1%
Other income	174,164	115,353	58,811	51%
	<u>18,635,239</u>	<u>16,322,450</u>	<u>2,312,789</u>	<u>14%</u>
Total operating revenue				
Operating Expenses:				
Administration	3,367,742	3,121,296	246,446	8%
Tenant services	78,692	88,954	(10,262)	-12%
Utilities	838,489	942,163	(103,674)	-11%
Ordinary maintenance and operations	1,868,977	2,373,160	(504,183)	-21%
General expenses	698,240	562,025	136,215	24%
Housing assistance payments	8,928,887	8,302,925	625,962	8%
Depreciation expense	793,808	794,000	(192)	0%
	<u>16,574,835</u>	<u>16,184,523</u>	<u>390,312</u>	<u>2%</u>
Total operating expenses				
Non-Operating Revenue (Expenses):				
Interest income - restricted	7,555	2,500	5,055	202%
Interest income - unrestricted	7,640	8,735	(1,095)	-13%
Interest expense	(370,778)	(371,402)	624	0%
Gain on disposal of capital assets	4,641	-	4,641	-
Amortization of loan costs	(3,606)	(1,500)	(2,106)	140%
	<u>(354,548)</u>	<u>(361,667)</u>	<u>7,119</u>	<u>-2%</u>
Net non-operating revenue (expenses)				
Changes in net assets	<u>\$ 1,705,856</u>	<u>\$ (223,740)</u>	<u>\$ 1,929,596</u>	<u>-862%</u>

Significant variances from the original budget include:

- HUD LRPH Funding was \$221,000 more than budget.
- HUD HCV Voucher Funding was \$906,000 higher than budget.
- HCV Admin Fees earned were \$147,000 more than budget.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

HUD Funding levels are not known until well into the year. NAHRO makes estimates of funding levels available and HUD requires reports that calculate funding levels. Until the Federal Budget is passed and the final HUD allocation percentage is determined, agencies make an educated guess.

- Administration costs exceeded budget primarily due to the Other Post Employment Benefit (OPEB) accrual of \$302,000 which was not included in the budget.
- General Expenses included Compensated Absences which were budgeted as Administrative (\$110,000) or Maintenance Salaries (\$45,000). The compensated absences are a calculated separation required for data entered into FDS (HUD's Financial Data Schedule).
- If the Compensated Absences (Admin Salary) had been matched with salary budget then Administrative Expenses would have exceeded budget by \$356,000 and excluding the OPEB accrual would have been over budget by less than 2%.
- If the Compensated Absences had been matched with the salary budgets, General Expenses would have been 3% under budget.
- Ordinary Maintenance and Operations had savings in many areas. The biggest savings were:
 - Salaries and benefits were \$100,000 lower than budgeted due to illness and injury at the Migrant Centers and delayed hiring of the approved additional maintenance position.
 - Building Repairs were \$380,000 under budget because the budget included capitalizable expenses at the AMPs and Davis Solar sites.
- \$75,000 Utility Savings were realized at the three Migrant Centers.
- Housing Assistance Payments exceeded budget due to increased Lease-Up.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

SUMMARY OF FIXED ASSETS

	<u>Balance, 6/30/2009</u>	<u>Additions</u>	<u>Deletions</u>	<u>Transfer</u>	<u>Balance, 6/30/2010</u>
Capital Assets:					
Land	\$ 3,921,298	\$ -	\$ -	\$ -	\$ 3,921,298
Construction in progress	816,135	681,564	-	(673,436)	824,263
Building and improvements	30,149,991	362,714	-	673,436	31,186,141
Furniture, equipment and vehicles	655,949	7,188	(15,500)	-	647,637
	<u>35,543,373</u>	<u>1,051,466</u>	<u>(15,500)</u>	<u>-</u>	<u>36,579,339</u>
Total capital assets	35,543,373	1,051,466	(15,500)	-	36,579,339
Less accumulated depreciation	<u>(18,008,606)</u>	<u>(793,808)</u>	<u>15,500</u>	<u>-</u>	<u>(18,786,914)</u>
Total capital assets, net	<u>\$ 17,534,767</u>	<u>\$ 257,658</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 17,792,425</u>

The additions to Fixed Assets are comprised of:

- The completion of the roofing project at the Winters development and the ARRA funding related to the windows and air conditioners replacements.
- A new file server was purchased and installed.

Deletions consisted of:

- A fully depreciated HCV vehicle was sold.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

SUMMARY OF LONG-TERM DEBT

	<u>Balance, 6/30/2009</u>	<u>Additions</u>	<u>Reductions</u>	<u>Balance, 6/30/2010</u>
Low Rent Public Housing:				
Office building, mortgage 1	\$ 2,079,973	\$ -	\$ (603,267)	\$ 1,476,706
Office building, mortgage 2	90,000	-	(90,000)	-
Office building, mortgage 3	160,000	-	-	160,000
	<u>2,329,973</u>	<u>-</u>	<u>(693,267)</u>	<u>1,636,706</u>
Total low rent public housing				
Cottonwood:				
HCD Note	368,800	-	-	368,800
Cottonwood Note	1,761,441	-	(23,376)	1,738,065
	<u>2,130,241</u>	<u>-</u>	<u>(23,376)</u>	<u>2,106,865</u>
Total Cottonwood				
Esparto Development:				
Esparto project - CDBG	27,494	-	(2,466)	25,028
	<u>27,494</u>	<u>-</u>	<u>(2,466)</u>	<u>25,028</u>
Total Esparto development				
Davis Solar Rural Rental Assistance USDA Note	2,390	-	(905)	1,485
	<u>2,390</u>	<u>-</u>	<u>(905)</u>	<u>1,485</u>
Total long-term debt	<u>\$ 4,490,098</u>	<u>\$ -</u>	<u>\$ (720,014)</u>	<u>\$ 3,770,084</u>

- Office Building Mortgage #1 principal balances were reduced through normal monthly payments of the mortgage obligations and additional principal payments using approved CFFP Capital Funds.
- The final payment on Office Mortgage #2 was made in December 2009.
- Cottonwood, Esparto CDBG and Davis Solar notes reductions came from normal payment activity.

Yolo County Housing

MANAGEMENT DISCUSSION AND ANALYSIS - CONTINUED

June 30, 2010

SIGNIFICANT ENVIRONMENTAL AND ECONOMIC FACTORS AFFECTING YCH

Significant environment and economic factors affecting YCH include:

- Federal funding from the Department of Housing and Urban Development (HUD)
- Funding from the State Office of Migrant Services (OMS)
- Local labor supply and demand which affect salary and wage rates
- Local inflation, recession and employment trends can affect resident income and therefore the amount of rental income.
- Local rental market and economy, which has a direct effect on the ability to find viable privately-owned rental properties that are available to our Housing Choice Voucher (HCV) program
- Inflationary pressure on utility rates, supplies and other costs are another concern.

CONTACTING YCH

This financial report is designed to provide a general overview of YCH's finances for all those with an interest. Questions concerning any of the information provided in this report or requests for additional information should be addressed to Lisa A. Baker, Executive Director, Yolo County Housing, 147 W. Main Street, Woodland, California 95695.

Yolo County Housing

STATEMENT OF NET ASSETS

June 30, 2010

ASSETS

Current assets	
Cash and cash equivalents	\$ 1,581,186
Restricted cash and cash equivalents	1,916,766
Accounts receivable - tenant, net	35,132
Accounts receivable - other	2,740
Accounts receivable - funding source	914,525
Inventories, net	142,253
Prepaid items and other assets	<u>102,710</u>
Total current assets	<u>4,695,312</u>
Noncurrent assets	
Capital assets not being depreciated	4,745,561
Capital assets, net of accumulated depreciation	13,046,864
Loan cost, net of accumulated amortization	<u>43,672</u>
Total noncurrent assets	<u>17,836,097</u>
Total assets	<u><u>\$ 22,531,409</u></u>

(Continued)

Yolo County Housing

STATEMENT OF NET ASSETS - CONTINUED

June 30, 2010

LIABILITIES

Current liabilities	
Accounts payable - vendors	\$ 429,785
Accounts payable - funding source	603,166
Accrued compensated absences - current portion	34,221
Accrued interest payable	814
Notes payable - current portion	162,699
Deposits payable	188,870
Deferred revenue - current portion	248,369
Other current liabilities	<u>149,602</u>
Total current liabilities	<u>1,817,526</u>
Noncurrent liabilities	
Accrued compensated absences - net of current portion	102,664
Notes payable - net of current portion	3,607,385
Family self sufficiency escrows	22,565
Deferred revenue - net of current portion	81,300
Other post-employment benefits	595,602
Other liabilities	<u>331,269</u>
Total noncurrent liabilities	<u>4,740,785</u>
Total liabilities	<u>6,558,311</u>

NET ASSETS

Invested in capital assets, net of related debt	14,021,527
Restricted	1,561,930
Unrestricted	<u>389,641</u>
Total net assets	<u>\$ 15,973,098</u>

See notes to financial statements

Yolo County Housing
STATEMENT OF ACTIVITIES

Year ended June 30, 2010

OPERATING REVENUES	
Dwelling rental income	\$ 2,133,584
Other revenue	174,164
	<u>2,307,748</u>
 OPERATING EXPENSES	
Administrative expenses	2,198,736
Tenant services	78,692
Maintenance	1,868,977
Utilities	838,489
General expenses	698,240
Housing assistance payments	8,928,887
Depreciation	793,808
Amortization	3,606
	<u>15,409,435</u>
Total operating expenses	<u>15,409,435</u>
Operating loss	<u>(13,101,687)</u>
 NONOPERATING REVENUES (EXPENSES)	
Grant revenue	15,158,485
Gain on disposition of capital assets	4,641
Interest income	15,195
Interest expense	(370,778)
	<u>14,807,543</u>
Total nonoperating revenues (expenses)	<u>14,807,543</u>
Change in net assets	1,705,856
 NET ASSETS	
Beginning of year	<u>14,267,242</u>
End of year	<u><u>\$ 15,973,098</u></u>

See notes to financial statements

Yolo County Housing
STATEMENT OF CASH FLOWS
Year ended June 30, 2010

Cash flows from operating activities	
Cash received from tenants	\$ 2,118,634
Other operating cash received	175,328
Cash payments for administration expenditures	(5,480,772)
Cash payments for housing assistance expenditures	<u>(8,928,887)</u>
Net cash used for operating activities	<u>(12,115,697)</u>
Cash flows from capital and related financing activities	
Principal paid on notes payable	(720,014)
Cash received from capital grants	1,723,236
Acquisition and construction of capital assets	(1,051,626)
Proceeds from disposal of capital assets	4,801
Financing costs paid	(4,800)
Interest paid	<u>(375,532)</u>
Net cash used for capital and related financing activities	<u>(423,935)</u>
Cash flows from noncapital financing activities	
Cash received from operating subsidy	827,705
Cash received from housing choice voucher program	10,546,401
Cash received from grants - Migrant and RD programs	<u>1,753,767</u>
Net cash provided by noncapital financing activities	<u>13,127,873</u>
Cash flows from investing activities	
Interest income	<u>15,195</u>
Net cash provided by investing activities	<u>15,195</u>
Net increase in cash and cash equivalents	603,436
Cash and cash equivalents	
Beginning of year	<u>2,894,516</u>
End of year	<u>\$ 3,497,952</u>
Financial statement presentation	
Cash and cash equivalents	\$ 1,581,186
Restricted cash and cash equivalents	<u>1,916,766</u>
Total cash and cash equivalents	<u>\$ 3,497,952</u>

(continued)

Yolo County Housing

STATEMENT OF CASH FLOWS - CONTINUED

Year ended June 30, 2010

Reconciliation of operating loss to net cash used for operating activities	
Operating loss	\$ (13,101,687)
Adjustments to reconcile operating loss to net cash used for operating activities:	
Depreciation and amortization	797,414
Changes in operating assets and liabilities:	
Decrease (increase) in assets:	
Tenant accounts receivable	17,632
Other receivables	32,692
Inventories	(59,982)
Prepaid items and other assets	(46,256)
Increase (decrease) in liabilities:	
Accounts payable	114,774
Accounts payable - funding sources	(44,804)
Accrued compensated absences	24,502
Deposits payable	(29,927)
Deferred revenue	(29,817)
Other liabilities	(82,344)
Net cash used for operating activities	<u>\$ (12,115,697)</u>

See notes to financial statements

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS

June 30, 2010

NOTE 1 - REPORTING ENTITY

Yolo County Housing formally known as the Housing Authority of the County of Yolo (YCH) was established pursuant to the State Health and Safety Code in 1950 by the Yolo County Board of Supervisors. YCH is a public entity organized under the laws of the State of California's Health and Safety Code to provide housing assistance to low and moderate income families at rents they can afford. Eligibility is determined by family composition and income in areas served by YCH. To accomplish this purpose, YCH has entered into Annual Contributions Contracts with the U.S. Department of Housing and Urban Development (HUD) to operate assisted housing programs.

On June 20, 2006, the County's Board of Supervisors exercised its authority under Health and Safety Code section 34290, due to the resignation of the independent housing commission, and declared itself to be the commissioners of YCH for a temporary period. The County's Board of Supervisors has indicated that the Board is acting as the Commissioners of YCH for only a temporary time period. In accordance with Government Accounting Standards Board (GASB) Statement No 14, footnote 3, YCH is considered to have retained its independent status and is not considered to be a component unit of the County. The current governing board of YCH consists of the five members of the County Board of Supervisors plus two tenant Commissioners appointed by the Board.

YCH has one blended component unit. The blended component unit, although a legally separate entity, is in substance part of YCH operations. The component unit is known as the New Hope Community Development Corporation (NHCDC). NHCDC owns and operates a rental housing project under the State of California Rental Housing Community Development (RHCP).

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basic Financial Statements

The basic financial statements (i.e. the Statement of Net Assets, the Statement of Activities and the Statement of Cash Flows) include report information on all the enterprise activities of YCH and its blended component unit. These basic financial statements are presented in accordance with GASB standards.

YCH has entered into an agreement with the Housing Authority of the City of Dixon to administer its only program - a Migrant Center funded by the California Department of Housing and Community Development. This program owns no real property and carries no

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

long-term debt. YCH uses its staff and other resources to operate this program. The operations of this program are considered by management to be, in substance, part of YCH and as such are reported as part of YCH financial statements.

Description of Funds

A fund is an independent fiscal and accounting entity with a self-balancing set of accounts comprised of its assets, liabilities, net assets, revenues, and expenses. The funds maintained by YCH allow compliance and financial accountability by separate functions and activities.

Measurement Focus, Basis of Accounting, and Financial Statement Presentation

The basic financial statements are prepared using the economic resource measurement focus and the accrual basis of accounting. Accordingly, all assets and liabilities (whether current or noncurrent) are included on the Statement of Net Assets. The Statement of Activities presents increases (revenues) and decreases (expenses) in total net assets. Under the accrual basis of accounting, revenues are recognized in the period in which they are earned while expenses are recognized in the period in which the liability is incurred.

YCH distinguishes operating revenues and expenses from non-operating items. Operating revenues and expenses generally result from providing services. Operating expenses include the cost of services, general and administrative expenses and depreciation of capital assets. All revenues and expenses not meeting this definition are reported as non-operating revenues and expenses.

In accordance with GASB standards, YCH has elected to apply all Financial Accounting Standards Board (FASB) pronouncements issued after November 30, 1989, which are not inconsistent with GASB pronouncements. Subsequent to this date, YCH accounts for its funds as required by GASB.

Cash and Cash Equivalents

YCH's cash and cash equivalents are considered to be cash on hand and all highly-liquid instruments purchased with an original maturity of three months or less.

Restricted Cash and Cash Equivalents

Restricted cash and cash equivalents represent reserves and security deposit accounts.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Accounts Receivable

Tenant accounts receivable are carried at the amount considered by management to be collectible, net of an allowance for doubtful accounts of \$15,000. Other accounts receivable are principally amounts due from HUD and California State agencies. The allowance for doubtful accounts has been provided based on the likelihood of the recovery.

Interfund Receivables and Payables

Interprogram due from/to have been eliminated in the financial statements as prescribed by GASB standards in regards to interfund activities, payables and receivables.

Inventories

Inventory is valued at the lower of cost or market on an average cost basis. Inventory consists of expendable maintenance supplies held for consumption. The consumption method is used to account for inventories. Under the consumption method, inventories are recorded as assets when purchased and expenses when used. The value of the maintenance supplies inventory as of June 30, 2010, is \$142,253, net of an allowance for obsolete inventory of \$6,949.

Capital Assets

Capital assets are stated at cost or estimated historical cost. Contributed capital assets are recorded at estimated fair market value at the time received. Net interest costs are capitalized on projects during the construction period. The capitalization threshold for all capital assets is \$5,000.

Depreciation is charged to operations using the straight-line method based on the estimated useful life of the related asset. The estimated useful life of the assets is as follows:

	<u>Years</u>
Buildings	40
Building improvements	15
Furniture and fixtures	7
Vehicles	5

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Property acquired with HUD funds is considered to be owned by YCH while used in the program for which it was purchased. However, HUD may have a reversionary interest in the property and ownership of any proceeds from disposition thereof.

The costs of normal maintenance and repair that do not add to the value of the asset or materially extend asset lives are not capitalized.

Impairment of Capital Assets

YCH reviews its capital assets for impairment whenever events or changes in circumstances indicate that there has been a decline in service utility that is large in magnitude and outside of the normal life cycle of the capital asset being evaluated. As of June 30, 2010, there has been no impairment of the capital assets.

Loan Costs and Amortization

Loan costs are recorded at cost at the date of acquisition. Loan costs in the amount of \$68,427 are being amortized over the term of the loan using the effective yield method. As of June 30, 2010 accumulated amortization was \$24,755. Estimated annual amortization for each of the next five years is \$3,606 per year.

Accrued Compensated Absences

In accordance with GASB Statement No. 16, *Accounting for Compensated Absences*, vacation leave and other compensated absences with similar characteristics should be accrued as a liability as the benefits are earned by the employees if the leave is attributable to past service and it is probable that the employer will compensate the employees for the benefits through paid time off or some other means, such as cash payments at termination or retirement.

Permanent employees are entitled to receive compensation at their current base salary for all unused annual leave upon termination or retirement.

It is YCH's policy to permit employees to accumulate earned but unused vacation and sick pay benefits. There is no liability for unpaid accumulated sick leave since YCH does not have a policy to pay any amounts when employees separate from service with YCH. All vacation pay is accrued when incurred. Total liability for YCH is \$136,885 based on year-end hourly rates. Of this amount, \$34,221 is considered by YCH to be a current liability.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

In providing direction for conversion to the GAAP basis of accounting, HUD's Accounting Brief No. 6 discusses the conflicting direction given in HUD grant handbooks, which are not considered GAAP, and the cost principles of GAAP. In its final analysis, HUD opines that "Compensation for personnel services includes all remuneration, paid currently or accrued, for services rendered during the period of performance under federal awards, including but not necessarily limited to wages, salaries, and fringe benefits." Since federal awards extend for a limited time period, and accrued benefits may not be paid out during the term of the award, the above analysis can be reasonably interpreted to mean that costs may be drawn down at the close of the award period to fund unpaid compensated absences.

Notes Payable and Interest Payable

Notes payable consists of notes from banks and other California state agencies. Interest on these notes is accrued at year end.

Deferred Revenue

Deferred revenue includes rents received in advance from tenants, and grant funds received from other governmental agencies, which are conditioned upon incurring certain qualifying costs or meeting other conditions. The rents from tenants will be recognized as revenue when earned and the grant funds will be recognized as revenue when the qualifying costs are incurred and the possibility of not meeting the conditions are remote.

Net Assets

In the statement of net assets, net assets are classified in the following categories:

Invested in Capital Assets, Net of Related Debt - This amount consists of capital assets net of accumulated depreciation and reduced by outstanding debt that is attributed to the acquisition, construction, or improvement of the assets.

Restricted Net Assets - This amount is restricted by external creditors, grantors, contributors, or laws or regulations of other governments.

Unrestricted Net Assets - This amount is all net assets that do not meet the definition of "invested in capital assets, net of related debt" or "restricted net assets."

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Use of Estimates

The preparation of financial statements requires management to make estimates and assumptions that affect the reported amounts of assets, liabilities, revenues and expenses in the financial statements and the disclosures of contingent assets and liabilities. Accordingly, actual results could differ from those estimates.

Income Taxes

YCH is exempt from federal and state income taxes. YCH is also exempt from property taxes but normally and historically made payments in lieu of taxes on owned housing.

NOTE 3 - CASH, CASH EQUIVALENTS AND INVESTMENTS

Cash, cash equivalents and investments at June 30, 2010 consisted of the following:

Deposits	\$ 1,504,771
Petty cash	235
Local Agency Investment Fund	<u>76,180</u>
Total cash and investments	1,581,186
Restricted cash and cash equivalents	<u>1,916,766</u>
Total	<u><u>\$ 3,497,952</u></u>

Deposits

The carrying amounts of YCH's cash deposits were \$1,505,006 at June 30, 2010. Bank balances at June 30, 2010, were \$1,587,868. The bank balances were fully insured and/or collateralized with securities held by the pledging financial institutions in YCH's name as discussed below.

The California Government Code requires California banks and savings and loan associations to secure YCH's cash deposits by pledging securities as collateral. This Code states that collateral pledged in this manner shall have the effect of perfecting a security interest in such collateral superior to those of a general creditor. Thus, collateral for cash deposits is considered to be held in YCH's name.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

The fair value of pledged securities must equal at least 110% of YCH's cash deposits. California law also allows institutions to secure deposits by pledging first trust deed mortgage notes having a value of 150% of YCH's total cash deposits. YCH may waive collateral requirements for cash deposits that are fully insured by the Federal Deposit Insurance Corporation (FDIC). YCH, however, has not waived the collateralization requirements.

Investment Policy

In accordance with State statutes, HUD regulations and its own investment policy, YCH may invest its funds in U.S. Treasury, U.S. Government agencies, local government pooled investment funds, and other investments as outlined in YCH's investment policy.

Local Agency Investment Fund Investments

YCH participates in the Local Agency Investment Fund (LAIF) that is regulated by California Government Code. LAIF is part of the State of California Pooled Money Investment Account (P.M.I.A.). The balance of the investment portfolio of P.M.I.A. at June 30, 2010 was \$69,386 million of which 5.42% was invested in Structured Notes and Asset-Backed Securities. P.M.I.A. is not registered with the Securities and Exchange Commission (SEC) but is required to invest in accordance with California State Code. The average maturity of P.M.I.A. investments was 203 days as of June 30, 2010. YCH's investments with LAIF at June 30, 2010 include a portion of the pool funds invested in Structured Notes and Asset-Backed Securities. These investments include the following:

Structured Notes are debt securities (other than asset-backed securities) whose cash flow characteristics (coupon rate, redemption amount, or stated maturity) depend upon one or more indices and/or that have embedded forwards or options.

Asset-Backed Securities, the bulk of which are mortgage-backed securities, entitle their purchasers to receive a share of the cash flows from a pool of assets such as principal and interest repayments from a pool of mortgages (such as Collateralized Mortgage Obligations) or credit card receivables.

As of June 30, 2010, YCH had \$76,180 invested in LAIF and at which time, the LAIF fair value factor of 1.001643776 was used to calculate the fair value of the investments in LAIF. More information on LAIF investment pool can be found at <http://www.treasurer.ca.gov/pmia-laif/>.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Investment Risk Factors

There are many factors that can affect the value of investments. Some, such as credit risk, custodial risk, concentration of credit risk and market risk, may affect both equity and fixed income securities. Equity and debt securities respond to such factors as economic conditions, individual company earnings performance and market liquidity, while fixed income securities are particularly sensitive to credit risk and changes in interest rates. It is the investment policy of YCH to invest substantially all of its funds securities which limits YCH's exposure to most types of risk.

Credit Risk

Credit risk is the risk that an issuer will fail to pay interest or principal in a timely manner or that negative perceptions of the issuer's ability to make these payments will cause security prices to decline. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. LAIF investment is not rated by such an organization.

Custodial Risk

Custodial risk is the risk that, in the event of the failure of the custodian, the investments may not be returned. As of June 30, 2010, YCH only has investments with LAIF and custodial risk does not apply to local governments' investments pool such as LAIF.

Concentration of Credit Risk

Generally, credit risk is the risk associated with a lack of diversification, such as having substantial investments in a few individual issuers, thereby exposing YCH to greater risks resulting from adverse economic, political, regulatory, geographic or credit developments. Investments issued or guaranteed by the U.S. Government and investments in external investment pools such as LAIF are not considered subject to concentration of credit risk.

Market Risk

Market risk is the risk that the value of an investment will change due to changes in the financial market. Changes in market conditions can increase Interest Rate Risk, Liquidity Risk and Reinvestment Risk.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Interest Rate Risk is the risk associated with declines or rises in interest rates which cause an investment in a fixed-income security to increase or decrease in value. The terms of a debt investment may cause its fair value to be highly sensitive to interest rate changes. As of June 30, 2010, YCH has no exposure to interest rate risk.

