



**Monthly Report to the
Board of Commissioners**

DECEMBER 2017

ALEXANDRIA
REDEVELOPMENT &
HOUSING AUTHORITY



DANIEL BAUMAN
Chairman

SALENA ZELLERS
Vice Chairwoman

Commissioners:
Anitra Androh
Commissioner

Christopher Ballard
Commissioner

Chyrell Bucksell
Commissioner

Carter D. Flemming
Commissioner

Peter Kleeblatt
Commissioner

Merrick Malone
Commissioner

Karl Sandberg
Commissioner

Keith Pettigrew
Secretary-Treasurer

January 5, 2018

Mr. Daniel Bauman
1404 Key Drive
Alexandria, VA 22302

**Re: Monday, January 8, 2018, Regularly Scheduled Board of
Commissioners Meeting**

Dear Chairman Bauman:

Enclosed please find the docket for the regular board meeting of the ARHA Board of Commissioners to be held on Monday, January 8, 2018 at 7:00 p.m., ARHA 401 Wythe Street (*east conference room*), Alexandria, VA 22314. There is one Consent item and no Action items submitted for the docket.

Sincerely,

Keith Pettigrew,
Secretary-Treasurer

lh/KP

cc: City Council (7, electronically)
ARHA Commissioners (9 electronically)
Mark Jinks, City Manager (1, electronically)
Helen McIlvaine, Director of Housing (1, electronically)
Alexandria Libraries (4, delivered by U.S. Mail)
Alexandria Resident Advisory Board (1 electronically)
Ladrey High Rise Advisory Board (1, delivered by ARHA Staff)



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BOARD OF COMMISSIONERS
RESCHEDULED DECEMBER 25, 2017 REGULARLY MONTHLY MEETING
Monday, January 8, 2018
7:00 pm
Alexandria Redevelopment and Housing Authority (ARHA)
401 Wythe Street • Street Alexandria, VA 22314
(East Conference Room)

1. Public Discussion Period for Resident Groups – 10 minutes
 - Ladrey Advisory Board (LAB) – Amos Simms, Vice President
 - ARHA Resident Association (ARA) – Kevin Harris, President

2. Public Discussion Period on AGENDA and NON-AGENDA ITEMS – 5 minutes

3. Adoption of Minutes of Regular Meeting held on Monday, November 27, 2017

4. Receipt of Executive Summary as of Monday, January 8, 2018

5. **CONSENT DOCKET**
5.1 VOTE APPROVAL OF RESOLUTION NUMBER 654, NEW PROCUREMENT POLICY

6. **ACTION DOCKET**

7. New Business

8. Executive Session to Discuss Personnel, Legal and Real Estate Issues

**MINUTES OF THE
ALEXANDRIA REDEVELOPMENT AND HOUSING AUTHORITY**

**REGULARLY SCHEDULED BOARD MEETING
401 WYTHE STREET (East Conference Room)
ALEXANDRIA, VA 22314**

**MONDAY, NOVEMBER 27, 2017
7:00 P.M.**

THOSE PRESENT: Daniel Bauman, Chairman
Salena Zellers, Vice Chairwoman - 7:08 PM
Carter Flemming, Commissioner
Christopher Ballard, Commissioner - 7:28 PM
Karl Sandberg, Commissioner - 7:21 PM
Merrick Malone, Commissioner - 7:33 PM
Peter Kleeblatt, Commissioner - 7:17pm

ABSENT: Anitra Androh, Commissioner
Chyrell Bucksell, Commissioner

RECORDER: Ian Hawkins

The Chairman called the meeting to order at 7:07pm. The meeting began without a quorum. Those present discussed items that did not require a quorum. Others present were Keith Pettigrew, Chief Executive Officer, ARHA department heads, ARHA staff, Alexandria Office of Housing staff and community citizens.

ITEM 1. PUBLIC DISCUSSION PERIOD FOR RESIDENTS GROUPS – 10 MINUTES:

- **Ladrey High-Rise Residents Advisory Board (RAB) – Mr. Otis Weeks, President – Absent.** Ms. Murphy greeted the Board and announced that Mr. Weeks passed and asked that we pray for his family. Ms. Murphy indicated that the services for Mr. Weeks' would be held on Saturday, December 2, 2017, at Antioch Baptist Church 1120 Queen Street, Alexandria, VA. The viewing will begin at 9:00 am and funeral service is at 11:00 am. The repast will be held at the Ladrey Building at 2:00 pm.

Chairman Bauman, on behalf of the Board of Commissioners, acknowledged Mr. Weeks' service to the Alexandria Community.

The Ladrey Advisory Board welcomed Mr. Keith Pettigrew and stated that they are looking forward to working with him.

- **ARHA Resident Association (ARA) – Kevin Harris, President**

Mr. Harris informed the Board that one of the ARHA Resident Association's (ARA) goals is to expand the presence of the ARA to all ARHA sites. Currently, only six sites have representatives. He also noted that ARA is planning elections in January 2018 for the remaining sites.

Mr. Harris informed the Commissioners that he would be using Santa's Winter Wonderland as an opportunity to recruit new ARA members.

ITEM 2. PUBLIC DISCUSSION PERIOD ON AGENDA and NON-AGENDA ITEMS – 5 MINUTES:

- Ms. Dipti Pidikiti-Smith, Deputy Director of Advocacy at Legal Services of Northern Virginia, addressed the Board on behalf of Ms. Lolita Crowder. Ms. Crowder was a resident at ARHA and was evicted several weeks ago. Ms. Pidikiti-Smith provided a brief synopsis of Ms. Crowder's position and noted that a meeting has been scheduled to meet with Mr. Pettigrew to obtain a better understanding and hopefully resolve the matter.
- Ms. Nikeisha Gay, an ARHA resident, informed the Board of her pending eviction the following day. She stated that she never received a notice regarding her eviction and would like some clarification on this matter. Mr. Pettigrew instructed staff to step out of the Board Meeting and speak with Ms. Gay and place a stay on the eviction until more information is gathered.
- There was a presentation on the 2017 ARHA Annual Audit by Dooley & Vicars, CPA.

At 7:30pm, after the arrival of a fifth Commissioner, the Chairman called the regular meeting to order.

ITEM 3. VOTE TO APPROVE MINUTES FOR REGULAR SCHEDULED BOARD MEETING HELD MONDAY, OCTOBER 23, 2017:

Chairman Bauman presented the minutes for Monday, October 27, 2017. Commissioner Kleeblatt moved to accept the minutes; the motion was seconded by Commissioner Flemming. The motion was approved with (7) Yeas, and (0) Nays to accept the minutes of Monday, October 23, 2017.

ITEM 4. VOTE TO RECEIVE THE SECRETARY-TREASURER'S REPORT AS OF MONDAY, NOVEMBER 27, 2017

Chairman Bauman opened the floor to receive the Secretary-Treasurer's Report. The Secretary-Treasurer presented his report and responded to questions raised by the Board. Chairman Bauman requested a motion to accept the Secretary-Treasurer's Report. Commissioner Malone moved to accept the Secretary-Treasurer Report; the motion was seconded by Commissioner Sandberg. The motion was approved unanimously (7) Yeas to (0) Nays to accept the Secretary-Treasurer's Report as of Monday, November 27, 2017.

ITEM 5. CONSENT DOCKET:

5.1 Vote to Approve Resolution Number 653, Authorizing Staff to Write-Off Vacated Tenant Accounts Receivables

Commissioner Ballard motioned to move Resolution 653, to the Action Docket; seconded by Commissioner Malone. The motion was passed by (7) yeas to (0) Nays for Resolution 653 to move to the Action Docket.

ITEM 6. ACTION DOCKET:

6.1 Vote to Approve Resolution Number 653, Authorizing Staff to Write-Off Vacated Tenant Accounts Receivables

Chairman Bauman made a request to approve Resolution 653, Commissioner Ballard moved to approve Resolution 653; seconded by Commissioner Malone. The motion was unanimously (7) Yeas to (0) Nays to accept Resolution 653

ITEM 7. OTHER BUSINESS:

Chairman Bauman apprised the Commissioners that there will not be a Board Meeting in December. The December Board Meeting will be held on Monday, January 8, 2018. The regular schedule of meetings will resume on Monday, January 29, 2018.

ITEM 8. EXECUTIVE SESSION TO DISCUSS PERSONNEL, LEGAL AND REAL ESTATE ISSUES:

A motion was made by Commissioner Sandberg, seconded by Vice Chairwoman Zellers, and unanimously adopted to convene into Executive Session to discuss Personnel, Real Estate, and Legal Matters. The Executive Session commenced at 8:28 pm. At 9:15 pm the Board reconvened in public session.

Thereupon, Commissioner Ballard made the following motion, seconded by Vice Chairwoman Zellers, no other actions were taken in the Executive Session and to the best of each member's knowledge: (1) only public business matters fully exempted from open meeting requirements under the FOIA were discussed in the Executive Session, and (2) only public business matters identified in the motion by which the closed meeting was convened were heard, discussed or considered by the Board in Executive Session. The motion was unanimously approved on a roll call vote of (7) Yeas to (0) Nays.

There being no further business to come before the Board, Chairman Bauman adjourned the meeting at 9:16pm.

I. EXECUTIVE SUMMARY

Below are ARHA summarized several key operational activities and notable highlights for November and December of 2017.

ASSET MANAGEMENT

- Occupancy/Rent Collection table

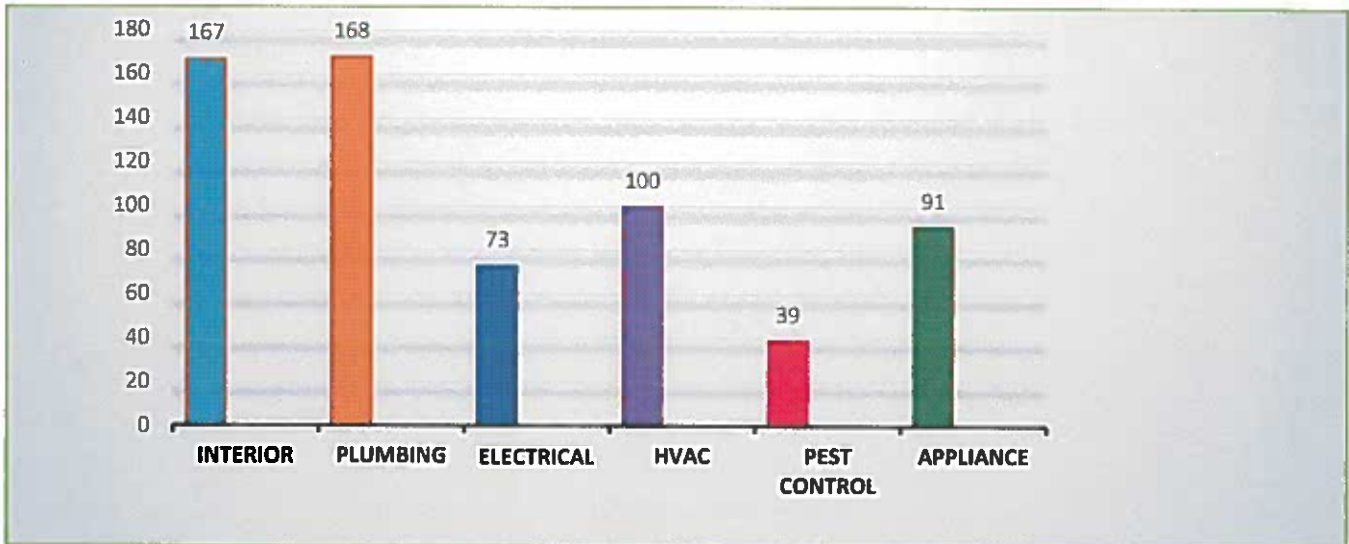
	Public Housing November 2017	MOD Rehab November 2017	Market Rate November 2017
Occupancy	99%	98%	92%
Rent Collection	94%	95%	90%

- Lease-Ups

New Lease-Ups	November 2017	YTD 2017
Tenant-based (HCVP)	2	55
Number of request for tenancy	3	72
Project-based	0	5
Project-based- Tenant Rental	0	1
Moderate Rehabilitation	3	19

MAINTENANCE

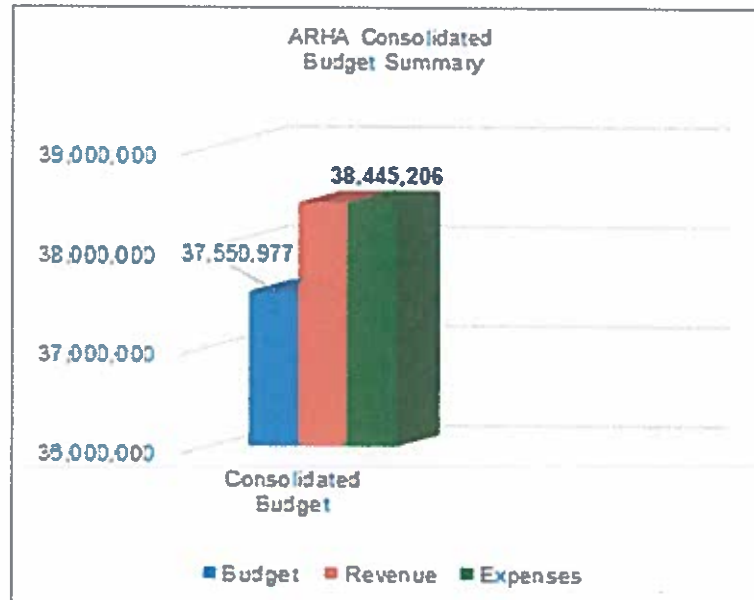
- Work Orders Activity Total = 638



- The Alexandria Police Department visited the Ladrey Highrise and conducted a Crime Prevention Through Environmental Design (CPTED) assessment to compliment the Ladrey Improvement Plan. As a result of their assessment, it is recommended that the number of cameras to be installed for security purposes increase from 23 to 41.

