

YOLO COUNTY HOUSING
AGENDA & SUPPORTING MATERIALS

October 17, 2013



YOLO COUNTY HOUSING
HOUSING COMMISSION

CECILIA AGUIAR-CURRY
SKIP DAVIES
RITA EISENSTAT
MARK JOHANNESSEN
BRETT LEE (ALTERNATE)
HELEN M. THOMSON
JENNIFER WIENECKE-FRIEDMAN

BOARD OF SUPERVISORS CHAMBERS
625 COURT STREET, ROOM 206
WOODLAND, CALIFORNIA 95695

LISA A. BAKER
EXECUTIVE DIRECTOR

SONIA CORTES
AGENCY COUNSEL

2:00 P.M. CALL TO ORDER

1. Pledge of Allegiance.
2. Consider approval of the agenda.
3. Public Comment : Opportunity for members of the public to address the Housing Authority on subjects not otherwise on the agenda relating to Housing Authority business. The Board reserves the right to impose a reasonable limit on time afforded to any topic or to any individual speaker.

PRESENTATIONS

4. Presentation of Certificates of Achievement to YCH Soccer League Coaches
5. Presentation of Housing Authority Insurance Group (HAI Group) Awards to YCH: Low Loss Ratio Achievement Award; Outstanding Risk Control Program Star Performer Award; and Housing Authority Risk and Retention Innovation (HARRI) Award First Runner Up
6. Introduction of New Employee, Linda Dominguez, OA I
7. Recognition of Family Self-Sufficiency (FSS) graduate, Ms. Hilda Arias

CONSENT AGENDA

8. Review and Approve Minutes for the Meeting of August 22, 2013
9. Review, Approve and Adopt Resolution to Amend Payment Standards to Conform with Federal Requirements for the Housing Choice Voucher Program (Jimenez-Perez)
10. Receive and File Correspondence from State of California Housing and Community Development Department (Baker)
11. Authorize YCH to Write Off Uncollectible Balances (Chaudry and Gillette)
12. Receive and File Unaudited Financial Report for the Year Ended June 30, 2013 (Gillette and Baker)

REGULAR AGENDA

13. Review and Approve the YCH Business Continuity Plan and Authorize the CEO to implement (Holt and Baker)
14. Authorize YCH to Enter into an Agreement with 4th and Hope for Executive Services and Authorize the CEO to Finalize and Execute the Contract (Baker)
15. Receive Verbal Update from the CEO on the Status of the Budget and Funding During Federal Government Shutdown (Baker)
16. Receive comments from CEO.

17. Receive comments from Commissioners.

ADJOURNMENT

Next meeting scheduled for: December 19, 2013 at 2:00 p.m.

I declare under penalty of perjury that the foregoing agenda was posted October 11, 2013 by 5:00 p.m. at the following places:

- On the bulletin board at the east entrance of the Erwin W. Meier Administration Building, 625 Court Street, Woodland, California; and
- On the bulletin board outside the Board of Supervisors Chambers, Room 206 in the Erwin W. Meier Administration Building, 625 Court Street, Woodland, California; and
- On the bulletin board of Yolo County Housing, 147 West Main Street, Woodland, California.

I declare under penalty of perjury that the foregoing agenda will be posted no later than October 14, 2013 by 2:00 p.m. as follows:

- On the Yolo County website: www.yolocounty.org.

Julie Dachtler, Clerk of the Board
Yolo County Housing

NOTICE

If requested, this agenda can be made available in appropriate alternative formats to persons with a disability, as required by Section 202 of the Americans with Disabilities Act of 1990 and the Federal Rules and Regulations adopted in implementation thereof. Persons seeking an alternative format should contact the Clerk of the Board for further information. In addition, a person with a disability who requires a modification or accommodation, including auxiliary aids or services, in order to participate in a public meeting should telephone or otherwise contact the Clerk of the Board as soon as possible and at least 24 hours prior to the meeting. The Clerk of the Board may be reached at (530) 666-8195 or at the following address:

Clerk of the Yolo County Housing Board
625 Court Street, Room 204
Woodland, CA 95695

Yolo County Housing

8.

Meeting Date: 10/17/2013

Information

SUBJECT

Review and Approve Minutes for the Meeting of August 22, 2013

Attachments

Att. A. Minutes

Form Review

Form Started By: Julie Dachtler
Final Approval Date: 10/10/2013

Started On: 10/10/2013 08:55 AM

Yolo County Housing
Yolo County, California

August 22, 2013

MINUTES

The Yolo County Housing met on the 22nd day of August, 2013, in regular session in its Chambers in the Erwin W. Meier Administration Building, 625 Court Street, Woodland, California at 2:00 p.m.

Present: Cecilia Aguiar-Curry; Skip Davies; Mark Johannessen; Jennifer Wienecke-Friedman

Absent: Rita Eisenstat; Helen Thomson

Staff Present: Lisa Baker, CEO
Janis Holt, Resource Administrator
Julie Dachtler, Clerk

Attendees: Robyn Truitt Drivon, County Counsel

2:00 P.M. CALL TO ORDER

1. Pledge of Allegiance.
2. Minute Order No. 13-26: Approved agenda as submitted.

MOTION: Wienecke-Friedman. SECOND: Johannessen. AYES: Aguiar-Curry, Davies, Johannessen, Wienecke-Friedman. ABSENT: Eisenstat, Thomson.
3. Public Comment: Opportunity for members of the public to address the Housing Authority on subjects not otherwise on the agenda relating to Housing Authority business. The Board reserves the right to impose a reasonable limit on time afforded to any topic or to any individual speaker. There was no public comment.

PRESENTATIONS

4. Presentation: Summer Fun! Seamless Summer Meal Program, Kids Farmers Market and National Night Out

Resource Manager Janis Holt made the presentation.

5. Certificate of Appreciation to Woodland Joint Unified School District for the Seamless Summer Meal Program

Commissioner Davies presented the Certificate of Appreciation to the Woodland Joint Unified School District. Superintendent Debra LaVoi and Spencer Springer accepted the Certificate.

6. Certificate of Appreciation to Yolo County Food Bank for the Kids Farmers Market

Commissioner Aguiar-Curry presented the Certificate of Appreciation to the Yolo County Food Bank. Amanda McCarthy accepted the Certificate.

7. Introduction of ExperienceWorks intern, Linda Dominguez

Resource Manager Janis Holt introduced Linda Dominguez in name only, as she was not able to attend.

8. Introduction of New Employees: Patti Mckee, Resident Manager, assigned to Cottonwood Meadows and Gerardo Servin, Computer Learning Center Coordinator, assigned to El Rio Villas

Resource Manager Janis Holt introduced Patti Mckee, Resident Manager, and introduced Gerardo Servin, Computer Learning Center Coordinator, in name only as he was not able to attend.

CONSENT AGENDA

Minute Order No. 13-27: Approved Consent Agenda Item Nos. 9-11.

MOTION: Davies. SECOND: Johannessen. AYES: Aguiar-Curry, Davies, Johannessen, Wienecke-Friedman. ABSENT: Eisenstat, Thomson.

9. Review and Approve Minutes for the Meeting of June 20, 2013

Approved the June 20, 2013 minutes on Consent.

10. Receive and File Correspondence from the U.S. Department of Housing and Urban Development (HUD) awarding YCH Shortfall Prevention Funds (Gillette)

Approved recommended action on Consent.

11. Review, Approve and Ratify Award to J.A. Gonsalves and Son as the Lowest Responsive and Responsible Bidder for Phase I of Capital Fund ADA Site and Roadway Improvements at the El Rio Villa housing complex at Winters (Ichtertz)

Approved recommended action on Consent.

REGULAR AGENDA

12. Review, Approve and Adopt Resolution for Section 8 Management Assessment Program (Krager)

Minute Order No. 13-28: Approved recommended action by **Resolution No. 13-10.**

MOTION: Davies. SECOND: Johannessen. AYES: Aguiar-Curry, Davies, Johannessen, Wienecke-Friedman. ABSENT: Eisenstat, Thomson.

13. Review, Approve and Adopt Resolution Authorizing Yolo County Housing to Provide Certain Guarantees in Rehabilitation of

Crosswood Apartments and Ratify Execution of Same by Chief Executive Officer (Baker)

Minute Order No. 13-29: Approved recommended action by **Resolution No. 13-11.**

MOTION: Johannessen. SECOND: Wienecke-Friedman. AYES: Aguiar-Curry, Davies, Johannessen, Wienecke-Friedman. ABSENT: Eisenstat, Thomson.

14. Receive comments from CEO.

The Chair stated that Lisa Baker has a new title, that of CEO, which their Board approved back in June 2013. CEO Baker voiced her appreciation for her stellar staff and informed that a lot has happened since July 1st. They are changing their processes so they can continue to deliver good service on a reduced work schedule. They also met with their congressman at the El Rio Villas. Several local churches are circulating petitions in support of housing programs and sending these to Congress. The Chair asked for a copy of the template for the City of Winters to begin working on. Still some families looking for housing that cannot get vouchers. The CEO read a letter from an applicant who is waiting to get into the voucher program. The Chair responded that the lack of housing also affects returning veterans that need a place to stay. Winters is really trying to find solutions for this group.

15. Receive comments from Commissioners.

Commissioner Davies thanked the CEO and the Chair for their support in the local boxing program in Woodland, which he feels is really reaching a lot of kids.

ADJOURNMENT

Next meeting scheduled for: September 12, 2012

Cecilia Aguiar-Curry, Chair
Yolo County Housing

Julie Dachtler, Clerk
Yolo County Housing

Yolo County Housing

Meeting Date: 10/17/2013

Information

SUBJECT

Review, Approve and Adopt Resolution to Amend Payment Standards to Conform with Federal Requirements for the Housing Choice Voucher Program (Jimenez-Perez)

Attachments

Att. A. Staff Report

Att. B. Resolution

Form Review

Form Started By: Julie Dachtler
Final Approval Date: 10/10/2013

Started On: 10/10/2013 08:56 AM



Yolo County Housing

147 W. Main Street
WOODLAND, CA 95695

Woodland: (530) 662-5428
Sacramento: (916) 444-8982
TTY: (800) 545-1833, ext. 626

DATE: October 17, 2013

TO: YCH Housing Commission

Prepared By Irma Jimenez-Perez, Housing Assistance Supervisor

FROM: Lisa A. Baker, Chief Executive Officer

SUBJECT: Review, Approve and Adopt Resolution to Amend Payment Standards to Conform to Federal Requirements for the Housing Choice Voucher Program

RECOMMENDED ACTIONS:

That the Housing Commission:

1. Review, Approved and Adopt the Resolution authorizing the change in Payment Standards to conform to Federal law; and
2. Authorize the CEO to implement the new Payment Standards

BACKGROUND / DISCUSSION:

Yolo County Housing (YCH) must establish a Payment Standard schedule to calculate the monthly housing assistance payment sent to landlords on behalf of families participating in the Housing Choice Voucher (HCV) program. HUD published the Fair Market Rents for each market area in the United States, for Fiscal Year 2014, on October 1, 2013. Part 982.503 of Title 24 of the Code of Federal Regulations (24 CFR) requires housing agencies adopt a payment standard for each Fair Market Rent (FMR) area in the agency's jurisdiction for each unit size (the unit size is measured by the number of bedrooms). The payment standard amount must be established at any level between 90 percent and 110 percent of the published FMR for that unit size based on market conditions. A single payment standard may be established for the whole FMR area of

YCH’s jurisdiction or a separate payment standard may be established for each designated part of the FMR area.

The 2014 FMR increased by 2%. YCH must update the current payment standard, to be in compliance, but also proposes to continue with cost saving measures and to maintain the payment standard (PS) at 90% of the current Fair Market Rent (FMR), effective December 1, 2013.

The following tables demonstrate the current payment standards, current FMR and Proposed Payment Standards:

Current Payment Standards All Areas of County of Yolo

Bdrm size	0-bdrm	1-bdrm	2-bdrm	3-bdrm	4-bdrm	5-bdrm	6-bdrm
PS	667	721	974	1435	1674	1926	2177

Yolo, CA HUD Metro FMR Area by Unit Bedrooms, effective 10/1/2013

Bdrm size	0-bdrm	1-bdrm	2-bdrm	3-bdrm	4-bdrm	5-bdrm	6-bdrm
FMR	757	817	1104	1627	1898	2183	2467

Proposed Payment Standards All Areas of County of Yolo, effective 12/1/2013

Bdrm size	0-bdrm	1-bdrm	2-bdrm	3-bdrm	4-bdrm	5-bdrm	6-bdrm
PS	682	736	994	1465	1709	1965	2221

YCH is required to perform a rent reasonableness test to ensure that HCV participants are not charged a higher rent than other tenants who are not participating in the HCV program. YCH engages in negotiation of the rent amount with the landlords, requesting it be lowered to a reasonable amount when the rent is determined to be too high.

FISCAL IMPACT:

YCH has an Annual Contribution Contract with HUD to lease up to 1,727 vouchers; the current funding, under sequestration, supports assistance for approximately 1,273 families at this time. YCH currently has 1,553 families under lease. HAP is based on a formula allocation and pro-rated downward due to CR and sequestration. Failure to adjust payment standards would result in YCH being out of compliance with federal requirements and jeopardize continued funding.

Higher Payment Standards will also mean higher subsidy for some families and further erode the ability of existing funding to cover all families under lease.

CONCLUSION:

Staff recommends that the Housing Commission approve the recommended action.

**YOLO COUNTY HOUSING
RESOLUTION NO. 13-___**

**(Resolution regarding Updates to the Payment Standard for the Housing Choice
Voucher Program in Accordance with Federal Regulations)**

WHEREAS, the U.S. Department of Housing and Urban Development (“HUD”) requires public housing authorities to adopt a payment standard for each Fair Market Rent (FMR) area in the agency’s jurisdiction for each unit size; and

WHEREAS, the new payment standards must be applied at the first annual re-examination following the change of the payment standard amount, unless the use of decreased payment standard results in a decrease of the Housing Assistance Payment made on behalf of the family. In this case, the decreased payment standard will be applied at the family’s second annual re-examination, if families remaining in their units receive a new HAP contract or if they move to a new unit within the first year; and

WHEREAS, the Housing Commission of the Housing Authority of the County of Yolo (informally known as Yolo County Housing) has determined that an adjustment that will maintain the payment standards for all bedroom sizes in compliance with HUD Regulations will be effective December 1, 2013; and

NOW, THEREFORE, BE IT RESOLVED, ORDERED AND FOUND by the Housing Commission of the Housing Authority of the County of Yolo adopts payment standard adjustments to be effective December 1, 2013 as outlined in the payment standard staff report of October 17 , 2013.