Liquidity Risk is the risk of being unable to liquidate an investment prior to maturity. Related to liquidity risk is the concept of marketability, or the ability to sell an instrument on short notice without incurring a meaningful loss in price.

Reinvestment Risk is the risk that the proceeds from a fixed-income security cannot be reinvested at the same rate of return currently generated by that holding. This risk is common with securities that are callable.

YCH maintains its portfolio in readily available demand deposits and LAIF. These ensure liquidity is maintained in order to meet ongoing operations, maximize return and limit exposure to changing market conditions.

NOTE 4 - RESTRICTED CASH AND CASH EQUIVALENTS

Restricted cash and cash equivalents consist of funds held in escrow, tenant deposits, replacement reserves required by the lender and other funds being held by YCH on behalf of its clients. The balances are as follows:

HUD funds restricted in use for HAP payments	\$ 812,626
Replacement reserves:	
Madison Migrant Center	188,199
Davis Migrant Center	427,005
NHCDC	160,397
Rural Rental USDA Davis	54,908
Tenant security deposits	198,685
Family Self Sufficiency Program participants'	
escrow funds	22,825
Migrant Centers operations	<u>52,121</u>
Total restricted cash	<u><u>\$ 1,916,766</u></u>

The amounts held for the replacement of the USDA Rural Economic and Community Development (USDA) and the California Department of Housing and Community

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Development (HCD) for the RHCP and Migrant Programs cannot be disbursed without the approval of the USDA or the HCD. These amounts are offset by restricted net assets.

The amounts held for the operations of the Migrant programs can be disbursed only on expenditures that have been pre-approved by the HCD, Office of Migrant Services (OMS). These amounts are offset by restricted net assets; however, they are not fully funded due to outstanding receivables from the State of California.

The amounts held by YCH on behalf of Family Self Sufficiency Program participants and tenants are reported as payable from restricted assets. These liabilities have been fully funded as of June 30, 2010.

NOTE 5 - ACCOUNTS RECEIVABLE - FUNDING SOURCES

At June 30, 2010, due from funding sources consisted of the following:

<u>Source</u>	<u>Program</u>	<u>Amount</u>
Federal	Public Housing	\$ 46,231
Federal	HCV	7,628
Federal	Capital Fund	395,586
County	ADMH	551
State	OMS-Davis	100,430
State	OMS-Madison	140,644
State	OMS-Dixon	<u>223,455</u>
Total		<u>\$ 914,525</u>

All amounts are expected to result in payment in the next fiscal year.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

NOTE 6 - CAPITAL ASSETS

A summary of changes in capital assets for the year ended June 30, 2010 is as follows:

	Balance, June 30, 2009	Additions	Transfers / Retirements	Balance, June 30, 2010
Capital assets, not being depreciated				
Land	\$ 3,921,298	\$ -	\$ -	\$ 3,921,298
Construction in progress	816,135	681,564	(673,436)	824,263
Total capital assets, not being depreciated	<u>4,737,433</u>	<u>681,564</u>	<u>(673,436)</u>	<u>4,745,561</u>
Capital assets, being depreciated				
Building improvements	30,149,991	362,714	673,436	31,186,141
Equipment	655,949	7,188	(15,500)	647,637
Total capital assets, being depreciated	<u>30,805,940</u>	<u>369,902</u>	<u>657,936</u>	<u>31,833,778</u>
Less accumulated depreciation:	(18,008,606)	(793,808)	15,500	(18,786,914)
Total capital assets being depreciated, net	<u>12,797,334</u>	<u>(423,906)</u>	<u>673,436</u>	<u>13,046,864</u>
Total capital assets, net	<u>\$ 17,534,767</u>	<u>\$ 257,658</u>	<u>\$ -</u>	<u>\$ 17,792,425</u>

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

NOTE 7 - ACCOUNTS PAYABLE - FUNDING SOURCE

At June 30, 2010, accounts payable - funding source consist of the following: State of California - Migrant rent collection:

State of California - Migrant rent collection:	
Davis Center	155,387
Madison Center	225,419
Dixon Center	<u>222,360</u>
Total	<u>\$ 603,166</u>

HCD provides YCH with grants to operate each of the three migrant centers. In general, all rents and other charges collected from the tenants of these centers are payable to HCD. The above represents collections retained, but not yet forwarded to HCD as of June 30, 2010 for each center.

NOTE 8 - INTERFUND BALANCES

YCH utilizes a few cash accounts to make payments to vendors and for payroll. Costs are accrued to appropriate funds, which necessitates the use of interfund accounts. Costs are reimbursed on a periodic basis. The interfund receivable/payable balance of \$2,285,623 was eliminated in the Statement of Net Assets.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

The interfund receivable balances are as follows:

Public Housing:		
AMP 1	\$	705,162
AMP 2		4,629,273
AMP 3		68,476
AMP 1		(152,069)
AMP 2		(546,219)
AMP 3		<u>(3,121,907)</u>
Total public housing	\$	1,582,716
Housing Choice Vouchers		633,863
State and local		
Migrant Housing (HCD) - all programs		<u>63,674</u>
Total state and local programs		63,674
Rental Rural Davis Housing (USDA)		<u>5,370</u>
Total interfund balances	\$	<u><u>2,285,623</u></u>

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

The interfund payables are as follows:

Central office cost center		\$ 1,606,810
Capital Fund		395,586
State and local		
ADMH	41,580	
Esparto (Joe Serna Grant)	69,814	
Other state program	<u>17,476</u>	
Total state and local programs		128,870
Blended Component Unit - NHCDC		
Kentucky Commercial Building	1,004,167	
Cottonwood RHCP	<u>(849,810)</u>	
		<u>154,357</u>
Total interfund balances		<u><u>\$ 2,285,623</u></u>

These interfund payables/receivables have been recorded as current assets and liabilities at the fund level and have been eliminated on YCH's Statement of Net Assets. A number of YCH's programs have significant liabilities, but few liquid assets. This may make repayment of these interfund liabilities on a timely basis problematic.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS

June 30, 2010

NOTE 9 - LONG-TERM DEBT

The following is a schedule of the changes in long-term debt as of June 30, 2010:

Type of obligations	Interest rates	Maturity date	Balance, 6/30/2009	Additions	Payments	Balance, 6/30/2010	Short-term Portion	Long-term Portion
Office Mortgage 1	5.56%	2030	\$ 2,079,973	\$ -	\$ (603,267)	\$ 1,476,706	\$ 86,407	\$ 1,390,299
Office Mortgage 2	5.75%	2010	90,000	-	(90,000)	-	-	-
Office Mortgage 3	3.50%	2014	160,000	-	-	160,000	50,000	110,000
Esparto CDBG	3.00%	2019	27,494	-	(2,466)	25,028	2,393	22,635
USDA Davis Note	1.00%	2018	2,390	-	(905)	1,485	896	589
NHCDC:								
Cottonwood RHCP	0.00%	2017	368,800	-	-	368,800	-	368,800
Cottonwood	5.6%	2030	1,761,441	-	(23,376)	1,738,065	23,003	1,715,062
Total			\$ 4,490,098	\$ -	\$ (720,014)	\$ 3,770,084	\$ 162,699	\$ 3,607,385

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Following is a schedule of debt payment requirements to maturity for the mortgages and loans noted above:

Year ending June 30	Office Mortgages		Government Loans		NHCDC Mortgages		Total
	Principal	Interest	Principal	Interest	Principal	Interest	
2011	\$ 136,407	\$ 81,491	\$ 3,460	\$ 733	\$ 23,003	\$ 96,486	\$ 341,580
2012	141,657	76,241	3,178	647	18,618	96,471	336,812
2013	147,168	70,730	2,697	566	19,962	95,127	336,250
2014	112,790	65,108	2,779	484	21,116	93,972	296,249
2015	108,736	59,162	2,397	400	22,338	92,750	285,783
2016-2020	645,399	194,090	12,002	704	500,884	443,359	1,796,438
2021-2025	344,549	22,494			175,300	400,144	942,487
2026-2030	-	-			232,239	343,204	575,443
2031	-	-			1,093,405	93,828	1,187,233
Total	\$ 1,636,706	\$ 569,316	\$ 26,513	\$ 3,534	\$ 2,106,865	\$ 1,755,341	\$ 6,098,275

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

As of June 30, 2010, YCH has the following outstanding debt:

Office Mortgage 1 - \$2,240,000 borrowed at an initial rate of 5.560% per annum from the First Northern Bank. This note is collateralized by YCH's main office building at 147 Main Street, Woodland, California. The loan matures on December 15, 2030 and requires monthly payments of \$13,991.

Office Mortgage 2 - \$180,000 borrowed at a variable interest rate of 1.25% below the First Northern Bank Base Commercial Loan Rate, from the First Northern Bank. The note is collateralized by YCH's facility at 1212 L Street, Davis, California. The note requires monthly interest only payments, with the exception of two principal payments of \$90,000 each due January 2009 and 2010. The interest rates for the year ranged from 3.5% to 4%. The final payment on this loan was made December 15, 2009. The loan is now paid in full.

Office Mortgage 3 - \$480,000 borrowed at a variable rate of 1.25% below the First Northern Bank Base Commercial Loan Rate, from the First Northern Bank. This note is collateralized by YCH's main office building at 147 Main Street in Woodland. The note requires monthly interest only payments. The interest rates for the year ranged from 3.5% to 4%. Loan principal payments of \$160,000 were due and paid on January 15, 2007 and 2008. The remaining \$160,000 owed has been restructured with annual payments of \$50,000 due January 2011, 2012, and 2013. The final \$10,000 is due January 2014. Interest only payments continue to be due monthly on the balance owed.

On May 25, 2004, the County of Yolo, Planning and Public Works Department loaned YCH \$38,250. The loan was made from the County's Community Development Block Grant (CDBG) to aid in the funding of the development located in Esparto, California. The loan earns interest at a rate of 3% per annum and requires quarterly payments of \$816.

The USDA note accrues interest at a rate of 1% per annum and requires monthly payments of \$77.50.

YCH administers three Migrant Housing Centers on behalf of HCD. These Migrant Centers typically sit on land owned by the County, but the buildings are owned by the State. On an annual basis, YCH receives operating and rehabilitation grants to operate and maintain these centers. Two of the centers have been extensively remodeled using grants and loans from USDA. These loans are obligations of the State. However, the annual operating grant contains a value for the servicing of this debt. This amount is requisitioned from HCD, paid to USDA and posted as interest expense in YCH's books of accounts. Neither the capital assets nor the long-term debt is reported in YCH's financial statements.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

On October 23, 2001, NHCDC purchased property known as the Cottonwood Meadows Apartments (47 units). These apartments were originally built with funding from HCD under RHCP. To acquire this property, YCH was required to assume the RHCP regulatory agreement and a \$368,800 note with HCD. Among other things, the regulatory agreement restricts the occupancy of 14 of the apartments to tenants with certain specified income levels and requires the establishment and maintenance of replacement and operating reserves, including annual deposits into each. The HCD note is deferred until 2017 at which time the principal balance of \$368,800 is due.

On December 22, 2005, NHCDC refinanced the property known as Cottonwood Meadows Apartments. NHCDC borrowed \$1,900,000 from First Northern Bank. This loan is amortized over 25 years, requires monthly payments of \$11,868 and earns interest at a rate of 5.56% per annum. On September 3, 2009, this loan was renegotiated to decrease the monthly payment to \$9,591. The interest rate and maturity date of December 31, 2030, remain the same. The terms of the loan, as they are now, requires a balloon payment of \$1,099,893 at maturity.

During the fiscal year ended June 30, 1999, HUD directed YCH to remove all HUD-guaranteed debt from their books. This debt included \$6,847,600 of HUD permanent notes and \$6,590,186 of interest accrued on these notes, \$103,720 of outstanding Federal Financing Bank notes, and \$205,000 of outstanding New Housing Bonds. These HUD-guaranteed notes and bonds have not been forgiven by HUD. The Public Housing Program's Annual Contributions Contract (ACC) states that all debt service requirements related to these notes will be HUD's responsibility. Therefore, it is management's opinion that YCH is not liable for this debt unless the federal government fails to honor the ACC. Accordingly, these amounts have been removed from YCH's books.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

A detailed schedule of interest activity for the loans is as follows:

	<u>Expensed</u>	<u>Paid</u>	<u>Current payable</u>
Office Mortgage 1	\$ 115,949	\$115,493	\$456
Office Mortgage 2	1,512	1,154	358
Office Mortgage 3	6,036	6,036	-
Esparto CDBG	797	797	-
USDA Davis Note	25	25	-
NHCDC - Cottonwood Mortgage	98,544	104,112	-
Migrant - Davis Housing Center	59,779	59,779	-
Migrant - Madison Housing	<u>88,136</u>	<u>88,136</u>	<u>-</u>
	<u>\$ 370,778</u>	<u>\$ 375,532</u>	<u>\$ 814</u>

NOTE 10 - OTHER LIABILITIES

On October 2, 2003, YCH received a Joe Serna Jr. Farmworker Housing Grant from the State of California. The grant, totaling \$600,000, was issued by the State to assist in the acquisition and development of real property located in Esparto, California. Between March 2004 and October 2005, YCH requisitioned and received \$331,269 of this grant. The property was purchased and the building permits pulled. No further activity has occurred. YCH has reported this grant as a long-term liability. This presentation is the most conservative, until the project is complete and the State is satisfied with the manner in which their funds were spent. No interest has been paid or accrued in relation to this grant.

NOTE 11 - PILOT TAXES

In connection with the Public Housing Program, YCH is obligated to make annual payments in lieu of property taxes (PILOT) to the County of Yolo based on the lesser of the assessable value of owned housing, times the current tax rate; or 10% of the dwelling rents collected, net of utilities expense. In an agreement dated April 2, 2009, the County of Yolo and YCH

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

agreed to use only the 10% of shelter rent calculation for PILOT for fiscal years ending 2003, and 2005-2011. This agreement also forgave the payment of PILOT for the fiscal years ended 2003 and 2005 and set up a repayment agreement for the PILOT owed for the fiscal years ended 2006-2008. During the year ended June 30, 2010, \$146,665 was incurred and \$147,408 remains payable as of June 30, 2010 and is included in other current liabilities in the statement of net assets.

NOTE 12 - DEFERRED REVENUE

In August 2006, YCH executed a lease with a chiropractic practice (the tenant). Under the terms of the 10 year lease, YCH has agreed to rent approximately 2,800 square feet of YCH's office building located at 147 West Main Street in Woodland. The stated rent of the lease is \$2,520 per month. The tenant paid \$220,300 for the improvement of the building and YCH has agreed to credit the tenant in the form of free rent. YCH's acceptance of these tenant improvements resulted in a \$220,300 increase in book value of the building in the Public Housing Program and a \$220,300 credit to unearned revenue. As of June 30, 2010, \$112,721 of deferred revenue exists, including \$31,421 of deferred revenue classified as a current liability.

In addition to the short-term portion of the prepaid lease liability noted above, deferred revenue includes \$423 of prepaid rent for the migrant programs and \$216,525 of prepaid HAP for the HCV program as of June 30, 2010.

NOTE 13 - NET ASSETS

Investment in Capital Assets, Net of Related Debt

Investment in capital assets, net of related debt as of June 30, 2010 consists of the following:

Capital assets, net of depreciation	\$ 17,792,425
Long-term debt	(3,607,385)
Current portion of long-term debt	(162,699)
Accrued interest on long-term debt	(814)
	<hr/>
Net	<u>\$ 14,021,527</u>

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Restricted Net Assets

Net assets are reported as restricted when constraints placed on the net asset use are either externally imposed by creditors, grantors, contributors, or laws or regulations of other governments; or imposed by law through constitutional provisions or enabling legislation. YCH has reported the following as restricted net assets:

Excess HAP funding - Housing Choice Voucher	\$	731,421
Madison Migrant Center replacement reserve		427,005
Davis Migrant Center replacement reserve		188,199
Cottonwood RHCP replacement reserves		160,397
USDA Davis replacement reserve		<u>54,908</u>
Total	\$	<u><u>1,561,930</u></u>

The excess HAP restricted reserves represent funds received from HUD in excess of the amounts expended by YCH for HAP. Base on HUD directive, these funds may only be used for future HAP payments and any excess received must be restricted in its use. In May 2009, HUD advised all housing authorities that a portion of the excess HAP reserve may be recaptured through reduced funding. YCH had no excess HAP funding recaptured during 2010. The current excess HAP funding activity as of June 30, 2010 is as follows:

Balance, June 30, 2009, as previously reported		\$	318,647
Prior period adjustment			<u>133,658</u>
Balance, June 30, 2009, as adjusted			452,305
HUD funding for HAP	\$	9,206,926	
HAP expense		<u>(8,928,887)</u>	
Excess HAP funding			278,039
Interest and fraud recovery revenue			<u>1,077</u>
Balance, June 30, 2010	\$		<u><u>731,421</u></u>

On October 25, 2010, HUD informed YCH that the Net Restricted Asset (NRA) of the Housing Choice Voucher Program (HCV) as of June 30, 2009 has been adjusted from \$318,647 to \$452,305. Consequently, a prior period adjustment has been recorded to increase the NRA of the HCV Fund and the due from the COCC for \$133,658. A corresponding entry was made in the COCC Fund to increase the interfund due to HCV and

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

decrease the unrestricted net assets of the COCC for \$133,658. These adjustments resulted in an increase of the restricted net assets and a decrease of unrestricted net assets as of June 30, 2009 with no effect on the total net assets of YCH as a whole.

Net Assets

A detailed schedule of all YCH's programs' net assets as of June 30, 2010 is as follows:

	Capital assets, net of debt	Restricted net assets	Unrestricted net assets	Total net assets
Public Housing	\$ 11,302,346	\$ -	\$ 1,464,127	\$ 12,766,473
Housing Choice Vouchers	-	731,421	413,436	1,144,857
USDA - Davis Solar	174,182	54,908	22,588	251,678
Central Office Cost Center	2,343,363	-	(1,167,597)	1,175,766
Migrant - Madison Housing Center	-	427,005	(15,568)	411,437
Migrant - Davis Housing Center	-	188,199	34,754	222,953
Migrant - Dixon Housing Center	-	-	194,859	194,859
Migrant - Rehabilitation	-	-	(17,476)	(17,476)
Esparto Development	294,891	-	(401,083)	(106,192)
ADMH	693,333	-	(41,029)	652,304
NHCDC - RHCP - Cottonwood	(786,588)	160,397	906,797	280,606
Kentucky Commercial Building	-	-	(1,004,167)	(1,004,167)
Total	<u>\$ 14,021,527</u>	<u>\$ 1,561,930</u>	<u>\$ 389,641</u>	<u>\$ 15,973,098</u>

NOTE 14 - DEFINED BENEFIT PENSION PLAN

Plan Description

YCH contributes to the California Public Employees' Retirement System (CalPERS), an agent multi-employer public employee defined benefit pension plan. CalPERS provides retirement and disability benefits, annual cost-of-living adjustments, and death benefits to plan members and beneficiaries. CalPERS acts as a common investment and administrative agent for participating public entities within the State of California. Benefit provisions and all other requirements are established by State statutes within the Public Employees' Retirement Law. CalPERS issues a separate comprehensive annual financial report. Copies of the CalPERS' annual financial report may be obtained from their website.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Funding Policy

Participants are required to contribute 7.0% of their annual covered salary. YCH makes 50% of the contribution required of the employees on their behalf and for their account. YCH is required to contribute the actuarially determined remaining amounts necessary to fund the benefits for its members. The actuarial methods and assumptions used are those adopted by the CalPERS Board of Administration. The required employer contribution rate for the year ended June 30, 2010 was 9.157% of annual covered payroll. The current contribution rate is 9.816%. The contribution requirements of plan members and YCH are established and may be amended by CalPERS.

Annual Pension Cost

For the year ended June 30, 2010, YCH's annual pension cost of \$123,694 was equal to YCH's required contributions. YCH made payments to CalPERS totaling \$217,090. These payments consisted of \$46,698 contributions made by employees and \$170,392 contributions made by YCH on behalf of its employees. The required contribution for the year ended June 30, 2010, was determined as part of the June 30, 2006, actuarial valuation using the entry age normal actuarial cost method with the contributions determined as a percent of pay. The actuarial assumptions included (a) 7.75% investment rate of return (net of administrative expenses), (b) projected annual salary increases that vary by duration of service, and (c) 3.25% per year cost-of-living adjustments. Both (a) and (b) include an inflation component of 3.0%. The actuarial value of CalPERS assets was determined using techniques that smooth the effects of short-term volatility in the market value of investments over a fifteen year period (smoothed market value). CalPERS unfunded actuarial accrued liability (or excess assets) is being amortized as a level percentage of projected payroll on a closed basis.

Required Supplemental Information

YCH is a participant in the CalPERS 2% at 55 Risk Pool. CalPERS makes certain annual valuations for the Risk Pool as a whole rather than valuations for YCH specifically. The required supplementary information for YCH's Risk Pool in thousands is as follows:

Valuation date	Entry age normal accrued liability	Actuarial value of assets (AVA)	Market value of assets (MVA)	Unfunded liability/ (excess) assets	Funded status (AVA/AL)	Annual covered payroll	URAL as a % of payroll
6/30/07	\$ 2,611,747	\$ 2,391,434		\$ 220,313	91.6%	\$ 665,523	33.1%
6/30/08	2,780,281	2,547,323	2,581,858	232,957	91.6%	688,607	33.8%
6/30/09	3,104,798	2,758,511	2,014,336	346,287	88.8%	742,981	46.6%

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

YCH's Side Fund with CalPERS

YCH is a participant in the CalPERS 2% at 55 Risk Pool. At the time YCH joined the Risk Pool, a Side Fund was created to account for the difference between the funded status of the Risk Pool and the funded status of YCH's plan. As of June 30, 2009 and 2008, YCH's Side Fund had a negative balance of \$341,981 and \$337,226, respectively, which will cause YCH's required employer's contribution rate to be increased by the amortization of the Side Fund. CalPERS intends to amortize the negative balance in the Side Fund over the next 27 years.

NOTE 15 - OTHER POST-EMPLOYMENT BENEFIT PROGRAM (OPEB)

Plan Description

The OPEB provided by YCH is medical plan coverage. YCH offers its retired employees/commissioners health insurance through CalPERS. To be eligible for this benefit, the former employee/commissioner must be fifty years of age and have five years of credited service. The employee cannot terminate employment before meeting the age condition and be entitled to receive benefits. YCH's agreement with CalPERS essentially states that YCH will eventually be required to provide retiree medical benefits identical to that which it provides for active employees in the same plan at the same coverage. The plan provides for 100% of the medical premium for retired employees and spouses and 40% of the medical premium for retired commissioners and their spouses.

Eligibility

As of June 30, 2010, ten employees and one commissioner were eligible to receive these benefits. YCH had another 33 employees who are eligible for the program, but are not receiving benefits due to the fact that they are not retired from YCH as of June 30, 2010.

Requirements of GASB 45

GASB has mandated disclosure of other post employment benefit (OPEB) liabilities for all government employers beginning, for YCH, with the fiscal year beginning July 1, 2009. YCH adopted GASB 45 one year early. During the prior fiscal years, YCH had administered this program on a pay-as-you-go basis. Actual program costs were expensed in the period incurred. To comply with GASB 45, YCH received an actuarial report for the program which estimated the present value of the projected benefits of the OPEB program. The valuation

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

date of YCH's most recent actuarial report was January 1, 2009. The actuarial report was performed by Bickmore Risk Services & Consulting.

Funding Policy

The goal of GASB 45 is to match recognition of retiree medical expense with the periods during which the benefit is earned. The entry age normal cost method effectively meets this goal in most circumstances. YCH has adopted an entry age normal cost, pay-as-you-go, approach to the funding of its other post employment benefit (OPEB) liability. YCH makes 100% of the retired employees/commissioner medical premium payments to the healthcare benefit provider. YCH is reimbursed 60% of the premiums for the retired commissioner. During the current fiscal year, YCH made payments totaling \$69,247. No portion of the OPEB liability has been funded by YCH to date. The difference between the actuarially determined OPEB annual required contribution and the actual amounts paid to the healthcare benefit provider on behalf of retirees for the current fiscal year has been allocated to all programs, based on the current retirees allocation, and reported as a long-term liability of \$595,602.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Annual OPEB cost, net of OPEB Obligation and funding status as of June 30, 2010 is as follows:

Actuarial present value of projected benefits:		
Actives	\$ 4,149,495	
Retirees	<u>1,816,536</u>	
Total	<u>\$ 5,966,031</u>	
Actuarial accrued liability (AAL):		
Actives	\$ 1,925,920	
Retirees	<u>1,816,536</u>	
AAL (all unfunded)	<u>\$ 3,742,456</u>	250.8% of covered payroll
Annual required contribution (ARC):		
Normal costs	\$ 205,866	13.8% of covered payroll
Amortization of unfunded AAL	147,728	
Interest as of June 30, 2010	<u>7,759</u>	
Total ARC (annual OPEB costs)	361,353	24.2% of covered payroll
Contributions made	<u>(69,247)</u>	
Increase in OPEB obligation	292,106	
Net OPEB obligation, beginning of year	<u>303,496</u>	
Net OPEB obligation, end of year	<u>\$ 595,602</u>	
Covered payroll	<u>\$ 1,492,000</u>	

Actuarial valuations of an ongoing plan involve estimates of the value of reported amounts and assumptions about the probability of occurrence of events far into the future. Examples include assumptions about future employment, mortality, and the healthcare cost trend. Amounts determined regarding the funded status of the plan and the annual required contributions of the employer are subject to continual revision as actual results are compared with past expectations and new estimates are made about the future. No amounts have been funded to date.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Actuarial Methods and Assumptions

Projections of benefits for financial reporting purposes are based on the substantive plan (the plan as understood by the employer and the plan members) and include the types of benefits provided at the time of each valuation and the historical pattern of sharing of benefit costs between the employer and plan members to that point. The actuarial methods and assumptions used include techniques that are designed to reduce the effects of short-term volatility in actuarial accrued liabilities and the actuarial value of assets, consistent with the long-term perspective of the calculations.