FINANCE

- Expenses/Reserves were higher than budgeted because we have more reserves than we predicted due to the higher revenue. General Expenses, and HAP Expenses were the only expenses over budget by more than \$50K and explained further in applicable sections below.



Information Technology

- ARHA has implemented a new phone protocol that mandates that an actual employee answers the phone. We have received numerous compliments on this subtle change.
- We have implemented an on hold message which provides smooth jazz as well as ARHA information while holding.

DEVELOPMENT

Ramsey Homes

- HUD has approved the Tenant Protection Vouchers and the Relocation Process has begun.
- The first building is scheduled to be vacated no later than January 26.
- Deconstruction of that building is scheduled to begin January 29.
- Closing on the financing is slated for March 1, 2018.



RESIDENT SERVICES

- Once again, Santa's Winter Wonderland Activities were a success! More than 800 kids participated in the annual events.
- The Senior Resident Leadership, in light of the unfortunate and sudden passing of Mr. Otis "Shotgun" Weeks, in accordance with its by-laws, appointed a new President, Amos Sims; Vice President, Geraldine Spell; Secretary Diane Murphy and Francis Robinson, Sergeant-At-Arms.
- During SWW Toy Give Away, the Resident Association conducted a membership drive. According to Kevin Harris, President, the drive resulted in 100 new members.

Other Activities

- Met with the Theresa Scott and Michael Brown of the Alexandria Fire Department to finalize the evacuation for Ladrey.

Upcoming Meetings

- 1/8 ARHA Board Budget meeting
- 1/11 Work Group meeting
- 1/25 BIAG (being scheduled to discuss Adkins)
- 1/29 ARHA Board Meeting followed by a Council / Planning Commission / ARHA Board work session at 8:30 location TBD
- 02/09 – 02/10 Ramsey Homes Open House to view to deconstructed units (tentative)
- 2018 Board Meeting Dates
 - January 8 (substitute for December 2017)
 - January 29
 - February 26
 - March 26
 - April 23
 - May 21 (May 28 is Memorial Day)
 - June 25
 - July 23
 - August 27
 - September 24
 - October 22
 - November 26
 - December 24
- Resolution 830
 - January 10, Resolution 830
 - January 3, Funding & Financial Public Housing
 - February 21, Expansion of Resolution 830
 - March 14, Recommendations

II. ASSET MANAGEMENT



A. PERFORMANCE INDICATORS FOR BOARD MONITORING OF PUBLIC HOUSING, PBV, MOD & MARKET RENT

Indicator	Current Month	Previous Month	Benchmark / Goal	HUD's Standard	Comments
1 Occupancy Rate ACC units (PH) (*)	99%	99%	98%	98%	>98% = 16pts 96% - 98% = 12pts 94% - 96% = 8pts 92% - 96% = 4pts 90% - 92% = 1pt <90% = 0pts (General Public Housing only)
2 Occupancy Rate (Mkt. Rate) (*) (PBV/MOD)	96%	95%	98%	96%-99%	Market Rate & MOD units are not scored by HUD for PHAS or SEMAP. PBV is included in SEMAP
3 Tenant Acc. Receivables (TARs) - Occupied Units (*)	.051%	1.17%	1%	<1.5%	<1.5% - 5pts 1.5% - 2.5% = 2pts >2.5% = 0pts
4 Tenant Account Receivables (TARs) - Vacated / Evictions (*)	.015%	0.92%		Loss Debt Collections	Vacated TARs will be written off by the FYE for PHAS compliance

(*) values are estimated and rounded up/down.

B. OCCUPANCY RATE

Public Housing had an average occupancy rate of 99%. Individual Performance data by property is as follows:

PUBLIC HOUSING	
Samuel Madden	97%
Ramsey Homes	100%
Andrew Adkins	100%
Ladrey Highrise	98%
Scattered Sites I	100%
Scattered Sites II	97%
Scattered Sites III	95%
Saxony Square	100%
Park Place	97%
Chatham Square	100%
Braddock & Whiting	100%
Reynolds	94%
Old Dominion	97%
West Glebe	100%
James Bland I, II, IV	100%



C. RENT COLLECTION

ARHA properties collected cash at 91% of rent charged for November 2017. Individual performance by property is as follows:

PUBLIC HOUSING		MARKET RATE	
Samuel Madden	96%	Quaker Hill	98%
Ramsey Homes	80%	Princess Square	76%
Andrew Adkins	94%	Miller Homes	93%
Ladrey Highrise	98%	Pendleton Park	87%
Scattered Sites I	90%	James Bland V	89%
Scattered Sites II	100%		
Scattered Sites III	98%		
Saxony Square	100%	MOD/PBV	
Park Place	98%	Hopkins Tancil	95%
Chatham Square	100%		
Braddock	98%		
Whiting	91%		
Reynolds	80%		
Old Dominion	100%		
West Glebe	100%		
James Bland I	94%		
James Bland II	77%		
James Bland IV	91%		

D. PROGRAM UTILIZATION & VACANCY REPORTING

The current program utilization rates for all housing programs are as follows:

Housing Choice Voucher	84%
Moderate Rehabilitation	98%
Project Based Section 8	98%
Project Based Rental Assistance	75%
Low Rent Public Housing	99%
Market Rate (Affordable Dwelling Units)	96%

The utilization summary is as follows:

New admissions for HCV tenant based rental assistance	4
End of participations for HCV tenant based rental assistance	2
New admissions for project based rental assistance	0
End of participations for project based rental assistance	2
New admissions for project based section 8	0
End of participation for project based section 8	1
New admissions for Moderate Rehabilitation rental assistance	3
End of participations for Moderate Rehabilitation rental assistance	1



E. VOUCHER MANAGEMENT SYSTEM (VMS)

Data reported for November 30, 2017:

Homeownership	19
Homeownership New this Month	0
Family Unification	40
Portable Vouchers Paid	262
Tenant Protection	72
All Other Vouchers	1,209
Total Vouchers	1,602
Number of Vouchers Under Lease on the last day of the month	1,598
HA Owned Units Leased – included in the units lease above	182
New Vouchers issued but not under contract as of the last day of the month	60
Portable Vouchers Administered	42
Number of Vouchers Covered by Project-Based AHAPs and HAPs	78
Number of Hard to House Families Leased	6
Total ACC	1,926
Total Vouchers Allocated	1,658
Total Vouchers Available	268

F. VACANCY ACTIVITY TRACKING REPORT MARKET RATE UNITS

DEVELOPMENTS	Total Number of Units	VU as of 10/31/17	Nov Move Ins	Nov Move Outs	VU as of 11/30/17	Vacancy Rate	Projected VU next period
Princess Square	68	7	1	1	7	10%	1
Quaker Hill	60	1	0	0	1	2%	0
Hopkins-Tancil	108	3	3	1	2	2%	0
Miller Homes	16	0	0	0	0	0%	1
Pendleton Park	24	3	0	0	3	13%	2
Old Town Commons V	54	1	0	0	1	2%	0
TOTALS	330	15	4	2	14	4%	4

NOTES: Projected vacancies are based on notice to vacate and pending evictions at the time of this report



G. VACANCY ACTIVITY TRACKING REPORT PUBLIC HOUSING UNITS

Developments	Total Number of Units	VU as of 10/31	Nov Move Ins	Nov Move Outs	VU as of 11/30/17	Vacancy Rate	Projected VU Next Period (*)
Ladrey Building	169	1	2	2	3	2%	1
Chatham Square.	52	2	2	0	0	0%	0
Old Town Commons I	18	0	0	0	0	0%	1
Old Town Commons II	18	0	0	0	0	0%	0
Old Town Commons IV	44	0	0	0	0	0%	0
S. Madden Homes	65	2	2	2	2	3%	0
A. Adkins Homes	89	0	0	0	0	0%	1
Ramsey Homes	15	0	0	0	0	0%	0
Scattered Sites 410	50	0	0	0	0	0%	3
Scattered Site 411	30	2	1	0	1	3%	1
Scattered Site 412	41	2	0	0	2	5%	0
Braddock	6	0	0	0	0	0%	1
Whiting	24	0	0	0	0	0%	0
Reynolds	18	0	0	1	1	6%	2
Saxony Square	5	0	0	0	0	0%	0
Park Place	38	1	0	0	1	3%	0
West Glebe	48	0	0	0	0	0%	1
Old Dominion	36	1	0	0	1	3%	1
TOTALS: (values are rounded up/down)	766	11	7	5	11	1%	12

NOTES: Projected vacancies are based on notice to vacate and pending evictions at the time of this report
 Total number of units = rental units less RPO units at Ladrey, Andrew Adkins and S. Madden Home

H. WAITING LIST STATISTICS

Waiting List Type	Currently Active on the Waiting List
HCVP	2,238
MOD Rehab	772
General Public Housing	1,969
Elderly / Disabled	297
BWR	897
Chatham Square	753
West Glebe / Old Dominion	1,353
OTC I, II, IV	842
As of November 2017 Total	9,121



I. CERTIFICATIONS

Certification Activity	November 2017	YTD 2017
HOUSING CHOICE VOUCHER		
Pre-Admission/Eligibility	44	235
Request for Tenancy Approval	7	92
New Move-in/Change of Unit/Port-in	4	60
Interim Change	49	600
Annual Reexamination	112	1161
End of Participation	2	54
PUBLIC HOUSING		
Pre-Admission/Eligibility	7	59
Request for Tenancy Approval	0	0
New Move-in/Change of Unit/Port-in	7	71
Interim Change	23	250
Annual Reexamination	54	643
End of Participation	3	69
MODERATE REHABILITATION		
Pre-Admission/Eligibility	8	24
Request for Tenancy Approval	0	17
New Move-in/Change of Unit/Port-in	3	17
Interim Change	4	50
Annual Reexamination	4	84
End of Participation	1	18
PROJECT BASED VOUCHER		
Pre-Admission/Eligibility	0	4
Request for Tenancy Approval	0	2
New Move-in/Change of Unit/Port-in	0	5
Interim Change	5	47
Annual Reexamination	3	68
End of Participation	0	5

J. INSPECTIONS

Inspections Details	Month	YTD
# of annual/return inspections	68	1276
# of Initial/Re-inspections	35	209
# of Final Failed Inspections	1	21
# of Abatements	1	26
# of Emergency/Special Inspections	2	5
# of Missed Inspections	3	48
# of quality control inspections conducted	17	147



K. COMPLIANCE/SAFETY

1. Quality Assurance Activities

Audit of Public Housing & HCVP Rent Determination. The overall audit objectives are to determine whether ARHA correctly calculates tenant rent; complies with applicable program laws, regulations, policies and procedures; and has internal controls in place to prevent or detect material errors and irregularities.