PASSED AND ADOPTED, by the Housing Commission of the Housing Authority of the County of Yolo, State of California, this 17th day of October 2013 by the following vote:

- AYES:
- NOES:
- ABSTAIN:
- ABSENT:

Cecilia Aguiar-Curry, Chair

Housing Commission of the
Housing Authority of the County of Yolo

Approved as to Form:

By _____
Sonia Cortes, Agency Counsel

Attest:
Julie Dachtler, Clerk
Housing Commission of the
Housing Authority of the County of Yolo

By _____

Yolo County Housing

Meeting Date: 10/17/2013

Information

SUBJECT

Receive and File Correspondence from State of California Housing and Community Development Department (Baker)

Attachments

Att. A. Staff Report

Att. B. Correspondence

Form Review

Form Started By: Julie Dachtler
Final Approval Date: 10/10/2013

Started On: 10/10/2013 08:57 AM



Yolo County Housing

Lisa A. Baker, Chief Executive Officer

147 W. Main Street

WOODLAND, CA 95695

Woodland: (530) 662-5428

Sacramento: (916) 444-8982

TTY: (800) 545-1833, ext. 626

DATE: October 17, 2013
TO: YCH Housing Commission
FROM: Lisa A. Baker, Chief Executive Officer
SUBJECT: **Receive and File Correspondence from the California Department of Housing and Community Development (HCD) Asset Management and Compliance Section**

RECOMMENDED ACTIONS:

That the Commissioners receive and file the correspondence.

BACKGROUND / DISCUSSION

YCH has received correspondence from the State Department of Housing and Community Development Asset Management and Compliance Section of a 30-Day Pre-Notice of Default on the Country West II project, also known as the Esparto Duplex project. These are the six lots owned by YCH that were originally slated for development of 6 duplex rental units in 2004.

Under prior administration, YCH received a grant from HCD for up to \$600,000 in Joe Serna, Jr. Farmworker funds. YCH expended \$332,268.71 of those grant funds in 2004 in Architecture, Engineering and other associated soft costs. When bids were received for the project, construction costs far exceeded funds available from the remaining grant and the additional USDA 514 loan that YCH received for construction. Due to the small number of units and low USDA rents, the project could not secure additional debt and it did not move forward.

With the arrival of the new Executive Director at the end of 2006, staff was tasked to study the feasibility of development as rental property. Staff determined the property would be more feasible if developed as ownership property. On February 27, 2007, the YCH Board of Commissioners approved a change from rental to homeownership and authorized the Executive Director to seek approval from the State of California.

YCH staff has had several discussions with the State since that time. At this time, the designation is still rental housing. In addition, market downturns beginning in 2008 made building ownership housing infeasible. With the beginnings of the return of homeownership, the timing is now good to complete this as a homeownership project in conformance with earlier Board direction. Accordingly, staff has responded with a proposed development plan to the State. It is our understanding that the State is currently in active discussion about the proposed development plan. Once we receive additional information, we will bring it back to the Commission for any required action items.

FINANCIAL IMPACT

None at this time. Failure of the State to accept a development plan would trigger a payback demand of the \$332,268.71 already expended for this project.

CONCLUSION

That the Commission receive and file the correspondence.

Attachment: Letter from California State Department of Housing and Community Development

**DEPARTMENT OF HOUSING AND COMMUNITY DEVELOPMENT
DIVISION OF FINANCIAL ASSISTANCE
ASSET MANAGEMENT AND COMPLIANCE SECTION**

2020 West El Camino Ave Suite 400
Sacramento, CA 95833
Phone 916-263-2771
Fax 916-263-3393



September 4, 2013

Yolo County Housing Authority
Attn: Lisa Baker
Executive Director
147 W. Main Street
Woodland, CA 95695

Re: **30-DAY PRE-NOTICE OF DEFAULT**
Country West II
Grant Number 03-FWHG-268
25983 & 25985 Monroe Street;
25941 & 25945 Craig Street;
16987 & 16975 Campos Drive
Esparto, CA 95627

Dear Ms. Baker:

This letter is to inform you that the Yolo County Housing Authority (the "Grantee"), is the recipient of a grant from the Department of Housing and Community Development, a public agency of the State of California (the "Department"), authorizing the advancement of funds up to \$600,000 (the "Grant") provided under the Joe Serna Jr. Farmworker Housing Grant Program (the "Serna Program"). The Grantee executed a Promissory Note (the "Note") for the Grant, which Note is secured by a Deed of Trust dated May 4, 2004 and recorded May 4, 2004 (the "Deed of Trust") as Instrument No 2004-0018829-00. The Grantee further executed a Regulatory Agreement (the "Regulatory Agreement") dated May 4, 2004 and recorded on May 4, 2004, as Instrument No. 2004-0018828-00 of Official Records, in Yolo County.

The Grant was assigned Grant Number 03-FWHG-268, for the project known as Country West II (the "Project"), which consists of the following multiple locations: 25983 and 25985 Monroe Street, 25941 and 25945 Craig Street, and 16987 and 16975 Campos Drive, Esparto, CA 95627 (the "Property Addresses").

Housing Authority of Yolo County
Contract No 03-FWHG-268
Pre NOD
September 4, 2013

Under the terms of the Grant, funds in the amount of \$331,268.71 were distributed to the Grantee to commence development of the Project. Subsequently, the Department was made aware that the Grantee halted development of the Project. The Grantee did not notify the Department of the interruption of construction. The Department was advised by the Grantee, in June of 2012, that all efforts were being made to recommence development of the Project. As of present, the Department is not aware of any information suggesting that the Grantee has resumed development of the Project as required per the terms of the Grant.

This letter constitutes formal written notice (the "Notice") that the Grantee, with respect to the Project, is in breach of:

1. The Regulatory Agreement, and
2. The Deed of Trust, and
3. The Note

The Regulatory Agreement, the Deed of Trust and the Note may hereafter be referred to collectively as (the "Department Grant Documents").

VIOLATIONS

1. The Regulatory Agreement: Construction Use

Violation of Paragraph 24 (b) (ii):

"the cessation of the construction of the Development prior to completion for a continuous period of more than fifteen (15) days (unless caused by war, rebellion, insurrection, strike, lockout, boycott or act of God, or other event beyond the Grantee's control as determined in the sole discretion of the State)".

CURE OF VIOLATIONS

These violations must be cured on or before thirty (30) days after the date this Notice is delivered, refused, or attempted to be delivered, but in any event no later than October 4, 2013. To cure these violations, you, the Borrower, must:

- a. Submit a Development Plan that is acceptable to the Department which details the steps necessary to complete construction. This plan must provide for recommencing construction in a substantial and material manner within 60 days of this notice. Otherwise, pay the balance of the Note in full.

The Department reserves the right to inspect the Project before approving any cures.

If the above actions are not completed by the specified date, the Department may declare a default and take such actions as are necessary to protect its security of the Project. Such actions may include, but are not limited to, acceleration of the sums secured by the Deed of Trust and the Regulatory Agreement, foreclosure, appointment of receiver and other remedies

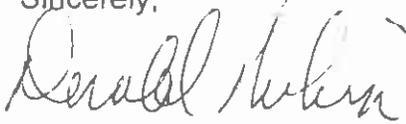
as provided in the Deed of Trust and the Regulatory Agreement. The Department may seek reimbursement for all fees and costs relating to the items referenced above in this paragraph.

These violations may not be the only defaults. The Department, by this Pre-Notice of Default, is not waiving any other defaults under its Deed of Trust, Regulatory Agreement, or other grant and contract documents.

Should the Department accelerate the grant secured by the Deed of Trust, you have the right to reinstate after acceleration and the right to bring a court action to assert the non-existence of a default or any other defense to acceleration and sale.

If you wish to discuss these matters further, please contact Donald Rubin, Program Manager at 916-263-6110 or email donald.rubin@hcd.ca.gov.

Sincerely,

A handwritten signature in black ink that reads "Donald Rubin". The signature is written in a cursive style with a large initial "D".

Donald Rubin, Program Manager
Compliance Resolution Program

Yolo County Housing

11.

Meeting Date: 10/17/2013

Information

SUBJECT

Authorize YCH to Write Off Uncollectible Balances (Chaudry and Gillette)

Attachments

Att. A. Staff Report

Form Review

Form Started By: Julie Dachtler
Final Approval Date: 10/10/2013

Started On: 10/10/2013 08:58 AM



Yolo County Housing

Lisa Baker, Chief Executive Officer

147 W. Main Street
WOODLAND, CA 95695

Woodland: (530) 662-5428
Sacramento: (916) 444-8982
TTY: (800) 545-1833, ext. 626

DATE: October 17, 2013

TO: YCH Housing Commission

BY: Masud Chaudry, Real Estate Services and Jim Gillette, Finance Director

FROM: Lisa A. Baker, Chief Executive Officer

SUBJECT: Authorize YCH to Write Off Uncollectible Balances

RECOMMENDED ACTIONS:

That the Housing Commissioners:

1. Authorize staff to write off bad debts of the Yolo County Housing Low Income Public Housing Program of approximately \$6,887; and
2. Authorize staff to write off bad debts of the Yolo County Housing managed property, Pacifico Cooperative Community of approximately \$10,503.00.

BACKGROUND/DISCUSSION

According to policy, the process of writing off bad debts takes place regularly. At this time, staff requests that the Commission authorize the write off of debts that have not been collected throughout the agency over the last year.

The bad debts primarily are tenants who have moved out without rendering payment of their final closing bills. Housing Services staff has provided a list of tenant balances that they request be written off. Staff's efforts to locate the tenants and collect payment on these accounts have been exhausted.

- The total amount of \$6,887 for Low Income Public Housing is less than the historical average percentage of rents billed.
- This is the first write off request for Pacifico Cooperative Community since YCH began managing the property in 2012. The bad debt in the amount of \$10,503 includes outstanding balances from tenants that were inherited at Pacifico Cooperative Community prior to YCH taking over management. We anticipate the bad debt write off amount to be lesser in the future due to having an onsite property manager and more up to date financial report monitoring by YCH.

After approval by the Commission, Housing Services submits write off documentation to Finance to entry into the Tenant Accounts Receivable system.

FISCAL IMPACT LOW INCOME PUBLIC HOUSING

For the past twelve (12) months, the bad debts requested to be written off for Low Income Public Housing total approximately \$7,500. This amount is 0.50% of total rents charged for the programs during this period.

Low Income Public Housing Write-Offs approved per year have been:

● 2007-2008	\$29,000	1.29%
● 2008-2009	\$25,500	1.16%
● 2009-2010	\$19,200	1.23%
● 2010-2011	\$22,300	1.49%
● 2011-2012	\$18,000	1.20%
● 2012-2013	\$ 7,500	0.50%
● 2013-2014 *(3 months)	\$ 6,899	0.80%

****2013-2014 amount includes bad debt that was carried over from the last 3 months of the 2012-2013 fiscal year due to pending legal notices.***

FISCAL IMPACT PACIFICO COOPERATIVE COMMUNITY

For the past twelve (12) months, the bad debts requested to be written off for Pacifico Cooperative total approximately \$10,503. This amount is 7.00% of total rents charged for the program. This bad debt percentage should decrease in the future, it is higher than it should be due to the reason that no bad debt write off was requested for Pacifico Cooperative Community in prior fiscal years, including fiscal year 2012-2013.

Pacifico Cooperative Community Write-Off per year:

● 2013-2014	\$10,503	7.00%
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CONCLUSION

The periodic write off of uncollectible accounts receivable helps in keeping the ledgers of the agency a true representation of debts that have a reasonable chance of being successfully collected. Staff recommends that the Commission approve the requested authorization.

Yolo County Housing

Meeting Date: 10/17/2013

Information

SUBJECT

Receive and File Unaudited Financial Report for the Year Ended June 30, 2013 (Gillette and Baker)

Attachments

Att. A. Staff Report

Att. B. Unaudited Financial Report

Form Review

Form Started By: Julie Dachtler

Final Approval Date: 10/10/2013

Started On: 10/10/2013 08:59 AM



Yolo County Housing

Lisa A. Baker, Executive Director
147 W. Main Street
WOODLAND, CA 95695

Woodland: (530) 662-5428
Sacramento: (916) 444-8982
TTY: (800) 545-1833, ext. 626

DATE: October 17, 2013

TO: YCH Board of Commissioners

FROM: Lisa A. Baker, Executive Director

PREPARED BY: Jim Gillette, Finance Director

SUBJECT: **Receive and File Unaudited Financial Report for the Year Ending June 30, 2013**

RECOMMENDED ACTION:

1. Receive and file the unaudited financial report for year ending June 30, 2013

BACKGROUND/DISCUSSION:

Annually each housing authority is required to submit to HUD its "Unaudited" Financial Data Schedule by the end of the second month after the housing authority's year end with an automatic fifteen day extension prior to imposing penalties. YCH's Unaudited Financial Data Schedule (FDS) has been submitted to HUD as required. The printed FDS and a summary of the results are attached. Depreciation is a "non-cash" expense which spreads the cost of capital assets over their useful life, but which has no useful meaning for a public agency not subject to income tax.

The agency experienced a very challenging year with the impact of the Continuing Resolution (CR), followed by sequestration, being announced in March and made retroactively to January. This forced CR coupled with sequestration reduced Federal Grant funding for the Low Income Public Housing and Housing Choice Voucher programs by approximately \$1 million, which was almost completely absorbed by operational cuts. These operational cuts made in the past year will continue into the current year and, barring any additional funding cuts should allow the programs to function without dipping further into reserves.

Another \$1 million reduction in state funding related to the Migrant Centers also had to be absorbed through operational cuts and just over \$200,000 of reserves. Staff continues to negotiate with the Office of Migrant Services (OMS) on the budget for the current year and expects to finalize this over the next 60-90 days.

Here is a program by program review:

- **Low Income Public Housing**
 - All three public housing Asset Management Projects (AMPs) include an Operating Subsidy received from HUD,;
 - The program combined had a net loss of \$90,308 (excluding depreciation) on revenue of \$3,175,397, primarily due to \$300,000 reduction in Federal Operating Subsidy to the program compared to the prior year;
 - All three AMPs include a Capital Fund subsidy to program operations. A portion of annual Capital Fund Grant is used to help pay for normal operating expenses (line 1406), staff training and tenant services (line 1408), Fees and Costs (line 1430) such as architectural fees and Plan Updates and Dwelling Equipment (line 1465.1) and Non-Dwelling Equipment (line 1475) that are durable but do not meet agency capitalization criteria (stoves, refrigerators, water heaters, etc);
 - Income earned in the AMPs is restricted for use in the AMPs.
- **Woodland (AMP1)** – Net income of \$89,167 (excluding depreciation) on revenues of \$1,259,748. The revenue includes \$216,097 of capital fund revenue which was primarily used for supporting operations and maintenance, a new maintenance vehicle, and the new playgrounds at Yolano and Donnelly.
- **Winters (AMP2)** – Net loss of \$101,899 (excluding depreciation) on revenues of \$1,089,990. The revenue includes \$142,478 of capital fund revenue which was primarily used for supporting operations and maintenance, a new maintenance vehicle, and engineering and permits for the road and ADA improvement work currently under construction.
- **West Sacramento (AMP3)** – Net loss of \$77,576 (excluding depreciation) on revenues of \$825,659. The revenue includes \$99,416 of capital fund revenue primarily used for supporting operations and maintenance.
- **Housing Choice Vouchers** – As part of sequestration, Housing Assistance Payments (HAP), which are typically a pass-through of costs to HUD, were reduced and forced the program to into using over \$600,000 of reserves and to cancel issued vouchers as well as not replace voucher holders as they left the program. This continues to the present time.
 - The management operations of this program are tracked separately and had net income of \$15,757 (excluding depreciation of \$7,178). This program was also forced to absorb significant reductions in management fees through

streamlining of operations. Income earned in the HCV program is restricted for use within the HCV program.