The valuation date of YCH's most recent actuarial report was January 1, 2010. The funding method used was the entry age normal cost, level percent of pay. The plan has not been funded; but if it had, the market value of assets method would have been used to value the assets. The actuarial assumptions included a 4.5% discount rate for unfunded plans, salary increases assumed at 3.25% per year, and assumed increases for amortization of payments of 3.25% per year.

NOTE 16 - DEFERRED COMPENSATION PLAN

YCH offers its employees a deferred compensation plan created in accordance with Internal Revenue Code Section 457, *State and Local Government Deferred Compensation Plans*. The plan is administered by the ICMA Retirement Corporation. The plan, available to all regular employees, permits them to defer a portion of their salary until future years. The deferred compensation is not available to employees until termination, retirement, death or unforeseeable emergency. All amounts of compensation deferred under the plan, all property and rights purchased with those amounts, and all income attributable to those amounts, property, or rights are held in trust for the exclusive benefits of participants and their beneficiaries.

As of June 30, 2010, a total of \$129,534 is being held by the ICMA Retirement Corporation on behalf of YCH's employees. These funds are not recorded as assets of YCH since they are held in trust for the exclusive benefit of participants and their beneficiaries and are not subject to claims of YCH's general creditors.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

NOTE 17 - RISK MANAGEMENT

Worker's Compensation

YCH is a member of the California Housing Worker's Compensation Authority (CHWCA), which provides worker's compensation insurance. CHWCA provides employer liability coverage to its members, in the amount of \$500,000 each accident. CHWCA has purchased excess insurance coverage from \$1,000,000 to statutory, for all of its members.

CHWCA is a joint powers authority consisting of 31 public housing authorities, housing commissions, and redevelopment agencies organized under a joint powers agreement to fund a self-insurance program for worker's compensation. Each member has equal representation on the Board of Directors. The Board elects a seven-member Executive Committee for a two-year term which has the responsibility for overseeing all operations of CHWCA. The Board of Directors has total responsibility for all actions of CHWCA.

Annual premiums and assessments are approved by the Board of Directors and are adjusted each year based on the following criteria:

- Each member's incurred losses;
- Each member's share of such losses and other expenses as a proportion of all members' such losses;
- Each member's contribution to reserves, including reserves for incurred but not reported losses; and
- Each member's share of costs to purchase excess insurance and any additional coverage.

If CHWCA is dissolved, the remaining assets, after all premiums and assessments have been paid and final disposition of all claims has been determined, will be distributed to members proportionate to each member's cash contributions made during the life of CHWCA. Until dissolution, however, no member has identifiable equity.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

Property and Liability Insurance

YCH procured insurance beginning June 1, 2009 through the Housing Authority Insurance Group with the Housing Authority Risk Retention Group and Travelers. The limits for property and liability insurance are \$5 million for both YCH and the Dixon Housing Authority, with deductibles of \$25,000 per occurrence. The limits for automobile insurance are \$5 million for owned autos, \$1 million for non-owned hired autos, and \$1 million for uninsured motorist. The limit for employee benefit administration liability is \$1 million, with a deductible of \$1,000.

NOTE 18 - ECONOMIC DEPENDENCY

YCH receives the majority of its funding from HUD. HUD is subject to the federal budget allocation process each year. For the fiscal year ended June 30, 2010, YCH's budget included \$9,907,516 of estimated HUD funding. A reduction in funding from HUD could significantly change the services provided by YCH.

NOTE 19 - COMMITMENTS AND CONTINGENCIES

Grants

YCH has received funds from various federal, state and local grant programs. It is possible that at some future date it may be determined that YCH was not in compliance with applicable grant requirements. The amount, if any, of expenditures which may be disallowed by the granting agencies cannot be determined at this time although YCH does not expect such disallowed amounts, if any, to materially affect the financial statements.

2005 and 2006 Single Audit Reports

In a letter dated May 15, 2007, the HUD Regional Office in San Francisco informed YCH that YCH's Single Audit for the year ended June 30, 2006, will remain "open" until further notice. The letter from HUD stated that, "We also have concerns regarding the quality of the audit and will bring these concerns to the attention of the Quality Audit Assurance Division in Headquarters for review." Further, the letter stated that YCH's Single Audit for the year ending June 30, 2005, also remained "open." Although the ultimate resolution of this matter is not determinable at this time, YCH does not expect this matter to have a material effect on the financial statements.

Yolo County Housing

NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2010

NOTE 20 - OTHER MATTERS

YCH is a co-general partner in one tax credit property known as Eleanor Roosevelt Circle. The YCH's ownership is .003% in the partnership and the other general partners are responsible for the partnership and its management. The majority of the project is owned by the limited partner, National Equity Fund, a tax credit syndicator.

NHCDC is a co-general partner in one tax credit property known as Cesar Chavez Plaza. NHCDC's ownership is .003% in the partnership and the other general partners are responsible for the partnership and its management. The majority of the project is owned by the limited partner, National Equity Fund, a tax credit syndicator.

NOTE 21 - RELATED PARTY TRANSACTIONS

YCH received legal services from the County of Yolo, Office of the County Counsel services at a rate of \$10,000 per quarter.

NOTE 22 - SUBSEQUENT EVENTS

Management evaluated all activity of YCH through March 31, 2011 and concluded that no subsequent event has occurred that would require recognition in the financial statements or disclosure in the notes to financial statements.

SUPPLEMENTAL INFORMATION

Yolo County Housing

COMBINING STATEMENT OF NET ASSETS - ENTERPRISE FUNDS

June 30, 2010

	<u>Business activities</u>	<u>Federal funds</u>	<u>State funds</u>	<u>Eliminations</u>	<u>Agency wide</u>
ASSETS					
Cash and cash equivalents	\$ 1,125,521	\$ 27,393	\$ 428,272	\$ -	\$ 1,581,186
Restricted cash and cash equivalents	-	983,062	933,704	-	1,916,766
Accounts receivable - tenant, net	-	28,559	6,573	-	35,132
Accounts receivable - other	-	2,001	739	-	2,740
Accounts receivable - funding source	-	449,445	465,080	-	914,525
Interprogram due from	609,769	2,216,579	69,044	(2,895,392)	-
Inventories, net	-	142,253	-	-	142,253
Prepaid items and other assets	63,651	11,869	27,190	-	102,710
	<u>1,798,941</u>	<u>3,861,161</u>	<u>1,930,602</u>	<u>(2,895,392)</u>	<u>4,695,312</u>
Total current assets					
Noncurrent assets					
Capital assets not being depreciated	278,120	3,867,220	600,221	-	4,745,561
Capital assets, net of accumulated depreciation	3,702,763	7,435,126	1,908,975	-	13,046,864
Loan cost, net of accumulated amortization	18,425	-	25,247	-	43,672
	<u>3,999,308</u>	<u>11,302,346</u>	<u>2,534,443</u>	<u>-</u>	<u>17,836,097</u>
Total noncurrent assets					
TOTAL ASSETS	<u>\$ 5,798,249</u>	<u>\$ 15,163,507</u>	<u>\$ 4,465,045</u>	<u>\$ (2,895,392)</u>	<u>\$ 22,531,409</u>

Yolo County Housing

COMBINING STATEMENT OF NET ASSETS - ENTERPRISE FUNDS - CONTINUED

June 30, 2010

	<u>Business activities</u>	<u>Federal funds</u>	<u>State funds</u>	<u>Eliminations</u>	<u>Agency wide</u>
LIABILITIES					
Current liabilities					
Accounts payable - vendors	\$ 429,349	\$ 436	\$ -	\$ -	\$ 429,785
Accounts payable - funding source	-	-	603,166	-	603,166
Accrued compensated absences - current portion	12,733	14,492	6,996	-	34,221
Accrued interest payable	814	-	-	-	814
Interprogram due to	2,216,579	395,586	283,227	(2,895,392)	-
Notes payable - current portion	136,407	-	26,292	-	162,699
Deposits payable	2,520	138,611	47,739	-	188,870
Deferred revenue - current portion	31,421	216,525	423	-	248,369
Other current liabilities	2,194	147,408	-	-	149,602
	<u>2,832,017</u>	<u>913,058</u>	<u>967,843</u>	<u>(2,895,392)</u>	<u>1,817,526</u>
Non-current liabilities					
Accrued compensated absences - net of current portion	38,201	43,478	20,985	-	102,664
Notes payable - net of current portion	1,500,299	-	2,107,086	-	3,607,385
Family self sufficiency escrows	-	22,565	-	-	22,565
Deferred revenue - net of current portion	81,300	-	-	-	81,300
Other post-employment benefits	170,666	273,076	151,860	-	595,602
Other liabilities	-	-	331,269	-	331,269
	<u>4,622,483</u>	<u>1,252,177</u>	<u>3,579,043</u>	<u>(2,895,392)</u>	<u>6,558,311</u>
NET ASSETS					
Invested in capital assets, net of related debt	2,343,363	\$ 11,302,346	\$ 375,818	\$ -	\$ 14,021,527
Restricted	-	731,421	830,509	-	1,561,930
Unrestricted	(1,167,597)	1,877,563	(320,325)	-	389,641
	<u>\$ 1,175,766</u>	<u>\$ 13,911,330</u>	<u>\$ 886,002</u>	<u>\$ -</u>	<u>\$ 15,973,098</u>

Yolo County Housing

COMBINING STATEMENT OF ACTIVITIES - ENTERPRISE FUNDS

Year ended June 30, 2010

	Business activities	Federal funds	State funds	Eliminations	Agency wide
Operating revenues					
Dwelling rental income	\$ 30,240	\$ 1,778,720	\$ 324,624	\$ -	\$ 2,133,584
Fee revenue	1,096,006	73,000	-	(1,169,006)	-
Other revenue	115,306	48,679	10,179	-	174,164
Total operating revenues	1,241,552	1,900,399	334,803	(1,169,006)	2,307,748
Administrative expenses	999,684	1,818,304	549,754	(1,169,006)	2,198,736
Tenant services	-	76,892	1,800	-	78,692
Maintenance	154,582	1,091,169	623,226	-	1,868,977
Utilities	24,909	456,869	356,711	-	838,489
General expenses	106,040	381,336	210,864	-	698,240
Housing assistance payments	-	8,928,887	-	-	8,928,887
Depreciation	184,578	555,412	53,818	-	793,808
Amortization	2,229	-	1,377	-	3,606
Total operating expenses	1,472,022	13,308,869	1,797,550	(1,169,006)	15,409,435
Net operating loss	(230,470)	(11,408,470)	(1,462,747)	-	(13,101,687)

Yolo County Housing

COMBINING STATEMENT OF ACTIVITIES - ENTERPRISE FUNDS - CONTINUED

Year ended June 30, 2010

	<u>Business activities</u>	<u>Federal funds</u>	<u>State funds</u>	<u>Eliminations</u>	<u>Agency wide</u>
Nonoperating revenues (expenses)					
Grant revenue	808,916	12,509,474	1,840,095	-	15,158,485
Gain on disposition of capital assets	2,400	2,401	(160)	-	4,641
Interest income	4,898	6,034	4,263	-	15,195
Interest expense	(123,497)	-	(247,281)	-	(370,778)
Total nonoperating revenues	<u>692,717</u>	<u>12,517,909</u>	<u>1,596,917</u>	<u>-</u>	<u>14,807,543</u>
Net income before operating transfers	462,247	1,109,439	134,170	-	1,705,856
Operating transfers in	808,916	555,461	69,075	-	1,433,452
Operating transfers out	(808,916)	(555,461)	(69,075)	-	(1,433,452)
Change in net assets	462,247	1,109,439	134,170	-	1,705,856
Net assets - beginning of year	847,177	12,668,233	751,832	-	14,267,242
Prior Period Adjustment	(133,658)	133,658	-	-	-
Net assets - end of year	<u>\$ 1,175,766</u>	<u>\$ 13,911,330</u>	<u>\$ 886,002</u>	<u>\$ -</u>	<u>\$ 15,973,098</u>

Yolo County Housing

COMBINING STATEMENT OF CASH FLOWS - - ENTERPRISE FUNDS

Year ended June 30, 2010

	<u>Business activities</u>	<u>Federal funds</u>	<u>State funds</u>	<u>Eliminations</u>	<u>Agency wide</u>
Cash flows from operating activities					
Cash received from tenants	\$ -	\$ 1,793,808	\$ 324,826	\$ -	\$ 2,118,634
Other operating cash received	116,470	48,679	10,179	-	175,328
Cash payments for administration expenditures	(1,134,389)	(3,784,688)	(1,730,701)	1,169,006	(5,480,772)
Cash payments for housing assistance expenditures	-	(8,928,887)	-	-	(8,928,887)
Fees received from other funds	<u>1,096,006</u>	<u>73,000</u>	<u>-</u>	<u>(1,169,006)</u>	<u>-</u>
Net cash provided by (used for) operating activities	<u>78,087</u>	<u>(10,798,088)</u>	<u>(1,395,696)</u>	<u>-</u>	<u>(12,115,697)</u>
Cash flows from capital and related financing activities					
Principal paid on notes payable	(693,267)	-	(26,747)	-	(720,014)
Cash received from capital grants	808,916	914,320	-	-	1,723,236
Acquisition and construction of capital assets	(7,188)	(945,139)	(99,299)	-	(1,051,626)
Proceeds from disposal of capital assets	2,400	2,401	-	-	4,801
Financing costs paid	-	-	(4,800)	-	(4,800)
Interest paid	<u>(122,683)</u>	<u>-</u>	<u>(252,849)</u>	<u>-</u>	<u>(375,532)</u>
Net cash provided by (used for) capital and related financing activities	<u>(11,822)</u>	<u>(28,418)</u>	<u>(383,695)</u>	<u>-</u>	<u>(423,935)</u>

Yolo County Housing

COMBINING STATEMENT OF CASH FLOWS - ENTERPRISE FUNDS - CONTINUED

Year ended June 30, 2010

	<u>Business activities</u>	<u>Federal funds</u>	<u>State funds</u>	<u>Eliminations</u>	<u>Agency wide</u>
Cash flows from noncapital financing activities					
Cash received from operating subsidy	-	827,705	-	-	827,705
Cash received from housing choice voucher program	-	10,546,401	-	-	10,546,401
Cash received from grants - Migrant and RD programs	-	-	1,753,767	-	1,753,767
Net cash provided by (used for) noncapital financing activities	-	11,374,106	1,753,767	-	13,127,873
Cash flows from investing activities					
Interest income	4,898	6,034	4,263	-	15,195
Net cash provided by investing activities	4,898	6,034	4,263	-	15,195
Net increase (decrease) in cash and cash equivalents	71,163	553,634	(21,361)	-	603,436
Cash and cash equivalents					
Beginning of year	1,054,358	456,821	1,383,337	-	2,894,516
End of year	<u>\$ 1,125,521</u>	<u>\$ 1,010,455</u>	<u>\$ 1,361,976</u>	<u>\$ -</u>	<u>\$ 3,497,952</u>

Yolo County Housing

COMBINING STATEMENT OF CASH FLOWS - ENTERPRISE FUNDS - CONTINUED

Year ended June 30, 2010

	<u>Business activities</u>	<u>Federal funds</u>	<u>State funds</u>	<u>Eliminations</u>	<u>Agency wide</u>
Reconciliation of operating loss to net cash used in operating activities					
Operating loss	\$ (230,470)	\$ (11,408,470)	\$ (1,462,747)		\$ (13,101,687)
Adjustments to reconcile operating loss to net cash provided by (used for) operating activities:					
Depreciation and amortization	186,807	555,412	55,195		797,414
Changes in operating assets and liabilities:					
Decrease (increase) in assets:					
Tenant accounts receivable	1,164	16,689	(221)		17,632
Other receivables	-	(1,601)	34,293		32,692
Inventories	-	(59,982)	-		(59,982)
Prepaid items and other assets	(28,507)	(4,271)	(13,478)		(46,256)
Increase (decrease) in liabilities:					
Accounts payable	114,866	(92)	-		114,774
Accounts payable - funding sources	(147,481)	-	102,677		(44,804)
Other post-employment benefits	88,718	127,993	75,395		292,106
Accrued compensated absences	16,260	10,782	(2,540)		24,502
Deposits payable	-	(27,697)	(2,230)		(29,927)
Deferred revenue	(30,240)	-	423		(29,817)
Due to/from other funds	106,971	75,492	(182,463)		-
Other liabilities	(1)	(82,343)	-		(82,344)
Net cash provided by (used for) operating activities	<u>\$ 78,087</u>	<u>\$ (10,798,088)</u>	<u>\$ (1,395,696)</u>	<u>\$ -</u>	<u>\$ (12,115,697)</u>

FINANCIAL DATA SCHEDULE

Housing Authority of the County of Yolo (CA044)
WOODLAND, CA
Entity Wide Balance Sheet Summary

Submission Type: Audited/A-133

Fiscal Year End: 06/30/2010

	Project Total	14.871 Housing Choice Vouchers	6 Component Units	2 State/Local	10.427 Rural Rental Assistance Payments	14.885 Formula Capital Fund Stimulus Grant	COCC	Subtotal	ELIM	Total
111 Cash - Unrestricted	\$27,393	\$170,106	\$16,283	\$399,482	\$12,507		\$1,049,341	\$1,675,112		\$1,675,112
112 Cash - Restricted - Modernization and Development				\$667,325	\$54,908			\$722,233		\$722,233
113 Cash - Other Restricted		\$665,345	\$160,397				\$76,180	\$901,922		\$901,922
114 Cash - Tenant Security Deposits	\$147,611		\$18,257	\$31,331	\$1,486			\$198,685		\$198,685
115 Cash - Restricted for Payment of Current Liabilities										
100 Total Cash	\$175,004	\$835,451	\$194,937	\$1,098,138	\$68,901	\$0	\$1,125,521	\$3,497,952	\$0	\$3,497,952
121 Accounts Receivable - PHA Projects		\$7,628						\$7,628		\$7,628
122 Accounts Receivable - HUD Other Projects	\$46,231					\$238,835		\$285,066		\$285,066
124 Accounts Receivable - Other Government				\$464,607				\$464,607		\$464,607
125 Accounts Receivable - Miscellaneous	\$2,001			\$1,212				\$3,213		\$3,213
126 Accounts Receivable - Tenants	\$43,559		\$1,653	\$97	\$4,823			\$50,132		\$50,132
126.1 Allowance for Doubtful Accounts - Tenants	-\$15,000		\$0	\$0	\$0			-\$15,000		-\$15,000
126.2 Allowance for Doubtful Accounts - Other	\$0	\$0		\$0		\$0		\$0		\$0
127 Notes, Loans, & Mortgages Receivable - Current										
128 Fraud Recovery										
128.1 Allowance for Doubtful Accounts - Fraud										
129 Accrued Interest Receivable										
120 Total Receivables, Net of Allowances for Doubtful Accounts	\$76,791	\$7,628	\$1,653	\$465,916	\$4,823	\$238,835	\$0	\$795,646	\$0	\$795,646
131 Investments - Unrestricted										
132 Investments - Restricted										
135 Investments - Restricted for Payment of Current Liability										
142 Prepaid Expenses and Other Assets	\$11,869		\$12,694	\$14,496			\$63,651	\$102,710		\$102,710
143 Inventories	\$149,202							\$149,202		\$149,202
143.1 Allowance for Obsolete Inventories	-\$6,949							-\$6,949		-\$6,949
144 Inter Program Due From	\$5,271,285	\$633,863		\$63,674	\$5,370			\$5,974,192	-\$5,817,441	\$156,751
145 Assets Held for Sale										
150 Total Current Assets	\$5,677,202	\$1,476,942	\$209,284	\$1,642,224	\$79,094	\$238,835	\$1,189,172	\$10,512,753	-\$5,817,441	\$4,695,312
161 Land	\$3,185,656		\$239,463	\$177,220	\$40,839		\$278,120	\$3,921,298		\$3,921,298
162 Buildings	\$23,528,947		\$1,372,522	\$703,500	\$369,175		\$5,211,997	\$31,186,141		\$31,186,141
163 Furniture, Equipment & Machinery - Dwellings										
164 Furniture, Equipment & Machinery - Administration	\$226,237	\$21,094	\$77,110				\$323,196	\$647,637		\$647,637
165 Leasehold Improvements										
166 Accumulated Depreciation	-\$16,320,058	-\$21,094	-\$368,818	-\$10,167	-\$234,347		-\$1,832,430	-\$18,786,914		-\$18,786,914
167 Construction in Progress	\$681,564			\$142,699				\$824,263		\$824,263

	Project Total	14.871 Housing Choice Vouchers	6 Component Units	2 State/Local	10.427 Rural Rental Assistance Payments	14.885 Formula Capital Fund Stimulus Grant	COCC	Subtotal	ELIM	Total
168 Infrastructure										
160 Total Capital Assets, Net of Accumulated Depreciation	\$11,302,346	\$0	\$1,320,277	\$1,013,252	\$175,667	\$0	\$3,980,883	\$17,792,425	\$0	\$17,792,425
171 Notes, Loans and Mortgages Receivable - Non-Current										
172 Notes, Loans, & Mortgages Receivable - Non Current - Past Due										
173 Grants Receivable - Non Current										
174 Other Assets			\$25,247				\$18,425	\$43,672		\$43,672
176 Investments in Joint Ventures										
180 Total Non-Current Assets	\$11,302,346	\$0	\$1,345,524	\$1,013,252	\$175,667	\$0	\$3,999,308	\$17,836,097	\$0	\$17,836,097
190 Total Assets	\$16,979,548	\$1,476,942	\$1,554,808	\$2,655,476	\$254,761	\$238,835	\$5,188,480	\$28,348,850	-\$5,817,441	\$22,531,409
311 Bank Overdraft										
312 Accounts Payable <= 90 Days		\$436					\$424,849	\$425,285		\$425,285
313 Accounts Payable >90 Days Past Due										
321 Accrued Wage/Payroll Taxes Payable							\$3,925	\$3,925		\$3,925
322 Accrued Compensated Absences - Current Portion	\$8,057	\$6,435	\$146	\$6,815	\$35		\$12,733	\$34,221		\$34,221
324 Accrued Contingency Liability										
325 Accrued Interest Payable							\$814	\$814		\$814
331 Accounts Payable - HUD PHA Programs										
332 Account Payable - PHA Projects										
333 Accounts Payable - Other Government	\$147,408			\$567,620				\$715,028		\$715,028
341 Tenant Security Deposits	\$138,611		\$16,564	\$29,717	\$1,457		\$2,520	\$188,869		\$188,869
342 Deferred Revenues		\$216,525		\$422			\$31,421	\$248,368		\$248,368
343 Current Portion of Long-term Debt - Capital Projects/Mortgage Revenue Bonds			\$23,003	\$2,393	\$896		\$136,407	\$162,699		\$162,699
344 Current Portion of Long-term Debt - Operating Borrowings										
345 Other Current Liabilities				\$35,546			\$2,769	\$38,315		\$38,315
346 Accrued Liabilities - Other										
347 Inter Program - Due To	\$2,934,125		\$154,357	\$128,870		\$238,835	\$1,606,810	\$5,062,997	-\$5,062,995	\$2
348 Loan Liability - Current										
310 Total Current Liabilities	\$3,228,201	\$223,396	\$194,070	\$771,383	\$2,388	\$238,835	\$2,222,248	\$6,880,521	-\$5,062,995	\$1,817,526
351 Long-term Debt, Net of Current - Capital Projects/Mortgage Revenue			\$1,715,062	\$353,904			\$1,500,299	\$3,569,265		\$3,569,265
352 Long-term Debt, Net of Current - Operating Borrowings			\$368,800					\$368,800		\$368,800
353 Non-current Liabilities - Other		\$22,565					\$81,300	\$103,865		\$103,865
354 Accrued Compensated Absences - Non Current	\$24,171	\$19,307	\$437	\$20,444	\$104		\$38,201	\$102,664		\$102,664
355 Loan Liability - Non Current					\$589			\$589		\$589
356 FASB 5 Liabilities										
357 Accrued Pension and OPEB Liabilities	\$206,259	\$66,817		\$151,860			\$170,666	\$595,602		\$595,602
350 Total Non-Current Liabilities	\$230,430	\$108,689	\$2,084,299	\$526,208	\$693	\$0	\$1,790,466	\$4,740,785	\$0	\$4,740,785
300 Total Liabilities	\$3,458,631	\$332,085	\$2,278,369	\$1,297,591	\$3,081	\$238,835	\$4,012,714	\$11,621,306	-\$5,062,995	\$6,558,311