Audit Files	Number of Files Reviewed- 2017- YTD
Recertifications	312
Intake Certifications	390

Error % YTD Average	
Verification	20%
Calculation	12%
Forms/Tendocs	10%

L. PUBLIC SAFETY

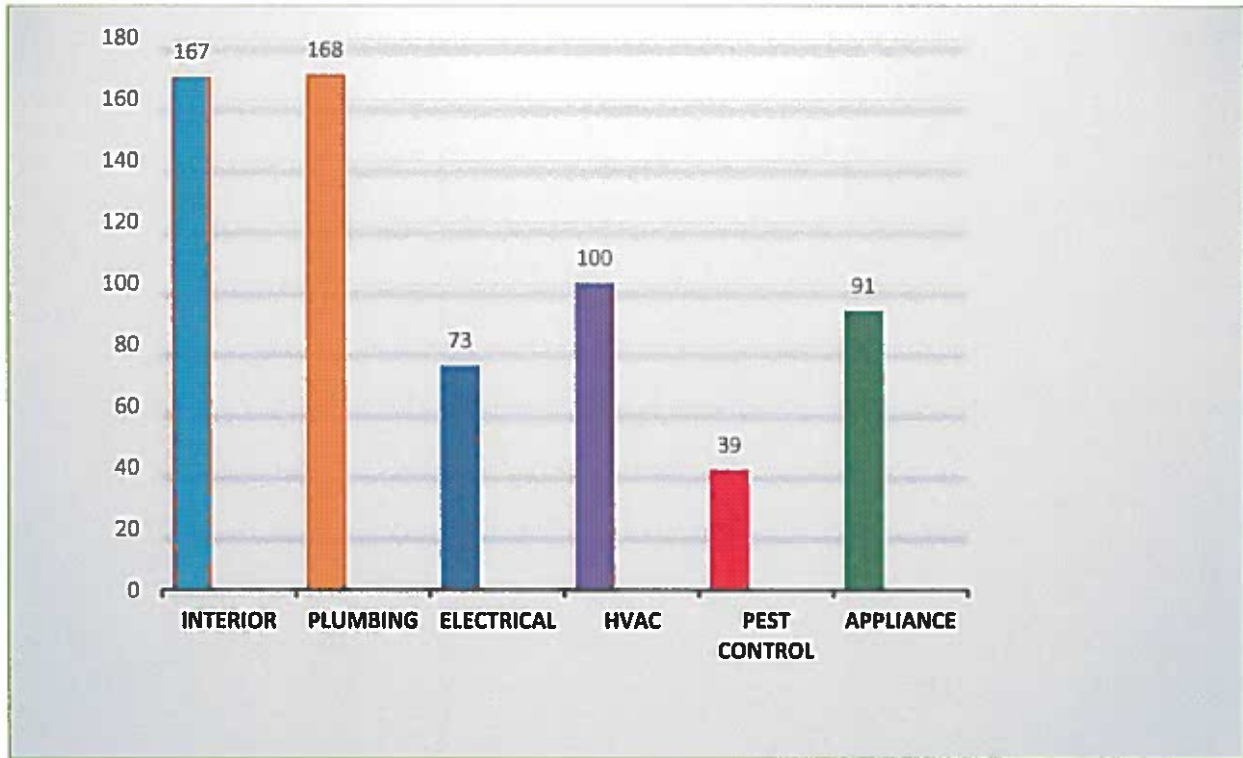
Year-to-date Administrative & Legal Activities

The following table provides a summary of the legal activities initiated by staff to enforce lease compliance, including but not limited to non-payment of rent or other charges, violation of the lease agreement unrelated to rent payment, and actions initiated by the Alexandria Police Department as a result of illegal activities, including drugs.

Types	Nov. 2017	YTD 2017
Bar Notices issued	0	87
Late Notices	126	655
Warrants	35	323
Evictions (legal)	1	30
Evictions (drugs)	1	7

II. MAINTENANCE

A. WORK ORDERS ACTIVITY TOTAL = 638



B. COMPLETED PROJECTS BY SITE DURING THE REPORTING PERIOD

Property	Interior Wrk.	Plumbing Repair Wrk.	Electric Repair Wrk.	Pest Control Treatms.	HVAC Wrk.	Appliances Repair Wrk.
Ladrey Highrise	18	14	10	1	17	7
Samuel Madden	4	12	2	7	2	7
Ramsey Homes	3	3	0	1	1	0
Andrew Adkins	12	18	4	1	11	4
Scattered Sites I, II, III *	26	20	6	5	5	6
Park Place	3	7	2	0	5	0
Chatham Square	14	11	8	1	11	14
BWR	9	6	5	1	5	3
Alexandria Crossing	6	13	5	0	5	15
Old Town Commons I, II, IV **	13	9	8	1	8	9
Quaker Hill	15	17	3	14	5	8
Pendleton Park ***	8	4	3	0	0	0
Hopkins Tancil	15	22	13	1	13	9
James Bland V	5	0	1	1	4	3
Princess Square	15	7	3	5	8	2
Miller Homes	1	5	0	0	0	4
Totals	167	168	73	39	100	91



* Scattered Sites (I, II, III):

- Completed routine vacant turnover to 3 units
- Replacement of main electrical distribution service
- HVAC unit's replacement at various units
- Rebuild collapsed concrete storm drain manhole structure and install new steel cover
- Replacement of appliances a various units

** Old Town Commons (I, II, IV):

- Repairs and/or upgrades to HVAC systems

*** Pendleton Park:

- Replacement of building's exterior lights
- Repairs and/or replacement of selected appliances

C. NEW PROJECTS BY SITE

Ladrey Highrise:

- Interior work related to the common areas, including painting and new VCT flooring.
- Replacement of obsolete CCTV security systems with new digital system and increased monitoring capabilities.
- Upgrades to the exterior lights at the rear yard.
- Upgrades of the HVAC Packaged Terminal Air Conditioning equipment (PTACS) at selected units.

Alexandria Crossing at Old Dominion Blvd.:

- Substantial renovations of three (3) units and common areas due to fire and water damages (Insurance claim in progress).
- Storm water Best Management Practice (BMP) Environmental Facility Inspection (City of Alexandria Environmental Services)

Alexandria Crossing at Glebe Park:

- Storm water Best Management Practice (BMP) Environmental Facility Inspection (City of Alexandria Environmental Services)

Scattered Sites:

- Substantial rehab of vacant unit.
- Routine turnover of newly vacated units.



D. WORK IN PROGRESS BY SITE

Pendleton Park:

- Routine turnover of vacant units

Princess Square:

- Routine turnover of vacant units

Chatham Square:

- Routine turnover of vacant units

Old Dominion:

- Routine turnover of vacant units

Hopkins Tancil:

- Routine turnover of vacant units
- Exterior sites lighting maintenance

Samuel Madden:

- Windows replacement
- Replacement of water heaters

Alexandria Crossing @ West Glebe:

- Exterior sites lighting maintenance

Andrew Adkins:

- Replacement of water heaters

Ladrey High-rise:

- Repair of trash chute system at Ladrey
- Routine turnover of vacant units
- Upgrades of the HVAC Packaged Terminal Air Conditioning equipment (PTACS) at selected units (on going)

Scattered Sites:

- Rebuild collapsed concrete storm drain manhole structure and install new steel cover
- Replacement of furnaces

IV. FINANCE



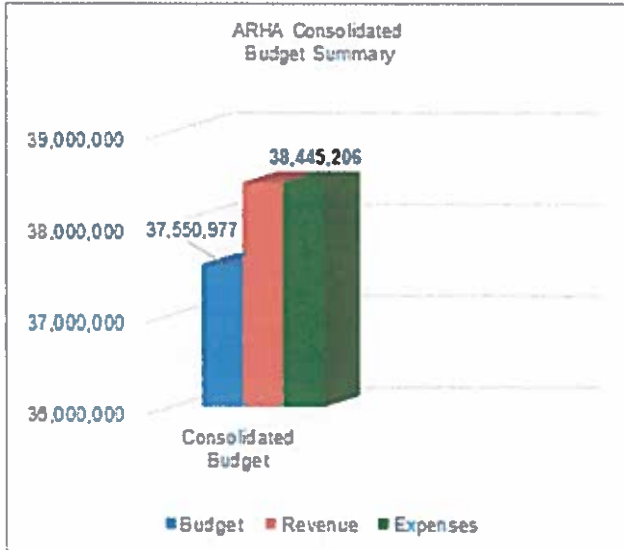
A. FINANCIAL SUMMARY

Alexandria Redevelopment & Housing Authority
FY 2017 Budget vs Actual
For the Period Ending November 30, 2017

	Annual Budget		November 2017				FY 2017 YTD (January 2017 - November 2017)					
	Total	Budget	Total	Actual	Variance		Total	Budget	Actual	Variance		
					\$	%				\$	%	
Operating Revenue												
Dwelling Rent	\$ 7,143,120		\$ 575,763	\$ (19,497)	-3%	\$ 6,547,860	\$ 6,710,898	\$ 163,038	2%			
Governmental Grants	22,935,400		\$1,964,414	53,131	3%	\$21,024,117	\$ 21,734,956	710,839	3%			
Local Grants	159,250		\$ 42,404	29,133	220%	\$ 145,979	\$ 188,654	42,675	29%			
Management/Fee for Service	2,969,950		\$ 261,488	13,993	6%	\$ 2,722,454	\$ 2,915,870	193,416	7%			
Bookkeeping Fee	93,550		\$ 7,875	79	1%	\$ 85,754	\$ 86,364	610	1%			
Asset Management Fee	124,650		\$ 10,500	113	1%	\$ 114,263	\$ 118,004	3,741	3%			
HCVP Asset Management Fee	2,326,250		\$ 173,754	(20,100)	-10%	\$ 2,132,396	\$ 2,015,998	(116,398)	-5%			
Reserves	29,380		\$ -	(2,448)	-100%	\$ 26,932	\$ -	(26,932)	-100%			
Operating Subsidy	3,344,056		\$ 288,101	9,430	3%	\$ 3,065,385	\$ 3,299,257	233,872	8%			
Investment Income	3,176		\$ 600	336	127%	\$ 2,911	\$ 5,586	2,674	92%			
CY Transfers	1,126,935		\$ 112,197	18,285	19%	\$ 1,033,024	\$ 593,065	(439,959)	-43%			
Other Income	708,985		\$ 54,626	(4,456)	-8%	\$ 649,903	\$ 776,554	126,652	19%			
Total Operating Revenue	\$ 40,964,702		\$ 3,413,725	\$ 3,491,722	2%	\$ 37,550,977	\$ 38,445,206	\$ 894,229	2%			
Operating Expenses												
Administration	7,174,911		\$ 531,366	(66,543)	-11%	\$ 6,577,002	\$ 5,893,045	(683,957)	-10%			
Tenant Services	637,800		\$ 54,310	1,160	2%	\$ 584,650	\$ 561,597	(23,053)	-4%			
Utilities	1,469,295		\$ 82,784	(39,657)	-32%	\$ 1,346,854	\$ 1,152,889	(193,965)	-14%			
Ordinary maintenance & operations	4,717,090		\$ 412,261	19,170	5%	\$ 4,323,999	\$ 4,362,960	38,961	1%			
Protective Services	51,110		\$ 5,770	1,511	35%	\$ 46,851	\$ 82,258	35,407	76%			
General expense	2,460,425		\$ 287,669	82,633	40%	\$ 2,255,390	\$ 2,395,822	140,433	6%			
Housing Assistance Payments	22,935,400		\$ 1,833,965	(77,318)	-4%	\$ 21,024,117	\$ 21,224,532	200,416	1%			
Debt Service	157,600		\$ 13,248	115	1%	\$ 144,467	\$ 145,728	1,261	1%			
CY Reserves	1,361,071		\$ 270,348	156,925	138%	\$ 1,247,648	\$ 2,626,373	1,378,725	111%			
Total Operating Expense	\$ 40,964,702		\$ 3,413,725	\$ 3,491,721	2%	\$ 37,550,977	\$ 38,445,204	\$ 894,227	2%			
NET SURPLUS (DEFICIT)												
				1	1		2		2			



B. CONSOLIDATED BUDGET SUMMARY

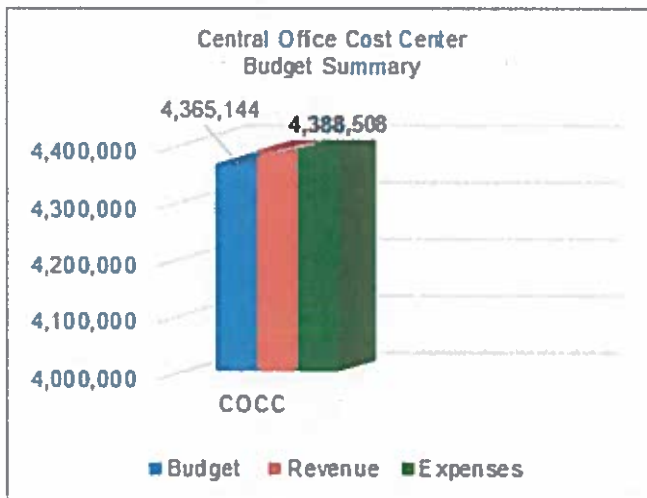


For the period ending November 30, 2017 Revenue and Expenses were \$894K or 2.38% higher than budgeted. As a result, ARHA generated CY reserves of \$2.6MM, which \$2.08MM are restricted and \$541K are unrestricted.