- **COCC** – Net income of \$100,185 (excluding depreciation) on revenues of \$1,802,640.
- **State & Local** – This includes **Pacifico**, the **ADMH/Helen Thompson Homes**, and all three **migrant centers**. Pacifico and ADMH are both costs plus fee contracts and therefore broke even on the year. However, the funding for the migrant centers was reduced by nearly \$1 million retroactively during the year, which forced us to make significant operational cuts and still incurred loss of \$226,142 (absorbed through operating reserves from prior years, which are now essentially exhausted). Barring any additional operating funding cuts from the state, the changes made during the past year should enable the program to essentially break even in 2013-14.
- **Rural Rental – Davis Solar Homes** had a small net income excluding depreciation.
- **Business Activities – Crosswood Apartments** essentially broke even with a net loss of \$1,385 (excluding depreciation) for the year.
- **Component Unit – New Hope CDC** has net income of \$160,195 (excluding depreciation) for the year. This income includes \$50,000 of developer fees related to Rochdale Grange.

FISCAL IMPACT

YCH has completed a difficult year with significant operational changes required to meet the lower funding levels noted above. These changes have been carried forward into the coming year; however, based on the ongoing negotiations on the Federal Budget, Operating and Capital Fund subsidies may be reduced even further for the 2013-14 year, which would require even greater operational cuts. The extent of the funding or additional cuts depends on the Federal budget for 2014.

Although this is the “Unaudited FDS,” staff expects the final report will have no significant changes at conclusion of the audit.

Attachments:

- A. Agency Wide FDS Balance Sheet (includes all three AMPs in “Project Total” column).
- B. Agency Wide Income Statement (includes all three AMPs in “Project Total” column).
- C. Project Income Statement (with a column for each AMP)

GAFUNDAMFDES FY 12-FY 13 COMPARISON FY 12 AND FY 13 BS AND IS COMPARISON JRM/FY 13 BS

	Project Total	10-427 Rural Rental/Assistance Payments	14-871 Housing Choice Vouchers	8 Competent Units	2 State/Local	1 Business Activities	COCC	Subtotal	ELIM	Total
111 Cash - Unrestricted	787,241	62,283	873,258	71,765	151,278		537,823	2,283,418		2,283,418
112 Cash - Restricted - Modernization and Development		54,366			1,185,381			1,219,757		1,219,757
113 Cash - Other Restricted	0		265,022	115,412				380,434		380,434
114 Cash - Tenant Security Deposits	155,175	3,270		18,314	27,893	12,066		216,718		216,718
115 Cash - Restricted for Payment of Current Liabilities								0		0
100 Total Cash	942,416	119,889	938,280	205,491	1,344,562	12,066	537,823	4,100,327	0	4,100,327
121 Accounts Receivable - PHA Projects										
122 Accounts Receivable - HUD Other Projects	0		11,082	43,000	244,603			298,685		298,685
124 Accounts Receivable - Other Government	0		7,088			19,871		26,760		26,760
125 Accounts Receivable - Miscellaneous	17,875		4,899		13,905	516		37,095		37,095
126 Accounts Receivable - Tenants	8,500		0	0	0	0		6,500		6,500
128.1 Allowance for Doubtful Accounts - Tenants			0	0	0	0		0		0
128.2 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	11,475	0	11,082	47,899	265,597	20,187	0	356,050	0	356,050
120 Total Receivables, Net of Allowances for Doubtful Accounts										
131 Investments - Unrestricted										
132 Investments - Restricted										
133 Investments - Restricted for Payment of Current Liability										
142 Prepaid Expenses and Other Assets	10,074			7,381	16,136	133,250	114,673	240,524		240,524
143 Inventories	181,131							181,131		181,131
143.1 Allowance for Obsolete Inventories	-8,849							-8,849		-8,849
144 Inter Program Due From	685,323			8,878	660,149			1,555,050	1,628,193	73,143
145 Assets Held for Sale	0							0		0
150 Total Current Assets	2,023,470	119,889	949,372	269,459	2,246,144	165,503	652,266	6,466,133	-1,628,193	4,837,940
161 Land										
162 Buildings	3,185,656	40,839		239,463	177,220		278,120	3,921,298		3,921,298
163 Furniture, Equipment & Machinery - Dwellings	25,633,899	369,175		1,372,522	703,500	2,977,730	5,211,867	36,268,823		36,268,823
164 Furniture, Equipment & Machinery - Administration	144,447			77,110			0	221,557		221,557
165 Leasehold Improvements	206,826		79,274				368,528	655,628		655,628
166 Accumulated Depreciation	-18,303,650	-270,703	34,816	-471,851	-62,878	-66,864	-2,403,539	-21,634,521		-21,634,521
167 Construction in Progress	142,315			130,141	142,899		8,140	423,303		423,303
169 Infrastructure										
180 Total Capital Assets Net of Accumulated Depreciation	11,009,493	139,311	44,358	1,347,385	960,441	2,890,846	3,464,254	19,855,088	0	19,855,088
171 Notes, Loans and Mortgages Receivable - Non-Current	0									
172 Notes, Loans & Mortgages Receivable - Non-Current - Past Due	0						254,325	254,325	254,325	0
173 Grants Receivable - Non Current	0						0	0		0
174 Other Assets	0			21,552	6,313			27,865		27,865
176 Investments in Joint Ventures	0							0		0
180 Total Non-Current Assets	11,009,493	139,311	44,358	1,368,937	966,754	2,890,846	3,718,579	20,138,278	254,325	19,883,953
190 Total Assets	13,032,963	259,200	993,730	1,638,396	3,252,898	3,050,349	4,170,475	26,604,411	1,882,518	24,721,893

Housing Authority of the County of Yolo (CA044)
WOODLAND, CA

Entity Wide Revenue and Expense Summary

Fiscal Year End 06/30/2013

Submission Type Unaudited/A-133

G:\HWM\DATA\FY 12\FY 12-FY 13 COMPARE\STATEMENTS\FY 12-FY 13 SUMMARY_REPORT_2

	Project Total	10 427 Rm/A Rental Assistance Payments	14 871 Housing Choice Vouchers	16 Component Units	2 State/Local	1 Business Activities	COCC	Subtotal	ELIM	Total
7000 Net Tenant Rental Revenue	\$1,728,128	\$31,904		\$290,488		\$415,440	\$34,024	\$2,500,075		\$2,500,075
7040 Tenant Revenue - Other	\$32,883	\$20		\$4,452	\$1,070			\$38,425		\$38,525
7050 Total Tenant Revenue	\$1,761,171	\$31,904	\$0	\$294,941	\$1,070	\$415,440	\$34,024	\$2,538,500	\$0	\$2,538,500
7060 HUD PIA Operating Grants	\$817,163		\$11,738,557					\$12,555,720		\$12,555,720
70610 Capital Grants	\$457,991						\$300,770	\$758,761		\$758,761
70710 Management Fee						\$735,360		\$735,360	\$732,868	\$2,500
70720 Asset Management Fee						\$51,720		\$51,720	\$51,720	\$0
70730 Book Keeping Fee						\$180,285		\$180,285	\$180,285	\$0
70740 Front Line Service Fee										
70750 Other Fees										
70700 Total Fee Revenue	\$137,437	\$17,108	\$68,187	\$95,556	\$122,177	\$4,678	\$144,577	\$573,807	\$486,538	\$477,068
7080 Other Government Grants			\$931		\$900			\$1,831		\$1,831
71100 Investment Income - Unrestricted	\$3,175,387	\$31,921	\$11,822,657	\$39,460	\$1,464,817	\$420,118	\$1,602,840	\$19,120,110	\$-1,528,374	\$17,591,736
71200 Managing Interest Income	\$218,880	\$7,065	\$765,917	\$20,042	\$71,116	\$35,604	\$613,223	\$1,227,237		\$1,227,237
71300 Proceeds from Deposition of Assest Head for Sale	\$30,000	\$18,300		\$8,600	\$4,000		\$7,700	\$68,600		\$68,600
71400 Fund Recovery	\$296,327	\$968	\$227,784	\$18,320	\$147,071	\$24,192		\$715,062	\$-650,860	\$24,193
71500 Other Revenue	\$44,847		\$141,690			\$11,388		\$198,225	\$181,885	\$16,540
71600 Gain or Loss on Sale of Capital Assets	\$7,687		\$1,598					\$11,688		\$11,188
72000 Investment Income - Restricted	\$196,508	\$950	\$216,341	\$8,111	\$120,235	\$16,440	\$375,784	\$934,369		\$934,369
91100 Administrative Salaries	\$215,062	\$1,346	\$113,872	\$5,930	\$52,650	\$17,642	\$115,846	\$522,398	\$-114,998	\$407,399
91200 Auditing Fee	\$71,328	\$260					\$50,000	\$125,133		\$125,133
91300 Management Fee	\$9,703		\$2,321				\$17,879	\$29,903		\$29,903
91310 Book Keeping Fee										
91320 Advertising and Marketing										
91330 Employee Benefit Contributions - Administrative										
91340 Office Expenses										
91350 Legal Expense										
91360 Travel										
91370 Allocated Overhead										
91800 Other		\$20						\$2,299		\$2,299
91900 Total Operating Administrative	\$1,091,343	\$5,506	\$987,123	\$65,039	\$397,858	\$105,156	\$1,182,395	\$3,034,424	\$-987,653	\$2,046,771
92000 Asset Management Fee	\$50,120							\$50,120		\$50,120
92100 Tenant Services - Salaries	\$74,176		\$17,083		\$42,000			\$81,259		\$81,259
92200 Recreation Costs										
92300 Employee Benefit Contributions - Tenant Services	\$19,364		\$8,748					\$28,112		\$28,112
92400 Tenant Services - Other	\$10,668		\$4,250	\$600				\$17,518		\$17,518
92500 Total Tenant Services	\$104,708	\$0	\$32,081	\$600	\$0	\$0	\$0	\$137,668	\$0	\$137,668

Housing Authority of the County of Yolo (CA044)
WOODLAND, CA

Submission Type Unaudited/A-133

Fiscal Year End 06/30/2013

COMPARISON OF FY 12 FY 13 COPIED FROM THE COUNTY OF YOLO'S FISCAL YEAR 2013 REPORT

	Project Total	10-427 Rural Rental Assistance Payments	14-871 Housing Choice Vouchers	6 Component Units	2 State/Local	1 Business Activities	COCC	Subtotal	ELIM	Total
10010 Operating Transfer In	\$457,891						\$300,770	\$758,761		\$758,761
10020 Operating Transfer Out	\$457,891						-\$300,770	-\$758,761		-\$758,761
10030 Operating Transfers from/to Primary Government	\$0						\$0	\$0		\$0
10040 Operating Transfers from/to Component Unit							\$0	\$0		\$0
10050 Proceeds from Property Sales										
10070 Proceeds from Notices, Loans and Bonds										
10080 Proceeds from Property Sales										
10090 Extraordinary Items - Net Gain/Loss										
10000 Special Items (Net Gain/Loss)										
10001 Title Project Excess Cash Transfer In										
10002 Title Project Excess Cash Transfer Out										
10003 Transfers between Program and Project - In										
10004 Transfers between Project and Program - Out										
10100 Total Other Financing Sources (Uses)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
10000 Excess (Deficiency) of Total Revenue Over (Under) Total Expenses	-\$757,320	-\$5,180	-\$1,147,881	\$125,882	-\$226,142	-\$75,828	\$78,588	-\$2,189,057	\$0	-\$2,189,057
11020 Required Annual Debt Principal Payments	\$0	\$0	\$0	\$28,759	\$0	\$19,618	\$170,508	\$188,884		\$188,884
11030 Beginning Equity	\$13,111,734	\$258,188	\$1,959,758	\$788,318	\$1,556,588	\$2,439	-\$1,607,104	\$17,707,455		\$17,707,455
11040 Prior Period Adjustments, Equity Transfers and Correction of Errors	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0		\$0
11050 Changes in Compensated Absence Balance										
11060 Changes in Contingent Liability Balance										
11070 Changes in Unrecognized Pension Transition Liability										
11080 Changes in Special Term Securities Bank's Liability										
11090 Changes in Allowance for Doubtful Accounts - Dowering Rents										
11100 Changes in Allowance for Doubtful Accounts - Other										
11170 Administrative Fee Equity	\$0		\$571,030					\$571,030		\$571,030
11180 Housing Assistance Payments Equity			\$240,847					\$240,847		\$240,847
11190 Long-Term Available	5172	84	20724	564	1476		0	26020		26020
11210 Number of Unit Months Leased	5106	73	18853	544	1438		0	26015		26015
11270 Excess Cash	\$1,186,446							\$1,186,446		\$1,186,446
11610 Land Purchases	\$0							\$0		\$0
11620 Building Purchases	\$20,157							\$20,157		\$20,157
11630 Furniture & Equipment - Dwelling Purchases	\$10,862							\$10,862		\$10,862
11640 Furniture & Equipment - Administrative Purchases	\$36,375							\$36,375		\$36,375
11650 Leasehold Improvements Purchases	\$0						\$46,332	\$46,332		\$46,332
11660 Infrastructure Purchases	\$0							\$0		\$0
13510 CPEP Debt Service Payments	\$0							\$0		\$0
13601 Replacement Housing Foster Funds	\$0							\$0		\$0