	Project Total	14.871 Housing Choice Vouchers	6 Component Units	2 State/Local	10.427 Rural Rental Assistance Payments	14.885 Formula Capital Fund Stimulus Grant	COCC	Subtotal	ELIM	Total
508.1 Invested In Capital Assets, Net of Related Debt	\$11,302,346		-\$786,588	\$988,224	\$174,182		\$2,343,363	\$14,021,527		\$14,021,527
509.2 Fund Balance Reserved										
511.2 Unreserved, Designated Fund Balance										
511.1 Restricted Net Assets		\$734,929	\$160,397	\$615,204	\$54,908			\$1,565,438	-\$3,508	\$1,561,930
512.1 Unrestricted Net Assets	\$2,218,571	\$409,928	-\$97,370	-\$245,543	\$22,590	\$0	-\$1,167,597	\$1,140,579	-\$750,938	\$389,641
512.2 Unreserved, Undesignated Fund Balance										
513 Total Equity/Net Assets	\$13,520,917	\$1,144,857	-\$723,561	\$1,357,885	\$251,680	\$0	\$1,175,766	\$16,727,544	-\$754,446	\$15,973,098
600 Total Liabilities and Equity/Net Assets	\$16,979,548	\$1,476,942	\$1,554,808	\$2,655,476	\$254,761	\$238,835	\$5,188,480	\$28,348,850	-\$5,817,441	\$22,531,409

Housing Authority of the County of Yolo (CA044)
WOODLAND, CA
Entity Wide Revenue and Expense Summary

Submission Type: Audited/A-133

Fiscal Year End: 06/30/2010

	Project Total	14.871 Housing Choice Vouchers	6 Component Units	2 State/Local	10.427 Rural Rental Assistance Payments	14.885 Formula Capital Fund Stimulus Grant	COCC	Subtotal	ELIM	Total
70300 Net Tenant Rental Revenue	\$1,740,539		\$285,378		\$37,620		\$30,240	\$2,093,777		\$2,093,777
70400 Tenant Revenue - Other	\$38,181		\$1,527	\$60	\$39			\$39,807		\$39,807
70500 Total Tenant Revenue	\$1,778,720	\$0	\$286,905	\$60	\$37,659	\$0	\$30,240	\$2,133,584	\$0	\$2,133,584
70600 HUD PHA Operating Grants	\$355,962	\$10,309,399				\$87,458	\$721,458	\$11,474,277		\$11,474,277
70610 Capital Grants	\$970,177					\$526,369		\$1,496,546		\$1,496,546
70710 Management Fee							\$674,431	\$674,431	-\$670,196	\$4,235
70720 Asset Management Fee							\$51,720	\$51,720	-\$51,720	\$0
70730 Book Keeping Fee							\$153,525	\$153,525	-\$153,525	\$0
70740 Front Line Service Fee							\$0	\$0		\$0
70750 Other Fees							\$270,565	\$270,565	-\$220,565	\$50,000
70700 Total Fee Revenue							\$1,150,241	\$1,150,241	-\$1,096,006	\$54,235
70800 Other Government Grants	\$873,936			\$1,840,095				\$2,714,031	-\$446,662	\$2,267,369
71100 Investment Income - Unrestricted	\$1,410	\$943	\$1,235		\$388		\$4,898	\$8,874		\$8,874
71200 Mortgage Interest Income										
71300 Proceeds from Disposition of Assets Held for Sale										
71310 Cost of Sale of Assets										
71400 Fraud Recovery		\$1,808						\$1,808		\$1,808
71500 Other Revenue	\$89,012	\$30,859	\$10,179				\$63,471	\$193,521	-\$73,000	\$120,521
71600 Gain or Loss on Sale of Capital Assets	\$2,001	\$400						\$2,401		\$2,401
72000 Investment Income - Restricted		\$3,681		\$2,640				\$6,321		\$6,321
70000 Total Revenue	\$4,071,218	\$10,347,090	\$298,319	\$1,842,795	\$38,047	\$613,827	\$1,970,308	\$19,181,604	-\$1,615,668	\$17,565,936
91100 Administrative Salaries	\$159,672	\$235,422	\$7,734	\$88,125	\$1,920	\$64,719	\$467,396	\$1,024,988		\$1,024,988
91200 Auditing Fees	\$28,401	\$23,544	\$3,798	\$4,000			\$10,256	\$69,999		\$69,999
91300 Management Fee	\$266,187	\$223,932	\$19,320	\$167,129	\$572			\$677,140	-\$670,196	\$6,944
91310 Book-keeping Fee	\$47,163	\$115,140						\$162,303	-\$153,525	\$8,778
91400 Advertising and Marketing										
91500 Employee Benefit contributions - Administrative	\$213,621	\$149,913	\$3,239	\$151,400	\$1,170	\$18,366	\$258,272	\$795,981		\$795,981
91600 Office Expenses	\$127,683	\$187,974	\$3,614	\$38,815	\$1,025		\$125,147	\$484,258	-\$60,000	\$424,258
91700 Legal Expense	\$14,475						\$41,216	\$55,691		\$55,691
91800 Travel										
91810 Allocated Overhead										
91900 Other				\$53,490	\$2,181			\$55,671		\$55,671
91000 Total Operating - Administrative	\$857,202	\$935,925	\$37,705	\$502,959	\$6,868	\$83,085	\$902,287	\$3,326,031	-\$883,721	\$2,442,310

	Project Total	14.871 Housing Choice Vouchers	6 Component Units	2 State/Local	10.427 Rural Rental Assistance Payments	14.885 Formula Capital Fund Stimulus Grant	COCC	Subtotal	ELIM	Total
92000 Asset Management Fee	\$51,720							\$51,720	-\$51,720	\$0
92100 Tenant Services - Salaries	\$46,408	\$17,929						\$64,337		\$64,337
92200 Relocation Costs										
92300 Employee Benefit Contributions - Tenant Services	\$16,906	\$9,591						\$26,497		\$26,497
92400 Tenant Services - Other	\$8,578	\$5,000	\$1,800					\$15,378		\$15,378
92500 Total Tenant Services	\$71,892	\$32,520	\$1,800	\$0	\$0	\$0	\$0	\$106,212	\$0	\$106,212
93100 Water	\$126,685		\$12,134	\$122,682	\$4,580		\$1,338	\$267,419		\$267,419
93200 Electricity	\$103,867		\$4,211	\$122,226			\$21,146	\$251,450		\$251,450
93300 Gas	\$11,127		\$892	\$40,273			\$2,008	\$54,300		\$54,300
93400 Fuel										
93500 Labor										
93600 Sewer	\$215,190		\$14,094	\$31,579	\$4,040		\$417	\$265,320		\$265,320
93700 Employee Benefit Contributions - Utilities										
93800 Other Utilities Expense				\$65				\$65		\$65
93000 Total Utilities	\$456,869	\$0	\$31,331	\$316,825	\$8,620	\$0	\$24,909	\$838,554	\$0	\$838,554
94100 Ordinary Maintenance and Operations - Labor	\$213,609			\$237,067			\$68,496	\$519,172	-\$17,425	\$501,747
94200 Ordinary Maintenance and Operations - Materials and Other	\$199,003	\$1,135	\$6,627	\$17,887	\$834		\$2,020	\$227,506		\$227,506
94300 Ordinary Maintenance and Operations Contracts	\$611,890	\$3,583	\$35,570	\$94,776	\$5,381		\$23,618	\$774,818	-\$216,140	\$558,678
94500 Employee Benefit Contributions - Ordinary Maintenance	\$60,458			\$121,324			\$49,644	\$231,426		\$231,426
94000 Total Maintenance	\$1,084,960	\$4,718	\$42,197	\$471,054	\$6,215	\$0	\$143,778	\$1,752,922	-\$233,565	\$1,519,357
95100 Protective Services - Labor										
95200 Protective Services - Other Contract Costs	\$2,334		\$875	\$756			\$1,315	\$5,280		\$5,280
95300 Protective Services - Other										
95500 Employee Benefit Contributions - Protective Services										
95000 Total Protective Services	\$2,334	\$0	\$875	\$756	\$0	\$0	\$1,315	\$5,280	\$0	\$5,280
96110 Property Insurance	\$68,436		\$9,428	\$67,881	\$1,007		\$3,385	\$150,137		\$150,137
96120 Liability Insurance	\$13,427	\$6,904	\$8,490	\$11,096	\$145		\$5,499	\$45,561		\$45,561
96130 Workmen's Compensation	\$23,174	\$2,404	\$57	\$37,537	\$17	\$4,374	\$11,629	\$79,192		\$79,192
96140 All Other Insurance	\$6,088	\$1,682		\$6,148			\$2,652	\$16,570		\$16,570
96100 Total insurance Premiums	\$111,125	\$10,990	\$17,975	\$122,662	\$1,169	\$4,374	\$23,165	\$291,460	\$0	\$291,460

	Project Total	14.871 Housing Choice Vouchers	6 Component Units	2 State/Local	10.427 Rural Rental Assistance Payments	14.885 Formula Capital Fund Stimulus Grant	COCC	Subtotal	ELIM	Total
96200 Other General Expenses	\$1,518		\$1,377	\$8,145	\$795		\$33,861	\$45,696		\$45,696
96210 Compensated Absences	\$28,830	\$10,346	\$743	\$43,432	\$87		\$70,672	\$154,110		\$154,110
96300 Payments in Lieu of Taxes	\$146,665		\$15,965					\$162,630		\$162,630
96400 Bad debt - Tenant Rents	\$11,862							\$11,862		\$11,862
96500 Bad debt - Mortgages										
96600 Bad debt - Other										
96800 Severance Expense										
96000 Total Other General Expenses	\$188,875	\$10,346	\$18,085	\$51,577	\$882	\$0	\$104,533	\$374,298	\$0	\$374,298
96710 Interest of Mortgage (or Bonds) Payable			\$98,544	\$148,712	\$25		\$123,497	\$370,778		\$370,778
96720 Interest on Notes Payable (Short and Long Term)										
96730 Amortization of Bond Issue Costs										
96700 Total Interest Expense and Amortization Cost	\$0	\$0	\$98,544	\$148,712	\$25	\$0	\$123,497	\$370,778	\$0	\$370,778
96900 Total Operating Expenses	\$2,824,977	\$994,499	\$248,512	\$1,614,545	\$23,779	\$87,459	\$1,323,484	\$7,117,255	-\$1,169,006	\$5,948,249
97000 Excess of Operating Revenue over Operating Expenses	\$1,246,241	\$9,352,591	\$49,807	\$228,250	\$14,268	\$526,368	\$646,824	\$12,064,349	-\$446,662	\$11,617,687
97100 Extraordinary Maintenance	\$5,094		\$1,143	\$103,192				\$109,429		\$109,429
97200 Casualty Losses - Non-capitalized										
97300 Housing Assistance Payments		\$8,928,887						\$8,928,887		\$8,928,887
97350 HAP Portability-In										
97400 Depreciation Expense	\$555,412		\$34,360	\$10,167	\$9,291		\$184,578	\$793,808		\$793,808
97500 Fraud Losses										
97600 Capital Outlays - Governmental Funds										
97700 Debt Principal Payment - Governmental Funds										
97800 Dwelling Units Rent Expense										
90000 Total Expenses	\$3,385,483	\$9,923,386	\$284,015	\$1,727,904	\$33,070	\$87,459	\$1,508,062	\$16,949,379	-\$1,169,006	\$15,780,373
10010 Operating Transfer In	\$560,872	\$0					\$721,458	\$1,282,330		\$1,282,330
10020 Operating transfer Out	-\$560,872	\$0				-\$79,707	-\$721,458	-\$1,362,037		-\$1,362,037
10030 Operating Transfers from/to Primary Government		\$0						\$0		\$0
10040 Operating Transfers from/to Component Unit		\$0						\$0		\$0
10050 Proceeds from Notes, Loans and Bonds										
10060 Proceeds from Property Sales										
10070 Extraordinary Items, Net Gain/Loss		\$0						\$0		\$0
10080 Special Items (Net Gain/Loss)		\$0						\$0		\$0
10091 Inter Project Excess Cash Transfer In										
10092 Inter Project Excess Cash Transfer Out										
10093 Transfers between Program and Project - In		\$0						\$0		\$0
10094 Transfers between Project and Program - Out		\$0						\$0		\$0
10100 Total Other financing Sources (Uses)	\$0	\$0	\$0	\$0	\$0	-\$79,707	\$0	-\$79,707	\$0	-\$79,707

	Project Total	14.871 Housing Choice Vouchers	6 Component Units	2 State/Local	10.427 Rural Rental Assistance Payments	14.885 Formula Capital Fund Stimulus Grant	COCC	Subtotal	ELIM	Total
10000 Excess (Deficiency) of Total Revenue Over (Under) Total Expenses	\$685,735	\$423,704	\$14,304	\$114,891	\$4,977	\$446,661	\$462,246	\$2,152,518	-\$446,662	\$1,705,856
11020 Required Annual Debt Principal Payments	\$0	\$0	\$23,376	\$3,371	\$905	\$0	\$142,405	\$170,057		\$170,057
11030 Beginning Equity	\$12,080,737	\$587,495	-\$737,865	\$1,314,119	\$175,578	\$0	\$847,178	\$14,267,242		\$14,267,242
11040 Prior Period Adjustments, Equity Transfers and Correction of Errors	\$754,445	\$133,658		-\$71,125	\$71,125	-\$446,661	-\$133,658	\$307,784		\$307,784
11050 Changes in Compensated Absence Balance										
11060 Changes in Contingent Liability Balance										
11070 Changes in Unrecognized Pension Transition Liability										
11080 Changes in Special Term/Severance Benefits Liability										
11090 Changes in Allowance for Doubtful Accounts - Dwelling Rents										
11100 Changes in Allowance for Doubtful Accounts - Other										
11170 Administrative Fee Equity		\$409,928						\$409,928		\$409,928
11180 Housing Assistance Payments Equity		\$734,929						\$734,929		\$734,929
11190 Unit Months Available	5028	15558	564	1629	72		12	22863		22863
11210 Number of Unit Months Leased	4980	15173	527	1623	72		12	22387		22387
11270 Excess Cash	\$2,059,466							\$2,059,466		\$2,059,466
11610 Land Purchases	\$0						\$0	\$0		\$0
11620 Building Purchases	\$283,575						\$0	\$283,575		\$283,575
11630 Furniture & Equipment - Dwelling Purchases	\$0						\$0	\$0		\$0
11640 Furniture & Equipment - Administrative Purchases	\$0						\$0	\$0		\$0
11650 Leasehold Improvements Purchases	\$263,575						\$0	\$263,575		\$263,575
11680 Infrastructure Purchases	\$0						\$0	\$0		\$0
13510 CFFP Debt Service Payments	\$0						\$550,862	\$550,862		\$550,862
13901 Replacement Housing Factor Funds	\$0						\$0	\$0		\$0

3Green Energy Partners

**Request for Proposals
Energy Performance Contracting Program**

The Housing Authorities of Yolo, Butte and Sutter Counties, California, identified in this RFP collectively as 3Green Energy Partners (3Green), are seeking proposals from interested Energy Services Companies (ESCOs) that are capable of providing comprehensive energy management and energy-related capital improvement services through energy performance contracts that will improve the energy and water efficiency of 3Green’s residential housing properties.

For purposes of this document, an “energy performance contract” shall mean a contract for energy efficiency services and equipment in which the payment of the obligation is guaranteed by the ESCo under contract to be less than the energy cost savings attributable to the services of equipment under the contract, for the term of the contract.

3Green’s partners are interested in contracting a full range of energy and water services and energy-related capital improvements financed through a performance-based contract with guaranteed savings at no initial capital cost to them. These services may include, but are not limited to: design, acquisition, installation, modification, maintenance and training in the operation of existing and new equipment, all aimed at reducing energy consumption and cost associated with the heating and ventilation system, the lighting system, the water system, and other energy using devices.

Individual proposals will be provided by the offeror to each of the 3Green partners. Separate energy performance contracts will be required between the successful ESCo and each 3Green entity. In mutually collaborating and procuring the services of an ESCo, the 3Green partners seek economies of scale and other efficiencies in maximizing their long term sustainable energy savings to the greatest extent possible. The collaborative procurement of an ESCo seeks specific strategies from the ESCo which optimize the effort to 3Green’s partners both individually and collectively.

I. Project Overview

- 1) 3Green Energy owns and operates a total of 950 units of conventional HUD Low Income Public Housing (Yolo County Housing: 431 units; Housing Authority of the County of Butte: 345 units; and. Regional Housing Authority of Sutter and Nevada

Counties: 174 units). A detailed listing of all 3Green properties by agency is included in Attachment A.

II. General Information

- 1) All energy performance contracts must comply with U.S. Department of Housing and Urban Development (HUD) regulations as defined in 24 CFR 990 and 24 CFR 965.
- 2) No contract shall exceed twenty (20) years in duration.
- 3) Only energy performance contract proposals based on a guaranteed savings agreement will be considered.
- 4) The savings guarantee is to mirror the HUD financial incentive payments to the 3Green Energy Partners PHAs, fully protecting the PHAs in the event that the utility consumption savings are not met.
- 5) Proposals should define arrangements for acquisition, financing, and ownership of equipment to be installed as part of this project that responsibly maximize the net economic benefit to 3Green or reduce the risk.
- 6) Financing – The selected ESCo may be asked to facilitate the acquisition of a loan to cover the cost of this EPC contract. 3Green’s procurement policy will be followed to obtain such services. 3Green reserves the right to explore its own financing options.
- 7) The ESCo selected as a result of this RFP will be expected to provide comprehensive energy services, including but not limited to:
 - a) Energy Audit – The performance of an investment quality, comprehensive energy audit. The services must include:
 - i) An audit of current utility consumptions verifying all financial data reported to HUD. The selected ESCo is responsible for confirming the validity of the data 3Green has provided to HUD for purposes of determining baseline energy use and costs that may subsequently be utilized for purposes of an EPC.
 - ii) An audit of all energy systems within 3Green developments. The energy audit should be completed utilizing a building energy use simulation software package similar to one of the following:

- (1) DOE-2
- (2) Power DOE
- (3) EZDOE
- (4) Visual DOE
- (5) TRACE 600

- b) The design and specification of energy efficient equipment and systems.
- c) Services associated with the procurement, installation, and commissioning of all new energy efficient equipment.
- d) Preventive and emergency maintenance and servicing of the equipment installed.
- e) Training facility staff with respect to routine maintenance and operation of all improvements.
- f) The ESCo may be requested to identify and secure financing for the project. In accordance with (6) above, 3Green's procurement policies shall be followed in procuring these services.
- g) 3Green Partners require a minimum guaranteed savings approach to the project. If the project does not generate the guaranteed level of savings in any given year of the contract term, the ESCO will be reimbursing the individual agency the amount of the shortfall necessary to pay for annual project financing and all related contract obligations.
- h) The ESCo must work cooperatively with 3Green staff in coordinating this project.
- i) The identification of financial incentives and rate reductions available from companies supplying natural gas, electricity, or transmission and associated distribution services in compliance with HUD's rate reduction incentive regulations.
- j) The report shall rank all energy related measures with **20-year paybacks** or less, by agency and projects within each agency, listing the construction cost, energy usage and cost savings, the proposed metering configuration, proposed

verification methodology and application of weather adjustments. A sample format is attached, Attachment B. (add supplemental language here)

- k) The ESCo shall provide cost documentation to assist 3Green in determining cost reasonableness. All cost breakdowns must conform to the Federal Cost Principles as defined in HUD Handbook 2210.18 and must be in sufficient detail to determine the allowability and allocability of costs. The cost principles are also contained in the Federal Acquisition Regulation or Far, 48 CFR Chapter 1, Part 31.

- l) Section 3 and executive order 11246, This Contract is subject to: (1) Section 3 Requirements of the Department of Housing and Urban Development Act of 1968, as amended, (12 U.S.C. 1701u) and Affirmative Action Requirements pursuant to the Executive Order 11246 and Contractor agrees to comply with said requirements. Section 3 of the Federal Housing Act of 1968 requires that economic opportunities generated by certain U.S. Department of Housing and Urban Development financial assistance shall, to the greatest extent feasible, be given to low-income persons, especially those who are recipients of government assistance for housing, and to businesses that provide economic opportunities for these persons. Regulations governing the implementation of Section 3 are contained in 24 CFR Part 135.

III. Project Contacts

3Green (Owner's) representative: Enlightened Energy Consultants (EEC)

Technical Issues: David Anderson (773) 677-4266

Administrative Issues: Michael Nail (301) 834-5087

Yolo County Housing:

Technical Issues: Fred Ichtertz (530) 669-2240

Administrative Issues: Lisa A. Baker (530) 669-2219

Housing Authority of the County of Butte:

Technical Issues: Roy V. Peters (530) 895-4474 Ext. 219

Administrative Issues: Edward S. Mayer (530) 895-4474 Ext. 215

Regional Housing Authority of Sutter and Nevada Counties:

Technical Issues: Gustavo Becerra (530) 671-0220 Ext. 113

Administrative Issues: Linda Nichols (530) 671-0220 Ext. 119

IV. Procurement Process

3Green will select an ESCo to implement 3Green's Energy Performance Contracting Program through the following process.

When submitting its proposal to the 3Green Partners, the ESCo should submit specific proposals (with proposed energy conservation measures) for each of the three agencies, while identifying specific strategies that support and unite the 3Green partners and their mutual interest in collaborating and maximizing their long term sustainable energy savings to the greatest extent possible.

- 1) **Pre-Bid Meeting/Site Visits.** Interested firms are required to view representative complexes of 3Green's inventory. Interested firms can visit the sites immediately following the pre-bid meeting which will be held Tuesday March 6, 2012, with site visits scheduled in the afternoon of March 6th and on March 7 and 8. The site visits will also provide ESCos the best opportunity to question 3Green staff about the project and 3Green's public housing inventory. Site visits may be scheduled individually with 3Green prior to the date of the RFP response submission. Depending on response to this RFP, a second session may be scheduled. The possible second session would take place on March 12, 13 and 14, 2012 . Interested ESCOs must contact the consultant to obtain information about whether or not a second session is scheduled, the time and location of the site visit. Please contact Ms. Lisa Baker at lbaker@ych.ca.gov or at 530-669-2219 for full information.
- 2) **Submission of Written Qualifications.** ESCos will be required to submit a qualifications and cost based proposal to 3Green for review. The requirements of the proposal are described in detail in Section V. 3Green will select key staff within the agency or its Consultants to serve on a Selection Committee. The Selection Committee members will be responsible for individually reviewing and evaluating proposals. Proposals will be reviewed and ranked based on scoring criteria established in Section V. The top ranked ESCOs will be invited to the second phase of the selection process.
- 3) **Interview and Presentation.** The top rated ESCOs may be asked to prepare a brief presentation of the firm's experience with energy performance contracting. Upon

the conclusion of the presentation, the firm will participate in a detailed interview to further discuss the firm's qualifications, experience, and approach to the project. The evaluation of the interview will be based on the criteria established in Section IV. Presentation and interview time will be limited to 90 minutes per ESCo.

- 4) **Selection of ESCo – Audit.** 3Green will select the highest rated firm to conduct complete technical energy and water consumption analysis' of each of 3Green partner's conventional public housing inventory. 3Green intends to negotiate contracts for these services on behalf of its members. If acceptable audit contracts cannot be reached within 60 days from the date of ESCo selection, negotiations with the second-ranked ESCo may be initiated.
- 5) **Selection of ESCo – Energy Performance Contract.** At the completion of the audits, the findings in the audits shall be presented to 3Green. The audit reports shall provide a comprehensive list of all energy conservation measures including proposed installation costs and related energy savings. The ESCo shall develop and propose an energy performance contract/program based on the information gathered through the audits, including the timetable for completing engineering and construction work, a detailed description of services to be provided, specific financing arrangements that they may be able to make available and terms, and an estimate of energy savings, cash flows and guarantees offered by the firm. At this point, 3Green's partners may either choose to enter into the energy performance contracts, or decline. 3Green Energy reserves the right to select the firm most advantageous to the partnership.

If any 3Green partner decides not to enter into an energy performance contract with the selected ESCo after the audit has been accepted, the 3Green partner shall pay the cost of the audit. All proposed contract terms offered by the ESCo must meet the conditions set forth in this RFP. The energy performance audits shall remain the property of each 3Green partner.