Overall Reserves/Transfers totaled \$593K, which was \$439K or 42.59% under budget. HCVP Administrative fee was the only other significant revenue projection under budget. Dwelling rent was higher than we projected for our “affordable rental properties” as was Government Grants, Fee-for-Service Income, Operating Subsidy, and Other Income which is explained in the applicable sections below.

Expenses/Reserves were higher than budgeted because we have more reserves at than we predicted due to the higher revenue. General Expenses, and HAP Expenses were the only expenses over budget by more than \$50K and explained further in applicable sections below.

C. CENTRAL OFFICE



Overall, as of November 30, 2017, Revenues and Expenses were \$23K or less than 1% (0.54%) over budget and reserve transfers were \$320K, which was \$158K or 33.06% under the projected budget. There were not any other revenue projections under budget by more than \$50K. There were two expense category over budget by more than \$50K. Administration, was over budget due to a salary allocation that will be corrected in December and Ordinary Maintenance and Operations was over budget due to maintenance contracts for janitorial and vacant unit turnovers.

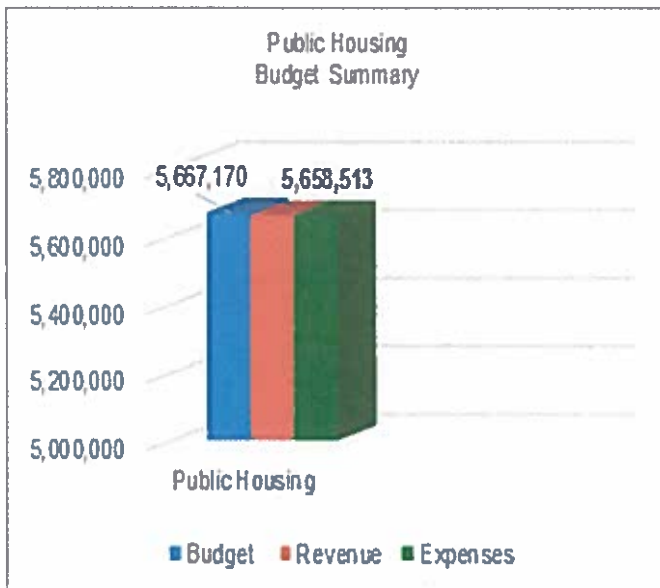
The Central Office Cost Center (COCC) includes the Executive Office, Finance & Administration, Asset Management, Central Facilities & Maintenance, and Resident & Community Services. The report above reflects the expenses associated with their operations. Staff is following HUD’s guidance in determining the management fee to charge to each of the Authority’s developments. HUD has provided an outline of the overall policy framework underlying the development of that guidance.



The COCC charges the following fees monthly for each unit under lease. Management Fee \$63.52, Bookkeeping Fee \$7.50, and Asset Management fee \$10.00. HUD does not allow these fees to be charged to an AMP if it results in an operating loss.

For the period ending November 30, 2017, the COCC generated a deficit of \$320K, which was 33% under the projected deficit.

D. PUBLIC HOUSING SUMMARY



Properties include; Ladrey, Andrew Adkins, Samuel Madden, Ramsey, Scattered Sites I, Scattered Sites II, Scattered Sites III, Park Place, Saxony Square, Chatham Square, Braddock, Whiting & Reynolds, Old Dominion, West Glebe, James Bland Phase I, James Bland Phase II, and James Bland Phase IV.

Revenues were \$8K or less than 1% (0.15%) under budget as a result of Operating Subsidy received from HUD being higher than we projected which resulted in Public Housing Amp’s not needing as much CY reserves to meet operating expenses.

Expenses were \$8k or less than 1% (0.15%) under budget, due to Central Maintenance

charging allowable repairs to the capital fund budgets rather than operating budgets.

Among our PH properties, six (6) AMPs yielded restricted reserves of \$565K and five (5) AMPs produced deficits in the amount of \$96K. Staff continues to monitor expenses and manage these properties within the available operating budget. However, even with the unexpected increase in Operating Subsidy, as long as HUD continues to provide less than 100% of eligible funding some of the Public Housing AMP’s will operate with deficits year after year.

1. PUBLIC HOUSING- AMP 1

Public Housing- AMP 1 is associated with one (1) HUD project number which is Ladrey High-rise. This community consists of 170 rental units.

For the period ending November 30, 2017, Public Housing- AMP 1 generated a restricted reserve of \$69,214 which is restricted for Public Housing operations and being used to support current year (CY) deficits in other Public Housing AMP’s.



2. PUBLIC HOUSING- AMP 3

Public Housing- AMP 3 is associated with three (3) HUD project numbers which includes: Andrew Adkins (90 units), Samuel Madden Homes Uptown (66 units), and Ramsey Homes (15 units). This community consists of 171 rental units.

For the period ending November 30, 2017, Public Housing-AMP 3 generated a restricted reserve of \$365,173, which is restricted for Public Housing operations and being used to support CY deficits in other Public Housing AMPs.

3. PUBLIC HOUSING- AMP 4

Public Housing- AMP 4 is associated with four (4) HUD project numbers which includes; Scattered Sites I (50 units), Scattered Sites II (30 units), Scattered Sites III (41 units), and Park Place (38 units). This community consists of 159 rental units.

For the period ending November 30, 2017, Public Housing- AMP 4 generated a restricted reserve of \$35,370, which is restricted for Public Housing operations and being used to support CY deficits in other Public Housing AMPs.

4. PUBLIC HOUSING- AMP 5

Public Housing- AMP 5 is associated with one (1) HUD project number which is Saxony Square. This community consists of 5 rental units.

For the period ending November 30, 2017, Public Housing- AMP 5 generated a deficit of \$11,973, which is \$7,787 or 39% under the budgeted deficit. The deficit will be funded by current year operating reserves.

5. PUBLIC HOUSING- AMP 6

Public Housing- AMP 6 is associated with one (1) HUD project number which is Chatham Square. This community consists of 52 rental units which are also Low-Income Housing Tax Credit (LIHTC) units.

For the period ending November 30, 2017, Public Housing- AMP 6 generated a deficit of \$36,997, which is \$7,865 or 18% under the budgeted deficit.

6. PUBLIC HOUSING- AMP 7

Public Housing- AMP 7 is associated with three (3) HUD project numbers which include; Braddock Road (6 units), Whiting Street (24 units), and Reynolds Street (18 units). This community consists of 48 rental units which are also LIHTC units.

For the period ending November 30, 2017, Public Housing- AMP 7 generated a restricted reserve of \$32,641, which is restricted to the Limited Partnership.



7. PUBLIC HOUSING- AMP 8

Public Housing- AMP 8 is associated with one site which includes: Old Dominion (24 rehab and 12 new construction units). This community consists of 36 Public Housing rental units which are also LIHTC units.

For the period ending November 30, 2017, Public Housing- AMP 8 generated a deficit of \$32,336 which is \$8,286 or 20% under the projected deficit. As the year has progressed the deficit has gradually decreased each month and as anticipated we are now operating within our initial budget estimates. The deficit will be funded by current year Public Housing operating reserves.

8. PUBLIC HOUSING- AMP 9

Public Housing- AMP 9 is associated with one site which is West Glebe. This community consists of 48 Public Housing rental units which are also LIHTC units.

For the period ending November 30, 2017, Public Housing- AMP 9 generated a deficit of \$3,162 which was not anticipated. The variance is a result of unanticipated maintenance expenses. The deficit will be funded by current year Public Housing operating reserves.

9. PUBLIC HOUSING- AMP 10

Public Housing- AMP 10 is associated with one site which is James Bland Phase I (Old Town Commons). This community consists of 18 Public Housing/LIHTC rental units.

For the period ending November 30, 2017, Public Housing- AMP 10 generated a deficit of \$11,574 which is \$815 or 6.58% less than the projected deficit.

10. PUBLIC HOUSING- AMP 11

Public Housing- AMP 11 is associated with one site which is James Bland Phase II (Old Town Commons). This community consists of 18 Public Housing/LIHTC rental units.

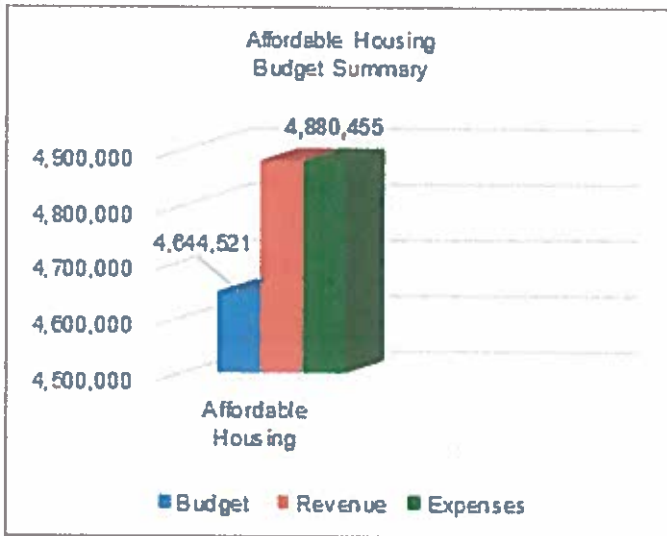
For the period ending November 30, 2017, Public Housing- AMP 11 generated a restricted reserve of \$4,586 which is restricted to the Limited Partnership.

11. PUBLIC HOUSING- AMP 12

Public Housing- AMP 12 is associated with one site which is James Bland Phase IV (Old Town Commons). This community consists of 44 Public Housing/LIHTC rental units.

For the period ending November 30, 2017, Public Housing- AMP 12 generated a restricted reserve of \$58,108, which is restricted to the Limited Partnership and is used to fund replacement reserves and residual receipts obligation to ARHA.

E. AFFORDABLE HOUSING SUMMARY



Properties include; James Bland Phase V, Miller Homes, Hopkins Tancil, Quaker Hill, Princess Square, and Pendleton Park.

Revenues were \$235K or 5.08% over budget mainly as a result of Dwelling Rent being higher than projected at James Bland V, Hopkins Tancil, and Quaker Hill.

Expenses/reserves were \$235K or 5.08% over budget due to the net increase in reserves (cash flow) at James Bland V, Hopkins Tancil, and Quaker Hill. In addition, general expenses were over budget at

Hopkins Tancil due to fee-for-service charges and over budget at Quaker Hill due to adjustments made to correct TAR balances.

Among our affordable units, two (2) properties James Bland V and Quaker Hill generated a restricted reserve of \$566K. Three (3) properties, Hopkins Tancil, Princess Square, and Miller Homes generated unrestricted reserves of \$541K, which is available to support current year deficits in the COCC and other properties. Pendleton Park generated an unanticipated deficit of \$41K.

1. OLD TOWN COMMONS V- (JB V)

Old Town Commons V is associated with one site which is James Bland Phase V (Old Town Commons). This community consists of 54 LIHTC rental units.

For the period ending November 30, 2017, OTC V generated a restricted reserve of \$288,256 which is restricted to the Limited Partnership and is used to fund replacement reserves, operating reserves, and residual receipts obligation to ARHA.

2. MILLER HOMES

Miller Homes is associated with scattered sites in Region III. These units were purchased as a result of the demolition of public housing units at the old James Bland and James Bland Additions. There is no debt service related to these units. This community consists of 16 affordable housing rental units.



For the period ending November 30, 2017, Miller Homes generated an (unrestricted) reserve of \$86,537, which is designated to fund current year operating deficits in the COCC or other affordable housing needs.

3. HOPKINS-TANCIL COURTS

This property includes 109 Mod-Rehab units. The debt service on this property was refinanced in March 2010 and debt was retired in December 2015, the residual receipts earned at this property are no longer restricted to the property.

For the period ending November 30, 2017, Hopkins Tancil generated an (unrestricted) reserve of \$299,868, which is designated to fund current year operating deficits in the COCC and other affordable housing needs.

4. QUAKER HILL, LP

This property consists of 60 LIHTC rental units.

For the period ending November 30, 2017, Quaker Hill generated a restricted reserve of \$278,205 which is restricted to the Limited Partnership and is used to fund replacement and operating reserves and cover outstanding debt obligations to the City of Alexandria.

5. PRINCESS SQUARE

This property consists of 69 affordable housing rental units.

For the period ending November 30, 2017, Princess Square generated an (unrestricted) reserves of \$155,500, which is designated to fund current year operating deficits in the COCC and other affordable housing needs.