Housing Authority of the County of Yolo (CA044)
WOODLAND, CA

Project Revenue and Expense Summary - LIPH AMPs

Submission Type: Unaudited/A-133

Fiscal Year End: 06/30/2013

G:\Merrill\JIM\FDS FY 12\FY 13 COMPARISONS\FY 12 AND FY 13 BS AND IS COMPARISON.xlsx\FY 13 AMPs IS

	CA044000001	CA044000002	CA044000003	LIPH Total
70300 Net Tenant Rental Revenue	\$606,928	\$641,784	\$479,476	\$1,728,188
70400 Tenant Revenue - Other	\$15,543	\$12,749	\$4,691	\$32,983
70500 Total Tenant Revenue	\$622,471	\$654,533	\$484,167	\$1,761,171
70600 HUD PHA Operating Grants	\$338,790	\$268,140	\$210,233	\$817,163
70610 Capital Grants	\$216,097	\$142,478	\$99,416	\$457,991
70710 Management Fee				
70720 Asset Management Fee				
70730 Book Keeping Fee				
70740 Front Line Service Fee				
70750 Other Fees				
70700 Total Fee Revenue				
70800 Other Government Grants				
71100 Investment Income - Unrestricted	\$830	\$447	\$358	\$1,635
71200 Mortgage Interest Income				
71300 Proceeds from Disposition of Assets Held for Sale				
71310 Cost of Sale of Assets				
71400 Fraud Recovery				
71500 Other Revenue	\$81,560	\$24,392	\$31,485	\$137,437
71600 Gain or Loss on Sale of Capital Assets				
72000 Investment Income - Restricted				
70000 Total Revenue	\$1,259,748	\$1,089,990	\$825,659	\$3,175,397
91100 Administrative Salaries	\$67,150	\$80,480	\$72,250	\$219,880
91200 Auditing Fees	\$10,000	\$10,000	\$10,000	\$30,000
91300 Management Fee	\$104,289	\$95,932	\$96,106	\$296,327
91310 Book-keeping Fee	\$13,478	\$13,798	\$17,571	\$44,847
91400 Advertising and Marketing	\$4,981	\$1,357	\$1,349	\$7,687
91500 Employee Benefit contributions - Administrative	\$64,014	\$70,846	\$61,648	\$196,508
91600 Office Expenses	\$79,606	\$75,491	\$59,965	\$215,062
91700 Legal Expense	\$7,263	\$61,394	\$2,672	\$71,329
91800 Travel	\$2,616	\$3,307	\$3,780	\$9,703
91810 Allocated Overhead				
91900 Other				
91000 Total Operating - Administrative	\$353,397	\$412,605	\$325,341	\$1,091,343
92000 Asset Management Fee	\$18,240	\$15,400	\$16,660	\$50,320
92100 Tenant Services - Salaries	\$22,823	\$22,250	\$29,103	\$74,176
92200 Relocation Costs				
92300 Employee Benefit Contributions - Tenant Services	\$6,138	\$6,225	\$7,001	\$19,364
92400 Tenant Services - Other	\$6,641	\$859	\$3,168	\$10,668
92500 Total Tenant Services	\$35,602	\$29,334	\$39,272	\$104,208
93100 Water	\$84,494	\$39,506	\$39,139	\$163,139
93200 Electricity	\$25,787	\$34,241	\$33,564	\$93,592
93300 Gas	\$1,154	\$743	\$4,995	\$6,892
93400 Fuel				
93500 Labor				
93600 Sewer	\$38,775	\$152,540	\$36,137	\$227,452

Housing Authority of the County of Yolo (CA044)
WOODLAND, CA

Project Revenue and Expense Summary - LIPH AMPs

Submission Type: Unaudited/A-133

Fiscal Year End: 06/30/2013

G:\Marta\4JIM\FDS FY 12-FY 13 COMPARISONS\FY 12 AND FY 13 BS AND IS COMPARISON.xls;FY 13 AMPs IS

	CA044000001	CA044000002	CA044000003	LIPH Total
93700 Employee Benefit Contributions - Utilities				
93800 Other Utilities Expense	\$2,362			\$2,362
93000 Total Utilities	\$152,572	\$227,030	\$113,835	\$493,437
94100 Ordinary Maintenance and Operations - Labor	\$115,552	\$71,163	\$67,170	\$253,885
94200 Ordinary Maintenance and Operations - Materials and	\$70,086	\$61,083	\$47,616	\$178,785
94300 Ordinary Maintenance and Operations Contracts	\$258,722	\$284,869	\$147,810	\$691,401
94500 Employee Benefit Contributions - Ordinary Maintenance	\$41,710	\$15,527	\$21,280	\$78,517
94000 Total Maintenance	\$486,070	\$432,642	\$283,876	\$1,202,588
95100 Protective Services - Labor				
95200 Protective Services - Other Contract Costs	\$1,538	\$1,538	\$2,022	\$5,098
95300 Protective Services - Other				
95500 Employee Benefit Contributions - Protective Services				
95000 Total Protective Services	\$1,538	\$1,538	\$2,022	\$5,098
96110 Property Insurance	\$25,057	\$11,720	\$43,447	\$80,224
96120 Liability Insurance	\$3,562	\$3,238	\$2,954	\$9,754
96130 Workmen's Compensation	\$13,482	\$9,707	\$9,174	\$32,363
96140 All Other Insurance	\$4,953	\$1,017	\$1,005	\$6,975
96100 Total insurance Premiums	\$47,054	\$25,682	\$56,580	\$129,316
96200 Other General Expenses	\$30,673	\$5,055	\$10,280	\$46,008
96210 Compensated Absences				
96300 Payments in Lieu of Taxes	\$45,435	\$41,504	\$36,563	\$123,502
96400 Bad debt - Tenant Rents		\$1,099		\$1,099
96500 Bad debt - Mortgages				
96600 Bad debt - Other				
96800 Severance Expense				
96000 Total Other General Expenses	\$76,108	\$47,658	\$46,843	\$170,609
96710 Interest of Mortgage (or Bonds) Payable				
96720 Interest on Notes Payable (Short and Long Term)				
96730 Amortization of Bond Issue Costs				
96700 Total Interest Expense and Amortization Cost	\$0	\$0	\$0	\$0
96900 Total Operating Expenses	\$1,170,581	\$1,191,889	\$884,419	\$3,246,919
97000 Excess of Operating Revenue over Operating Expenses	\$89,167	-\$101,899	-\$58,790	-\$71,522
97100 Extraordinary Maintenance			\$18,786	\$18,786
97200 Casualty Losses - Non-capitalized				
97300 Housing Assistance Payments				
97350 HAP Portability-In				
97400 Depreciation Expense	\$176,506	\$249,364	\$241,142	\$667,012
97500 Fraud Losses				
97600 Capital Outlays - Governmental Funds				
97700 Debt Principal Payment - Governmental Funds				
97800 Dwelling Units Rent Expense				
90000 Total Expenses	\$1,347,087	\$1,441,253	\$1,144,377	\$3,932,717

Housing Authority of the County of Yolo (CA044)
WOODLAND, CA

Project Revenue and Expense Summary - LIPH AMPs

Submission Type: Unaudited/A-133

Fiscal Year End: 06/30/2013

G:\M\114\JIM\FDS FY 12-FY 13 COMPARISONS\FY 12 AND FY 13 BS AND IS COMPARISON.xls\FY 13 AMPs IS

	CA044000001	CA044000002	CA044000003	LIPH Total
10010 Operating Transfer In	\$216,097	\$142,478	\$99,416	\$457,991
10020 Operating transfer Out	-\$216,097	-\$142,478	-\$99,416	-\$457,991
10030 Operating Transfers from/to Primary Government	\$0	\$0	\$0	\$0
10040 Operating Transfers from/to Component Unit				
10050 Proceeds from Notes, Loans and Bonds				
10060 Proceeds from Property Sales				
10070 Extraordinary Items, Net Gain/Loss				
10080 Special Items (Net Gain/Loss)				
10091 Inter Project Excess Cash Transfer In				
10092 Inter Project Excess Cash Transfer Out				
10093 Transfers between Program and Project - In				
10094 Transfers between Project and Program - Out				
10100 Total Other financing Sources (Uses)	\$0	\$0	\$0	\$0
10000 Excess (Deficiency) of Total Revenue Over (Under) Total	-\$87,339	-\$351,263	-\$318,718	-\$757,320
11020 Required Annual Debt Principal Payments	\$0	\$0	\$0	\$0
11030 Beginning Equity	\$1,773,165	\$4,197,069	\$7,141,500	\$13,111,734
11040 Prior Period Adjustments, Equity Transfers and Correction	\$0	\$0	\$0	\$0
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				
11100 Changes in Allowance for Doubtful Accounts - Other				
11170 Administrative Fee Equity				
11180 Housing Assistance Payments Equity				
11190 Unit Months Available	1824	1680	1668	5172
11210 Number of Unit Months Leased	1797	1653	1656	5106
11270 Excess Cash	\$230,549	\$607,204	\$358,693	\$1,196,446
11610 Land Purchases	\$0	\$0	\$0	\$0
11620 Building Purchases	\$20,157	\$0	\$0	\$20,157
11630 Furniture & Equipment - Dwelling Purchases	\$0	\$0	\$10,862	\$10,862
11640 Furniture & Equipment - Administrative Purchases	\$36,375	\$0	\$0	\$36,375
11650 Leasehold Improvements Purchases	\$0	\$0	\$0	\$0
11660 Infrastructure Purchases	\$0	\$0	\$0	\$0
13510 CFFP Debt Service Payments	\$0	\$0	\$0	\$0
13901 Replacement Housing Factor Funds	\$0	\$0	\$0	\$0

Yolo County Housing

Meeting Date: 10/17/2013

Information

SUBJECT

Review and Approve the YCH Business Continuity Plan and Authorize the CEO to implement (Holt and Baker)

Attachments

Att. A. Staff Report

Att. B. Staff Continuity Plan

Form Review

Form Started By: Julie Dachtler
Final Approval Date: 10/10/2013

Started On: 10/10/2013 09:00 AM



Yolo County Housing

147 W. Main Street Woodland: (530) 662-5428
WOODLAND, CA 95695 Sacramento: (916) 444-8982
TTY: (800) 545-1833, ext. 626

DATE: October 17, 2013

TO: YCH Housing Commission

PREPARED BY: Janis R. Holt, Resource Administrator

FROM: Lisa A. Baker, Chief Executive Officer

SUBJECT: **Review, Approve and Adopt the YCH Business Continuity Plan**

RECOMMENDED ACTION

That the Housing Commission Review, Approve and Adopt the YCH Business Continuity Plan; and
Authorize the CEO to implement

BACKGROUND/DISCUSSION

At the Board of Commissioners meeting held May 19, 2011, the Commission adopted the YCH Emergency Operations Plan (EOP) which assists staff in the preservation of life and property in the event of a local or national incident or disaster. The EOP enables the agency to be responsive to disasters while minimizing property damage through the establishment of an Emergency Operations Center and defining the YCH Emergency Management Organization. The EOP is primarily used when a disaster impacts housing property, residents, tenants, landlords, and staff. (Example: Flooding in West Sacramento forcing evacuations of flood zone areas). The next step to the emergency planning process is the establishment of the Business Continuity Plan (BCP) as an annex to the EOP.

The YCH Business Continuity Plan (BCP) is designed to provide guidance and ensure that essential functions and continued operations are performed efficiently with minimal disruption during an emergency and in its immediate aftermath. The BCP provides a framework for the Chief Executive Officer (CEO) to assess the level of the incident/emergency and activate the necessary continuity operations and enables the

Continuity Leadership Team to be prepared and able to respond to an event which may require temporary or permanent relocation to alternate facilities. The BCP is primarily used when an incident or disaster impacts the continued delivery of essential functions at a primary service facility. (Example: Structural fire to administrative office located at 147 W. Main Street in Woodland rendering it uninhabitable for an extended period of time).

Key elements addressed within the BCP:

- Organizational and individual readiness and preparedness to respond to a business disruption or emergency.
- Tools to evaluate the impact of the disruption as Level 1 (critical), Level 2 (major) and Level 3 (disaster) and guidelines for the activation of the BCP.
- Alert and notification procedures to staff, commission members, partners, vendors, residents and landlords.
- Relocation processes and the establishment of alternative facility(ies) enabling YCH to continue operations within 24 hours of the disruption.
- Reconstitution criteria and procedures including the deactivation of the BCP.
- Direction for the Housing Commission and staff in the unlikely event that devolution of control is necessary.
- Continuity Leadership Team selection including orders of succession and delegation of authority.
- Critical communications systems that support the organization in the event of a disaster or emergency with employees, residents/landlords, vendors and partners.
- Analysis of the six essential functions (Information Technology, Administration, Facilities, Finance, Real Estate Services and Housing Assistance) including the business impact for each area in the event of a disruption.
- Vital records protection and management; both electronic and hard copy records.
- Test, training and exercise program to assess plan gaps, evaluate, and incorporate corrective actions to the BCP.

As a member jurisdiction of the Yolo Joint Emergency Management Services (JEMS), the Yolo Office of Emergency Services Planner, Dana Carey, facilitated a tabletop exercise (TTX) with YCH's Continuity Leadership Team on August 7, 2013 to test and evaluate the draft Plan. Based on the results of the exercise, revisions were made to the BCP before presentation to the Commission for adoption.

The BCP will continue to be an evolving document to assist the agency in the event of a disaster or business interruption through the After Action Report and Evaluation process. Staff will be required to update information on a quarterly and annual basis as outlined in the BCP.

FISCAL IMPACT

No fiscal impact at this time. The establishment of the Yolo County Housing Emergency Operations Plan and Business Continuity Plan could result in grant funding opportunities for emergency preparedness and response in the future.

CONCLUSION

Staff recommends that the Housing Commission Review, Approve and Adopt the YCH 2013 Business Continuity Plan.

Attachment: YCH Business Continuity Plan



Annex to the Yolo County Housing
Emergency Operations Plan

Yolo County Housing Business Continuity Plan

Version 2.0

Revised: August 2013

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PROMULGATION STATEMENT

The Yolo County Housing mission is to work together to provide quality affordable housing and community development services for all. To accomplish this mission, Yolo County Housing must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the Yolo County Housing Business Continuity Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions.

Key Yolo County Housing personnel who are relocated under this plan are collectively known as the Continuity Leadership Team. Upon plan activation, these members will deploy to one of the two continuity facilities listed in this plan. Upon arrival, continuity personnel will establish an operational capability and perform essential functions within 12 hours from the time of the activation of the Business Continuity Plan, for up to a 30-day period or until normal operations can be resumed.

This plan is developed in accordance with guidance in the *National Continuity Policy Implementation Plan*, dated August 2007; Continuity Guidance Circular 1 (CGC 1), *Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations)*, dated January 21, 2009; Continuity Guidance Circular 2 (CGC 2), *Continuity Guidance for Non-Federal Entities*, dated July 22, 2010; and other related Directives and guidance.

Lisa A. Baker
Chief Executive Officer
Yolo County Housing

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RECORD OF CHANGES

Change Number	Section	Date of Change	Individual Making Change	Description of Change
1.0	All	July 2013	Dana M. Carey	Initial Release
2.0	All	August 2013	Dana M. Carey	Corrective Action Revisions from 08/07/13 TTX

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INTRODUCTION AND OVERVIEW

The Business Continuity Plan provides planning and program guidance for implementing the Yolo County Housing Business Continuity Plan and programs to ensure the organization is capable of conducting its essential missions and functions under all threats and conditions. While the severity and consequences of an emergency cannot be predicted, effective contingency planning can minimize the impact on the Yolo County Housing mission, personnel, and facilities.

PURPOSE

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

SCOPE

This Continuity Plan applies to the functions, operations, and resources necessary to ensure the continuation of Yolo County Housing's essential functions in the event its normal operations at its administration facility are disrupted or threatened with disruption. This plan applies to all Yolo County Housing personnel. Yolo County Housing staff must be familiar with continuity policies and procedures and their respective continuity roles and responsibilities.

This document ensures that Yolo County Housing is capable of conducting its essential missions and functions under all threats and conditions, with or without warning.