V. **The Selection Process**

- 1) Timetable
 - a) RFP Published: February 14, 2012
 - b) Pre-Bid & Site Visits: March 6, 7, 8 (3 weeks later)
 - c) Receipt of Proposals: April 17, 2012 (6 weeks later)
 - d) Finalists Selected: May 3, 2012 (2 weeks later)
 - e) Oral Interviews: May 10, 2012 (1 week later)

- f) ESCo Selection: May 17, 2012 (1 week later)
 - g) Finalize Agreement: May 31, 2012 (2 weeks later)
 - h) 3Green Board Approvals: June 2012 (according to Board schedules)
 - i) HUD Approval: July 26, 2012 (4 weeks)
 - j) Contract (Energy Audit) Execution: August 9, 2012 (2 weeks)
- 2) Proposal Evaluation Criteria – Proposals will be evaluated and scored on the basis of the following criteria:
- a) Project Experience {Maximum 20 points}
Points will be awarded based on demonstrated experience with similar projects. Experience with similar projects will be understood to include development of performance contracts to furnish energy services in institutional or commercial facilities of similar size, systems, and use.
 - b) Staffing Plan {Maximum 20 points}
Points will be awarded based on documented technical and project administration skills, licensure, certification and experience of the proposed project team. Only those individuals proposed to work directly on the subject project should be included in the Staffing Plan. Consistency of staff in the example projects and the proposed team should be ranked higher. Also, project teams that are primarily or completely composed of staff from the proposer or related companies should be ranked higher.
 - c) Technical Capacity {Maximum 40 points}
Points will be awarded based on the quality and comprehensiveness of the technical approach, compliance with HUD requirements, sample energy audit, description of the energy baseline methodology, description of measurement and verification methodology, and the preliminary assessment of the energy efficiency opportunities in the sample facilities.
 - d) Financial Terms {Maximum 40 points}
Consideration will be given to proposals that responsibly maximize the net economic benefit to 3Green over the term of the energy services agreement, and that responsibly minimize the risk to 3Green in connection with the proposed transaction. Overhead costs will be evaluated for the value brought to the 3Green partner PHAs by the proposed approach to project implementation.

The percentage of non-HUD incentives that will be given to the Authority will be considered in evaluation of the financial benefits of the proposal.

- e) Proposed Project Schedule {Maximum 20 points}
Proposals will be evaluated on the reasonableness, clear presentation, length and detail of the proposed project schedule. The proposal should include descriptions of how the proposer intends to achieve the project schedule.
- f) Interview {Maximum 20 points}
Interviews may be held with up to three top ranked ESCos to obtain clarification on issues raised by earlier stages of the evaluation process, and to assess the qualifications of the project team and its ability to implement all tasks and responsibilities in a prompt and efficient manner. Scores assigned for proposals, under any category, may be amended based on information obtained during the oral interviews. The proposed project team should be made available during the oral interview to discuss their individual experience, as well as their specific role in this project.

VI. **Proposal: Format and Contents**

1) Proposal Format

- a) Proposals must be submitted in the format outlined in this section. 3Green reserves the right to eliminate from further consideration any proposals deemed to be substantially or materially non-responsive to the requests for information contained herein.
- b) Proposals are to be submitted on or before 5:00 p.m. Thursday, April 17, 2012.
- c) An original and four copies of the proposal are required. To prevent opening by unauthorized individuals, your submittal should be identified on the envelope as follows:

**DO NOT OPEN – PROPOSAL ENCLOSED
ENERGY PERFORMANCE PROJECT**

- d) The proposals shall be addressed to:
3GREEN ENERGY PARTNERS
c/o YOLO COUNTY HOUSING

147 W. MAIN STREET
WOODLAND, CA 95695-3312
ATTENTION: FRED ICHTERTZ, FACILITIES ADMINISTRATOR

2) Proposal Content

- a) **Section 1 – Statement of Qualifications** – Proposer must include the following elements in response to this RFP:
- i) Name and address of firm.
 - ii) Telephone and phone numbers.
 - iii) Names, titles, and e-mail address of two people authorized to represent the firm on this project, and answer any questions presented.
 - iv) Year firm was established.
 - v) Quantity and type of licensed and/or certified professionals in local office within 100 miles of 3Green. If your firm does not have a local office, discuss the mechanism that will guarantee the local support services necessary for completing and servicing the project(s) through the term of the contract(s).
 - vi) Approach to project management including make-up of the project team and the proposed responsibilities of the project team members.
 - vii) Describe the process to be followed in selecting and managing subcontractors.
 - viii) Description of the proposed project financing approach.
- b) **Section 2 – Project Experience** – Proposer must describe three to five projects that best exemplify the range of technical and financial services provided by the ESCo for a project similar to this one. Each project description (not to exceed 2 pages) should include:
- i) Customer's name and address.
 - ii) Total contract cost.
 - iii) Type of contract; guaranteed savings, no guarantee, etc.
 - iv) Name and telephone number of references for the project (3Green presumes permission to contact).
 - v) Brief description of the project's scope of services and status. (Include type of facility at which project was implemented, whether the project was completed on the original schedule and whether significant problems occurred that affected project performance. As appropriate, identify all prime contractors or subcontractors and their role in each project.) This

section should be used to demonstrate the firm's experience in completing a project using the technologies relevant to 3Green's facilities.

- vi) Energy use (consumption) and costs prior to project implementation.
 - vii) Level of project annual energy cost savings and annual levels actually achieved. This section should document the projected versus the actual cash flows of the contracts including the cost benefit to 3Green as related to the different HUD incentives.
 - viii) Identify members of the proposed project team involved with the sample projects and their current primary office location.
 - ix) Type of HUD incentive utilized: Freezing the rolling base or add-on subsidy.
 - x) Type of verification methodology utilized: Describe the IPMVP methodology used along with a description of the yearly measurement and verification process for all stipulated (Option A) savings.
- c) **Section 3 – Staffing Plan** – This section should include a complete description of the individual experience and qualifications of the proposed project staff. The staffing plan should include name, title, experience and relevant duties of each individual active in this specific project. No credit will be granted during the evaluation process for the experience of anyone who will not be directly involved in implementing this project.

In addition, any subcontractors the ESCo intends to use for the project shall be identified and their role(s) described. Provide subcontractor's name, address, contact person, phone number and relevant experience.

Examples of subcontractors that shall be identified include but are not limited to:

- i) Architectural/engineering firm that will be responsible for project design.
- ii) Energy auditing firm.
- iii) Construction manager.

This section should also outline the ESCO's Section 3 Compliance Plan, especially with respect to low income residents of each Agency's property, or other means of meeting Section 3 requirements.

d) **Section 4 – Technical Capability**

- i) In a Section to be labeled Section 4-1, the proposal must explain the approach your organization will take in delivering the comprehensive technical services required to audit, design, install, and maintain the

proposed energy efficiency improvements. Actual designs/specifications are not required at this time.

- ii) In a Section to be labeled Section 4-2, describe the Comprehensive Energy Audit that will be conducted for this project after selection of an ESCo on the basis of this RFP. Your proposal must include information on the systems to be covered, the personnel to be involved and the general method to be used. Provide, as an attachment, an abridged copy of the Comprehensive Energy Audit developed for one of the example projects listed above. The example audit provided should be similar to the Comprehensive Energy Audit anticipated for this project.
 - iii) In a Section to be labeled Section 4-3, describe in detail the method you will use to compute the energy baseline. Attach a sample computation from a previous project done by your firm, with full documentation of methods, assumptions and input data. Explain how verification of HUD reported consumption values will be verified.
 - iv) In a Section to be labeled Section 4-4, describe your firms understanding of:
 - (1) Resident paid utility allowances, the affect they have on this type of program, and your comprehension of 24 CFR 965 subpart E;
 - (2) The three typical HUD incentives for energy cost reduction and which methodology is most utilized by your firm, how they interact and why an incentive is chosen;
 - (3) Explain how your firm contractually deals with utility unit costs (rates) in relation to the financial savings created by your programs;
 - (4) Measurement and verification techniques utilized by your firm to establish and report on guaranteed savings.
- e) **Section 5 – Financial Terms**
- i) 3Green seeks to structure each contract such that the energy savings will be sufficient to pay the debt service, annual ESCo fees, and possible consulting fees incurred by 3Green.
 - ii) 3Green may participate in the competitive bidding and selection of all construction contractors. Construction bids will be reviewed and 3Green and contractor selection will be jointly determined between the ESCo and 3Green. 3Green shall approve the bid documents and any subsequent addenda required prior to release. If the proposer is intending to provide a portion or all of the construction utilizing their own personnel, the process by which the assurance of a competitive construction cost will be insured

shall be described in detail. None of the ESCo's expenses and/or overheads shall be included in any way as part of the construction bids. A signed certification statement shall be required from the ESCo stating this is true.

iii) For the purpose of calculating the overhead and profit percentages below, the unburdened construction cost shall be defined as the value of the construction bids received from the construction contractors without any additional mark-up by the ESCo.

iv) Detailed financial information required in this Section includes the following estimated costs that are based on the information provided in this RFP.

(1) Energy Performance Project Implementation Costs:

(a) Comprehensive Energy Audit: \$ _____

Please provide the man-hours and rates attributable to the audit tasks, subcontractor costs (if applicable), and direct costs that make up the proposed cost to complete the Comprehensive Energy Audit.

Show costs (b) through (i) as a percentage of <u>unburdened</u> construction cost.	
	Maximum Percentage (%)
(b) Designs and specifications (A/E Fees)	
(c) Administration	
(d) Cost of Risk	
(e) Construction Management	
(f) Hazardous Waste Administration	
(g) Profit	
(h) Training	
(i) Any Other Overhead Costs (specify)	
Note: The above categories (b) – (i) can be revised / extended by the ESCo through the proposal. Unclear fee descriptions will be considered not in the best interest of 3Green. 3Green will not pay for any additional costs above the	

unburdened construction cost that are not identified in this proposal.
--

(2) Ongoing Project Management Costs:

Show costs (a) through (c) as a percentage of <u>unburdened</u> construction cost.	
	Maximum Percentage (%)
(a) Yearly energy savings measurement and verification costs:	
(b) Yearly resident training costs.	
(c) Other yearly services fees (specify):	

- f) **Section 6 – Proposal Project Schedule** – The proposal must provide a complete schedule for achievement of all major project milestones including but not limited to:
 - i) Commencement and completion of energy audits.
 - ii) Detail all tasks involved with the completion of the energy audit and the expected timeline for the completion of each.
 - iii) Final Contract Proposal including a list of all proposed improvements, baseline calculations, and cash flow projections.

- g) **Section 7 – Official Statement of Proposer** – The proposal shall include a statement to the effect that the proposal is a firm offer for a minimum 120-day period. The proposal shall also provide the: name, title, address, and telephone number of individual(s) with 3Green to negotiate and contractually bind the company and also who may be contacted during the period of proposal evaluation.

VII. Contract Negotiations and Contractual Provisions

With the acceptance of the audit and proposed program, 3Green and the ESCo shall enter into formal program contracts that shall include the following points or provisions.

- 1) The contents of the RFP submission become part of each final contract.

- 2) Instructions to Offerors, HUD-5369-B and Certification and Representations of Offerors, Non-Construction Contract, form HUD-5369-C, Attachment C.
- 3) General Contract Conditions, Non-Construction form HUD-5370-C, Attachment D.
- 4) 3Green retains final approval over the scope of work and end-use conditions.
- 5) The ESCo must provide a final schedule of project milestones including equipment-servicing provisions, which will become part of each final contract. In the event any milestone or equipment servicing provision is not met as scheduled, without prior approval, 3Green reserves the right to consider it as default and withdraw from all contractual obligations without penalty.
- 6) The selected ESCo must carry and maintain comprehensive liability, , professional liability, employer's liability, workers' compensation, and automobile insurance requirements during the entire term of contract/engagement, including construction, operations and monitoring phases, in the following amounts:
 - a. Comprehensive Liability: \$2,000,000 aggregate; \$1,000,000 each occurrence.
 - b. Professional Liability (Errors and Omissions): \$1,000,000.
 - c. Automobile (whether or not hired or non-hired auto): \$1,000,000.
 - d. Employer's Liability: \$1,000,000 per accident for bodily injury or disease.
 - e. Workers' Compensation: California Statutory Limit.

The ESCo must provide 3Green with evidence of insurance. Additionally, 3Green/each individual agency, must be named as an additional insured party on policies and the coverage shall indemnify 3Green against all claims and demands for injury, death or damage as a result of the negligence of the ESCo and/or its subcontractors, employees, agents, licensees, or invitees, in the performance of the contracts.

- 7) The ESCo shall provide to 3Green assurance of completion in the form of separate performance and labor and material payment bonds, each in the sum of 100% of all subcontracts.
- 8) 3Green must have access to inspect, test and approve both the work conducted in the facility, during construction and operations, as well as access to the books, records, and other compilations of data that pertain to the performance of the provisions and requirements of the agreement. Records shall be kept on a generally recognized accounting basis, and calculations kept on file in legible form.

- 9) The ESCo will fully disclose all costs, including the cost of subcontractors, vendors, and materials.
- 10) The ESCo will be responsible for maintaining the levels of comfort for each building as specified. Persistent failure to maintain the defined climate and lighting conditions will constitute a default.
- 11) All drawings, reports, and materials prepared by the ESCo specifically in performance of each contract shall become the property of each applicable 3Green partner and shall be delivered to 3Green as needed or upon completion of construction.
- 12) All work completed under the contracts must be in compliance with all State of California and Local building codes.
- 13) The selected firm must hold appropriate accreditation, certification and licensing standards to perform work in the State of California and the individual jurisdictions.
- 14) 3Green shall reserve the right to renegotiate the awarded contracts if changes in the regulatory or utility climates or if 3Green's use of energy and water warrant it and/or permit the addition of sites to the contract(s).
- 15) The contracts must meet applicable HUD procurement requirements found at 24 CFR 85.36.
- 16) The contracts and programs must meet applicable HUD operating subsidy requirements found at 24 CFR 990.185, as well as applicable energy performance requirements found at 24 CFR 965.308.

VIII. Technical Requirements

The contracts shall also address or acknowledge the following:

- 1) Specific standards of comfort will be defined and must be maintained throughout the term of each contract.
- 2) A registered professional engineer must, at a minimum, review and approve design work done under each contract.

- 3) The ESCo will be required to work with the current building management and maintenance personnel in order to coordinate construction and provide appropriate training in retrofit operation to 3Green personnel and residents. No equipment shall be installed which would necessitate 3Green hiring additional personnel unless contract negotiations produce an explicit exemption from this provision.
- 4) The ESCo must provide mylar, reproducible "as built", and three (3) sets of record drawings of all existing and modified conditions associated with this project, confirming to typical engineering standards. These should include architectural, mechanical, structural, and control drawings and operating manuals. Drawings must be provided to 3Green within 30 days of the completion of installation. Moreover, if these drawings are produced on a computer, the ESCo will also provide to 3Green a copy of the file and one licensed version of the program used to produce the drawing.
- 5) At least three (3) maintenance manuals per complex will be provided for all equipment provided under each contract, as well as contained on a CD. Manuals are subject to the approval of 3Green.
- 6) At least three (3) copies of record product data will be provided to 3Green for each location in both print and CD format.
- 7) Upon final completion of the contract(s), the ESCo shall provide each 3Green partner comprehensive and necessary preventative maintenance schedules for each installation location for the five (5) years following contract closeout.

IX. Other

3Green reserves the right to reject any or all submissions for any reason whatsoever.

3Green reserves the right to waive informalities and minor irregularities in submissions received and to accept any submission if deemed in the best interest of 3Green to do so.

X. Labor Laws

The selected ESCo shall obey and abide by all the laws and regulations of the State of California and the U.S. Department of Housing and Urban Development (HUD) relating to the employment of workers for construction and capital improvement projects.

The ESCo agrees not to discriminate against any employee or applicant for employment, to be employed in the performance of this Agreement, with respect to hire, tenure, terms, conditions or privileges of employment, or any matter directly or indirectly related to employment, because of age (except where based on a bona fide occupational qualification), sex (except where based on a bona fide occupational qualification) or race, color, religion, national origin, or ancestry. The ESCo further agrees that every subcontract entered into will contain a provision requiring non-discrimination in employment, as herein specified, binding upon each subcontractor.

All State Laws and Regulations, regarding the prevailing wage rates will be adhered to.

XI. Assignment or Subletting of Contract

In the execution of the performance contract(s), it may be necessary for the ESCo to sublet part of the work to others; however, the ESCo shall not award any work to any subcontractor without prior written approval of 3Green, which approval shall not be given until the ESCo submits to 3Green a written statement concerning the proposed award to the subcontractor, which statement shall contain such information as 3Green may require.

The ESCo shall be fully responsible to 3Green for the acts and omissions of subcontractors and of persons either directly or indirectly employed by the subcontractors, and for the acts and omissions of persons directly employed by the ESCo.

Nothing contained in this Agreement shall create any contractual relation between any subcontractor and 3Green or its member agencies.

The ESCo shall not assign, transfer, convey, or otherwise dispose of this Agreement, or any part hereof, or high right, title or interest in the same or any part thereof, without the previous written consent of 3Green. The ESCo shall not assign by power-of-attorney, or otherwise, any of the moneys due or to become due and payable under this Agreement, without the previous written consent of 3Green.

Attachments

Attachment A – 3Green Property Listing.

Attachment B – Sample Cost Summary Form.

Attachment C – Instructions to Offerors, form HUD 5369-B and Certifications and Representatives of Offerors, Non-Construction contract, form HUD-5369-C.

Attachment D – General Contract Conditions, Non-Construction, form HUD-5370-C.

Attachment E – Utility Consumption and Cost Data.

- Form HUD-52722-A.
- Utility consumption and cost data. Breakdown of consumption and cost data by project/site for one year.

Attachment F – Current utility allowance schedule.

ATTACHMENT A

ATTACHMENT A - SUMMARY

Background Information:

3Green is a cooperating effort of the housing authorities of Yolo, Butte and Sutter Counties (CA). The three agencies are Public Housing Authorities (PHAs) (also referred herein as local housing authorities (LHAs) that own and operate public housing subject to the regulations of the U.S. Department of Housing and Urban Development (HUD). The mission of 3Green and its cooperating agencies is to provide decent, safe and sanitary housing for low to moderate income families.

Property Summaries

Yolo County

AMP 1.

HUD#: 44-01 Name : Yolano Village #Units: 60 Type Const: Frame Use: Family: Occupancy Rate: 99%

HUD#: 44-05 Name : Ridgecut #Units: 10 Type Const: Frame Use: Family: Occupancy Rate: 100%

HUD#: 44-06 Name : Yolito #Units: 10 Type Const: Frame Use: Family: Occupancy Rate: 100%

HUD#: 44-07 Name : Donnelly Circle #Units: 72 Type Const: Masonry Use: Family: Occupancy Rate: 100%

AMP 2.

HUD#: 44-02 Name : El Rio Villa #Units: 30 Type Const: Frame Use: Family: Occupancy Rate: 99%

HUD#: 44-04 Name : Vista Montecito #Units: 16 Type Const: Frame Use: Family: Occupancy Rate: 100%

HUD#: 44-08 Name : El Rio Villa II #Units: 26 Type Const: Block and Frame Use: Family: Occupancy Rate: 100%

HUD#: 44-18 Name : El Rio Villa III #Units: 50 Type Const: Frame Use: Family: Occupancy Rate: 99%

HUD#: 44-25 Name : El Rio Villa IV II #Units: 18 Type Const: Frame Use: Family: Occupancy Rate: 100%

AMP 3.

HUD#: 44-15 Name : Riverbend #Units: 39 Type Const: Frame Use: Senior: Occupancy Rate: 100%

HUD#: 44-17 Name : Riverbend II #Units: 24 Type Const: Masonry Use: Senior: Occupancy Rate: 100%

HUD#: 44-28 Name : Las Casitas #Units: 76 Type Const: Frame Use: Senior Family: Occupancy Rate: 100%

Butte County

ONE AMP.

HUD#: 43-01 (a&b) &04 Name: Gridley #Units: 50 Type Const: Masonry Use: Family: Occupancy Rate: 100%

HUD#: 43-02 (a&b) Name: Biggs #Units: 20 Type Const: Masonry Use: Family: Occupancy Rate: 100%

HUD#: 43-03 Name: Chico 4 Sites #Units: 100 Type Const: Masonry Use: Family: Occupancy Rate: 98%

HUD#: 43-10 Name : Mitchel Ave. #Units: 60 Type Const: Frame Use: Senior: Occupancy Rate: 100%

HUD#: 43-13 Name: Rhodes Terrace #Units: 45 Type Const: Frame Use: Family: Occupancy Rate: 98%

HUD#: 43-14 Name: Burdick/Gardella #Units: 20 Type Const: Frame Use: Family: Occupancy Rate: 100%

HUD#: 43-15 Name: Hammon Park #Units: 50 Type Const: Frame Use: Family: Occupancy Rate: 100%

Sutter County

ONE AMP.

HUD#: 48-22 Name Live Oak. #Units: 50 Type Const: Frame Use: Elderly Occupancy Rate: 100%

HUD#: 48-32 Name: Richland #Units: 99 Type Const: Frame Use: Family

Occupancy Rate: 100%

HUD#: 48-32 Name: Richland #Units: 78 Type Const: Frame Use: Family Occupancy Rate: 100%

ATTACHMENT A - DETAIL

Background Information:

3Green Energy Partners (3Green) are Public Housing Authorities (PHAs) that own and operate conventional HUD Low Income Public Housing subject to the regulations of the Department of Housing and Urban Development (HUD). The mission of 3Green and its cooperating member agencies is to provide decent, safe and sanitary housing to extremely-low to moderate-income households in their respective jurisdictions.

Yolo County Housing – Energy Performance Contracting - Statement of Intent

Yolo County Housing (YCH) is looking for a comprehensive energy program designed to implement elements of its adopted Energy Plan, improve portfolio performance, improve cost and comfort for residents, while improving the economic well-being of the Agency.

Specifically, YCH wishes to optimize energy performance of heating, cooling, and hot water systems. YCH is looking to improve performance in its common area lighting, water well and sewer pumps, as well as to improve its plumbing and electrical systems. Finally, YCH seeks to install power generation capacity where feasible. Residents would like the proposal to consider the feasibility of ceiling fans in individual units to improve comfort at a lowered cost.

Another area of particular interest is significant water conservation measures targeting compliance with California State Assembly Bill 1881 (AB1881), including metering and submetering of individual units, and installation of master-metered automatic sensor irrigation systems. YCH seeks re-landscaping and replacement of existing lawn and plantings with xeriscape and drought-tolerant choices.

YCH's LIPH housing stock includes scattered sites located in Yolo County in the incorporated cities of West Sacramento and Woodland. Additional units are located in the unincorporated county outside of Winters and three (3) smaller complexes are located in unincorporated villages of Knights Landing, Yolo and Esparto. Properties were predominantly constructed from 1950 through 2001. The oldest units can be found in Phase 1 of El Rio Villas, Winters, CA and Yolano Village in the City of Woodland. The newest family units can be found in West Sacramento.

YCH has a current approved Physical Needs Assessment, an Assessment conducted as part of its adopted Energy Plan with proposed carbon reduction targets and is a beta-tester for HUD's

new Physical Needs Assessment Tool. In addition, YCH has been profiled on many occasions in HUD's Eco-Wise Newsletter and has written extensively on the subject of sustainability, as well as prepared and presented a number of workshops on the subject. YCH has a 3rd party documented carbon footprint and is committed to carbon reduction in accordance with California AB 32 requirements. YCH participates in the Cool Roof initiative, as well as the Dark Skies protocols whenever possible.

Like our other partners in 3Green, we believe the most significant improvements are to be found in water conservation for tenants and the Agency, metering and sub-metering; as well as in the area of energy production through photovoltaics.

A unique feature of YCH's program will be in ongoing system monitoring. YCH is committed to the development of a Youth Energy Corps to work with YCH and the selected ESCo after implementation of the project to provide ongoing education and monitoring of the improvements.

EEC – EPC Site Evaluation/Survey Forms

PHA Name: Yolo

Development: Yolano Village

HUD#: 44-01

Date: March 21, 2011

City: Woodland

State: California

General Development Info

Development Type: Elderly Family # Units: 60 Year Constructed: 1951

Const. Type: Frame Foundation: Concrete # Stories: 1-2 Roof: Pitched Insulated: Yes
Sq Ft (est): 53,292

Bedroom Types (Number)

Efficiency: 1-BR: 8 2-BR: 28 3-BR: 20 4-BR: 4 5-BR: Other:

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. Incan. Flu. LPS HPS 250W & 400W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 1.5 Kitchen 1.5 Shower 1.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: _____ Bedroom: Plug-in Kitchen: F-2x4'x40W Bath-Vanity: I-1x60W
Bath Ceiling: I-1x60W Stairway/Landing: I-1x2-60W

Appliances: Refrigerator (typ): 15 Cu Ft Age: Vary Stove: Gas Elec Size: 30 Age: Vary

HVAC System Type:

Central Individual Description: American Standard

Baseboard Hydronic Electric Forced-air Other: 80% Efficiency

Unit age: Vary #units served/system: Ind Limit T stats? _____ Night setback? Yes

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: Varies

Extra Storage Tank? No # units served: _____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

2-story units have only one bathroom and it is upstairs.