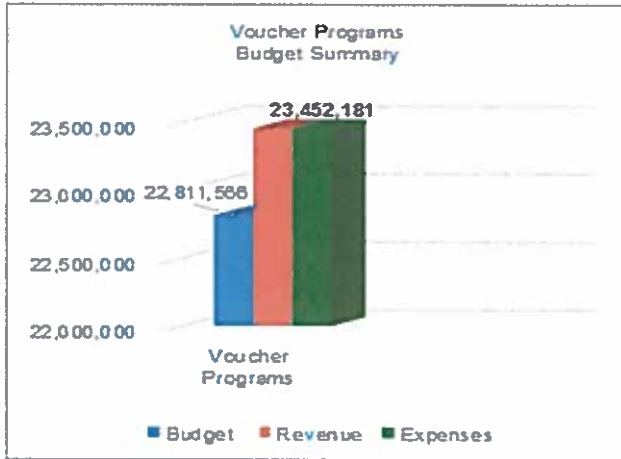
6. PENDLETON PARK

This property consists of 24 LIHTC rental units.

For the period ending November 30, 2017, Pendleton Park generated a deficit of \$41,906, which will be funded from unrestricted reserves. Higher than anticipated professional services for Physical Needs Assessment (PNA), management expense, and maintenance charges are the reason for the unanticipated deficit.

F. VOUCHER PROGRAMS SUMMARY

Includes Housing Choice Voucher Program and Mod Rehab. Revenues and Expenses were



\$640K or 2.81% over budget as a result of higher subsidy income, higher housing assistance payments, and an increase in restricted reserves.

1. HOUSING CHOICE VOUCHER PROGRAM

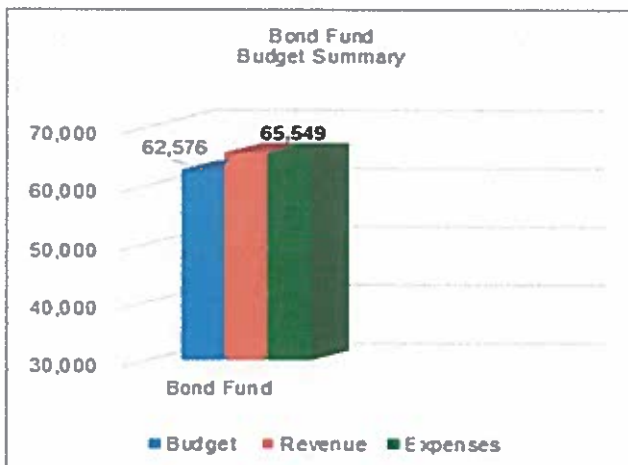
For the period ending November 30, 2017, the Housing Choice Voucher Program (HCVP) operated with restricted reserves of \$952K. The

FY 2017 budget was based on prior year funding estimates. HUD has notified us that our projected funding will not decrease during the remainder of the year. Staff anticipated this decision and in October started issuing new vouchers to assist families based on having additional funds available.

2. MOD REHAB PROJECT-BASED VOUCHERS

For the period ending November 30, 2017, the Housing Mod-Rehab operated with a deficit of \$134,621. HUD is requiring ARHA to use our MOD Rehab program reserves which will fund this deficit.

G. BOND FUND SUMMARY



Revenue and Expenses were \$2.9K or 4.75% over the budget.

For the period ending November 30, 2017, The Bond Fund generated an (unrestricted) reserves of \$61.00.

Please see Finance Charts for additional detail.



H. INFORMATION TECHNOLOGY

Project Status

Cisco telephone system- Updates were made to the call handlers system. Call Handlers answer calls, greet callers with and provide them with information, route calls, and take messages.

- All the incoming calls go directly to the receptionist;
- If the initial call is not answered after five (3) rings it will be forwarded to the 1st designated employee to help answer calls;
- If the 1st employee does not answer the call, after five (3) rings it will be forwarded to the 2nd designated employee.

Telephone on-hold message- Staff has updated the phone system to play background music (Contemporary Jazz) when callers are placed on hold. The system has the ability to play announcements while callers are on hold. The announcements can easily be updated throughout the year by a designated staff member. Prior to an announcement being updated the vendor will send an audio proof by email. The designated staff member will listen to the announcement for accuracy and correct pronunciation prior to approval.

Tenmast on-line waitlist application demo- The Asset Management team discussed the application process and the available multi-language options with a Tenmast representative. Tenmast communicated issues with other housing authorities having heavy visitor traffic on their websites when the applications were made available and mentioned solutions to prevent that issue for ARHA. Tenmast will send a quote/contract to sign. The implementation will take between 60 to 90 days from the date a contract is executed.

Tenmast webinar training session- In December, the Asset Management and Finance staff participated in a two (2) hour training session related to an update to the software. The training focused on how staff will enter data into the software for tenants who receive voucher subsidy and have a lease at ARHA owned and managed properties. The software update will have a direct impact on tenant rent statements in January 2018.

ARHA- servers – windows update- IT has implemented an on-going Window's update on the second weekend of every month. The purpose of the update is to ensure proper security and maintenance of software. That maintenance will impacts the email server and employee share folders on ARHA's network.



Security cameras for Ladrey- Alexandria Police Department provided an analysis that recommended installation of 360 degree cameras at forty (41) locations within the building to provide adequate security. These locations were identified based on security concerns and locations of potential fights or other criminal activity. Staff is finalizing a detailed scope of work, which must be completed prior to beginning the procurement purposes.

Security footage provided- Staff provided Detective Craig Guyton, Fairfax County Police Department with security camera footage related to an on-going investigation that happened on the evening of December 4, 2017 at our main office.

I. **AUDIT AND COMPLIANCE**

Audits

The overall audit objectives are to determine whether the ARHA complies with applicable program laws, regulations, and policies and procedures; and has internal controls in place to prevent or detect material errors and irregularities.

Audit of Low Income Housing Tax Credit (LIHTC) Properties:

- Auditor: Novogradac
Due: 2/15/2018
Properties:
 - Chatham Square
 - James Bland I
 - James Bland II
 - James Bland IV
 - James Bland V
 - Pendleton Park
- Auditor: Wall, Einhorn & Cherntzer, P.C. CPAs
Due: 3/1/2018
Properties:
 - West Glebe
 - Old Dominion
- Auditor: Grandizio, Wilkins, Little & Matthews
Due: 2/15/2018
Property: BWRs
- Auditor: Dooley & Vicars CPAs LLP
Due: 9/30/2018
Property: Quaker Hill



Audit of Alexandria Redevelopment and Housing Authority

Auditor: TBD

Unaudited Due: 3/1/2018

Audited Due: 9/30/2018

Audit Virginia Housing Development, LLC

Auditor: Dooley & Vicars CPAs LLP

Due: 9/30/2018

Audit of ARHA Gas Usage. The audit objectives will be to determine whether or not gas credit card purchases appear to be reasonable; and, to determine whether there are sufficient controls in place and operating effectively to prevent fraud, waste, and abuse.

Date Scheduled: 1/2018 (Quarterly review)

Resident Council Quarterly Financial Review. The review will be to determine whether expenses appear to be reasonable; and, to determine whether there are sufficient controls in place and operating effectively to prevent fraud, waste, and abuse.

- Ladrey Resident Council

Date Scheduled: 2/2018



YTD BUDGET VS ACTUAL DETAIL – FOR THE PERIOD ENDING NOVEMBER 30, 2017

	* Central Office (C.O.)				Public Housing AMP 1				Public Housing AMP 3			
	Total Actual	Total Budget	Over / (Under) Budget		Actual	Budget	Over / (Under) Budget		Actual	Budget	Over / (Under) Budget	
			Actual	Budget			Actual	Budget			Actual	Budget
Operating Revenue												
Dwelling Rent	6,710,898	6,547,860	163,038									
Governmental Grants	21,734,956	21,024,117	710,839									
Local Grants	188,654	145,979	42,675	188,654	145,979	42,675						
Management/Fee for Service	2,915,870	2,722,454	193,416	2,915,870	2,722,454	193,416						
Bookkeeping Fee	86,364	85,754	610	86,364	85,754	610						
Asset Management Fee	118,004	114,263	3,741	118,004	114,263	3,741						
HCVF Asset Management Fee	2,015,998	2,132,396	(116,398)	433,041	469,563	(36,521)						
Reserves		26,932	(26,932)		26,932	(26,932)						
Operating Subsidy	3,299,257	3,065,385	233,872									
Investment Income	5,586	2,911	2,674	89	92	(3)						
CY Transfers	593,065	1,033,024	(439,959)	320,496	478,816	(158,320)						
Other Income	776,554	649,903	126,652	325,990	321,292	4,699						
Total Operating Revenue	38,445,206	37,550,977	894,229	4,388,508	4,365,144	23,365						
Operating Expenses												
Administration	5,893,015	6,577,002	(683,987)	2,134,756	2,058,403	76,354						
Tenant Services	561,597	584,650	(23,053)	287,743	301,308	(13,565)						
Utilities	1,152,889	1,346,854	(193,965)	61,940	32,656	29,284						
Ordinary maintenance & operations	4,362,960	4,323,999	38,961	1,259,957	1,181,235	78,722						
Protective Services	82,258	46,851	35,407	56,449	20,579	35,870						
General expense	2,395,822	2,255,390	140,433	587,663	553,483	34,180						
MIP & Replacement Reserves												
Housing Assistance Payments	21,224,532	21,024,117	200,416									
Debt Service	145,728	144,467	1,261									
CY Reserves	2,626,373	1,247,648	1,378,725		217,479	(217,479)						
Transfers												
Total Operating Expense	38,445,204	37,550,977	894,227	4,388,508	4,365,144	23,365						
NET INCOME (LOSS)	2	-	2	(0)	-	(0)						
Less: Restricted Income												
ADJUSTED NET INCOME(LOSS)**	2	-	2	(0)	-	(0)						



YTD BUDGET VS ACTUAL DETAIL – FOR THE PERIOD ENDING NOVEMBER 30, 2017

	LIHTC/Public Housing AMP 9		LIHTC/Public Housing AMP 10		LIHTC/Public Housing AMP 11		LIHTC/Public Housing AMP 12		LIHTC/OTC Phase V						
	Actual	Budget	Over / (Under) Budget	Actual	Budget	Over / (Under) Budget	Actual	Budget	Over / (Under) Budget	Actual	Budget	Over / (Under) Budget			
Operating Revenue															
Dwelling Rent	60,680	50,600	10,080	44,864	46,200	(1,336)	45,418	44,000	1,418	153,523	155,100	(1,577)	774,324	737,000	37,324
Governmental Grants	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Local Grants	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Management/Fee for Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Bookkeeping Fee	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Asset Management Fee	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
HCYP Asset Management Fee	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Reserves	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Operating Subsidy	243,541	222,292	21,249	72,992	66,550	6,442	93,016	84,911	8,105	115,726	105,600	10,126	-	-	-
Investment Income	433	413	20	-	-	-	-	-	-	-	-	-	-	-	-
CY Transfers	3,162	-	3,162	11,574	12,389	(815)	-	-	-	108,051	21,358	86,693	24,502	29,700	(4,198)
Other Income	4,297	4,721	(424)	2,368	3,942	(1,574)	846	4,666	(3,820)	-	-	-	-	-	-
Total Operating Revenue	312,113	278,025	34,088	131,797	129,080	2,717	139,280	133,577	5,703	377,300	282,058	95,242	799,826	766,700	33,126
Operating Expenses															
Administration	88,757	102,543	(13,786)	62,720	64,180	(1,460)	58,554	60,560	(2,005)	124,352	138,288	(13,937)	182,244	193,609	(11,365)
Tenant Services	-	46	(46)	-	55	(55)	-	-	-	8,859	-	8,859	57,180	63,250	(6,070)
Utilities	12,974	11,092	1,882	1,335	1,522	(187)	8,726	7,792	935	21,267	27,106	(5,839)	14,999	22,825	(7,826)
Ordinary maintenance & operations	175,339	131,322	44,017	54,432	50,925	3,506	44,294	51,760	(7,465)	129,067	46,021	83,046	181,264	228,204	(46,940)
Protective Services	676	1,192	(516)	883	1,879	(997)	814	1,558	(745)	13,720	5,500	8,220	1,752	6,417	(4,665)
General expense	34,367	31,671	2,696	12,428	10,519	1,910	22,305	11,041	11,264	21,928	38,317	(16,388)	74,132	54,083	20,049
MIP & Replacement Reserves	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Housing Assistance Payments	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Debt Service	-	160	(160)	-	-	-	4,586	866	3,720	58,108	26,826	31,282	288,256	198,312	89,944
CY Reserves	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Operating Expense	312,112	278,025	34,087	131,798	129,080	2,717	139,279	133,577	5,703	377,300	282,058	95,242	799,826	766,700	33,126
NET INCOME (LOSS)	0	-	0	(0)	-	(0)	0	-	0	(0)	-	(0)	-	-	-
Less: Restricted Income	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
ADJUSTED NET INCOME(LOSS)**	0	-	0	(0)	-	(0)	0	-	0	(0)	-	(0)	-	-	-