SITUATION OVERVIEW

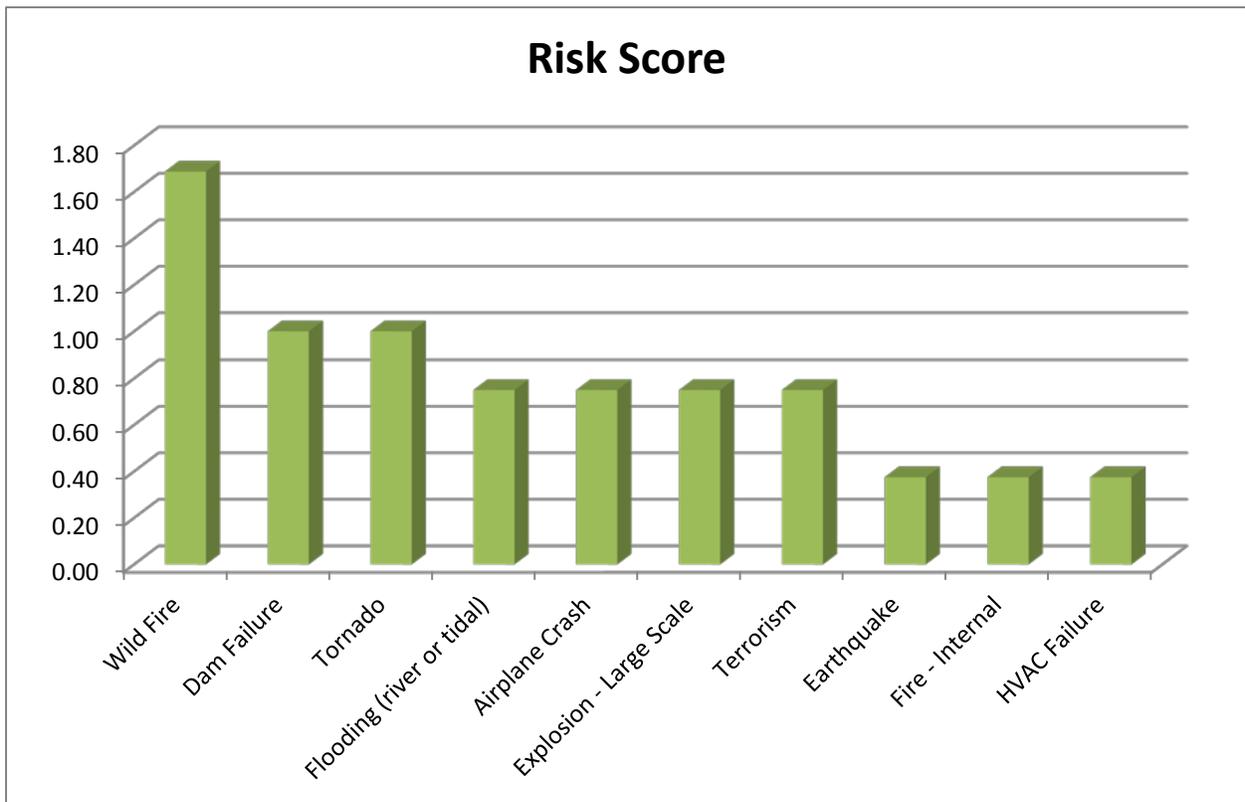
According to the National Continuity Policy Implementation Plan, it is the policy of the United States to maintain a comprehensive and effective continuity capability. To that end, by continuing the performance of essential functions through a catastrophic emergency, the non-Federal Government entities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

The Yolo County Housing continuity facilities were selected following an all-hazards risk assessment. This risk assessment addresses the following:

- Identification of all hazards
- Rating of probability of each hazard's occurrence within the next 25 years

- Rating of severity of each hazard's occurrence
- Rating of the mitigation capacity if Yolo County Housing and assisting external agencies to each hazard
- Rating of the impact each hazard would have to:
 - Property
 - Resources
 - Humans
- A *Business Impact Analysis* to determine the effects of all hazards

During this risk assessment the following risks were identified as the top ten risks for Yolo County Housing.



The *Business Impact Analysis*¹ shows that the following aspects of Yolo County Housing business operations could be impacted during an emergency or adverse event:

- Staff health and safety, and employment security
- Facilities and real property
- Vital records and data
- Communications and data network operations
- Revenue stream generation
- Operating infrastructure and assets

¹ See Attachment BCP-A to view the full Business Impact Analysis

- Reporting and compliance requirements
- Legal and litigation exposures, including agreements and contracts
- Public and client confidence and Agency reputation

As a result of the assessments and analyses described above it was concluded that the impact of disruption experienced by Yolo County Housing and its business operations can be classified into one of three possible levels:

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

PLANNING ASSUMPTIONS

The Business Continuity Plan is based on the following assumptions:

- Yolo County Housing has been formed and operates within a geographical area that is subject to periodic exposure to natural, technological, and human conflict hazards.
- Yolo County Housing conducts operations that require the sustainment of essential functions that could be adversely affected by impacts associated with identifiable and unknown threat conditions
- Any substantive impact to Yolo County Housing essential functions could have a detrimental effect on business continuity internally, which would have a corresponding negative effect on staff, clients, allied organizations, and the general community
- Development of an effective and realistic plan for maintaining Yolo County Housing business continuity during periods of crisis or emergency represents a meaningful and valid policy
- Emergencies or threatened emergencies may adversely affect the Agency’s ability to continue to maintain identified essential functions.
- Staff may become disaster victims as a result of the event and not be available to respond to or provide support to the Yolo County Housing.
- The event may directly affect local community resources, rendering them unavailable for use or support by the Yolo County Housing.
- Staff and other resources outside the area affected by the emergency can be made available, if required, to continue essential functions.

- An emergency condition may require the relocation of Yolo County Housing personnel to the continuity facility identified in this plan.

OBJECTIVES

A series of planning objectives have been identified for the Business Continuity Plan which support Housing’s business continuity initiative. As a guidance document, the Business Continuity Plan was developed as a resource to assist Housing leadership and staff in managing impacts to and disruptions of the essential functions. The objectives of the Yolo County Housing Business Continuity Plan are to:

1. Develop a system for sustaining YCH operations during a crisis
2. Reduce loss of life and minimize property damage and loss
3. Reduce or mitigate disruptions to operations
4. Ensure the performance of the YCH’s essential functions under all conditions
5. Ensure the efficient succession of leadership in the event a disruption renders key YCH leaders unavailable to perform their responsibilities
6. Ensure YCH has alternate facilities where it can continue to perform its essential function, as appropriate, during a continuity event
7. Protect critical facilities, equipment, vital records, and other assets, in the event of a disruption
8. Execute a timely and orderly recovery and reconstitution from an emergency
9. Ensure and validate continuity readiness through a dynamic and integrated continuity Test, Training, and Exercise (TT&E) program and operational capability

The continuity planning objective for non-federal agencies are identified in Continuity Guidance Circular (CGC) 1, *Continuity Guidance for Non-Federal Entities (States, Territories, Tribal, and Local Government Jurisdictions and Private Sector Organizations)*, dated January 21, 2009.

SECURITY AND PRIVACY STATEMENT

This document is for Yolo County Housing’s official use only. Portions of the Plan (Appendices) contain information that raises personal privacy or other concerns, and those portions may be exempt from mandatory disclosure under the Freedom of Information Act (see 5 United States Code §552, 41 Code of Federal Regulations Part 105-60). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with our confidentiality policies and is not to be released without prior approval of the Chief Executive Officer to the public or other personnel who do not have a valid “need to know”.

Some of the information in this Plan, if made public, could endanger the lives and privacy of employees. In addition, the disclosure of information in this plan could compromise the security of essential equipment, services, and systems of Yolo County Housing or otherwise impair its ability to carry out essential functions. Distribution of the Continuity Plan in whole or part is limited to those personnel who need to know the information in order to successfully implement the plan.

The YCH Resource Administrator will distribute copies of the Continuity Plan on a need to know basis. Active YCH staff and Commissioners will have access to an electronic copy via the YCH

intranet and/or Google drive. In addition, copies of the Plan will be distributed to other organizations as necessary to promote information sharing and facilitate a coordinated inter-organization continuity effort. Further distribution of the plan is not permitted without approval from the Chief Executive Officer. The YCH Resource Administrator will distribute updated versions of the Continuity Plan annually or as critical changes occur.

CONCEPT OF OPERATIONS

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

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

PHASE 1: READINESS AND PREPAREDNESS

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

- Organization readiness and preparedness
- Staff readiness and preparedness

ORGANIZATION READINESS AND PREPAREDNESS

Yolo County Housing preparedness incorporates hazard/threat warning systems, which includes:

- Yolo County Operational Area Situational Status updates and reports
- National Oceanic & Atmospheric Administration (NOAA) & National Weather Service (NWS) updates
- United States Geological Survey (USGS) updates
- Terrorist Liaison Officer program updates
- Reverse 9-1-1
- California Health Alert Network
- Various news reporting sources

STAFF READINESS AND PREPAREDNESS

Yolo County Housing personnel will prepare for a continuity event and plan in advance for what to do in an emergency. Personnel will also develop a Family Support Plan to increase personal and family preparedness. The www.ready.gov website provides guidance for developing a Family

Support Plan and includes a “Get Ready Now” pamphlet that explains the importance of planning and provides a template that can be tailored to meet family-specific planning requirements.

Yolo County Housing continuity personnel will create and maintain drive-away kits. Continuity personnel are responsible for carrying the kits to the continuity facility. A typical drive-away kit should contain those items listed in the following table:

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

Yolo County Housing will conduct an annual continuity kit inspection during a regularly scheduled staff meeting to maintain currency of the drive-away kits.

In addition, Yolo County Housing will conduct the following continuity readiness and preparedness activities:

- Annual refresher training on business continuity plan basics
- Annual assessment of personal computer availability for telecommuting
- At least one continuity focused exercise every three years

PHASE 2: ACTIVATION AND RELOCATION

Business Continuity Plan activation and relocation are scenario-driven processes that allow flexible and scalable responses to the full spectrum of all-hazards/threats that could disrupt operations with or without warning and during work or non-work hours. Business Continuity Plan activation will not be required for all emergencies or disruptions, since other actions may be more appropriate. The conditions under which an activation of the Business Continuity Plan occurs will differ, but the criteria for activation will remain consistent with Agency goals, objectives, and identified operational needs.

The Business Continuity Plan will be activated when internal or external conditions threaten to adversely impact essential functions being conducted by Yolo County Housing. Actual conditions will determine the actions taken by Yolo County Housing once the Business Continuity Plan has been activated. The authority for activation shall rest with the Chief Executive Officer, or designated alternate member of the leadership team. Deactivation shall occur once conditions have improved, and threats lessened so that normal operations can be reconstituted.

To support the decision-making process regarding plan activation, the Chief Executive Officer or designated alternate will use the decision matrix below to support that process.

Decision Matrix for Continuity Plan Implementation		
	Work Hours	Non-Work Hours
Event With Warning	<ul style="list-style-type: none"> • Is the threat aimed at the facility or surrounding area? • Is the threat aimed at organization personnel? • Are employees unsafe remaining in the facility and/or area? • Are essential functions being conducted at an acceptable level? • Are leadership intact and available to guide and direct activation? 	<ul style="list-style-type: none"> • Is the threat aimed at the facility or surrounding area? • Is the threat aimed at the organization personnel? • Is it safe for employees to return to work the next day? • Are essential functions being conducted at an acceptable level? • Are leadership intact and available to guide and direct activation?
Event Without Warning	<ul style="list-style-type: none"> • Is the facility affected? • Are personnel affected? Have personnel safely evacuated or are they sheltering-in-place? • What are instructions from first responders? • How soon must the organization be operational? • Are essential functions being conducted at an acceptable level? • Are leadership intact and available to guide and direct activation? 	<ul style="list-style-type: none"> • Is the facility affected? • What are instructions from first responders? • How soon must the organization be operational? • Are essential functions being conducted at an acceptable level? • Are leadership intact and available to guide and direct activation?

As the decision authority, the Chief Executive Officer will be kept informed of the threat environment using all available means. The Chief Executive Officer will evaluate all available information relating to:

- 1) Direction and guidance from higher authorities
- 2) The health and safety of personnel
- 3) The ability to execute essential functions
- 4) Changes in threat advisories
- 5) Intelligence reports

- 6) The potential or actual effects on communications systems, information systems, office facilities, and other vital equipment
- 7) The expected duration of the emergency situation

Upon decision of the Chief Executive Officer to activate the Business Continuity Plan, the continuity leadership team² will be formed to guide the process through all phases.

ALERT AND NOTIFICATION PROCEDURES

The Yolo County Housing continuity leadership team will initiate notification of status and operability any time an internal or external impact affects business continuity and mission effectiveness.

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

It may be necessary for Yolo County Housing to establish and maintain coordination with selected local government, state and federal agencies, community partners, and private businesses in support of continuity operations. Coordination can involve the exchange of information, situational and operational reporting, and/or activation of mutual aid agreements. Notification of the following coordinating agencies should be considered based on the resource needs of Yolo County Housing:

- Yolo County (CAO, OES, Sheriff, Public Health, Social Services, County Counsel, Agriculture)
- Municipalities (Davis, Dixon, West Sacramento, Winters, Woodland)
- Special Districts (Yolo Bus, Fire Districts)
- School Districts & County Office of Education
- Community Service Organizations
- University of California Davis
- Yolo County Food Bank
- Cal Trans, California Highway Patrol, Department of Social Services
- PG&E, Mutual Water Districts, AT&T

² See the *Essential Functions Annex* for the list of continuity leadership team members

³ Housing’s insurance carrier and office supply vendor should be notified immediately for incidents affecting Housing properties

- Yocha Dehe Wintun Nation
- Neighboring public housing authorities

RELOCATION PROCESS

Once the Continuity Plan is activated and personnel are notified, Yolo County Housing may need to relocate continuity personnel and vital records to Yolo County Housing continuity facility(ies)⁴. Yolo County Housing continuity personnel will deploy/relocate to the continuity facility(ies) to perform the essential functions and other continuity-related tasks. Three continuity facilities have been identified for Yolo County Housing:

Primary Continuity Facility	First Alternate Continuity Facility	Second Alternate Continuity Facility
Yolo County Housing, Administration Building 147 W. Main Street Woodland, CA 95695 (530) 662-5428 (800) 662-9656	Yolano 12030-A Lemen Ave Woodland, CA 95776 (530) 662-5428 (forwarded) (800) 662-9656	Riverbend Community Room and Las Casitas CLC 664 Cummins Way and 685 Lighthouse Drive West Sacramento, CA 95605 (530) 662-5428 (forwarded) or (916) 371-0582 (800) 662-9656

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

- Continuity personnel will assess the functionality of the digital information systems needed for operations and will give a time estimate to repair/relocate digital equipment
- Continuity personnel will temporarily close the computer learning centers at the West Sacramento and Woodland locations.
- Continuity personnel will depart to the designated continuity facility from the primary operating facility or current location using privately owned vehicles.
- Non-continuity personnel present at the primary operating facility or another location will receive instructions from the Chief Executive Officer or designee. In most scenarios, non-continuity personnel will be directed to proceed to their homes to wait for further guidance.
- At the time of notification, if available, information will be provided regarding safety precautions and routes to use when leaving the primary operating facility.

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

- Continuity personnel will assess the functionality of the digital information systems needed for operations and will give a time estimate to repair/relocate digital equipment.

⁴ See *Job Aid BCP-6* for a phone script template for staff contact

- Continuity personnel will temporarily close the computer learning centers at the West Sacramento and Woodland locations.
- Continuity Leadership Team personnel will deploy to the designated continuity facility from their current location using privately owned vehicles at the time specified during notification.
- Continuity personnel will depart to the assigned continuity facility from their current location using privately owned vehicles at the time specified during notification.
- Non-continuity personnel will remain at their residence to wait for further instructions.