PHA Name: Yolo

Development: El Rio Villa

HUD#: 44-02

Date: March 21, 2011

City: Winters

State: California

General Development Info

Development Type: Elderly Family # Units: 30 Year Constructed: 1951

Const. Type: Frame Foundation: Concrete # Stories: 1 Roof: Pitched Insulated: Yes
Sq Ft (est): 24,114

Bedroom Types (Number)

Efficiency: 1-BR: 4 2-BR: 14 3-BR: 10 4-BR: 2 5-BR: Other:

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. Incan. Flu. LPS HPS 250W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 1.6 – 5.0 Faucet GPM: Bath 2.5 Kitchen 1.5 Shower 3.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Living: F-2x13W Bedroom: F-2x13W Kitchen: F-2x4'x40W Bath-Vanity: I-1x60W
Bath Ceiling: Stairway/Landing:

Appliances: Refrigerator (typ): 16 Cu Ft Age: Vary Stove: Gas Elec Size: 30 Age: Vary

HVAC System Type:

Central Individual If Multiple, indicate: Roof top mount dual pack system

Baseboard Hydronic Electric Forced-air

Make: Carrier Model: Gas Efficiency %: 80

Unit age: 16 #units served/system: Ind Limit T stats? _____ Night setback? No

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: Varies

Extra Storage Tank? No # units served: _____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

Water well system – 2-10HP pumps, Drip-feed chlorinator

Fire system – 1-15HP pump

PHA Name: Yolo

Development: Vista Montecito

HUD#: 44-04

Date: March 21, 2011

City: Yolo

State: California

General Development Info

Development Type: Elderly Family # Units: 16 Year Constructed: 1953

Const. Type: Frame Foundation: Concrete # Stories: 1 Roof: Pitched Insulated: Yes

Sq Ft (est): 13,152

Bedroom Types (Number)

Efficiency: _____ 1-BR: _____ 2-BR: 8 3-BR: 8 4-BR: _____ 5-BR: _____ Other: _____

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. _____ Incan. _____ Flu. _____ LPS _____ HPS 250W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 1.5 Kitchen 1.5 Shower 1.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Living: I-2x60W Bedroom: I-2x60W Kitchen: F-2x2x4'x40W Bath-Vanity: I-1x60W
Bath Ceiling: _____ Stairway/Landing: _____

Appliances: Refrigerator (typ): 16 Cu Ft Age: Vary Stove: Gas Elec Size: 30 Age: Vary

HVAC System Type:

Central Individual If Multiple, indicate: Carrier Dual Pack System

Baseboard Hydronic Electric Forced-air Other: 81% Efficiency

Unit age: 15 #units served/system: Ind Limit T stats? _____ Night setback? Yes

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: Varies

Extra Storage Tank? No # units served: _____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

N/A

PHA Name: Yolo

Development: Ridgecut

HUD#: 44-05

Date: March 21, 2011

City: Knights Landing

State: California

General Development Info

Development Type: Elderly Family # Units: 10 Year Constructed: 1953

Const. Type: Frame Foundation: Concrete # Stories: 1 Roof: Pitched Insulated: Yes
Sq Ft (est): 8,410

Bedroom Types (Number)

Efficiency: 1-BR: 2-BR: 4 3-BR: 6 4-BR: 5-BR: Other:

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. Incan. Flu. LPS HPS

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 2.2 Kitchen 2.0 Shower 2.0

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Living: I-2x60W Bedroom: I-2x60W Kitchen: F-2x2x4'x40W Bath-Vanity: I-1x60W
Bath Ceiling: Stairway/Landing:

Appliances: Refrigerator (typ): 16 Cu Ft Age: Vary Stove: Gas Elec Size: 30 Age: Vary

HVAC System Type:

Central Individual If Multiple, indicate: Carrier Roof Mount Heat Pump

Baseboard Hydronic Electric Forced-air

Unit age: 14 #units served/system: Ind Limit T stats? Night setback? Yes

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: Varies

Extra Storage Tank? No # units served: _____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: N/A Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

N/A

PHA Name: Yolo

Development: Yolito

HUD#: 44-06

Date: March 21, 2011

City: Yolo

State: California

General Development Info

Development Type: Elderly Family # Units: 10 Year Constructed: 1953

Const. Type: Frame Foundation: Concrete # Stories: 1 Roof: Pitched Insulated: Yes
Sq Ft (est): 8,410

Bedroom Types (Number)

Efficiency: _____ 1-BR: _____ 2-BR: 4 3-BR: 6 4-BR: _____ 5-BR: _____ Other: _____

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. _____ Incan. _____ Flu. _____ LPS _____ HPS 250W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 1.5 Kitchen 1.5 Shower 1.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Living: I-2x60W Bedroom: I-2x60W Kitchen: F-2x2x4'x40W Bath-Vanity: I-1x60W
Bath Ceiling: _____ Stairway/Landing: _____

Appliances: Refrigerator (typ): 16 Cu Ft Age: Vary Stove: Gas Elec Size: 30 Age: Vary

HVAC System Type:

Central Individual If Multiple, indicate: Carrier Dual Pack System

Baseboard Hydronic Electric Forced-air Other: 81% Efficiency

Unit age: 15 #units served/system: Ind Limit T stats? _____ Night setback? Yes

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: Varies

Extra Storage Tank? No # units served: _____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

N/A

PHA Name: Yolo

Development: Donnelly Circle

HUD#: 44-07

Date: March 22, 2011

City: Woodland

State: California

General Development Info

Development Type: Elderly Family # Units: 72 Year Constructed: 1962

Const. Type: Block Foundation: Concrete # Stories: 1 Roof: Pitched Insulated: Yes
Sq Ft (est): 70,136

Bedroom Types (Number)

Efficiency: ____ 1-BR: 8 2-BR: 28 3-BR: 24 4-BR: 12 5-BR: ____ Other: ____

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. ____ Incan. ____ Flu. ____ LPS ____ HPS 250W and 400W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 2.5 Kitchen 3.0 Shower 3.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Living: I-2x60W Bedroom: I-2x60W Kitchen: F-1x2x4'x40W Bath-Vanity: I-2x60W
Bath Ceiling: ____ Stairway/Landing: ____ Hall: I-1x60W

Appliances: Refrigerator (typ): 16 Cu Ft Age: Vary Stove: Gas Elec Size: 30 Age: Vary

HVAC System Type:

Central Individual If Multiple, indicate: Carrier Dual Pack System

Baseboard Hydronic Electric Forced-air Other: 81% Efficiency

Unit age: 13 #units served/system: Ind Limit T stats? ____ Night setback? Yes

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: Varies

Extra Storage Tank? No # units served: ____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

N/A

PHA Name: Yolo

Development: El Rio Villa II

HUD#: 44-08

Date: March 22, 2011

City: Winters

State: California

General Development Info

Development Type: Elderly Family # Units: 26 Year Constructed: 1962

Const. Type: Block & Frame Foundation: Concrete # Stories: 1 Roof: Pitched Insulated: Yes
Sq Ft (est): 25,984

Bedroom Types (Number)

Efficiency: ____ 1-BR: 8 2-BR: 28 3-BR: 24 4-BR: 12 5-BR: ____ Other: ____

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. ____ Incan. ____ Flu. ____ LPS ____ HPS 250W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Alum Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 1.5 Kitchen 2.2 Shower 3.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: F-1x32W Bedroom: I-2x60W Kitchen: F-2x2x4'x34W Bath-Vanity: I-2x60W
Bath Ceiling: _____ Hall: I-2x60W

Appliances: Refrigerator (typ): 15 Cu Ft Age: Vary Stove: Gas Elec Size: 30 Age: Vary

HVAC System Type:

Central Individual If Multiple, indicate: Carrier Split System

Baseboard Hydronic Electric Forced-air Other: 81% Efficiency

Unit age: 15 #units served/system: Ind Limit T stats? _____ Night setback? Yes

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: Varies

Extra Storage Tank? No # units served: _____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

Community Building

Room Lighting: F-8x3x4"34W

Office: F-3x3x4"40W

Storage/Maintenance: F-2x3x4"34W and F-8x2x4"40W

Hallway: F-2x32W Circline

DHW: 30 gal electric

Restrooms (2): Toilets: 3.5, Sink GPM: 1.5 – Lighting: I-1x2x60W

PHA Name: Yolo

Development: Riverbend Senior

HUD#: 44-15

Date: March 22, 2011

City: West Sacramento

State: California

General Development Info

Development Type: Elderly Family # Units: 39 Year Constructed: 1984

Const. Type: Masonry Foundation: Concrete # Stories: 1 Roof: Flat Insulated: Yes
Sq Ft (est): 20,089

Bedroom Types (Number)

Efficiency: 4 1-BR: 31 2-BR: 4 3-BR: 4-BR: 5-BR: Other:

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. Incan. Flu. LPS HPS 75W & 250W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 & 1.6 Faucet GPM: Bath 2.0 Kitchen 1.5 Shower 2.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: F-1x32W Bedroom: Plug-in Kitchen: F-20W+32W Circ Bath-Vanity: I-2x60W
Bath Ceiling: I-1x60W Hall: I-1x32W

Appliances: Refrigerator (typ): 15 Cu Ft Age: 1 Stove: Gas Elec Size: 24 Age: 1

HVAC System Type:

Central Individual Description: Roof-mount heat pumps

Baseboard Hydronic Electric Forced-air Other: 81% Efficiency

Unit age: Vary #units served/system: Ind Limit T stats? Night setback? Yes

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: gal. Age: Varies
-2 Domestic 80 Gal HW's (gas); - 1 new – flash boiler (gas) w/1 new – 75 gal storage tank

Extra Storage Tank? No # units served: _____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: HA Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

Laundry Room

4 Washing machines (1 is front load)

4 Dryers (electric)

Room Lighting: F-4x2x4"32W

Kitchen

1 – 75 gal HW (gas)

Gas stoves

Lighting: F-12x1x32W circline

Large Freezer and 22 CF Refrigerator

Lunchroom

Lighting: F-36x2x4"x40W

Exit lights are fluorescent conversion

Meeting room (rear)

F-8x2x4"x40W (primary)

Recessed: F-7x13W

Restrooms (2)

Toilets (6): 3.5, Sink (2) GPM: 1.5, Urinals (2): unmarked

Lighting: I-4x2x60W

DHW by 6 gal electric located in kiln room

Kiln Room

2 electric kilns: 1 @220V x 25A; 1 @ unknown (data plate missing)

PHA Name: Yolo

Development: Riverbend Senior II

HUD#: 44-17

Date: March 22, 2011

City: West Sacramento

State: California

General Development Info

Development Type: Elderly Family # Units: 24 Year Constructed: 1985

Const. Type: Frame Foundation: Concrete # Stories: 1 Roof: Slope Insulated: Yes
Sq Ft (est): 12,360

Bedroom Types (Number)

Efficiency: 6 1-BR: 18 2-BR: 3-BR: 4-BR: 5-BR: Other:

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. Incan. Flu. LPS HPS 75W & 250W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 1.5 Kitchen 1.0 Shower 2.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: Bedroom: Plug-in Kitchen: F-1x2x4'x40W + 1x2x13W
Bath-Vanity: F-1x2x32W Bath Ceiling: Hall:

Appliances: Refrigerator (typ): 15 Cu Ft Age: 1 Stove: Gas Elec Size: 30 Age: 1

HVAC System Type:

Central Individual If Multiple, indicate: Carrier heat pumps

Baseboard Hydronic Electric Forced-air Other:

Unit age: Vary #units served/system: Ind Limit T stats? Night setback?

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: Varies

Extra Storage Tank? No # units served: _____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

Laundry Room

PHA Name: Yolo **Development:** El Rio Villa III **HUD#:** 44-18

Date: March 22, 2011 City: Winters State: California

General Development Info

Development Type: Elderly Family # Units: 50 Year Constructed: 1988

Const. Type: Frame Foundation: Concrete # Stories: 1&2 Roof: Slope Insulated: Yes
Sq Ft (est): 44,344

Bedroom Types (Number)

Efficiency: _____ 1-BR: 10 2-BR: 10 3-BR: 20 4-BR: 8 5-BR: 2 Other: _____

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. _____ Incan. _____ Flu. _____ LPS _____ HPS 250W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 2.0 Kitchen 1.5 Shower 1.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: I-1x2x60W Bedroom: I-1x2x60W Kitchen: F-1x2x4'x34W
Bath-Vanity: I-1x12x60W Bath Ceiling: _____

Appliances: Refrigerator (typ): 16 Cu Ft Age: Vary Stove: Gas Elec Size: 30 Age: Vary

HVAC System Type:

Central Individual If Multiple, indicate: Carrier split systems

Baseboard Hydronic Electric Forced-air Other: Vary by # stories

Unit age: 12 #units served/system: Ind Limit T stats? _____ Night setback? _____

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: Varies

Extra Storage Tank? No # units served: _____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

N/A

PHA Name: Yolo Development: El Rio Villa IV HUD#: 44-25

Date: March 22, 2011 City: Winters State: California

General Development Info

Development Type: Elderly Family # Units: 18 Year Constructed: 1992

Const. Type: Frame Foundation: Concrete # Stories: 1 Roof: Slope Insulated: Yes
Sq Ft (est): 16,830

Bedroom Types (Number)

Efficiency: 1-BR: 2-BR: 3-BR: 18 4-BR: 5-BR: Other:

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. Incan. Flu. LPS HPS 250W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 1.5 Kitchen 1.5 Shower 1.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: I-1x2x60W Bedroom: I-1x2x60W Kitchen: F-1x2x4'x34W
Bath-Vanity: I-1x2x60W Bath Ceiling:

Appliances: Refrigerator (typ): 16 Cu Ft Age: Vary Stove: Gas Elec Size: 30 Age: Vary

HVAC System Type:

Central Individual Make: Carrier split systems Description: Vary by # stories

Baseboard Hydronic Electric Forced-air

Unit age: 11 #units served/system: Ind Limit T stats? Night setback?

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: Varies

Extra Storage Tank? No # units served: Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

N/A

PHA Name: Yolo

Development: Las Casitas

HUD#: 44-28

Date: March 22, 2011

City: West Sacramento

State: California

General Development Info

Development Type: Elderly Family # Units: 76 Year Constructed: 2001

Const. Type: Frame Foundation: Concrete # Stories: 1&2 Roof: Slope Insulated: Yes
Sq Ft (est): 75,424

Bedroom Types (Number)

Efficiency: ____ 1-BR: 16 2-BR: 28 3-BR: 24 4-BR: 8 5-BR: ____ Other: ____

Exterior Lighting (Number & Type)

Mount: Pole Bldg Municipal Type: MV. ____ Incan. ____ Flu. ____ LPS ____ HPS 250W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 1.6 Faucet GPM: Bath 1.5 Kitchen 1.5 Shower 1.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: F-1x3x18W

Bedroom: Plug-in

Kitchen: F-2x1x2'x30W

Bath-Vanity: F-1x4x13W Bath Ceiling: F-1x13W

Appliances: Refrigerator (typ): 16 Cu Ft Age: Vary Stove: Gas Elec Size: 30 Age: Vary

HVAC System Type:

Central Individual Make: York Stellar Series various sizes

Baseboard Hydronic Electric Forced-air

Unit age: 10 #units served/system: Ind Limit T stats? _____ Night setback? _____

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: Includes heat Age: 10 years

Extra Storage Tank? No # units served: _____ Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter: Individual: HA Submeter: Other: _____

Waste Removal: Municipal Private Measurement? _____ Other: _____

Additional Notes Below

Community Building
Common baths (2): Toilets: 1.6 GPF, Urinals: 1.0 GPF, Faucets: 1.5 GPM
Lighting: Main Room: F-9x4x4"x34W and F-11x2x4"x34W (other)
Gas DHW heater, 40 storage capacity

Butte: HUD Low Income Public Housing – Energy Performance Contracting – Statement of Intent

The Housing Authority of the County of Butte (HACB) seeks to implement a comprehensive program of Energy Conservation Measures (ECM's) to extend the viability of its 345 units of HUD Low Income Public Housing into the foreseeable future. Specifically, through careful analysis of its properties, the HACB seeks to optimize energy performance of building envelopes; heating, cooling, and domestic hot water systems; plumbing and electrical systems; and significant water conservation measures targeting compliance with California State

Assembly Bill 1881 (AB1881), including metering of individual units, and installation of master-metered irrigation systems and associated landscaping. The HACB seeks to retain an Energy Performance Contractor (EPC) to implement select ECM's, and to finance these improvements by means of leveraging the resulting energy savings.

The HACB's LIPH housing stock includes ten (10) scattered sites, located in Butte County in the incorporated cities of Chico, Oroville, Gridley and Biggs. One Hundred and Seventy (170) of the units are similarly designed and constructed: single-story duplex structures dating from 1958 to 1966, comprised of slab-on-grade floors, concrete-block walls, and truss roofs. The balance of the HACB's units are slab-on-grade, stick-frame townhouse-style units with stucco siding. Sixty (60) of these units were constructed in 1982: the one-story Winston Gardens Senior/Disabled property in Oroville. Three (3) other projects, including seventy-five (75) units, located in Chico and Oroville, include one- and two-story buildings, constructed between 1988 and 1996.

In advancing its energy improvement program, the HACB has undertaken the following: 1) commissioned a building envelope improvement analysis of its concrete-block structures using energy-modeling software; 2) retained local landscape architects to plan and design AB1881-compliant water meter, landscape irrigation, landscaping and site improvements for all HACB's Public Housing sites; and, 3) entered into a three (3) Housing Authority consortium agreement for purposes of procuring and utilizing an Energy Services Contractor (ESCO). Additionally, the HACB has prepared an Energy Audit in accordance with 24 CFR Part 965.302, as of March 2011.

The HACB believes its most significant ECM's are to be found in implementation of water conservation measures. Currently, its pre-1982 sites do not have master-metered landscape watering systems. Tenants hand water and maintain their yardscapes. AT the duplex units are served by a single water meter, the HACB is responsible for the resulting water bills. The HACB seeks to achieve tenant accountability for domestic water use through the installation of water meters serving each unit, and to put into place site-specific landscape irrigation systems and landscaping such that the HACB can modify, control, and limit all landscape water use, and pass on responsibility for domestic water use to occupants.

Additionally, the HACB seeks to evaluate the economic feasibility of higher-efficiency HVAC and DHW systems, seeks to consider alternative energy solutions, including but not limited to passive and/or active solar approaches, and ground-source heat-pump alternatives. Possible solutions include installation of differential thermostat-controlled forced convection. Additional ECM opportunities are anticipated to be found associated with building envelopes, including consideration of window and door assemblies and envelope insulation.

EEC – EPC Site Evaluation/Survey Forms

PHA Name: Butte County

Development: Gridley

HUD#: 43-01 (A&B) & 04

Date: March 23, 2011

City: Gridley

State: California

General Development Info

Development Type: Elderly Family # Units: 50 Year Constructed: 1958 & 1966

Const. Type: Block Foundation: Concrete # Stories: 2 Roof: Sloped Insulated: Yes
Sq Ft (est): 43,000

Bedroom Types (Number)

Efficiency: 1-BR: 8 2-BR: 18 3-BR: 17 4-BR: 6 5-BR: 1 Other:

Exterior Lighting (Number & Type)

Mount: Pole Bldg Canopy Type: MV. Incan. Flu. LPS HPS

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Wood Insulated? No Caulk Cond: Good

Plumbing

Toilet GPF: 5.0 Faucet GPM: Bath 2.5 Kitchen 2.5 Shower 3.0

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: I-2x1x60W Living Rm: Plug-in Bedroom: I-2x60W
Kitchen: F-2x4"x40 (ceiling) & F-1x2"x20W (above sink) Bath-Vanity: IF-2x4x40W

Appliances: Refrigerator (typ): 18 Cu Ft Age: 3 Stove: Gas Elec Size: 30" Age: Varies

HVAC System Type:

Central Individual Unit age: Varies Night setback? No

Baseboard Hydronic Electric Forced-air Reset Control? No

Make: Trane Description: Heat pumps and package roof-top units

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 30 & 40 gal. Age: Varies

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Waste Removal: Municipal Private Measurement? No Other: _____

Additional Notes Below

N/A

PHA Name: Butte County

Development: Biggs

HUD#: 43-02 (A&B)

Date: March 23, 2011

City: Biggs

State: California

General Development Info

Development Type: Elderly Family # Units: 20 Year Constructed: 1958 & 1966

Const. Type: Block Foundation: Concrete # Stories: 1 Roof: Sloped Insulated: Yes
Sq Ft (est): 25,000

Bedroom Types (Number)

Efficiency: ____ 1-BR: ____ 2-BR: 8 3-BR: 10 4-BR: 2 5-BR: ____ Other: ____

Exterior Lighting (Number & Type)

Mount: Pole City-owned Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Wood Insulated? No Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 2.0 Kitchen 2.5 Shower 2.5

Unit Interior – Electrical

Lighting - Flourescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: I-1x60W Living Rm: I-4x60W Bedroom: Plug-in
Kitchen: IF-2x4"x32W Bath-Vanity: I-4x60W Bath Ceiling: No

Appliances: Refrigerator (typ): 16 Cu Ft Age: Varies Stove: Gas Elec Size: 30" Age: Varies

HVAC System Type:

Central Individual Unit age: Varies Night setback? Yes

Baseboard Hydronic Electric Forced-air Reset Control? No

Make: Trane Description: Heat pumps and package roof-top units

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 30 & 40 gal. Age: Varies

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Waste Removal: Municipal Private Measurement? No Other: _____

Additional Notes Below

N/A

PHA Name: Butte County Development: Chico 4 Sites HUD#: 43-03

Date: March 23, 2011 City: Chico State: California

General Development Info

Development Type: Elderly Family # Units: 100 Year Constructed: 1966

Const. Type: Block Foundation: Concrete # Stories: 2 Roof: Sloped Insulated: Yes
Sq Ft (est): 130,000

Bedroom Types (Number)

Efficiency: ____ 1-BR: 18 2-BR: 36 3-BR: 38 4-BR: 8 5-BR: ____ Other: ____

Exterior Lighting (Number & Type)

Mount: Pole City-owned Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 2.5 Kitchen 2.5 Shower 2.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: I-1x60W Living Rm: Plug-in Bedroom: I-2x60W
Kitchen: F-2x2x4"x40W Bath-Vanity: F-2x4x40W Bath Ceiling: No

Appliances: Refrigerator (typ): 14.5 Cu Ft Age: 3 yrs Stove: Gas Elec Size: 30" Age: Varies

HVAC System Type:

Central Individual Unit age: Varies Night setback? Yes

Baseboard Hydronic Electric Forced-air Reset Control? No

Make: Trane/Other Description: Heat pumps and package roof-top units

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 30 & 40 gal. Age: Varies

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Waste Removal: Municipal Private Measurement? No Other: _____

Additional Notes Below

N/A

PHA Name: Butte County

Development: Winston Gardens

HUD#: 43-10

Date: March 23, 2011

City: Oroville

State: California

General Development Info

Development Type: Elderly Family # Units: 60 Year Constructed: 1982

Const. Type: Frame Foundation: Concrete # Stories: 2 Roof: Sloped Insulated: Yes
Sq Ft (est): 43,000

Bedroom Types (Number)

Efficiency: 1-BR: 58 2-BR: 2 3-BR: 4-BR: 5-BR: Other:

Exterior Lighting (Number & Type)

Mount: Pole Bldg Canopy Type: MV. Incan. Flu. X LPS HPS

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Wood Insulated? No Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 2.0 Kitchen 2.5 Shower 2.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: I-1x60W Living Rm: I-4x60W Bedroom: Plug-in
Kitchen: I-3x60W Bath-Vanity: I-4x60W Bath Ceiling: No

Appliances: Refrigerator (typ): 14.5 Cu Ft Age: 3 Years Stove: Gas Elec Size: 24" Age: 3 Years

HVAC System Type:

Central Individual Unit age: 5 Years Night setback? Yes

Baseboard Hydronic Electric Forced-air Reset Control? No

Make: Trane heat pumps Rated Efficiency: 92%

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 30 gal. Age: 1 Year

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Waste Removal: Municipal Private Measurement? No Other: _____

Additional Notes Below

Laundry Room/Community Center:

- 2 Baths
- 3.5 GPF Toilet
- 2.0 GPM Sink
- Kitchenette Sink: 2.5 GPM

Lighting

- Baths: I-2x60W
- Room: F-6x1x4"x40W

PHA Name: Butte County Development: Rhodes Terrace/Shelton Oaks HUD#: 43-13

Date: March 23, 2011 City: Chico State: California

General Development Info

Development Type: Elderly Family # Units: 45 Year Constructed: 1988

Const. Type: Frame Foundation: Concrete # Stories: 2 Roof: Sloped Insulated: Yes
Sq Ft (est): 49,000