YTD BUDGET VS ACTUAL DETAIL – FOR THE PERIOD ENDING NOVEMBER 30, 2017

	Miller Homes			Hopkins-Tancil			LHHC/Quaker Hill LP			Princess Square			LHHC/Pendleton Park		
	Actual	Budget	Over / (Under) Budget	Actual	Budget	Over / (Under) Budget	Actual	Budget	Over / (Under) Budget	Actual	Budget	Over / (Under) Budget	Actual	Budget	Over / (Under) Budget
Operating Revenue															
Dwelling Rent	274,587	271,700	2,887	1,359,045	1,309,000	50,045	1,052,083	913,000	139,083	969,947	1,023,000	(53,053)	286,412	293,700	(7,288)
Governmental Grants	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Local Grants	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Management/Fee for Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Bookkeeping Fee	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Asset Management Fee	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
HCVI Asset Management Fee	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Reserves	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Operating Subsidy	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Investment Income	-	-	-	6	18	(13)	1,007	1,073	15	-	-	-	290	238	11
CY Transfers	-	-	-	27,776	12,513	15,264	19,305	21,404	(2,099)	-	-	-	41,906	-	41,906
Other Income	7,559	5,408	2,150	-	-	-	-	-	-	22,356	12,008	10,347	18,389	14,758	3,631
Total Operating Revenue	292,146	277,108	15,037	1,386,828	1,321,531	65,297	1,072,476	935,477	136,999	992,303	1,035,008	(42,705)	346,877	308,697	38,180
Operating Expenses															
Administration	97,444	110,046	(12,602)	233,125	286,413	(53,288)	348,268	369,738	(21,469)	123,498	169,758	(46,259)	55,195	47,818	7,377
Tenant Services	-	-	-	147,815	137,500	10,315	-	-	-	-	-	-	1,660	-	1,660
Utilities	2,049	715	1,334	105,558	200,750	(95,192)	2,997	4,492	(1,494)	91,947	89,558	2,389	44,194	44,275	(81)
Ordinary maintenance & operations	60,776	72,852	(12,076)	455,163	378,377	76,786	104,085	166,375	(62,290)	324,287	286,779	37,508	89,131	60,715	28,415
Protective Services	0	55	(55)	430	1,192	(762)	2	-	2	3,165	1,008	2,157	1	92	(91)
General expense	35,339	28,417	6,922	144,869	104,867	40,002	254,757	178,842	75,916	293,905	250,800	43,105	95,129	84,585	10,543
MIP & Replacement Reserves	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Housing Assistance Payments	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Debt Service	-	-	-	-	-	-	84,161	83,050	1,111	-	-	-	61,567	61,417	150
CY Reserves	86,537	65,024	21,513	299,868	212,433	87,435	278,206	132,981	145,224	155,500	237,105	(81,605)	-	9,795	(9,795)
Transfers	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Operating Expense	292,146	277,108	15,037	1,386,828	1,321,531	65,297	1,072,476	935,477	136,999	992,303	1,035,008	(42,705)	346,877	308,697	38,180
NET INCOME (LOSS)	-	-	(0)	-	-	0	-	-	-	-	-	-	-	-	-
Less: Restricted Income	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
ADJUSTED NET INCOME(LOSS)**	-	-	(0)	-	-	0	-	-	-	-	-	-	-	-	-



YTD BUDGET VS ACTUAL DETAIL – FOR THE PERIOD ENDING NOVEMBER 30, 2017

	Housing Choice Voucher Program		Mod Rehab Project-Based		Tax Exempt Bond Income	
	Actual	Budget	Actual	Budget	Actual	Over / (Under) Budget
Operating Revenue						
Dwelling Rent	20,758,388	19,903,858	976,569	1,120,258	-	-
Governmental Grants	-	-	-	-	-	-
Local Grants	-	-	-	-	-	-
Management/Fee for Service	-	-	-	-	-	-
Bookkeeping Fee	-	-	-	-	-	-
Asset Management Fee	-	-	-	-	-	-
HICVP Asset Management Fee	1,478,069	1,525,333	104,888	137,500	-	(32,613)
Reserves	-	-	-	-	-	-
Operating Subsidy	-	-	-	-	-	-
Investment Income	2,777	235	123	110	103	103
CY Transfers	(3,253)	1,833	1,346,21	-	65,446	62,576
Other Income	-	-	-	-	-	2,870
Total Operating Revenue	22,235,981	21,553,698	1,216,199	1,257,868	65,549	2,973
Operating Expenses						
Administration	837,948	1,246,873	77,085	100,338	65,610	5,509
Tenant Services	-	-	-	-	2,475	(2,475)
Utilities	1,937	9,900	-	-	-	-
Ordinary maintenance & operations	572	8,525	-	-	-	-
Protective Services	2,695	1,925	-	-	-	-
General expense	340,341	382,617	14,093	14,025	-	68
MIP & Replacement Reserves	-	-	-	-	-	-
Housing Assistance Payments	20,099,512	19,903,858	1,125,021	1,120,258	-	4,762
Debt Service	-	-	-	-	-	-
CY Reserves	952,976	-	952,976	23,247	(61)	(61)
Transfers	-	-	-	-	-	-
Total Operating Expense	22,235,981	21,553,698	1,216,199	1,257,868	65,549	2,973
NET INCOME (LOSS)						
Less: Restricted Income	-	-	0	-	-	-
ADJUSTED NET INCOME(LOSS)**	-	-	0	-	-	-



RENT ROLL – FOR THE PERIOD ENDING NOVEMBER 30, 2017

Project Name	# of Units	January	February	March	April	May	June	July	August	September	October	November	Total	Avg. Rental Income/Unit
Public Housing Units														
*Ladrey High-rise	170	\$ 44,351	44,210	44,102	43,503	45,238	45,322	45,552	45,210	44,548	43,804	45,451	\$ 491,291	\$ 264
*Samuel Madden	66	9,298	10,103	9,483	8,498	9,437	9,104	9,254	12,039	9,648	11,781	11,902	\$ 110,547	\$ 157
*Ramsey Homes	15	4,731	4,731	4,731	4,731	4,028	4,443	4,166	4,141	4,344	3,941	4,580	\$ 48,567	\$ 294
*Andrew Adkins	90	14,595	15,472	14,351	14,648	15,569	15,329	16,075	17,034	16,969	15,089	14,791	\$ 169,922	\$ 174
*4-10 Scattered Sites	50	16,485	16,413	16,439	16,881	17,243	16,777	15,877	15,484	14,331	15,799	15,166	\$ 176,895	\$ 322
*4-11 Scattered Sites	30	7,532	7,208	7,278	7,488	7,386	7,904	7,061	7,325	6,702	7,429	6,783	\$ 80,096	\$ 243
*4-12 Scattered Sites	41	10,975	10,524	11,263	11,878	11,429	11,669	11,799	11,829	9,751	9,371	8,620	\$ 119,108	\$ 264
*Park Place	38	9,833	9,768	8,872	8,867	10,028	10,688	10,374	10,409	9,476	9,812	9,581	\$ 107,768	\$ 258
*Saxony Square	5	1,409	1,409	1,409	2,434	2,214	2,006	2,006	2,006	1,818	2,122	2,122	\$ 21,163	\$ 385
*Chatham Square	52	16,367	16,381	16,675	17,868	18,201	18,914	17,671	17,582	18,363	17,159	16,541	\$ 191,722	\$ 335
*Braidlock	6	3,011	3,011	3,112	3,200	3,200	3,200	3,200	3,200	3,200	3,135	3,316	\$ 34,785	\$ 527
*Whiting	24	4,219	4,175	4,139	4,114	4,396	5,225	4,695	4,294	4,825	4,825	4,239	\$ 49,146	\$ 186
*Reynolds	18	7,771	8,025	8,725	8,452	8,452	6,133	6,962	5,759	6,197	6,197	6,185	\$ 78,858	\$ 398
*Old Dominion	36	4,936	6,096	6,513	6,594	6,281	5,888	5,397	5,078	5,555	6,155	6,003	\$ 64,496	\$ 163
*West Chebe	48	4,986	4,563	4,988	5,291	5,276	5,497	5,746	5,377	6,027	6,051	5,924	\$ 59,726	\$ 113
*James Bland I	18	4,411	4,399	4,510	3,997	3,397	3,893	3,987	4,726	2,886	3,234	4,615	\$ 44,793	\$ 226
*James Bland II	18	4,285	3,944	3,853	3,853	3,876	3,876	4,028	4,028	4,942	4,801	4,615	\$ 45,949	\$ 232
*James Bland IV	44	14,301	14,187	15,343	14,995	14,351	13,751	12,949	12,599	12,565	14,015	13,743	\$ 152,799	\$ 316
** Total Public Housing	769	\$ 183,496	\$ 184,619	\$ 185,675	\$ 187,805	\$ 190,556	\$ 189,331	\$ 186,553	\$ 188,381	\$ 183,987	\$ 184,372	\$ 182,796	\$ 2,047,571	\$ 270
Non-Public Housing Units														
*Quaker Hill LP	60	\$ 83,037	82,979	81,761	90,977	87,769	88,056	93,881	88,538	90,043	88,100	88,677	\$ 963,818	\$ 1,460
Pendleton Park I	20	24,777	26,357	24,446	25,345	25,345	22,648	23,448	23,594	22,601	21,724	21,724	\$ 262,009	\$ 1,191
Pendleton Park II	4	1,361	1,361	1,361	1,361	1,361	1,361	1,361	1,361	1,361	1,179	1,705	\$ 15,133	\$ 344
Hopkins Tancil (Mod Rehab)	111	130,396	118,173	119,779	116,692	103,199	115,732	118,004	125,038	115,504	113,137	111,262	\$ 1,286,916	\$ 1,073
*James Bland V	54	66,243	68,011	67,708	68,215	67,589	69,389	69,384	69,010	69,010	67,679	67,722	\$ 749,960	\$ 1,263
*Miller Homes	16	26,271	23,071	24,788	23,305	23,305	23,305	23,338	25,045	23,328	23,328	23,773	\$ 262,847	\$ 1,493
*Princess Square	69	94,067	94,080	92,340	89,729	88,530	91,239	97,078	96,247	101,670	116,162	112,975	\$ 1,074,117	\$ 1,436
Total Non-Public Housing	334	\$ 426,152	\$ 414,032	\$ 412,183	\$ 415,624	\$ 397,098	\$ 411,730	\$ 426,484	\$ 428,833	\$ 423,517	\$ 431,309	\$ 427,838	\$ 4,614,800	\$ 1,180
Totals	1103	\$ 609,648	\$ 598,651	\$ 597,858	\$ 603,429	\$ 587,654	\$ 601,061	\$ 613,037	\$ 617,214	\$ 607,504	\$ 615,681	\$ 610,634	\$ 6,662,371	\$ 1,450

Total Monthly Average - (Actual) \$ 605,670

Note: The amounts shown on this report only indicates the amount of rent billed to ARHA tenants, it does not include the amounts collected.

**Resolution 830 units

** Public Housing total above does not include operating subsidy received from HUD.

V. DEVELOPMENT



A. RAMSEY HOMES

1. HUD Approval and Evidentiary Submission

The HUD Special Applications Center (SAC) approved the Disposition Application on December 1, 2017. The approval letter confirmed our eligibility for 15 Tenant Protection Vouchers (TPV). On December 14, 2017 we applied to the HUD DC Field Office for the TPVs. Currently, the Director of the HUD DC Field Office is graciously taking it upon herself to walk our request through the approval process. At this time, the Director has confirmed that the HUD Headquarters has received all of the documents required to process our TPV request. She further shared that she was informed that given the current workload and personnel on leave during the holidays, this request will be processed early in January 2018, but will be funded retroactively to January 1st. HQs usually require at least 45-60 days to process TPV actions. However, a PHA can fund these actions with available Housing Assistance Payments (HAP) or administrative fee reserves, and replenish their reserves with TPV funding upon receipt.

The HUD Office of Public Housing Investments (PHI) reviewer submitted the Mixed-finance Proposal to the Review Panel for approval on December 12, 2017. The reviewer reported that the review went well and returned minor comments which staff responded to. We are now approved to advance to the next step in the process which is to submit the HUD evidentiary documents. Counsel has been released to begin draft of the evidentiaries documents that require legal work. Several of the evidentiaries such as the ones related to design and the community and resident consultation process were previously prepared as part of the Disposition Application to SAC and so we were quickly able to provide those to HUD PHI.