Non-continuity personnel may be required to replace or augment continuity personnel during activation. These activities⁵ will be coordinated by the Chief Executive Officer or designee with the replacement staff on a case-by-case basis. Non-continuity personnel will remain available to replace or augment continuity personnel, as required.

In the event of an activation of the Continuity Plan, Yolo County Housing may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations on an emergency basis. The Chief Executive Officer maintains the authority for emergency procurement⁶.

PHASE 3: CONTINUITY OPERATIONS

Upon activation of the Continuity Plan, Yolo County Housing will continue to operate at its primary operating facility until ordered to cease operations by the Chief Executive Officer. At that time, essential functions will transfer to the continuity facility(ies).

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

- Ensure infrastructure systems, such as power and heating, ventilating, and air conditioning are functional
- Prepare check-in & duty stations for continuity staff arrival
- Address telephone inquiries from continuity and non-continuity staff
- Forward the Housing main telephone line (if necessary)
- Contact the United State Post Office to put a “hold” or “forward” mail order on housing mail (if necessary)
- Identify any documents which may be missing due to loss during the event

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

Upon arrival at the continuity facility, Yolo County Housing continuity personnel will:

⁵ A list of Operational Objectives are provided in the *Job Aid BCP-1*

⁶ Instructions for these actions are found in the *Budgeting and Acquisition of Resources Annex*

- Report immediately for check-in and in-processing
- Receive all applicable instructions and equipment
- Report to their respective workspaces as notified during the activation process
- Retrieve pre-positioned information and activate specialized systems or equipment
- Notify family members, next of kin, and emergency contacts of preferred contact methods and information

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

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

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

During continuity operations, Yolo County Housing may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. The Chief Executive Officer maintains the authority for emergency acquisition⁷.

PHASE 4: RECONSTITUTION OPERATIONS

Reconstitution is the process by which the Agency resumes normal operations. The Continuity Leadership Team will oversee the reconstitution process. It is expected that within 30 days of Business Continuity Plan activation, Yolo County Housing will be able to proceed with reconstitution procedures to effect a smooth transition from a relocation site to either the restored facility or to a new facility.

⁷ Instructions for these actions are found in the *Budgeting and Acquisition of Resources Annex*

DEACTIVATION

There will come a time when conditions have stabilized, Yolo County Housing continuity management operations have concluded, and business activity has recovered. It will be at this point that Housing will shift from a continuity mode to a standard business mode, requiring a deactivation of continuity provisions. The Chief Executive Officer, in consultation with the Continuity Leadership Team, will determine the point and schedule for deactivation of the Business Continuity Plan and associated continuity management efforts.

Deactivation will include the following actions:

- Formal shift from continuity to standard business management priorities and focus
- Reassignment of Housing staff and resources to routine business
- Deactivation of the Continuity Facility
- Collection of documents and reports
- Notification to all personnel, clients, residents, corporate partners, allied agencies, primary vendors, and the media that Housing has returned to normal operation
- Review of operations and evaluation of continuity management performance

To avoid confusion, deactivation should be formal, clearly stated, and presented to all Housing staff and partners.

RECONSTITUTION CRITERIA

Reconstitution actions will commence when the following criteria have been established associated with Agency business continuity:

- External threats and potential exposures have ceased.
- No new impacts to or interruptions of essential functions has occurred within a specific time period.
- The Agency, if still constituted, has made strides to secure its sustainability and made inroads in initial business continuity recovery.
- Sufficient Agency staff and technical expertise exists to reassume transferred administrative and operational functions and authority.

RECONSTITUTION PROCEDURES

Within 30 days of an emergency relocation, the Continuity Leadership Team will initiate and coordinate operations to salvage, restore, and recover the Yolo County Housing primary operating facility after receiving approval from the appropriate State and local law enforcement and emergency services:

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

During continuity operations, the Chief Executive Officer or designee will determine the status of the primary operating facility affected by the event by completing a Damage Assessment. Upon obtaining the status of the facility, Yolo County Housing will determine how much time is needed to repair the primary operating facility and/or acquire a new facility. This determination is made in conjunction with the Housing Commission. Should Yolo County Housing decide to repair the facility, the Facilities Director has the responsibility of supervising the repair process and must notify the Chief Executive Officer and Housing Commission of the status of repairs, including estimates of when the repairs will be completed.

Before relocating to the primary operating facility or another facility, the Facilities Director will conduct appropriate security, safety, and health assessments to determine building suitability. In addition, the I.T. Manager will verify that all systems, communications, and other required capabilities are available and operational. Upon concurrence from the Facilities Director and I.T. Manager, the Chief Executive Officer will verify that Yolo County Housing is fully capable of accomplishing all essential functions and operations at the new or restored primary operating facility.

Upon a decision by the Chief Executive Officer that the Yolo County Housing primary operating facility can be reoccupied or that Housing will be reestablished in a different facility:

- The Resource Administrator or other authorized individual must notify partners listed in the Housing Contact List(s), and other applicable operations centers with information regarding:
 - continuity activation and relocation status
 - restored or new facility location and status
 - operational and communication status
 - anticipated duration of relocation (if temporary)⁸
- The Resource Administrator will develop space allocation and facility requirements
- The Director of Operations will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process
- The Facilities Director will coordinate with outside agencies to obtain office space for reconstitution, if the primary operating facility is uninhabitable
- The Director of Operations will develop procedures, as necessary, for restructuring staff

Upon verification that the required capabilities are available and operational and that Yolo County Housing is fully capable of accomplishing all essential functions and operations at the new or restored facility, the Chief Executive Officer or designee will begin supervising a return of personnel, equipment, and documents to the primary operating facility or a move to a temporary or new permanent primary operating facility.

The return of personnel, functions, and equipment will commence within 8 hours of relocation decision from Chief Executive Officer and will follow the priority-based plan outlined below:

⁸ A template with necessary information is provided see *Job Aid BCP-4*

- The Director of Operations will develop a return plan based on the incident and facility
- The Resource Administrator will develop a transfer of essential functions plan that indicates which functions move from the continuity facility to the restored facility and their associated time intervals
- The I.T. Manager will develop a records transition and recovery plan

When the equipment and documents are in place at the new or restored primary operating facility, the remaining Housing staff at the continuity facility will transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. The Chief Executive Officer will oversee the orderly transition from the continuity facility of all Housing functions, personnel, equipment, and records to a new or restored primary operating facility. The Finance Director will develop a process for receiving and processing employee claims during the continuity event, including processing human capital claims (such as, Workers' Compensation, compensation for injuries, overtime pay, etc) and replacing lost or broken equipment.

Yolo County Housing will conduct an After Action Review⁹ (AAR) once back in the primary operating facility or in a new primary operating facility. The Resource Administrator is responsible for initiating and completing the AAR and all departments within Housing will have the opportunity to provide input to the report. The AAR will address the effectiveness of the continuity plans and procedures, identify areas for improvement, document these in the Housing corrective action plan (CAP), and then develop an improvement plan (IP) as soon as possible after the reconstitution. The Resource Administrator is responsible for documenting areas for improvement in the CAP and developing an improvement plan. In addition, the AAR will identify which, if any, records were affected by the incident, and will work with the I.T. Manager to ensure an effective transition or recovery of vital records and databases and other records that had not been designated as vital records. AAR and CAP documentation are maintained by the Resource Administrator.

DEVOLUTION OF CONTROL AND DIRECTION

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

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

- The Agency has lost the ability to perform essential services and functions as a result of substantial impact.
- The Agency has lost key operating personnel which renders the performance of essential functions impossible.
- The Agency has lost core leadership personnel and requires a transfer of operating authority to ensure continued baseline functioning.

⁹ An outline for information to be collected for this Review is included see *Job Aid BCP-5*

- The Agency has lost capacity in one or more essential functions, and must transfer operating authority to another agency until capability can again be assured.

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

Housing Commission	<ul style="list-style-type: none"> ✓ Set policies associated with devolution ✓ Collaborate with partner jurisdictions regarding Housing devolution during emergencies ✓ Set goals and objectives for Agency devolution ✓ Work with receiving organization to maintain Agency priorities and standards
Chief Executive Officer	<ul style="list-style-type: none"> ✓ Identify and document need for devolution ✓ Brief Board of Commissioners on status and need for devolution ✓ Prepare devolution action plan ✓ Brief staff and receiving organizational representatives
Department Managers	<ul style="list-style-type: none"> ✓ Develop and brief Chief Executive Officer on operational status and need for devolution ✓ Assist Chief Executive Officer with preparation and implementation of devolution plan ✓ Prepare staff and external clients on devolution actions

Yolo County Housing maintains responsibility for ensuring appropriate agreements, processes, and training exist for devolution. This includes the materials presented in this plan and its associated Annexes, Attachments, and Job Aids and:

- A roster that identifies fully equipped and trained personnel who will be stationed at the designated devolution site and have the authority to perform essential functions and activities when the devolution option of the Continuity Plan is activated.
- Devolution activation protocols specifying how and when control and direction of the operations will be transferred to and from the devolution site.
- Lists or references to the necessary resources (i.e., equipment and materials) to facilitate the immediate and seamless transfer of and performance of essential functions at the devolution site.

Yolo County Housing will conduct and document training and exercises of devolution staff to ensure essential functions are capable of being performed during devolution.

ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

Key staff positions within Yolo County Housing, to include individual continuity members, those identified in the orders of succession and delegation of authority, the Continuity Leadership Team, and others possess additional continuity responsibilities.

Chief Executive Officer	Provide strategic leadership and overarching policy direction for the continuity program Implement the Continuity Plan when necessary, or when directed by a higher authority Update and promulgate orders of succession and delegations of authority Ensure adequate funding is available for emergency operations Ensure all organization components participate in continuity exercises Update Continuity Plan annually
Legal Counsel	Ensure agreements for devolution are in place Review MOU/MOA's developed in support of the Continuity Plan Review vendor agreements developed in support of the Continuity Plan
Resources Administrator	Develop and lead Continuity training Plan Continuity exercises Maintain Continuity exercise documentation Update telephone rosters monthly Conduct alert and notification tests Update annual <i>Drive-Away Kit</i> inspection lists
Continuity Personnel	Be prepared to deploy and support organization essential functions in the event of Continuity Plan implementation Provide current contact information to the Resource Administrator Be familiar with continuity planning and know individual roles and responsibilities in the event of Continuity Plan activation Participate in continuity training and exercises as directed
I.T. Manager	Review status of vital records, files, and databases

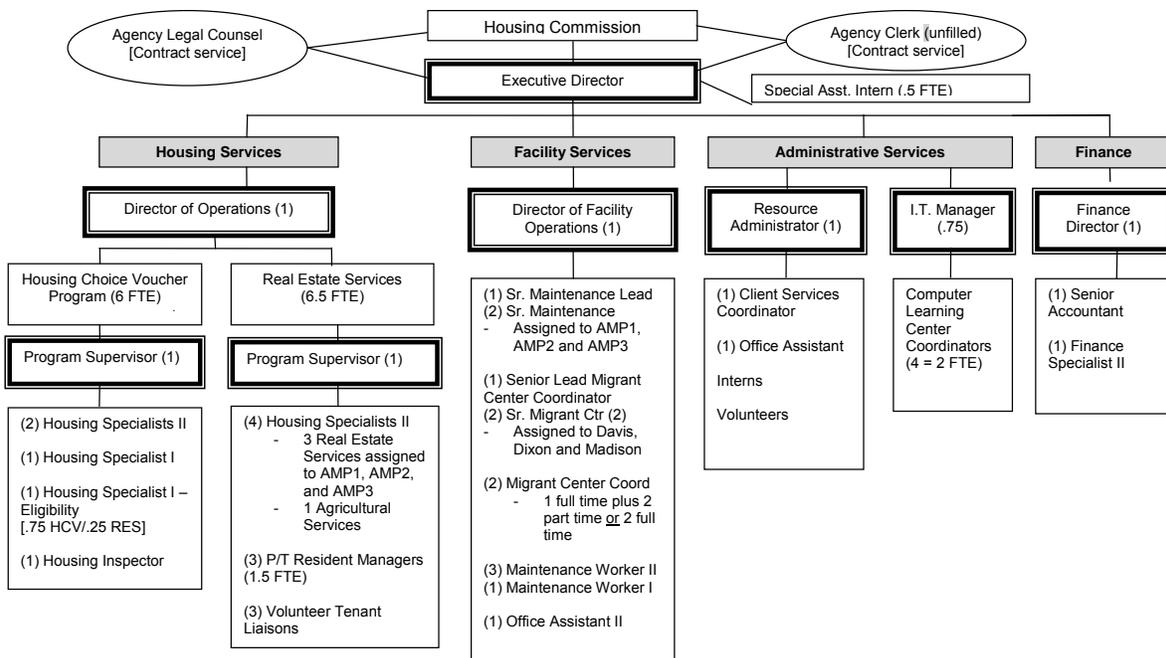
The Agency is organized to support the mission and goals of the housing authority within Yolo County and the City of Dixon. It is staffed by managers, supervisors, program specialists, maintenance, technicians, and administrative support staff who are tasked with conducting business under the following major program areas:

- Executive Office
- Housing Services
- Facility Services
- Administrative Services
- Finance

Contained with each of the primary program areas are the following functional sections which are directly responsible for performing client services, maintaining organizational administration, maintaining Agency assets, and managing fiscal resources. Specifically, those functional sections include:

- Program administration and executive management
- Housing voucher administration
- Human resources
- Information technology services
- Accounting
- Legal affairs
- Facility management and maintenance services
- Housing services and real estate management
- Records management
- Risk management
- Purchasing
- Regulatory compliance
- Intergovernmental affairs

From an organizational management perspective, business operations are designed to be conducted in either a centralized or decentralized mode – depending upon needs and conditions. With the advent of advanced telecommunications, robust information management technology, streamlined business practices, empowered staff, responsive operating guidelines and procedures, and effective administrative policies the continuation of Agency may be more assured.



DIRECTION, CONTROL, AND COORDINATION

During activation of the Continuity Plan, Yolo County Housing maintains responsibility for control and direction of their Agency. Should the Chief Executive Officer become unavailable or incapacitated; the organization will follow the directions laid out in the *Leadership and Staff Annex*, *Orders of Succession* and *Delegations of Authority* sections.

The contents and procedures laid forth in this Continuity Plan are consistent with the direction found in CGC 1 and the plan is reviewed and vetted by the Housing Commission and County of Yolo Office of Emergency Services to ensure vertical integration.

DISASTER INTELLIGENCE

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

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

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

Depending upon conditions, an ongoing assessment of external threats and potential sources of impact to Agency facilities and operations should be maintained. External threats may involve both direct and indirect impacts. Yolo County Housing will follow its standard Situational Analysis guidelines as outlined for the Planning Section in the Emergency Operations Plan (EOP).