Bedroom Types (Number)

Efficiency: ___ 1-BR: ___ 2-BR: 24 3-BR: 21 4-BR: ___ 5-BR: ___ Other: ___

Exterior Lighting (Number & Type)

Mount: Pole Bldg Canopy Type: MV. ___ Incan. ___ Flu. X LPS ___ HPS ___

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Aluminum Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 3.5 Kitchen 2.5 Shower 3.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: I-1x60W Bedroom: Plug-in Kitchen: F-1x2x4"x40W

Bath-Vanity: I-2x60W Bath Ceiling: No Stairway/Landing: I-2x2x60W

Appliances: Refrigerator (typ): 18 Cu Ft Age: 3 Years Stove: Gas Elec Size: 30" Age: 3 Years

HVAC System Type:

Central Individual Unit age: 3 Years Night setback? Yes

Baseboard Hydronic Electric Forced-air Reset Control? No

Make: Trane Description: Gas heat split system Rated Efficiency: 92%

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: 2 Years

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Waste Removal: Municipal Private Measurement? No Other: _____

Additional Notes Below

Community Laundry Center:

- 2 Top load washers
- 4 gas dryers

PHA Name: Butte County

Development: Burdick/Gardella

HUD#: 43-14

Date: March 23, 2011

City: Oroville

State: California

General Development Info

Development Type: Elderly Family # Units: 20 Year Constructed: 1993

Const. Type: Frame Foundation: Concrete # Stories: 2 Roof: Sloped Insulated: Yes
Sq Ft (est): 20,000

Bedroom Types (Number)

Efficiency: 1-BR: 2-BR: 3-BR: 20 4-BR: 5-BR: Other:

Exterior Lighting (Number & Type)

Mount: Pole Bldg Canopy Type: MV. Incan. Flu. LPS HPS 100W

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Aluminum Doors: Wood Insulated? No Caulk Cond: Good

Plumbing

Toilet GPF: 3.5 Faucet GPM: Bath 1.5 Kitchen 2.0 Shower 4.0

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: I-1x60W Bedroom: I-2x60W Kitchen: F-1x2x4"x40W
Bath-Vanity: I-4x60W Bath Ceiling: F-1x32W Stairway/Landing: I-1x60W

Appliances: Refrigerator (typ): 18 Cu Ft Age: 3 Years Stove: Gas Elec Size: 30" Age: 3 Years

HVAC System Type:

Central Individual Unit age: 3 Years Night setback? Yes

Baseboard Hydronic Electric Forced-air Reset Control? No

Make: Trane Description: Gas heat split system Rated Efficiency: 88%+

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: 2 Years

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Waste Removal: Municipal Private Measurement? No Other: _____

Additional Notes Below

Community Center:

- 2 Baths
- 1.6 GPF Toilet
- 1.5 GPM Sink
- Kitchenette Sink: 2.5 GPM

Lighting

- Baths: F-1x2x4"x40W
- Room: F-12x2x4"x40W

PHA Name: Butte County

Development: Hammon Park

HUD#: 43-15

Date: March 23, 2011

City: Oroville

State: California

General Development Info

Development Type: Elderly Family # Units: 50 Year Constructed: 1996

Const. Type: Frame Foundation: Concrete # Stories: 2 Roof: Sloped Insulated: Yes
Sq Ft (est): 33,000

Bedroom Types (Number)

Efficiency: ____ 1-BR: ____ 2-BR: ____ 3-BR: 50 4-BR: ____ 5-BR: ____ Other: ____

Exterior Lighting (Number & Type)

Mount: Pole Bldg Canopy Type: MV. ____ Incan. ____ Flu. ____ LPS ____ HPS ____

Lighting Controls: Manual Timer Photocell

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 1.6 Faucet GPM: Bath 1.5 Kitchen 2.5 Shower 1.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: I-1x60W Bedroom: I-1x60W Kitchen: F-1x4x4"x40W
Bath-Vanity: I-4x60W Bath Ceiling: I-1x60W Stairway/Landing: I-2x1x60W

Appliances: Refrigerator (typ): 18 Cu Ft Age: 3 Years Stove: Gas Elec Size: 30" Age: 3 Years

HVAC System Type:

Central Individual Unit age: 1 Year Night setback? Yes

Baseboard Hydronic Electric Forced-air Reset Control? No

Make: Trane Description: HVAC Gas heat split system Rated Efficiency: 80%+

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: 1 Year

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Waste Removal: Municipal Private Measurement? No Other: _____

Additional Notes Below

N/A

Regional Housing Authority of Sutter and Nevada Counties – Energy Performance Contracting – Statement of Intent

Sutter has some of the most traditional rural housing stock of the three partners. The majority of public housing stock is located in one campus setting where there are other types of subsidized housing (such as USDA) co-located. Sutter has been working towards better energy profile and recently became a preferred purchasing partner in its newly constructed 2-acre solar farm. Nevertheless, like the other partners in 3Green, the majority of Sutter’s housing

stock is older and in need of improvement. No Public Housing units are located in Nevada County. Areas in which Sutter seeks Energy measures include:

- Water consumption: Sutter seeks to tie into the well on the property for landscaping and irrigation of lawns and common areas; in addition, it seeks remote sensor sprinklers, native plantings with low water consumption, and the replacement of old water lines within Richland.
- Buildings: energy efficient and recycled roofing materials for 15 roofs at Richland Public Housing. Replacement of vinyl siding at Joann Way with hardy board siding or similar product for improved insulation value. Replacement of aluminum siding at Date Street similar to Joann Way.
- Kitchen remodeling using recycled and/or green materials at Joann Way and at Date Street to improve energy portfolio.
- Bathroom remodeling at Richland public housing, Joann Way and at Date Street for improved water conservation and energy efficiency.
- Replacement of 75 driveways at Richland to create permeable areas for water drainage.
- Replace all electrical features in units for energy efficiency

Sutter also seeks additional ways in which to make units more efficient, including new forms of heating/cooling, shade structures or other measures.

EEC – EPC Site Evaluation/Survey Forms

PHA Name: Sutter

Development: Live Oak

HUD#: 48-22

Date: March 24, 2011

City: Live Oak

State: California

General Development Info

Development Type: Elderly

Family

Units: 50

Year Constructed: 1983

Const. Type: Frame

Foundation: Concrete

Stories: 1

Roof: Sloped

Insulated: Yes

Sq Ft (est): 48,000

Community Bldg. facility used: 3-4 days/week, 4 hours/day.

Maintenance Bldg. is a small garage.

Bedroom Types (Number)

Efficiency: ____ 1-BR: 44 2-BR: 6 3-BR: ____ 4-BR: ____ 5-BR: ____ Other: ____

Exterior Lighting (Number & Type)

Mount: Pole Bldg Canopy Type: MV. ____ Incan. ____ Flu. 26W LPS ____ HPS ____

Lighting Controls: Manual Timer Photocell Utility owned: No

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 5.0 Faucet GPM: Bath 1.5 Kitchen 2.2 Shower 2.0

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: F-1x15W Bedroom: I-2x60W Kitchen: F-4x4'x40W Bath-Vanity: I-4x60W
Hallway: I-2x60W Living Rm: I-3x60W Passway: I-2x60W

Appliances: Refrigerator (typ): 18 Cu Ft Age: 2 (est) Stove: Gas Elec Size: 30" Age: 5 (est)

HVAC System Type:

Central Individual Unit age: 2 Night setback? No

Baseboard Hydronic Electric Forced-air Reset Control? _____

Make: Nordine Model: Gas heat split system Rated Efficiency: 90+

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: 40 gal. Age: 1 year
Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter Individual HA Submeter Other

Waste Removal: Municipal Private Measurement? No Other: _____

Additional Notes Below

Community Room Laundry Facility:

- 1 top load washer
- 1 front load washer
- 2 gas dryers

Lighting:

- 10 F-2x4'x40W
- 1 F-1x4'x40W
- 8 I-100W Recessed

Baths (2):

- Toilet 1.6 GPF
- 1.5 GPM bath faucet
- 2 I-2x60W vanity fixture

PHA Name: Sutter

Development: Richland

HUD#: 48-32

Date: March 24, 2011

City: Yuba City

State: California

General Development Info

Development Type: Elderly Family # Units: 100 Year Constructed: 1963

Const. Type: Frame Foundation: Concrete # Stories: 1 Roof: Sloped Insulated: Yes
Sq Ft (est): 34,000

Development Office Use (indicate hours used): 5-days/week 7-days/week Other

Bedroom Types (Number)

Efficiency: 6 1-BR: 8 2-BR: 38 3-BR: 36 4-BR: 10 5-BR: 2 Other:

Exterior Lighting (Number & Type)

Mount: Pole Bldg Canopy Type: MV. Incan. Flu. LPS HPS

Lighting Controls: Manual Timer Photocell Utility owned: Yes

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl/Aluminum Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 1.6 Faucet GPM: Bath 2.2 Kitchen 2.2 Shower 2.5

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: I-1x60W Bedroom: I-2x60W Kitchen: F-2x4'x40W Bath-Vanity: I-2x60W
Living Rm: I-2x60W

Appliances: Refrigerator (typ): 18 Cu Ft Age: 2 (est) Stove: Gas Elec Size: 24" Age: 5 (est)

HVAC System Type:

Central Individual Unit age: 2 Night setback? Yes (75 units, No on 24)

Baseboard Hydronic Electric Forced-air Reset Control? _____

HVAC Unit: Furnace Make: Bryant Model: Evo gas heat split system Rated Efficiency: 90+

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: Tankless Age: 1 year
Heat setting: 120 degrees F. Breakdown: 75 tankless, 10-40 gal tank-type and 14 by central boiler.

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter Individual HA Submeter Other

Waste Removal: Municipal Private Measurement? No Other: _____

Additional Notes Below

N/A

PHA Name: Sutter

Development: Richland

HUD#: 48-32

Date: March 24, 2011

City: Yuba City

State: California

General Development Info

Development Type: Elderly Family # Units: 24 Year Constructed: 1983

Const. Type: Frame Foundation: Concrete # Stories: 1 Roof: Sloped Insulated: Yes
Sq Ft (est): 62,000

Development Office Use (indicate hours used): 5-days/week 7-days/week Other

Community Bldg. facility use: 3 days/week, 4 hours/day

Bedroom Types (Number)

Efficiency: ___ 1-BR: 24 2-BR: ___ 3-BR: ___ 4-BR: ___ 5-BR: ___ Other: ___

Exterior Lighting (Number & Type)

Mount: Pole Bldg Canopy Type: MV. ___ Incan. ___ Flu. 24W LPS ___ HPS ___

Lighting Controls: Manual Timer Photocell Utility owned: Yes

Windows and Doors

Windows Insulated? Yes Sash Type: Vinyl Doors: Steel Insulated? Yes Caulk Cond: Good

Plumbing

Toilet GPF: 1.6 Faucet GPM: Bath 1.5 Kitchen 2.0 Shower 2.0

Unit Interior – Electrical

Lighting - Fluorescent (F) Incandescent (I) indicate No. & Wattage:

Interior: Entry: F-1x15W Bedroom: I-2x60W Kitchen: F-2x4'x40W Bath Ceiling: I-2x60W
Living Rm: I-1x60W Passway: I-1x60W

Appliances: Refrigerator (typ): 18 Cu Ft Age: 2 (est) Stove: Gas Elec Size: 30" Age: 1 year

HVAC System Type:

Central Individual Unit age: 2 Night setback? Yes

Baseboard Hydronic Electric Forced-air Reset Control? _____

HVAC unit: Furnace Make: Nordine Model: Gas heat split system Rated Efficiency: 90+

DHW:

Domestic Hot Water (DHW): Gas Electric Storage capacity: Tankless Age: 1 year
Heat setting: 120 degrees F

Utilities and Metering

Utilities: Indicate if HA Paid (HA) or resident-paid (R); Gas (G) Electric (E) Water (W) Other _____

Gas: R Electric: R Water: HA Sewer: HA Other: _____

Metering (indicate Utility): Master meter Individual HA Submeter Other

Waste Removal: Municipal Private Measurement? No Other: _____

Additional Notes Below

Community Room Laundry Facility:

- 2 top load washers
- 2 gas dryers

Lighting:

- 11 F-2x4'x40W

Bath:

- Toilet 1.6 GPF
- 1.5 GPM bath faucet
- 1-1x60W ceiling fixture

Kitchenette Sink:

- 4.0 GPM

ATTACHMENT B

Cost Summary Form (Pro Forma)
 ESCO's COST PROPOSAL - ENERGY PERFORMANCE CONTRACT

CUSTOMER NAME: _____

ESCO NAME: _____

TOTAL FINANCED PROJECT COSTS: \$ _____

VALUE OF HARD COSTS¹: \$ _____

<u>Category of Service Fees</u>	Estimated Percentage (%) of Hard Costs	Dollar (\$) Value of Service Fees
Investment Grade Energy Audit		
Design Engineering Fees		
Construction Management		
System Commissioning		
First Year Training Fees		
Contingency Costs		
Overhead and Profit		
<u>Totals</u>		
<u>Annual Service Fees</u>		
Measurement and Verification		
Maintenance		
Performance Monitoring		
On-going Training Services		
<u>Totals</u>		

¹The total value of Hard Costs is defined in accordance with standard AIA definitions which include:

- Labor Costs
- Subcontractor Costs
- Costs of Materials and Equipment, Temporary Facilities and Related Items
- Miscellaneous Costs such as Permits, Bonds Taxes, Insurance, etc.

NOTE: Percentages should include all mark-ups, overhead, and profit.

Figures stated as a range (e.g. 2%-5%) are not acceptable.

ATTACHMENT C and D

Instructions to Offerors Non-Construction

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



- 03291 -

1. Preparation of Offers

(a) Offerors are expected to examine the statement of work, the proposed contract terms and conditions, and all instructions. Failure to do so will be at the offeror's risk.

(b) Each offeror shall furnish the information required by the solicitation. The offeror shall sign the offer and print or type its name on the cover sheet and each continuation sheet on which it makes an entry. Erasures or other changes must be initialed by the person signing the offer. Offers signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the HA.

(c) Offers for services other than those specified will not be considered.

2. Submission of Offers

(a) Offers and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the solicitation, and (2) showing the time specified for receipt, the solicitation number, and the name and address of the offeror.

(b) Telegraphic offers will not be considered unless authorized by the solicitation; however, offers may be modified by written or telegraphic notice.

(c) Facsimile offers, modifications or withdrawals will not be considered unless authorized by the solicitation.

3. Amendments to Solicitations

(a) If this solicitation is amended, then all terms and conditions which are not modified remain unchanged.

(b) Offerors shall acknowledge receipt of any amendments to this solicitation by

- (1) signing and returning the amendment;
- (2) identifying the amendment number and date in the space provided for this purpose on the form for submitting an offer,
- (3) letter or telegram, or
- (4) facsimile, if facsimile offers are authorized in the solicitation. The HA/HUD must receive the acknowledgment by the time specified for receipt of offers.

4. Explanation to Prospective Offerors

Any prospective offeror desiring an explanation or interpretation of the solicitation, statement of work, etc., must request it in writing soon enough to allow a reply to reach all prospective offerors before the submission of their offers. Oral explanations or instructions given before the award of the contract will not be binding. Any information given to a prospective offeror concerning a solicitation will be furnished promptly to all other prospective offerors as an amendment of the solicitation, if that information is necessary in submitting offers or if the lack of it would be prejudicial to any other prospective offerors.

5. Responsibility of Prospective Contractor

(a) The HA shall award a contract only to a responsible prospective contractor who is able to perform successfully under the terms and conditions of the proposed contract. To be determined responsible, a prospective contractor must -

- (1) Have adequate financial resources to perform the contract, or the ability to obtain them;

- (2) Have a satisfactory performance record;
- (3) Have a satisfactory record of integrity and business ethics;
- (4) Have a satisfactory record of compliance with public policy (e.g., Equal Employment Opportunity); and
- (5) Not have been suspended, debarred, or otherwise determined to be ineligible for award of contracts by the Department of Housing and Urban Development or any other agency of the U.S. Government. Current lists of ineligible contractors are available for inspection at the HA/HUD.

(b) Before an offer is considered for award, the offeror may be requested by the HA to submit a statement or other documentation regarding any of the foregoing requirements. Failure by the offeror to provide such additional information may render the offeror ineligible for award.

6. Late Submissions, Modifications, and Withdrawal of Offers

(a) Any offer received at the place designated in the solicitation after the exact time specified for receipt will not be considered unless it is received before award is made and it -

- (1) Was sent by registered or certified mail not later than the fifth calendar day before the date specified for receipt of offers (e.g., an offer submitted in response to a solicitation requiring receipt of offers by the 20th of the month must have been mailed by the 15th);
- (2) Was sent by mail, or if authorized by the solicitation, was sent by telegram or via facsimile, and it is determined by the HA/ HUD that the late receipt was due solely to mishandling by the HA/ HUD after receipt at the HA;
- (3) Was sent by U.S. Postal Service Express Mail Next Day Service - Post Office to Addressee, not later than 5:00 p.m. at the place of mailing two working days prior to the date specified for receipt of proposals. The term "working days" excludes weekends and U.S. Federal holidays; or
- (4) Is the only offer received.

(b) Any modification of an offer, except a modification resulting from the HA's request for "best and final" offer (if this solicitation is a request for proposals), is subject to the same conditions as in subparagraphs (a)(1), (2), and (3) of this provision.

(c) A modification resulting from the HA's request for "best and final" offer received after the time and date specified in the request will not be considered unless received before award and the late receipt is due solely to mishandling by the HA after receipt at the HA.

(d) The only acceptable evidence to establish the date of mailing of a late offer, modification, or withdrawal sent either by registered or certified mail is the U.S. or Canadian Postal Service postmark both on the envelope or wrapper and on the original receipt from the U.S. or Canadian Postal Service. Both postmarks must show a legible date or the offer, modification, or withdrawal shall be processed as if mailed late. "Postmark" means a printed, stamped, or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable without further action as having been supplied and affixed by employees of the U.S. or Canadian Postal Service on the date of mailing. Therefore, offerors should request the postal clerk to place a hand cancellation bull's-eye postmark on both the receipt and the envelope or wrapper.

(e) The only acceptable evidence to establish the time of receipt at the HA is the time/date stamp of HA on the offer wrapper or other documentary evidence of receipt maintained by the HA.

(f) The only acceptable evidence to establish the date of mailing of a late offer, modification, or withdrawal sent by Express Mail Next Day Service-Post Office to Addressee is the date entered by the post office receiving clerk on the "Express Mail Next Day Service-Post Office to Addressee" label and the postmark on both the envelope or wrapper and on the original receipt from the U.S. Postal Service. "Postmark" has the same meaning as defined in paragraph (c) of this provision, excluding postmarks of the Canadian Postal Service. Therefore, offerors should request the postal clerk to place a legible hand cancellation bull's eye postmark on both the receipt and the envelope or wrapper.

(g) Notwithstanding paragraph (a) of this provision, a late modification of an otherwise successful offer that makes its terms more favorable to the HA will be considered at any time it is received and may be accepted.

(h) If this solicitation is a request for proposals, proposals may be withdrawn by written notice, or if authorized by this solicitation, by telegram (including mailgram) or facsimile machine transmission received at any time before award. Proposals may be withdrawn in person by a offeror or its authorized representative if the identity of the person requesting withdrawal is established and the person signs a receipt for the offer before award. If this solicitation is an invitation for bids, bids may be withdrawn at any time prior to bid opening.

7. Contract Award

(a) The HA will award a contract resulting from this solicitation to the responsible offeror whose offer conforming to the solicitation will be most advantageous to the HA, cost or price and other factors, specified elsewhere in this solicitation, considered.

(b) The HA may

- (1) reject any or all offers if such action is in the HA's interest,
- (2) accept other than the lowest offer,
- (3) waive informalities and minor irregularities in offers received, and (4) award more than one contract for all or part of the requirements stated.

(c) If this solicitation is a request for proposals, the HA may award a contract on the basis of initial offers received, without discussions. Therefore, each initial offer should contain the offeror's best terms from a cost or price and technical standpoint.

(d) A written award or acceptance of offer mailed or otherwise furnished to the successful offeror within the time for acceptance specified in the offer shall result in a binding contract without further action by either party. If this solicitation is a request for proposals, before the offer's specified expiration time, the HA may accept an offer, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an offer do not constitute a rejection or counteroffer by the HA.

(e) Neither financial data submitted with an offer, nor representations concerning facilities or financing, will form a part of the resulting contract.

8. Service of Protest

Any protest against the award of a contract pursuant to this solicitation shall be served on the HA by obtaining written and dated acknowledgment of receipt from the HA at the address shown on the cover of this solicitation. The determination of the HA with regard to such protest or to proceed to award notwithstanding such protest shall be final unless appealed by the protestor.

9. Offer Submission

Offers shall be submitted as follows and shall be enclosed in a sealed envelope and addressed to the office specified in the solicitation. The proposal shall show **the hour and date specified in the solicitation for receipt, the solicitation number, and the name and address of the offeror, on the face of the envelope.**

It is very important that the offer be properly identified on the face of the envelope as set forth above in order to insure that the date and time of receipt is stamped on the face of the offer envelope. Receiving procedures are: date and time stamp those envelopes identified as proposals and deliver them immediately to the appropriate contracting official, and only date stamp those envelopes which do not contain identification of the contents and deliver them to the appropriate procuring activity only through the routine mail delivery procedure.

[Describe bid or proposal preparation instructions here:]

Certifications and Representations of Offerors

Non-Construction Contract

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

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This form includes clauses required by OMB's common rule on bidding/offering procedures, implemented by HUD in 24 CFR 85.36, and those requirements set forth in Executive Order 11625 for small, minority, women-owned businesses, and certifications for independent price determination, and conflict of interest. The form is required for nonconstruction contracts awarded by Housing Agencies (HAs). The form is used by bidders/offerors to certify to the HA's Contracting Officer for contract compliance. If the form were not used, HAs would be unable to enforce their contracts. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality.

1. Contingent Fee Representation and Agreement

(a) The bidder/offeror represents and certifies as part of its bid/offer that, except for full-time bona fide employees working solely for the bidder/offeror, the bidder/offeror:

- (1) has, has not employed or retained any person or company to solicit or obtain this contract; and
- (2) has, has not paid or agreed to pay to any person or company employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.

(b) If the answer to either (a)(1) or (a) (2) above is affirmative, the bidder/offeror shall make an immediate and full written disclosure to the PHA Contracting Officer.

(c) Any misrepresentation by the bidder/offeror shall give the PHA the right to (1) terminate the resultant contract; (2) at its discretion, to deduct from contract payments the amount of any commission, percentage, brokerage, or other contingent fee; or (3) take other remedy pursuant to the contract.

2. Small, Minority, Women-Owned Business Concern Representation

The bidder/offeror represents and certifies as part of its bid/offer that it:

- (a) is, is not a small business concern. "Small business concern," as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding, and qualified as a small business under the criteria and size standards in 13 CFR 121.
- (b) is, is not a women-owned small business concern. "Women-owned," as used in this provision, means a small business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.
- (c) is, is not a minority enterprise which, pursuant to Executive Order 11625, is defined as a business which is at least 51 percent owned by one or more minority group members or, in the case of a publicly owned business, at least 51 percent of its voting stock is owned by one or more minority group members, and whose management and daily operations are controlled by one or more such individuals.

For the purpose of this definition, minority group members are:

(Check the block applicable to you)

- | | |
|---|---|
| <input type="checkbox"/> Black Americans | <input type="checkbox"/> Asian Pacific Americans |
| <input type="checkbox"/> Hispanic Americans | <input type="checkbox"/> Asian Indian Americans |
| <input type="checkbox"/> Native Americans | <input type="checkbox"/> Hasidic Jewish Americans |

3. Certificate of Independent Price Determination

(a) The bidder/offeror certifies that—

- (1) The prices in this bid/offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other bidder/offeror or competitor relating to (i) those prices, (ii) the intention to submit a bid/offer, or (iii) the methods or factors used to calculate the prices offered;
- (2) The prices in this bid/offer have not been and will not be knowingly disclosed by the bidder/offeror, directly or indirectly, to any other bidder/offeror or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and
- (3) No attempt has been made or will be made by the bidder/offeror to induce any other concern to submit or not to submit a bid/offer for the purpose of restricting competition.
- (b) Each signature on the bid/offer is considered to be a certification by the signatory that the signatory:
- (1) Is the person in the bidder/offeror's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; or
- (2) (i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above (insert full name of person(s) in the bidder/offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the bidder/offeror's organization);
- (ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and

(iii) As an agent, has not personally participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above.

(c) If the bidder/offeror deletes or modifies subparagraph (a)2 above, the bidder/offeror must furnish with its bid/offer a signed statement setting forth in detail the circumstances of the disclosure.