2. Design and Construction

The team is continuing work related to bidding of the individual construction trades and vetting of the Guaranteed Maximum Price contract amount. The Construction Manager at Risk has begun the process of obtaining Utility Disconnect Letters (Letters) to enable the commencement of the careful deconstruction followed by archeology and full site demolition. The target for commencement of the careful deconstruction is January 29, 2018. The careful deconstruction plan it has been circulated to the City, SHPO, and the Concurring Parties for approval. The comment period ends January 21st, 2018. After the deconstruction, the findings will be recorded and memorialized through photogrammetry. The photogrammetry could be used at a later time to create a 3D model of the site.

The initial pricing of the careful deconstruction plan required by the Section 106 Memorandum of Agreement is turning out to be more costly than anticipated. We are in the process of evaluating options with the city staff to mitigate the costs.



3. Closing

We have executed a Letter of Intent (LOI) with Enterprise Community Investment (ECI) as the equity syndicator. The LOI stipulates that the tax credit syndication will be a private placement with Capital One Bank as the lender/investor. Capital One is making this investment primarily to meet their Community Reinvestment Act (CRA) requirements. In light of the current tax reform proceedings, this type of investor is more desirable than one that is solely seeking a tax write-off that will become increasingly less attractive now that a much lower corporate tax rate is set.

We have also selected legal counsel. Both the syndicator and the legal counsel for the closing are paid with equity contributions from the investor at the closing. Now that the full team is in place, during the next reporting period we will be drafting the full complement of closing documents.

ABBREVIATED SCHEDULE RAMSEY HOMES	
TASK	DUE
Final Site Plan Approval	Complete
Disposition Application Approval	Complete
Mixed Finance Proposal Approval	Complete
LIHTC Reservation Agreement Executed	Complete
Tenant Protection Vouchers Secured	1/1/2018
Complete Relocation of South Building	1/26/2018
Careful Deconstruction Building Permits	1/26/2018
Commencement of Deconstruction, Recordation, and Photogrammetry	1/29/2018
Open House for Community to view the Deconstructed Units	2/09-2/10/2018 (tentative)
Full Building Permits	2/23/2018
All Units Vacated	2/28/2018
Financial Closing	3/01/2018
Construction Commencement	5/1/2019



B. ANDREW ADKINS

This subject matter will be discussed during Executive Session.

C. CIVIC ENGAGEMENT

The ARHA Redevelopment Work Group meetings were held on November 21 and December 14, 2017. During these meetings, the city staff presented two models. The first model presented in November reflected development scenarios and modeled various programs and unit types. The outcome of the exercise was that, the only constant is change. It is very early in the process and there are too many unknown variables at this time to feel confident regarding the program. The meeting in December was a city workbook on various operating proformas. Again, the only constant will be change, however, the exercise did bear out that 60% and 50% AMI units will be needed for the project to be viable and sustainable.

Immediately following the December 14th ARHA Redevelopment and Work Group meeting, the team provided an update to the Braddock East Implementation Advisory Group (BIAG). The presentation was made by representatives of Clark Realty Corporation. The presentation was simply two slides, one with neighborhood context and a second with the Revised Concept 1 design submitted by the development team 8 months ago on April 28, 2017. The discussion that followed was primarily related to the outstanding decisions that are delaying the design work. The open issues being:

- Integration of affordable units with market rate;
- Shared amenity spaces;
- Affordability test;
- Number of units on-site versus off-site; and,
- Use of the bonus density provision.

The consensus of the BIAG seemed to be frustration with the length of time it is taking to resolve the outstanding issues. They requested that the city take the necessary steps to resolve the issues for presentation at the next BIAG meeting.

The full complement of materials distributed for these meetings are included under the Policy pulldown on the www.vhdlc.us website.



D. LEGISLATIVE & POLICY

The new version of the Tax Cuts and Jobs Act has passed and contains the following provisions that impact affordable housing and community development:

- **Lowers the top corporate tax rate** from 35 to 21 percent, effective January 1, 2018.
- **Retains the Low-Income Housing Tax Credit (Housing Credit)**, with no modifications. The amendment that Sen. Pat Roberts (R-KS) added to the [Senate bill](#) was removed in the final bill. This amendment would have replaced the existing Housing Credit general public use requirement exception for artist housing with one for veterans; treated rural areas as difficult development areas for purposes of receiving a basis boost; and reduced the maximum basis boost for all types of boost-eligible developments from 130 to 125 percent.
- **Fully retains private activity bonds (PABs)**, including multifamily Housing Bonds, which provide critical financing to more than half of all Housing Credit developments and trigger the “4 percent” Housing Credit.
- **Retains the New Markets Tax Credit (NMTC)** as currently authorized through 2019.
- **Retains the historic rehabilitation tax credit (HTC)**, but extends the credit period from one to five years.
- **Creates Qualified Opportunity Zones** as proposed under the Investing in Opportunity Act ([S. 293](#)), which would incentivize investments in distressed communities through capital gains deferrals.
- **Creates a base erosion and anti-abuse tax (BEAT)**, which would affect banks’ ability to use the Housing Credit and other credits to offset certain taxes related to foreign earnings and earnings going to foreign parent companies. The BEAT provision in the Senate-passed version of the bill would have only allowed one credit – the Research and Development Credit – to be taken against the BEAT, but the conference version also exempts the Housing Credit at 80 percent of the value of the credits. The NMTC and HTC are not allowable credits to be taken against the BEAT.

E. RESOLUTION 830

The Resolution 830 Working Group (Res 830 Working Group) efforts were launched on December 29, 2017 by the City through a press release. The city staff has requested that multiple stakeholder groups appoint member(s) to represent them. The total number of Res 830 Working Group members is 30. The Res 830 Working Group process is built around four modules, each includes education and discussion components. Each module will be covered in one meeting. The meeting schedule is as follows:



-
- December 20, 2017 – Launch of public engagement for Working Group, City to issue Press Release
 - January 10, 2018 (evening) – Current Context of Public Housing Funding, Existing Policy
 - January 31, 2018 (morning) – Funding and Financing Public Housing
 - February 21, 2018 (morning) – Expansion of Resolution 830
 - March 14, 2018 (evening) – Recommendations

The internal ARHA/City Res 830 Working Group staff, along with the consultant who has been engaged to facilitate each of the meetings, have been working on Frequently Asked Questions (FAQ) in order to provide a baseline reference for the historical context and expected conversations surrounding the revision of Resolution 830, and its application to affordable housing units in the City for future developments. ARHA staff is focusing on efforts to achieve maximum participation by our residents in the scheduled meetings. Kevin Harris from ARC and Amos Sims from the Ladrey Highrise are serving on the Res 830 Working Group.

Detailed information related to this initiative can be found on the Policy pull down on the www.vhdlc.us website.

VI. RESIDENT SERVICES



A. ENROLLMENT AND ENGAGEMENT

Resident Enrollment:

Properties	Active Enrollment (YTD)	New Enrollment
Hopkins Tancil	25	0
Chatham	17	0
Samuel Madden	5	0
Andrew Adkins	3	0
James Bland V	5	0
Princess Square	5	3
Ladrey	35	4
HCVP	2	0
Scattered Sites	1	0
City-Wide	59	1
TOTAL (175)	167	8

Program Engagement by Property:

Properties	Cumulative Service Days	Cumulative Service Hours
Hopkins Tancil	167	180
Chatham	110	122
Samuel Madden	14	14
Andrew Adkins	16	64
James Bland V	11	16
Princess Square	18	20
Ladrey	1,074	208
HCVP	3	4.5
Scattered Sites	10	28
City-wide	1,253	2,853
TOTAL	2,676	3,509.5

RACS currently operates the following programs: 1. Congregate meals; 2. Krunch Bunch; 3. FACE; 4. Gardening; 5. Read Aloud



Volunteers:

# (YTD)	# New Recruits	# of Service Hours	\$ of Service Hours
89	3	95.5	\$2,516.16

Teen program schedule for December was abbreviated due to preparations for Santa's Winter Wonderland and postponement of programming activities due to staff absence for funeral arrangements. The Resource Learning Centers were closed from December 20 – January 1, 2018.

The Senior Center @ Charles Houston utilized volunteers from I Heart Seniors and Hogan Lovells law firm on Friday, December 15, 2017 to help facilitate activities, gift distribution and serving of meals.

The Senior Center was closed from Friday, December 22 - Tuesday, December 27, 2017

Services & Participation are usually higher during the months of October – December (Holiday Months). The Ladrey focuses on daily cognitive, health and wellness, nutrition, leisure and enrichment activities and programs. In addition, Medicaid, Medicare, Home Health, Referrals, Outreach, Home Visits, Food Services, Medical and All Social Services Needs are conducted through the Senior Services Coordinator. The Ladrey volunteers assisted with food, program and activities.

B. ACTIVITIES AND PARTNERSHIPS

Activities by Age Group:

Age Groups	Total # of Activities	# of Participants	% of Engagement
0-18	7	65	97%
19-45	2	7	100%
46-62	8	3	92%
62+	8	61	85%
Open age	30	293	90%
TOTAL	55	429	93%



Partnerships:

Provider/Partner	Event/Activity	# Participants Served
		December 2017
ACPS FACE	Parent Support Group	34
Jireh's Place	Teen Girls Enrichment Program	15
Black Tie Mentoring	Teen Boys Mentoring	4
ASBC CAYA Ministry	Toys R Us Shopping Spree	4
12 Days of Christmas	Christmas Gifts for Families	20
Oakland Baptist Church	Christmas Gifts for Families	3
U.S. Army	Army Holiday Concert	28
AMF Bowling Center	Bowling	15
Watkin Regional Park	Jingle in the Park	25
Marymount University	SAILS Fitness demonstration	18
Potomac Mills Mall	Christmas Shopping	17
SAC (Successful Aging)	Senior Holiday Program	67
Botanical Garden	Poinsettia Tour	20
Miller& Dutch Amish Farm	Wellness & Nutrition	20
T.C. Williams High School	Complimentary Manicures for Seniors	12
Burgundy Farm Country Day School	Intergenerational Holiday Activity	22
Alfred Street Baptist Church	Christmas Baskets & Gift Cards	54
I'm Still Alive Foundation	Christmas Treat Baskets & Senior Bonding	86
Alive	Secret Santa & Socialization	10
AKA Sorority	Holiday Party	32
Dr. Rana Medical Team	Italian Holiday Party	25
Victory Temple Baptist Church	Senior Christmas Baskets	50
Alfred Street Baptist Church	Bible Study & Christmas Luncheon	18
Christ Church	Holiday Bingo	56
Ladrey Management	Ladrey Holiday Party	75



December 13, RACS staff participated in a 4 hour professional development workshop facilitated by Gaea Honeycutt of Hypatian Institute. A working document from that workshop was provided to the ARHA CEO.

RACS staff have been integrally involved in the planning and execution of the annual Santa's Winter Wonderland event, including coordinating the logistics, volunteer recruitment and training, and toy collection and sorting.

The Senior Center established a new community contact through Marymount University to train senior participants in balance exercises and strategies to aide in fall prevention.

The Ladrey Senior Programming is designed for all ages over the age of 18 years, as we serve seniors and adults. In addition, participation is extremely high during the holiday months (October thru December). Some events/activities (bingo, doctors, etc.) are open for all seniors and/or adults City wide.

C. FUNDING / FINANCIAL SUPPORT

External Funding	In-Kind/Leveraged	ARHA \$	TOTAL	Expenditure
\$1,000.00	\$7,773.25	\$0	\$8,946.50	\$1,900.00

During the month of December, various organizations reached out to the Ruby Tucker Center in order to fill specific needs of families during the holiday season. The CAYA Ministry of Alfred Street Baptist Church provided 2 of our families children with a 3-minute shopping spree at Toys R Us. Their gifts totaled approximately \$2,000 and each child selected gifts from their shopping spree to be shared with other underserved youth.

The 12 Days of Christmas Organization adopted 5 families for the Christmas season and provided gifts to 15 children. In addition, Oakland Baptist Church adopted a group of children whose mother recently passed away, and staff worked with counselors at Jefferson Houston and Charles Barrett to identify other families who had challenging circumstances or needs during the holiday season.

Staff from Ruby Tucker Family Center will play an integral role in the planning and execution of the Santa's Winter Wonderland Events and Toy Distribution. Approximate 30 students from our Afterschool Programming will participate in the Yuletide Reading at Charles Houston, along with 40 of their students. All students will receive free books at the end of the program, along with a Shoebox Gift containing hat, gloves, and other winter items that were donated by Community Praise Center and My Father's House Christian Church. After Santa's Winter Wonderland, the Ruby Tucker Family Center will be closed for programming from December 20 – January 1, 2017.