Using existing program performance metrics, Housing leadership and personnel will assess the level of internal operability and the need to implement specific continuity procedures to maintain organizational efficacy. In many instances, internal operability will be tied to one or more of the following criteria:

- Staffing levels and technical expertise
- Availability and access to critical communication and information technology
- Habitability of Agency primary work spaces
- Extent of damage to Agency facilities and resources
- Information on external conditions
- Speed at which continuity measures are implemented

- Operational and administrative priorities that may affect goal setting

By using Housing staff and communicating with property managers and community resources, staff will survey and assess conditions at all Housing property sites that may be impacted. An analysis of local threats, known or suspected damages, tenant health and safety, critical infrastructure performance, and any other conditions that impact the individual sites and/or Agency business continuity will be provided to the Planning Section staff as outlined in the Emergency Operations Plan.

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

COMMUNICATIONS

Yolo County Housing has identified available and redundant critical communications systems that support the Business Continuity Plan. Further, Housing maintains fully capable continuity communications that support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. In a continuity situation, office telephones may be supplemented by cellular phone capabilities.

All of Yolo County Housing's necessary and required communications and IT capabilities should be operational within 24 hours of continuity activation¹⁰.

EMPLOYEES

During both activation and reconstitution the Continuity Leadership Team will utilize the staff contact roster maintained in the Housing contact list(s). The Continuity Leadership Team will communicate with employees using any of the following available methods:

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

RESIDENTS & CLIENTS

Non-emergent communications with housing residents and clients during periods of business interruption should be undertaken as soon as practicable, using available direct and technology-based methods. Yolo County Housing property managers will communicate with residents to provide status updates as necessary throughout the event.

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

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

PRIMARY VENDORS

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

¹⁰ Additional detailed information for Housing's communications systems and requirements is located in the *Continuity Communications Annex*

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

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

REGULATORY AGENCIES & CORPORATE PARTNERS

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

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

- real time operational status
- actions being taken to affect recovery
- current and projected operational and resource needs
- associated timelines and recovery schedules
- potential or emerging threats
- requested modifications to requirements or contractual agreements
- and any other matter deemed necessary and appropriate

BUDGETING AND ACQUISITION OF RESOURCES

In accordance with the Signatory Authority, Approval and Purchases Policy, the Yolo County housing Chief Executive Officer has the authority to approve expenditures of up to \$250,000 and may seek authorization to exceed this amount on a case-by-case basis through the Board of Commissioners. The Chief Executive Officer may delegate expenditure authority up to \$25,000 to a Yolo County Housing manager or supervisor.

Members of the Yolo County Housing management team are issued a Yolo County Housing credit card with purchasing authority up to an amount not to exceed \$25,000. These purchasing cards would be used in the event of an emergency to acquire necessary goods and services in accordance with the business continuity plan and/or the emergency operations plan.

In cases where time is of the essence in order to protect lives, property or in other emergency situations, the Chief Executive Officer, acting as the Contracting Officer for the Authority, is authorized to obligate money on behalf of the Authority. The procurement action including justification documents will be submitted as a resolution to the Board of Commissioners for prior approval, or ratification if funds have been obligated by the Chief Executive Officer's action.

The Agency owns, operates, and otherwise maintains a large selection of properties, structures, and critical infrastructure that services both clients as well as Housing operations. Maintenance operations during continuity activities may include:

- Maintenance of Housing administrative and support facilities
- Providing emergency repairs to Agency-owned housing structures and infrastructure
- Conducting impact and damage assessments of Housing properties and facilities
- Working with public and private utilities to ensure continued operability, or rapid restoration in case of disruption
- Providing engineering and technical specifications and information to contractors, vendors, and local authorities regarding impacted Housing property
- Inspecting and preparing offsite or back up continuity facilities to ensure operability and habitability in case relocation of essential functions is required

When planning for, or addressing logistical activities in support of business continuity operations, the following should be considered:

- Disruption of critical infrastructure and utility services should be considered when planning continuity operations, including when identifying appropriate contingency sites.
- Primary Agency facilities will require some level of maintenance and support during emergencies. Back up sites will also require maintenance and support while activated.
- Access to usual vendor services may be unavailable during emergencies.
- Sustained telecommunication and network accessibility is critical to continuity operations. Loss of primary communication accessibility will severely disrupt all levels of Agency operations.

- Staff members will not function effectively or efficiently for extended periods if they are uncomfortable, feel unsafe, or are unsure about the well-being of their families during emergencies.

The centralization of specific Housing functions will require operational infrastructure and utility service to perform and support essential functions. Critical infrastructure that may be impacted and require service restoration include:

- Electrical power
- Telephone service (Landline and cellular)
- Water service
- Natural gas/propane service
- Internet access
- Sewer service

The supplies, resources, and materials needed during an emergency situation will be the same required during non-emergent business activity. The need to procure or obtain materials and resources will be dependent upon conditions and the extent to which Agency facilities have been impacted. Operating supplies and resources that may be required will normally include:

- Administrative and office supplies and equipment
- IT support materials and equipment
- Fuel for Agency vehicles
- Emergency equipment
- Maintenance tools, materials and equipment
- Staff support materials and supplies

The Continuity Leadership Team will ensure (at a minimum) the following four resources are available to staff members while they are involved with continuity operations:

Security - Workplace security is a vital support function that serves to protect the most critical resource available to the Agency - its staff. During periods of emergency, access to the facilities could be made more vulnerable by loss of power, structural damage, increased building visitation, or even as a result of ongoing external threats.

Sustenance - It may be necessary to provide staff with food should conditions require that they remain at work to perform emergency functions, or are unable to leave Agency sites because of prevailing hazards or other obstacles.

Sanitation - Functioning sanitary facilities will be a requirement, regardless if the Agency performs operations at its primary locations, or is required to relocate to sustain essential functions. Sanitary facilities should be appropriate for the size of workforce being utilized, and serve both genders. As appropriate, facilities for those who are physically challenged and lacking in mobility should be provided for staff and visitors.

Transportation Fuel - The Agency relies upon external vendors for refueling vehicles. Refueling sites are available throughout the county, providing necessary access during most periods.

PLAN DEVELOPMENT AND MAINTENANCE

This plan will be reviewed by Agency staff on a periodic basis (annually) to ensure accuracy and operability. The BCP will be updated when it has been determined that modifications and corrections are necessary to ensure its completeness, accuracy, functionality, and timeliness. Substantive changes to the BCP will be undertaken by assigned staff members, approved by the Chief Executive Officer, and presented to the Housing Commission for consideration and adoption.

I. ESSENTIAL FUNCTIONS ANNEX

IDENTIFICATION OF ESSENTIAL FUNCTIONS

Yolo County Housing has completed the MEF process as identified in CGC 2 to identify those functions that Housing must continue. As a part of this process a Business Impact Analysis was developed for each essential function. The analysis defines the effect on service delivery and outlines the resources required for recovery¹¹.

Essential functions are the functions that must continue with minimal or no disruption, even during an emergency or disaster. They enable Yolo County Housing to provide client services, continue operating as Yolo County Housing, and maintain the safety of employees and residents. Identifying the Agency’s essential functions is the foundation of the Business Continuity Plan. Yolo County Housing’s essential functions, as validated and approved by the Chief Executive Officer, are listed below.

1. Information Technology/Communication
2. Administration
3. Facilities
4. Finance
5. Real Estate Services
6. Housing Assistance

Within each of these essential functions are sub-tasks and activities that will be performed to provide business continuity. These sub-tasks are identified in the table below.

Information Technology/Communication	Network and phone connectivity for the Agency Server access and support for applications Agency backups for data/disaster recovery
Administration	Maintain vital records Legal services to the Agency Procurement/Purchasing of needed goods and services
Facilities	Executing Emergency Action Plan/work orders Prioritizing work orders Coordinating with utility and infrastructure providers Monitor and Oversight of Construction Projects
Finance	Daily cash management with bank Accounts receivable/payable (weekly) Payroll (bi-weekly)

¹¹ See the complete *Business Impact Analysis in Attachment A*

Real Estate Services	Property management services (Eligibility, rental contracts, notice to vacate, and termination) Unit turnaround – ensuring that rental units are decent, safe and sanitary Communication with families/tenants currently participating in the program Oversight – Ensure continuance of ongoing transactions Procurement and purchasing of needed goods and services
Housing Assistance	Communication with tenants, potential tenants, and property owners Coordinate inspections and habitability services HCV processing and transfer voucher issuance

IDENTIFICATION OF CONTINUITY PERSONNEL

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

- Chief Executive Officer
- Resource Administrator
- IT Manager
- Director of Operations
- Facilities Director

Each continuity member is selected by the Chief Executive Officer based upon:

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

Function	Primary	Secondary	Tertiary
#1	I.T. Manager	Commercial Vendor(s)	Program Supervisor
#2	Chief Executive Officer	Resource Administrator	Director of Finance ¹²
#3	Facilities Director	Sr. Maintenance	Sr. Maintenance
#4	Finance Director	Senior Accountant	Finance Specialist
#5	Director of Operations	Program Supervisor	Program Supervisor
#6	Director of Operations	Program Supervisor	Program Supervisor

¹² **Note:** Some Agency staff members have been identified in more than one functional position as it relates to succession planning. The specific assigned role will be determined as operational needs dictate.

II. VITAL RECORDS MANAGEMENT ANNEX

Within 24 hours of activation, continuity personnel at the continuity facility for Yolo County Housing should have access to the appropriate media for accessing vital records, including:

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

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

IDENTIFYING VITAL RECORDS

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

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

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

Protection of vital data includes the following measures:

- Off-site physical storage of hard copy records
- Multiple backups of electronic data
- Enhanced physical protection methods and capabilities
- Redundant points of secure data access
- Protection of proprietary software
- Protection of critical operating hardware
- High order, anti-intrusion, cyber security software
- Formalized Agency data protection and security standards and protocols

PROTECTING VITAL RECORDS

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

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

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

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

TRAINING AND MAINTENANCE

At a minimum, Yolo County Housing vital records are annually reviewed, rotated, or cycled so that the latest versions will be available.

Yolo County Housing conducts regular testing of the capabilities for protecting classified and unclassified vital records and for providing access to them from the alternate facility.

The following table shows a list of vital records, files, and databases for Yolo County Housing.

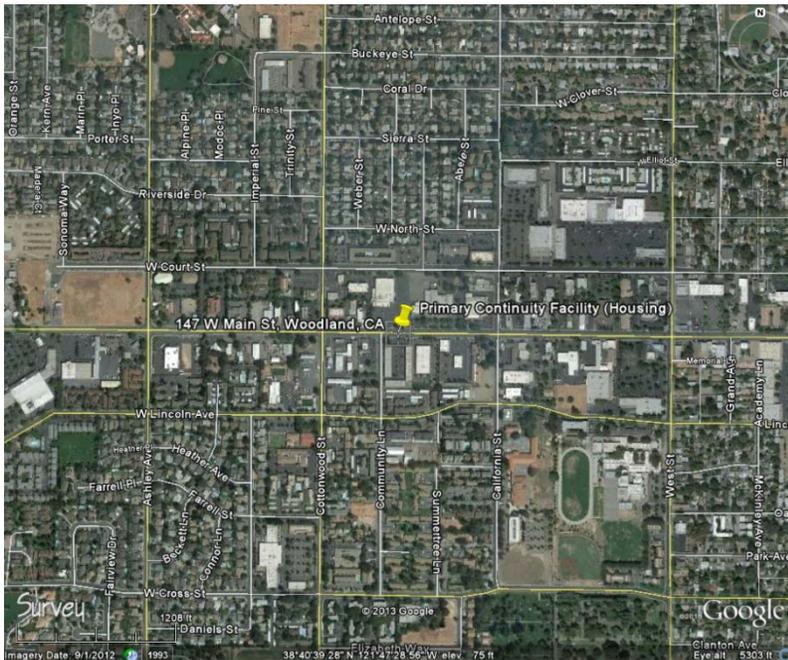
Vital Record, File, or Database	Support to Essential Function	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Continuity Facility	Hand Carried to Continuity Facility	Multiple Storage Location(s) Y/N	Maintenance Frequency
Master Contact List	All	Electronic		X	Y	Quarterly
Tenmast	All	Electronic	X		N	Daily
Tendocs	All	Electronic	X		N	Daily
Paper Client Files	All	Hardcopy		X	N	Daily
Google Docs	All	Electronic	Cloud Based		Y	Daily

III. CONTINUITY FACILITIES ANNEX

Yolo County Housing has designated continuity facilities as part of its Continuity plan and has prepared continuity personnel for the possibility of unannounced relocation to the site(s) to continue performance of essential functions.

Yolo County Housing does not maintain MOAs/MOUs for these facilities as they are properties owned by Yolo County Housing.

The Primary continuity facility is the Yolo County Housing Administration Building located at 147 West Main Street in Woodland, CA 95695.



This facility is owned by Yolo County Housing

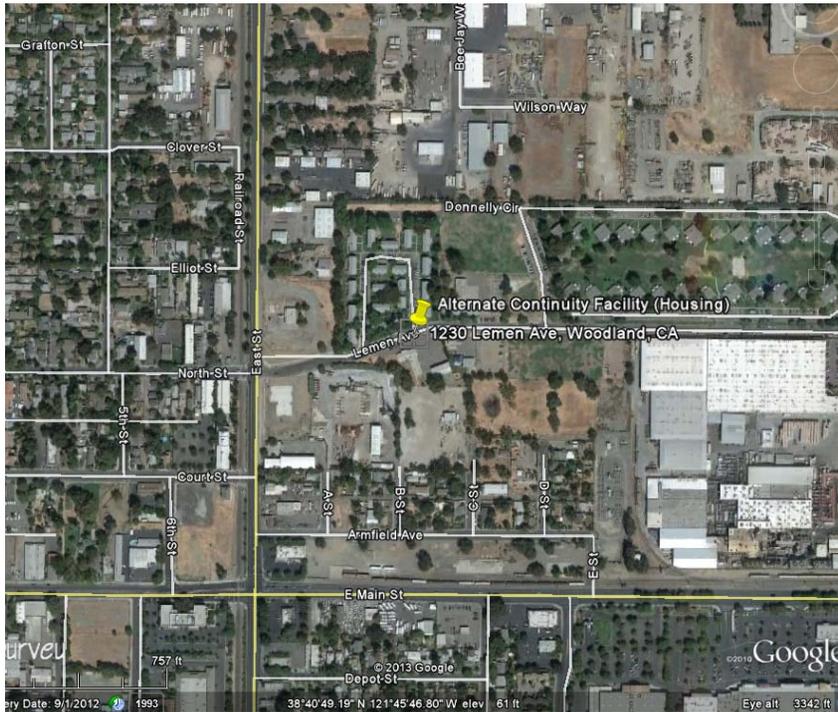
To gain access contact:
Executive Management Team
Member from Emergency Pocket Guide

Or

Emergency Maintenance
1-800-662-9656

- This facility provides the following in sufficient quantities to sustain operations for up to 30 days:
 - Space and equipment, including computer equipment and software
 - Capability to perform essential functions within 12 hours of plan activation for up to 30 days
 - Reliable logistical support, services, and infrastructure systems
 - Consideration for health, safety, security, and emotional well-being of personnel
 - Interoperable communications for effective interaction
 - Capabilities to access and use vital records
 - Systems and configurations that are used in daily activities

The first alternate continuity facility is the Yolano computer learning center located at 1230-A Lemen Ave in Woodland, CA 95776.