4. Organizational Conflicts of Interest Certification

(a) The Contractor warrants that to the best of its knowledge and belief and except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under a proposed contract and a prospective contractor's organizational, financial, contractual or other interest are such that:

- (i) Award of the contract may result in an unfair competitive advantage;
- (ii) The Contractor's objectivity in performing the contract work may be impaired; or
- (iii) That the Contractor has disclosed all relevant information and requested the HA to make a determination with respect to this Contract.

(b) The Contractor agrees that if after award he or she discovers an organizational conflict of interest with respect to this contract, he or she shall make an immediate and full disclosure in writing to the HA which shall include a description of the action which the Contractor has taken or intends to eliminate or neutralize the conflict. The HA may, however, terminate the Contract for the convenience of HA if it would be in the best interest of HA.

(c) In the event the Contractor was aware of an organizational conflict of interest before the award of this Contract and intentionally did not disclose the conflict to the HA, the HA may terminate the Contract for default.

(d) The Contractor shall require a disclosure or representation from subcontractors and consultants who may be in a position to influence the advice or assistance rendered to the HA and shall include any necessary provisions to eliminate or neutralize conflicts of interest in consultant agreements or subcontracts involving performance or work under this Contract.

5. Authorized Negotiators (RFPs only)

The offeror represents that the following persons are authorized to negotiate on its behalf with the PHA in connection with this request for proposals: (list names, titles, and telephone numbers of the authorized negotiators):

6. Conflict of Interest

In the absence of any actual or apparent conflict, the offeror, by submission of a proposal, hereby warrants that to the best of its knowledge and belief, no actual or apparent conflict of interest exists with regard to my possible performance of this procurement, as described in the clause in this solicitation titled "Organizational Conflict of Interest."

7. Offeror's Signature

The offeror hereby certifies that the information contained in these certifications and representations is accurate, complete, and current.

Signature & Date:

Typed or Printed Name:

Title:

General Contract Conditions Non-Construction

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

OMB Approval No. 2577-0180 (exp. 4/30/96)

Public Reporting Burden for this collection of information is estimated to average 0.08 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600; and to the Office of Management and Budget, Paperwork Reduction Project (2577-0180), Washington, D.C. 20503. Do not send this completed form to either of these addressees.

1. Definitions

The following definitions are applicable to this contract:

- (a) "Authority or Housing Authority (HA)" means the _____ Housing Authority.
- (b) "Contract" means the contract entered into between the Authority and the Contractor. It includes the contract form, the Certifications and Representations, these contract clauses, and the scope of work. It includes all formal changes to any of those documents by addendum, Change Order, or other modification.
- (c) "Contractor" means the person or other entity entering into the contract with the Authority to perform all of the work required under the contract.
- (d) "Day" means calendar days, unless otherwise stated.
- (e) "HUD" means the Secretary of Housing and Urban development, his delegates, successors, and assigns, and the officers and employees of the United States Department of Housing and Urban Development acting for and on behalf of the Secretary.

2. Changes

- (a) The HA may at any time, by written order, and without notice to the sureties, if any, make changes within the general scope of this contract in the services to be performed or supplies to be delivered.
- (b) If any such change causes an increase or decrease in the hourly rate, the not-to-exceed amount of the contract, or the time required for performance of any part of the work under this contract, whether or not changed by the order, or otherwise affects the conditions of this contract, the HA shall make an equitable adjustment in the not-to-exceed amount, the hourly rate, the delivery schedule, or other affected terms, and shall modify the contract accordingly.
- (c) The Contractor must assert its right to an equitable adjustment under this clause within 30 days from the date of receipt of the written order. However, if the HA decides that the facts justify it, the HA may receive and act upon a proposal submitted before final payment of the contract.
- (d) Failure to agree to any adjustment shall be a dispute under clause **Disputes**, herein. However, nothing in this clause shall excuse the Contractor from proceeding with the contract as changed.
- (e) No services for which an additional cost or fee will be charged by the Contractor shall be furnished without the prior written consent of the HA.

3. Disputes

- (a) All disputes arising under or relating to this contract, including any claims for damages for the alleged breach thereof which are not disposed of by agreement, shall be resolved under this clause.
- (b) All claims by the Contractor shall be made in writing and submitted to the HA. A claim by the HA against the Contractor shall be subject to a written decision by the HA.
- (c) The HA shall, with reasonable promptness, but in no event in no more than 60 days, render a decision concerning any claim hereunder. Unless the Contractor, within 30 days after receipt of the HA's decision, shall notify the HA in writing that it takes exception to such decision, the decision shall be final and conclusive.

(d) Provided the Contractor has (1) given the notice within the time stated in paragraph (c) above, and (2) excepted its claim relating to such decision from the final release, and (3) brought suit against the HA not later than one year after receipt of final payment, or if final payment has not been made, not later than one year after the Contractor has had a reasonable time to respond to a written request by the HA that it submit a final voucher and release, whichever is earlier, then the HA's decision shall not be final or conclusive, but the dispute shall be determined on the merits by a court of competent jurisdiction.

(e) The Contractor shall proceed diligently with performance of this contract, pending final resolution of any request for relief, claim, appeal, or action arising under the contract, and comply with any decision of the HA.

4. Termination for Convenience and Default

- (a) The HA may terminate this contract in whole, or from time to time in part, for the HA's convenience or the failure of the Contractor to fulfill the contract obligations (default). The HA shall terminate by delivering to the Contractor a written Notice of Termination specifying the nature, extent, and effective date of the termination. Upon receipt of the notice, the Contractor shall: (1) immediately discontinue all services affected (unless the notice directs otherwise), and (2) deliver to the HA all information, reports, papers, and other materials accumulated or generated in performing this contract, whether completed or in process.
- (b) If the termination is for the convenience of the HA, the HA shall be liable only for payment for services rendered before the effective date of the termination.
- (c) If the termination is due to the failure of the Contractor to fulfill its obligations under the contract (default), the HA may (1) require the Contractor to deliver to it, in the manner and to the extent directed by the HA, any work as described in subparagraph (a)(2) above, and compensation be determined in accordance with the **Changes** clause; (2) take over the work and prosecute the same to completion by contract or otherwise, and the Contractor shall be liable for any additional cost incurred by the HA; and (3) withhold any payments to the Contractor, for the purpose of set-off or partial payment, as the case may be, of amounts owed the HA by the Contractor.
- (d) If, after termination for failure to fulfill contract obligations (default), it is determined that the Contractor had not failed, the termination shall be deemed to have been effected for the convenience of the HA, and the Contractor shall be entitled to payment as described in paragraph (b) above.
- (e) Any disputes with regard to this clause are expressly made subject to the terms of clause titled **Disputes** herein.

5. Assignment of Contract

The Contractor shall not assign or transfer any interest in this contract; *except* that claims for monies due or to become due from the HA under the contract may be assigned to a bank, trust company, or other financial institution. If the Contractor is a partnership, this contract shall inure to the benefit of the surviving or remaining member(s) of such partnership approved by the HA.

6. Certificate and Release

Prior to final payment under this contract, or prior to settlement upon termination of this contract, and as a condition precedent thereto, the Contractor shall execute and deliver to the HA a certificate and release, in a form acceptable to the HA, of all claims against the HA by the Contractor under and by virtue of this contract, other than such claims, if any, as may be specifically excepted by the Contractor in stated amounts set forth therein.

7. Examination and Retention of Contractor's Records

(a) The HA, HUD, or Comptroller General of the United States, or any of their duly authorized representatives shall, until 3 years after final payment under this contract, have access to and the right to examine any of the Contractor's directly pertinent books, documents, papers, or other records involving transactions related to this contract for the purpose of making audit, examination, excerpts, and transcriptions.

(b) The Contractor agrees to include in first-tier subcontracts under this contract a clause substantially the same as paragraph (a) above. "Subcontract," as used in this clause, excludes purchase orders not exceeding \$10,000.

(c) The periods of access and examination in paragraphs (a) and (b) above for records relating to (1) appeals under the clause titled **Disputes**, (2) litigation or settlement of claims arising from the performance of this contract, or (3) costs and expenses of this contract to which the HA, HUD, or Comptroller General or any of their duly authorized representatives has taken exception shall continue until disposition of such appeals, litigation, claims, or exceptions.

8. Organizational Conflicts of Interest

(a) The Contractor warrants that to the best of its knowledge and belief and except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under this contract and a Contractor's organizational, financial, contractual or other interests are such that:

- (1) Award of the contract may result in an unfair competitive advantage; or
- (2) The Contractor's objectivity in performing the contract work may be impaired.

(b) The Contractor agrees that if after award it discovers an organizational conflict of interest with respect to this contract or any task/delivery order under the contract, he or she shall make an immediate and full disclosure in writing to the Contracting Officer which shall include a description of the action which the Contractor has taken or intends to take to eliminate or neutralize the conflict. The HA may, however, terminate the contract or task/delivery order for the convenience of the HA if it would be in the best interest of the HA.

(c) In the event the Contractor was aware of an organizational conflict of interest before the award of this contract and intentionally did not disclose the conflict to the Contracting Officer, the HA may terminate the contract for default.

(d) The terms of this clause shall be included in all subcontracts and consulting agreements wherein the work to be performed is similar to the service provided by the prime Contractor. The Contractor shall include in such subcontracts and consulting agreements any necessary provisions to eliminate or neutralize conflicts of interest.

9. Inspection and Acceptance

(a) The HA has the right to review, require correction, if necessary, and accept the work products produced by the Contractor. Such review(s) shall be carried out within 30 days so as to not impede the work of the

Contractor. Any product of work shall be deemed accepted as submitted if the HA does not issue written comments and/or required corrections within 30 days from the date of receipt of such product from the Contractor.

(b) The Contractor shall make any required corrections promptly at no additional charge and return a revised copy of the product to the HA within 7 days of notification or a later date if extended by the HA.

(c) Failure by the Contractor to proceed with reasonable promptness to make necessary corrections shall be a default. If the Contractor's submission of corrected work remains unacceptable, the HA may terminate this contract (or the task order involved) or reduce the contract price or cost to reflect the reduced value of services received.

10. Rights in Data (Ownership and Proprietary Interest).

The HA shall have exclusive ownership of, all proprietary interest in, and the right to full and exclusive possession of all information, materials and documents discovered or produced by Contractor pursuant to the terms of this Contract, including but not limited to reports, memoranda or letters concerning the research and reporting tasks of this Contract.

11. Interest of Members of Congress

No member or delegate to the Congress of the United States of America or Resident Commissioner shall be admitted to any share or part of this contract or to any benefit to arise therefrom, but this provision shall not be construed to extend to this contract if made with a corporation for its general benefit.

12. Interest of Members, Officers, or Employees and Former Members, Officers, or Employees

No member, officer, or employee of the HA, no member of the governing body of the locality in which the project is situated, no member of the governing body in which the HA was activated, and no other public official of such locality or localities who exercises any functions or responsibilities with respect to the project, shall, during his or her tenure, or for one year thereafter, have any interest, direct or indirect, in this contract or the proceeds thereof.

13. Limitation on Payments to Influence Certain Federal Transactions

(a) Definitions. As used in this clause:

"Agency", as defined in 5 U.S.C. 552(f), includes Federal executive departments and agencies as well as independent regulatory commissions and Government corporations, as defined in 31 U.S.C. 9101(1).

"Covered Federal Action" means any of the following Federal actions:

- (1) The awarding of any Federal contract;
- (2) The making of any Federal grant;
- (3) The making of any Federal loan;
- (4) The entering into of any cooperative agreement; and,
- (5) The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

Covered Federal action does not include receiving from an agency a commitment providing for the United States to insure or guarantee a loan.

"Indian tribe" and "tribal organization" have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B). Alaskan Natives are included under the definitions of Indian tribes in that Act.

"Influencing or attempting to influence" means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.

"Local government" means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.

"Officer or employee of an agency" includes the following individuals who are employed by an agency:

- (1) An individual who is appointed to a position in the Government under title 5, U.S.C., including a position under a temporary appointment;
- (2) A member of the uniformed services as defined in section 202, title 18, U.S.C.;
- (3) A special Government employee as defined in section 202, title 18, U.S.C.; and,
- (4) An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, title 5, appendix 2.

"Person" means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit or not for profit. This term excludes an Indian tribe, tribal organization, or other Indian organization with respect to expenditures specifically permitted by other Federal law.

consistent with the amount normally paid for such services in the private sector.

"Recipient" includes all contractors, subcontractors at any tier, and subgrantees at any tier of the recipient of funds received in connection with a Federal contract, grant, loan, or cooperative agreement. The term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Regularly employed" means, with respect to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement, an officer or employee who is employed by such person for at least 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract, grant, loan, or cooperative agreement. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

"State" means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory of possession of the United States, an agency or instrumentality of a State, and a multi-State, regional, or interstate entity having governmental duties and powers.

(b). Prohibition.

- (1) Section 1352 of title 31, U.S.C. provides in part that no appropriated funds may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the awarding of any Federal contract, the making of any Federal grant, the making

of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) The prohibition does not apply as follows:
 - (i) Agency and legislative liaison by Own Employees.
 - (A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement, if the payment is for agency and legislative activities not directly related to a covered Federal action.

- (B) For purposes of paragraph (b)(2)(i)(A) of this clause, providing any information specifically requested by an agency or Congress is permitted at any time.

- (C) The following agency and legislative liaison activities are permitted at any time only where they are not related to a specific solicitation for any covered Federal action:

- (1) Discussing with an agency (including individual demonstrations) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and,
- (2) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

- (D) The following agency and legislative liaison activities are permitted where they are prior to formal solicitation of any covered Federal action:

- (1) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;
- (2) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and
- (3) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507 and other subsequent amendments.

- (E) Only those activities expressly authorized by subdivision (b)(2)(i)(A) of this clause are permitted under this clause.

- (ii) Professional and technical services.

- (A) The prohibition on the use of appropriated funds, in subparagraph (b)(1) of this clause, does not apply in the case of-

- (1) A payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action, if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action.
- (2) Any reasonable payment to a person, other than an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action if the payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action. Persons other than officers or employees of a person requesting or receiving a covered Federal action include consultants and trade associations.

- (B) For purposes of subdivision (b)(2)(ii)(A) of clause, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline.

(C) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.

(D) Only those services expressly authorized by subdivisions (b)(2)(ii)(A)(1) and (2) of this section are permitted under this clause.

(iii) Selling activities by independent sales representatives.

The prohibition on the use of appropriated funds, in subparagraph (b)(1) of this clause, does not apply to the following selling activities before an agency by independent sales representatives, provided such activities are prior to formal solicitation by an agency and are specifically limited to the merits of the matter:

(A) Discussing with an agency (including individual demonstration) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and

(B) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

(c) Agreement. In accepting any contract, grant, cooperative agreement, or loan resulting from this solicitation, the person submitting the offer agrees not to make any payment prohibited by this clause.

(d) Penalties. Any person who makes an expenditure prohibited under paragraph (b) of this clause shall be subject to a civil penalties as provided for by 31 U.S.C. 1352. An imposition of a civil penalty does not prevent the Government from seeking any other remedy that may be applicable.

(e) Cost Allowability. Nothing in this clause is to be interpreted to make allowable or reasonable any costs which would be unallowable or unreasonable in accordance with Part 31 of the Federal Acquisition Regulation (FAR), or OMB Circulars dealing with cost allowability for recipients of assistance agreements. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any of the provisions of FAR Part 31 or the relevant OMB Circulars.

14. Equal Employment Opportunity

During the performance of this contract, the Contractor agrees as follows:

(a) The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin.

(b) The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to, (1) employment, (2) upgrading, (3) demotion, (4) transfer, (5) recruitment or recruitment advertising, (6) layoff or termination, (7) rates of pay or other forms of compensation, and (8) selection for training, including apprenticeship.

(c) The Contractor shall post in conspicuous places available to employees and applicants for employment the notices to be provided by the Contracting Officer that explain this clause.

(d) The Contractor shall, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.

(e) The Contractor shall send, to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, the notice to be provided by the Contracting Officer advising the labor union or workers' representative of the

Contractor's commitments under this clause, and post copies of the notice in conspicuous places available to employees and applicants for employment.

(f) The Contractor shall comply with Executive Order 11246, as amended, and the rules, regulations, and orders of the Secretary of Labor.

(g) The Contractor shall furnish all information and reports required by Executive Order 11246, as amended and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto. The Contractor shall permit access to its books, records, and accounts by the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.

(h) In the event of a determination that the Contractor is not in compliance with this clause or any rule, regulation, or order of the Secretary of Labor, this contract may be canceled, terminated, or suspended in whole or in part, and the Contractor may be declared ineligible for further Government contracts, or federally assisted construction contracts under the procedures authorized in Executive Order 11246, as amended. In addition, sanctions may be imposed and remedies invoked against the Contractor as provided in Executive Order 11246, as amended, the rules, regulations, and orders of the Secretary of Labor, or as otherwise provided by law.

(i) The Contractor shall include the terms and conditions of this clause in every subcontract or purchase order unless exempted by the rules, regulations, or orders of the Secretary of Labor issued under Executive Order 11246, as amended, so that these terms and conditions will be binding upon each subcontractor or vendor. The Contractor shall take such action with respect to any subcontract or purchase order as the Secretary of Housing and Urban Development or the Secretary of Labor may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided that if the Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, the Contractor may request the United States to enter into the litigation to protect the interests of the United States.

15. Dissemination or Disclosure of Information

No information or material shall be disseminated or disclosed to the general public, the news media, or any person or organization without prior express written approval by the HA.

16. Contractor's Status

It is understood that the Contractor is an independent contractor and is not to be considered an employee of the HA, or assume any right, privilege or duties of an employee, and shall save harmless the HA and its employees from claims suits, actions and costs of every description resulting from the Contractor's activities on behalf of the HA in connection with this Agreement.

17. Other Contractors

HA may undertake or award other contracts for additional work at or near the site(s) of the work under this contract. The contractor shall fully cooperate with the other contractors and with HA and HUD employees and shall carefully adapt scheduling and performing the work under this contract to accommodate the additional work, heeding any direction that may be provided by the Contracting Officer. The contractor shall not commit or permit any act that will interfere with the performance of work by any other contractor or HA employee.

18. Liens

The Contractor is prohibited from placing a lien on HA's property. This prohibition shall apply to all subcontractors.

19. Training and Employment Opportunities for Residents in the Project Area (Section 3, HUD Act of 1968; 24 CFR 135)(Applicable to contracts in excess of \$500,000)

(a) The work to be performed under this contract is on a project assisted under a program providing direct Federal financial assistance from HUD and is subject to the requirements of section 3 of the HUD Act of 1968, as amended, 12 U.S.C. 1701u. Section 3 requires that to the greatest extent feasible opportunities for training and employment be given lower income residents of the project area and contracts for work in connection with the project be awarded to business concerns which are located in, or owned in substantial part by persons residing in the area of the project.

(b) The parties to this contract will comply with the provisions of Section 3 and the regulations issued pursuant thereto by the Secretary of HUD set forth in 24 CFR part 135, and all applicable rules and orders of HUD issued thereunder prior to the execution of this contract. The parties to this contract certify and agree that they are under no contractual or other disability which would prevent them from complying with these requirements.

(c) The contractor will send to each labor organization or representative of workers with which the contractor has a collective bargaining agreement or other contract or understanding, if any, a notice advising the organization of the contractor's commitments under this clause and shall post copies of the notice in conspicuous places available to employees and applicants for employment or training.

(d) The contractor will include this clause in every subcontract for work in connection with the project and will, at the direction of the applicant for or recipient of Federal financial assistance, take appropriate action pursuant to the subcontract upon a finding that the subcontractor is in violation of regulations issued by the Secretary of HUD, 24 CFR part 135. The contractor will not subcontract with any subcontractor where it has notice or knowledge that the latter has been found in violation of these regulations and will not award any subcontract unless the subcontractor has first provided it with a preliminary statement of ability to comply with the requirements of these regulations.

(e) Compliance with the provisions of section 3, the regulations set forth at 24 CFR part 135, and all applicable rules and orders of HUD issued thereunder prior to the execution of the contract shall be a condition of the Federal financial assistance provided to the project, binding upon the applicant or recipient for such assistance, its successors, and assigns. Failure to fulfill these requirements shall subject the applicant or recipient, its contractors and subcontractors, its successors, and assigns to those sanctions specified by the grant or loan agreement or contract through which the Federal assistance is provided, and to such sanctions as are specified by 24 CFR part 135.

ATTACHMENT E

Utility Consumption and Cost Data: to be provided at pre-bid meeting

ATTACHMENT F

**Current Utility Allowance Schedules: to be provided at pre-bid
meeting**

Certification of Payments to Influence Federal Transactions

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

Applicant Name

Yolo County Housing

Program/Activity Receiving Federal Grant Funding

Public Housing Capital Fund Program

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

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

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

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

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

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

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

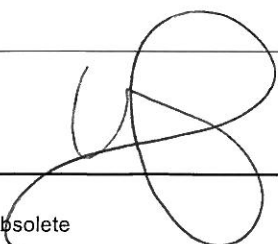
Name of Authorized Official

Lisa A. Baker

Title

Executive Director

Signature



Date (mm/dd/yyyy)

March 15, 2012

PHA Certifications of Compliance with PHA Plans and Regulated Regulations

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

PHA Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the PHA 5-Year and Annual PHA Plan

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the ___ 5-Year and/ or X Annual PHA Plan for the PHA fiscal year beginning 7/1/2012, hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA certifies that there has been no change, significant, or otherwise, to the Capital Fund Program (and Capital Fund Program/Replacement Housing Factor) Annual Statement(s), since submission of its last approved Annual Plan. The Capital Fund Program Annual Statement/Annual Statement/Performance and Evaluation Report must be submitted annually even if there is no change.
4. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
6. The PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. For PHA Plan that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's 50058 PIC/IMS in an accurate, complete and timely manner (as specified in PIH Notice 2006-24);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
9. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
10. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
11. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.

12. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
13. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
14. The PHA will provide the responsible entity of HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58 or Part 50, respectively.
15. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
16. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
17. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR Part 35.
18. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments), 2 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments.).
19. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
20. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.
21. The PHA provides assurance as part of this certification that:
 - (i) The Resident Advisory Board had an opportunity to review and comment on the changes to the policies and programs before implementation by the PHA;
 - (ii) The changes were duly approved by the PHA Board of Directors (or similar governing body); and
 - (iii) The revised policies and programs are available for review and inspection, at the principle office of the PHA during normal business hours.
22. The PHA certifies that it is in compliance with all applicable Federal statutory and regulatory requirements.

Yolo County Housing

CA 044

PHA Name

PHA Number/HA Code

____ 5-Year PHA Plan for Fiscal Years 2010 - 2014

X Annual PHA Plan for Fiscal Year 2012

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Title

Helen M Thomson

Board Chairman

Signature

Date

x Helen M Thomson

March 27, 2012

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Yolo County Housing

Program/Activity Receiving Federal Grant Funding

Public Housing Capital Fund Program

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. **Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here if there are workplaces on file that are not identified on the attached sheets.

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

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

Name of Authorized Official

Lisa A. Baker

Title

Executive Director

Signature

Date

X

March 15, 2012

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for Instructions and Public Reporting burden statement)

1. Type of Federal Action <input checked="" type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance		2. Status of Federal Action <input checked="" type="checkbox"/> a. bid/offer/application b. initial award c. post-award		3. Report Type <input checked="" type="checkbox"/> a. initial filing b. material change For Material Change Only year (yyyy) _____ quarter _____ date of last report (mm/dd/yyyy) _____	
4. Name and Address of Reporting Entity <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Yolo County Housing 147 W. Main Street Woodland, CA 95695 Congressional District, if known _____			5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime n/a Congressional District, if known _____		
6. Federal Department/Agency United States Department of Housing and Urban Development			7. Federal Program Name/Description Public Housing Capital Fund Program CFDA Number, if applicable _____		
8. Federal Action Number, if known n/a			9. Award Amount, if known \$ _____ n/a		
10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI) n/a			b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI) n/a		
(attach continuation sheet(s) if necessary)					
11. Amount of Payment (check all that apply) \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned			13. Type of Payment (check all that apply) <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other (specify) _____		
12. Form of Payment (check all that apply) <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____					
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11 (attach continuation sheet(s) if necessary)					
15. Continuation sheets attached <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
16. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			Signature _____ Print Name <u>Lisa A. Baker</u> Title <u>Executive Director</u> Telephone No. <u>530-669-2219</u> Date (mm/dd/yyyy) <u>03/15/2012</u>		
Federal Use Only:			Authorized for Local Reproduction Standard Form-LLL (7/97)		

Civil Rights Certification

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

Civil Rights Certification

Annual Certification and Board Resolution

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioner, I approve the submission of the Plan for the PHA of which this document is a part and make the following certification and agreement with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

The PHA certifies that it will carry out the public housing program of the agency in conformity with title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990, and will affirmatively further fair housing.

Yolo County Housing

CA 044

PHA Name

PHA Number/HA Code

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Helen M. Thomson

Title

Board Chairman

Signature

Helen M. Thomson

Date

March 27, 2012