This facility is owned by Yolo County Housing

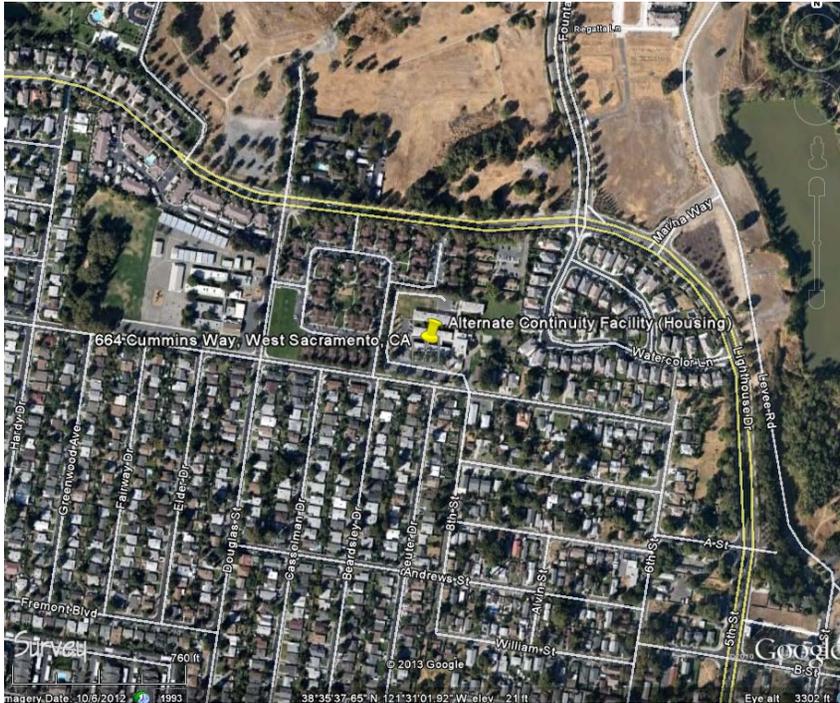
To gain access contact:
Executive Management Team
Member from Emergency
Pocket Guide

Or

Emergency Maintenance
1-800-662-9656

- This facility provides the following in sufficient quantities to sustain operations for up to 30 days for up to 12 staff:
 - Space and equipment, including computer equipment and software
 - Capability to perform essential functions within 12 hours of plan activation for up to 30 days
 - Reliable logistical support, services, and infrastructure systems
 - Consideration for health, safety, security, and emotional well-being of personnel
 - Interoperable communications for effective interaction
 - Capabilities to access and use vital records
 - Systems and configurations that are used in daily activities

The second alternate continuity facility is the Riverbend Community Room located at 664 Cummins Way and the Las Casitas Computer Learning Center at 685 Lighthouse Drive in West Sacramento, CA 95605.



This facility is owned by Yolo County Housing

To gain access contact:
Executive Management Team
Member from Emergency
Pocket Guide

Or

Emergency Maintenance
1-800-662-9656

- This facility provides the following in sufficient quantities to sustain operations for up to 30 days:
 - Space and equipment, including computer equipment and software
 - Capability to perform essential functions within 12 hours of plan activation for up to 30 days
 - Reliable logistical support, services, and infrastructure systems
 - Consideration for health, safety, security, and emotional well-being of personnel
 - Interoperable communications for effective interaction
 - Capabilities to access and use vital records
 - Systems and configurations that are used in daily activities

IV. CONTINUITY COMMUNICATIONS ANNEX

Critical communications provide the capability to perform essential functions within the Agency, in conjunction with other governmental agencies, businesses, and volunteer organizations, until normal operations can be resumed. To be effective, critical communications:

- Support the execution of the Housing’s essential functions
- Provide capability to communicate within the Agency
- Provide connectivity to outside agencies and customers
- Ensure access to data, systems, and services needed to maintain critical functions
- Provide for the issuance of public information through established media outlets
- Provide for the timely and accurate dissemination of operational intelligence with local, state, and federal agencies during periods of emergency or disaster
- Provide a method of communicating compliance data to state and federal housing regulatory agencies

Yolo County Housing has identified available and redundant critical communication systems at the continuity facility. Further, Housing maintains fully capable continuity communications that could support organization needs during all hazards/threats, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. These systems provide the ability to communicate within and outside of the organization.

Communication System	Support to Essential Function	Current Provider	Special Notes
Non-secure Phones	Yes	AT & T	Not VoIP
Fax Lines	Yes	AT&T	Not VoIP
Cellular Phones	Yes	AT&T	
E-mail	Yes	Bi101 (Google)	Cloud Based
Internet Access	Yes	AT&T and Wavecable	AT&T – Woodland Wavecable – W.Sacramento

All Yolo County Housing’s necessary and required communications and IT capabilities should be operational within 24 hours of activation. If equipment is damaged, digital systems may take up to 48 hours to re-configure.

V. LEADERSHIP AND STAFF ANNEX

ORDERS OF SUCCESSION

Lines of succession are provisions for the orderly and predefined transition of leadership during an emergency when the incumbents are unable or unavailable to execute their official duties. The orders specify who is authorized to make decisions or act on behalf of the Agency and are used for specific purposes during Business Continuity Plan activations, such as:

- Approving emergency policy changes
- Approving changes in Agency Standard Operating Procedures (SOPs)
- Empowering designated representatives to participate as members of departmental emergency response teams to act on behalf of the department head
- Making personnel management decisions
- Approving commitment of resources
- Signing contracts

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors have been identified to ensure there is no lapse in essential decision-making authority.

Yolo County Housing’s orders of succession are:

- At least two positions deep, where possible, ensuring sufficient depth to ensure the Housing’s ability to manage and direct its essential functions and operations
- Geographically dispersed, where feasible
- Described by positions or titles, rather than by names of individuals holding those offices
- Reviewed by the organization’s legal department as changes occur
- Included as a vital record, with copies accessible and/or available at both the primary operating facility and continuity facilities

Position	Designated Successors
Chief Executive Officer	1. Resource Administrator
	2. Director of Finance
Facilities Director	1. Sr. Maintenance #1
	2. Sr. Maintenance #2
Director of Operations	1. Program Supervisor #1
	2. Program Supervisor #2
I.T. Manager	1. Contract I.T. Services
	2. Program Supervisor #2
Director of Finance	1. Senior Accountant
	2. Finance Specialist II

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

DELEGATION OF AUTHORITY

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

Yolo County Housing has identified the following delegations of authority:

- Orderly succession of officials to the position of Chief Executive Officer in the case of the Chief Executive Officer's absence, a vacancy at that office, or the inability of the Chief Executive Officer to act during an emergency or national security emergency.

Yolo County Housing's delegations of authorities are:

- included as vital records
- written in accordance with applicable laws and organization policy ensuring that the Housing's essential functions are performed
- outlined explicitly in a statement the authority of an official to re-delegate functions and activities, as appropriate
- written to delineate the limits of and any exceptions to the authority and accountability for officials
- written to define the circumstances, to include a devolution situation if applicable, under which delegations of authorities would take effect and would be terminated

Yolo County Housing has informed those officials who might be expected to assume authorities during a continuity situation.

HUMAN CAPITAL

The Agency relies upon a selection of key positions that are responsible for performing very specific and technically complex tasks in support of essential functions. Even though each Agency member is a vital contributor, and directly responsible for overall program success, some positions require a higher level of technical skill and knowledge. Those key positions are considered vital to the continuity of certain functional areas, and their loss would greatly affect business operations.

Key position categories include:

- Technical specialists
- Management personnel with significant organizational knowledge
- Skilled craftspeople
- Specific program managers and liaison staff

- Subject matter experts

It is important that Yolo County Housing keeps all staff, especially individuals not identified as continuity personnel, informed and accounted for during a continuity event. Yolo County Housing has established procedures for contacting and accounting for employees in the event of an emergency, including operating status.

- Yolo County Housing's employees are expected to remain in contact with their respective supervisor during any facility closure or relocation situation.
- Yolo County Housing ensures staff are aware of and familiar with guidance in order to continue essential functions during an emergency.

An event that requires the activation of the Continuity Plan may personally affect the Housing staff. Therefore, the Resource Administrator has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with special concerns following a catastrophic disaster.

VI. TEST, TRAINING, AND EXERCISES PROGRAM ANNEX

Upon development, the BCP will be distributed internally to all staff and externally to supporting agencies, organizations, and individuals possessing any level of involvement in continuity management for the Agency. In addition, Agency leadership will ensure that key staff are oriented on the Business Continuity Plan, including how it integrates with other Housing policies, guidelines, procedures, and documents.

TESTING

Periodic testing utilized to evaluate the capability and capacity of primary and back-up systems, such as emergency power or network transfer protocols. Tests will be conducted on a regular basis to assess system operability, reliability, responsiveness, and integration while under simulated stress conditions. Such tests will normally include:

- Initiation of personnel call back process
- Random selection of archival data for rapid access and utilization
- Test of alternate communications systems and networks
- Test of emergency power systems
- Test of resident/client notification process
- Simulated restoration and recovery of damaged data
- Test of critical vendor contact roster
- Review of adopted plans and procedures to determine familiarization
- Test of backup information technology systems and networks

Tests will be monitored, evaluated, and documented. A realistic corrective action plan will be developed as necessary with staff assigned to address identified gaps.

TRAINING

In order for Agency personnel to become familiar with business continuity plans, protocols, and systems, staff training will be conducted on a regular basis. Training will be conducted with the following emphasis:

- Continuity Leadership Team training should be conducted:
 - When the Business Continuity Plan is initially developed
 - When a new member joins the team
 - Whenever the team's roles and responsibilities have changed
 - Annual review, thereafter

EXERCISES

Periodic emergency exercises will also be conducted to evaluate how all elements of the Agency's business continuity program would be activated, operated, and conducted under simulated emergency conditions. Exercises may be conducted in conjunction with other emergency exercises being conducted locally to assess interoperability between partnering agencies and organizations.

Post-event assessment and evaluation will be undertaken in accordance with Agency performance expectations, and in light of actual experience. Metrics must identify performance factors involving not only staff, but systems, policies, plans, resources, and how intervening conditions may impact their individual collective functioning.

In establishing evaluation metrics for post-event analysis, the following criteria should apply:

- Metrics will be based upon realistic expectations of performance under difficult conditions – not as expected during day-to-day operations.
- Metrics will utilize an integrated approach, formulated to address all applicable systems at play within the organization, and externally.

Following any formal activation of the Business Continuity Plan, an After Action Review will be conducted to identify strengths and opportunities for improvement. The emphasis will be on understanding why business continuity operations were undertaken and how effective those efforts were, and to identify what improvements or adjustment can be made to strengthen the overall continuity capability. The after action process will employ the following general processes:

- Collective documentation and activity reports from involved Agency staff
- Correlate information and analyze pertinent data that identifies key activities and outcomes
- Apply established performance metrics to identify shortfalls and gaps
- Consider opportunities for improvement and develop corrective action plan
- Review findings with staff and management. Circulate among staff for additional feedback
- Formulate final After Action Report (AAR) to be submitted to the Chief Executive Officer for approval before submission to Commission for consideration in adopting appropriate policy changes
- Establish timeline for implementation of appropriate corrective actions plan
- Distribute AAR internally and to external partners as appropriate
- Implement improvement/corrective actions plan as needed and as feasible

Yolo County Housing

Meeting Date: 10/17/2013

Information

SUBJECT

Authorize YCH to Enter into an Agreement with 4th and Hope for Executive Services and Authorize the CEO to Finalize and Execute the Contract (Baker)

Attachments

Att. A. Staff Report

Form Review

Form Started By: Julie Dachtler
Final Approval Date: 10/10/2013

Started On: 10/10/2013 09:01 AM



Yolo County Housing

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DATE: October 17, 2013
TO: YCH Housing Commission
FROM: Lisa A. Baker, Chief Executive Officer
SUBJECT: **Authorize YCH to Enter into an Agreement with 4th and Hope for Executive Services and Authorize the CEO to Finalize and Execute the Contract**

RECOMMENDED ACTION

That the Housing Commission:

1. Authorize YCH to enter into an Agreement for 4th and Hope for Executive Services; and
2. Authorize the CEO to finalize and execute the Agreement, subject to approval of Agreement by Agency legal counsel.

BACKGROUND/DISCUSSION

4th and Hope is one of the only homeless shelters in the County of Yolo. It is supported by federal grant funds through the Yolo Continuum of Care process and by funding from the majority of jurisdictions in the County. In addition to the homeless shelter operations, it also provides Walter's House, a living center for those with alcohol and drug issues, as well as a treatment and counseling program. 4th and Hope also provides re-entry services in housing, drug testing and counseling as part of the prison realignment through AB 109 and a contract with the County.

Recently, 4th and Hope has had some internal issues after the loss of its longtime Executive Director. 4th and Hope has been governed in the interim by its former Board Chair, who has stepped in to fill the Executive Director's responsibilities on an interim basis. This has helped to improve the overall program operation, but the Agency is still in need of structural changes in order to successfully reposition itself and plan for long term sustainability.

Many of YCH's residents come to us after surviving homelessness or after being marginally housed. YCH is interested in improving overall access to services and better linkages between homeless providers and housing. In addition, at this time, YCH acts as the staff for the Executive Commission for the 10 Year Plan to End Homelessness. Acting as Director of 4th and Hope would help further both YCH's

understanding of homeless service provision within the county and cities as well as support the 10 Year Plan Commission and provide support to 4th and Hope itself.

After discussions with the interim Director and the Board for 4th and Hope, the proposed scope of the project would be as follows:

- A. The current interim Director would become the Operations Director and would oversee daily operations; this would be consistent with YCH's other activities, which are overseen by Directors (Housing Operations, Facilities, IT, Finance and Resources).
- B. The YCH CEO would be the Executive Director of 4th and Hope at this time for an 18 month period under contract through YCH. Initially, there would be no funding for this position. We would have to develop the funding stream through 4th and Hope's existing activities. Since the CEO position is a general-funded position, this should not impact other operations and is similar to other contract work the CEO has performed, most recently for the Walnut Park project in Winters.
- C. The Executive Director would focus on structural issues of the organization, including human resources, board development, staff development, financial integrity, systems and checks and balances. The Operations Director will focus on daily operations and on donor relationships.
- D. In terms of tasks, YCH would focus on an overall assessment of the organization, analysis of systems, help focus on debt repayment, look at procurement, costs and efficiencies, work on improved financial oversight, work on improved relationships with existing contract partners.

Now that the CEO has completed her two (2) terms as Chair of Sustainable Policy and Legislation for NAHRO and completed her term as President of the California Association of Housing Authorities, as well as completed the commitment to the City of Winters for the Walnut Park project, there is sufficient time to provide these services to 4th and Hope.

Staff is proposing that the position would take approximately 15 hours per week.

FISCAL IMPACT

None at this time. There is the possibility of additional fee revenue if identified in the future.

CONCLUSION

Staff recommends that the Commission authorize YCH to enter into an Agreement with 4th and Hope for Executive Services.