*Senior Center is funded in partnership with the City's Department of Community & Human Services Division of Aging & Adult Services

*I Heart Seniors, INC. funds monthly breakfast @ Senior Center

*For the month of December, the Ladrey Highrise has received an abundance of donations in food and medical equipment/medical supplies.

D. UPCOMING: TRAININGS/WORKSHOPS/COURSES/ORIENTATIONS/SPECIAL EVENTS

January 16 – Reading Tryout for National Center for Educational Statistics for 4th and 8th grade students. Participants and parents receive \$25 gift cards each.

VII. HUMAN RESOURCES

A. RECRUITMENT

ARHA participated in the “Community Leaders Job Fair”, which was held on Wednesday, November 8, 2017 at the Charles Houston Recreation Center. The job fair was sponsored by the Alexandria Department of Human Services Center for Economic Support. Several individuals visited the ARHA exhibit to share insights regarding their knowledge, skills and abilities. There were a few individuals who presented resumes that demonstrated relevant housing related experience, and they were encouraged to visit the ARHA website to learn about future opportunities.

B. TRAINING



ARHA understands the importance of the human resources life cycle, and training is an intricate and essential component of this paradigm:

One of ARHA’s strategic goals for the viability of the Authority is to increase staff capability to plan, implement and manage all aspects of its mission. Staff has been encouraged and supported in participating in training that is consistent with organizational objectives and individual career growth. Staff is also encouraged to select and participated in training that results in a certification or industry respected designation.

Staff training included subjects such as: tax credit compliance; partnership agreement essentials; heating, ventilation and air conditioning; Excel systems application and Red Cross CPR. There were twenty-nine trainings and three designation renewals approved for staff in 2017.

C. COMMUNITY ECONOMIC DEVELOPMENT

The Director of Human Resources also serves as the Section 3 Coordinator for the Authority. Consequently, the HR Director works in conjunction with the Family Self-Sufficiency (FSS) staff to provide business development training and other mechanisms to facilitate the design and implementation of contracting opportunities for resident-owned businesses.



There is a cohort of resident entrepreneurs that are enrolled in the ARHA FSS program that are excited and focused on assisting the Authority achieve its community economic development goals: to improve economic conditions utilizing housing programs to enhance disadvantaged individuals and businesses. There are six (6) resident-owned businesses that have been afforded assistance through the outreach and awareness efforts of the FSS and/or Section 3 staff. They represent entities in the following areas:

- Landscaping
- Commercial and Residential Cleaning
- Electrical
- Bakery and Bakery Instruction
- Organizational Development Consulting
- Twenty-four Hour On-Demand Daycare

D. HEALTH AND FITNESS

The Authority continues to seek ways to connect with and engage staff in constructive activities that are designed to enhance cognitive and motor abilities. The Authority provides Yoga instruction for staff. Yoga is a comprehensive system for wellbeing on all levels: physical, mental, emotional and spiritual. Moreover, yoga is a discipline designed to raise the quality of life in such diverse areas as fitness, stress relief, wellness, vitality, mental clarity, healing, peace of mind and spiritual growth, according to the Yoga Alliance, now the largest international nonprofit association in the yoga community. The ARHA yoga instructor, Liz Butler, is a member of the Alliance.

VIII. CONSENT DOCKET



Commissioners:

Daniel Bauman, *Chairman*
Salena Zellers, *Vice Chairwoman*
Anitra Androh

Carter Flemming
Christopher Ballard
Chyrell Bucksell

Karl Sandberg
Merrick T. Malone
Peter Kleeblatt

Keith Pettigrew, Chief Executive Officer

DATE: January 5, 2018

TO: Chairman Daniel Bauman and the ARHA Board of Commissioners

FROM: Keith Pettigrew, Secretary-Treasurer

SUBJECT: **VOTE APPROVAL OF RESOLUTION NUMBER 654, NEW PROCUREMENT POLICY**

ISSUE:

Department of Housing (HUD) Notice: SD-2015-01 dated February 26, 2015 instructed Public and Indian Housing (PIH) to discontinue use of 24 CFR 85.36 Procurement and implement use of 2 CFR 200.317 – 300.326, Procurement Standards. ARHA current Procurement Policy is dated January 29, 2008.

DISCUSSION:

The Board previous received the attached revision of the Procurement Policy on November 27, 2017. The revision is based on a combination of the sample Procurement Policy issued by HUD within Appendix 1 of HUD Procurement Handbook 7460.8 REV 2, combined with the changes imposed by the pertinent sections of the previously referenced 2 CFR 200 when compared with the similar sections of 24 CFR 85.36 (please see the attached Side-by-Side Comparison of 24 CFR to 2 CFR).

Two (2) major changes for housing agencies brought on by the implementation of 2 CFR 200 are: (a) the previous level for the Micro Threshold increases from \$2,000 to \$3,000 (however, the Micro Threshold for construction-related procurements remains at \$2,000); and (b) the Small Threshold, a/k/a the Simplified Acquisition Threshold (SAT), increases from \$100,000 to \$150,000.

Agency include two (2) additional changes to this new procurement policy which are: (a) Non-Federal Funding Micro Threshold increase from \$2,000 to \$5,000; and (b) Board Approval of Procurement actions increase from \$50,000 to \$100,000.

RECOMMENDATION:

The Board of Commissioners vote approval of Resolution No. 654 allowing Staff to adopt the new Procurement Policy recommended herein and authorize the Executive Director to implement the new Policy on the date of adoption.

FISCAL IMPACT:

This action does not have an impact on the ARHA budget.

Attachments:

- i. Summary of Primary Changes
- ii. Side-by side Comparison of 24 CFR 85.36 and 2 CFR 200.317 – 200.326.
- iii. New Procurement Policy.

**ALEXANDRIA REDEVELOPMENT AND HOUSING AUTHORITY
BOARD OF COMMISSIONERS**

AUTHORIZING STAFF TO ADOPT NEW PROCUREMENT POLICY

RESOLUTION No. 654

WHEREAS, the Alexandria Redevelopment and Housing Authority (“ARHA”), has determined that there is a need to revised current Procurement Policy to comply with Department of Housing (HUD) Notice: SD-2015-01 dated February 26, 2015.

WHEREAS, the Alexandria Redevelopment and Housing Authority is required to obtain Board approval to adopt the new Procurement Policy; and

WHEREAS, if approved, ARHA will adopt the new Procurement Policy, which will be implement immediately; and

NOW, THEREFORE, be it resolved by the Board of Commissioners of the Alexandria Redevelopment and Housing Authority that, pursuant to the laws of the Commonwealth of Virginia, the action of the Executive Director to adopt the attached new Procurement Policy is hereby approved.

The undersigned attest that the Alexandria Redevelopment and Housing Authority adopt the foregoing resolution.

Daniel Bauman, Chairman
ARHA Board of Commissioners

Date

Keith Pettigrew, Secretary-Treasurer
ARHA Board of Commissioners

Date

**Summary of Primary Changes
Between Old and New Procurement Policy**

No.	Current Policy	New Policy
1.	Micro Purchases. Below \$2,000	Micro Purchases. Below \$3,000 for Supply and Services Below \$2,000 for construction services subject to Davis-Bacon Act, CFR Part 200.320 (a) Below \$5,000 for Non Federal Funding.
2.	Small Purchases. Below \$100,000 ARHA set at \$50,000	Small Purchases Below \$150,000
3.	Board Approval Above \$50,000	Board Approval Above \$100,000

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

24 CFR PART 85. Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments - Subpart 36 - "Procurement"

Procurement.

- (a) States.
- (b) Procurement standards.
- (c) Competition.
- (d) Methods of procurement to be followed.
- (e) Contracting with small and minority firms, women's business enterprise and labor surplus area firms.
- (f) Contract cost and price.
- (g) Awarding agency review.
- (h) Bonding requirements.
- (i) Contract provisions.

(a) States.
When procuring property and services under a grant, a State will follow the same policies and procedures it uses for procurements from its non-Federal funds. The State will ensure that every purchase order or other contract includes any clauses required by Federal statutes and executive orders and their implementing regulations. Other grantees and subgrantees will follow paragraphs (b) through (i) in this section.

2 CFR: Grants and Agreements - Subtitle A; Chapter II Office Of Management And Budget Guidance; PART 200—Uniform Administrative Requirements, Cost Principles, And Audit Requirements For Federal Awards

Procurement Standards

- §200.317 Procurements by states.
- §200.318 General procurement standards.
- §200.319 Competition.
- §200.320 Methods of procurement to be followed.
- §200.321 Contracting with small and minority businesses, women's business enterprises, and labor surplus area firms.
- §200.322 Procurement of recovered materials.
- §200.323 Contract cost and price.
- §200.324 Federal awarding agency or pass-through entity review.
- §200.325 Bonding requirements.
- §200.326 Contract provisions.

§200.317 Procurements by states.
When procuring property and services under a Federal award, a state must follow the same policies and procedures it uses for procurements from its non-Federal funds. The state will comply with §200.322 Procurement of recovered materials and ensure that every purchase order or other contract includes any clauses required by section §200.326 Contract provisions. All other non-Federal entities, including sub-recipients of a state, will follow §200.318 General procurement standards through §200.326 Contract provisions.

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

(b) *Procurement standards.*

(1) Grantees and subgrantees will use their own procurement procedures which reflect applicable State and local laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in this section.

(2) Grantees and subgrantees will maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

(3) Grantees and subgrantees will maintain a written code of standards of conduct governing the performance of their employees engaged in the award and administration of contracts. No employee, officer or agent of the grantee or subgrantee shall participate in selection, or in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when:

- (i) The employee, officer or agent,
- (ii) Any member of his immediate family,
- (iii) His or her partner, or
- (iv) An organization which employs, or is about to employ, any of the above, has a financial or other interest in the firm selected for award. The grantee's or subgrantee's officers, employees or agents will neither solicit nor accept gratuities, favors or anything of monetary value from contractors, potential contractors, or parties to subagreements. Grantee and subgrantees may set minimum rules where the financial interest is not substantial or the gift is an unsolicited item of nominal intrinsic value. To the extent permitted by State or local law or regulations, such standards or conduct will provide for penalties, sanctions, or other disciplinary actions for violations of such standards by the grantee's and subgrantee's officers, employees, or agents, or by contractors or their agents. The awarding agency may in regulation provide additional prohibitions relative to real, apparent, or potential conflicts of interest.

§200.318 General procurement standards.

(a) The non-Federal entity must use its own documented procurement procedures which reflect applicable State and local laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in this section.

(b) Non-Federal entities must maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

(c)(1) The non-Federal entity must maintain written standards of conduct covering conflicts of interest and governing the performance of its employees engaged in the selection, award and administration of contracts. No employee, officer, or agent must participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents of the non-Federal entity must neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-Federal entities may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-Federal entity.

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

(4) Grantee and subgrantee procedures will provide for a review of proposed procurements to avoid purchase of unnecessary or duplicative items. Consideration should be given to consolidating or breaking out procurements to obtain a more economical purchase. Where appropriate, an analysis will be made of lease versus purchase alternatives, and any other appropriate analysis to determine the most economical approach.

(5) To foster greater economy and efficiency, grantees and subgrantees are encouraged to enter into State and local intergovernmental agreements for procurement or use of common goods and services.

(6) Grantees and subgrantees are encouraged to use Federal excess and surplus property in lieu of purchasing new equipment and property whenever such use is feasible and reduces project costs.

(7) Grantees and subgrantees are encouraged to use value engineering clauses in contracts for construction projects of sufficient size to offer reasonable opportunities for cost reductions. Value engineering is a systematic and creative analysis of each contract item or task to ensure that its essential function is provided at the overall lower cost.

(8) Grantees and subgrantees will make awards only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement.

(c)(2) If the non-Federal entity has a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe, the non-Federal entity must also maintain written standards of conduct covering organizational conflicts of interest. Organizational conflicts of interest means that because of relationships with a parent company, affiliate, or subsidiary organization, the non-Federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization.

(d) The non-Federal entity's procedures must avoid acquisition of unnecessary or duplicative items. Consideration should be given to consolidating or breaking out procurements to obtain a more economical purchase. Where appropriate, an analysis will be made of lease versus purchase alternatives, and any other appropriate analysis to determine the most economical approach.

(e) To foster greater economy and efficiency, and in accordance with efforts to promote cost-effective use of shared services across the Federal government, the non-Federal entity is encouraged to enter into state and local intergovernmental agreements or inter-entity agreements where appropriate for procurement or use of common or shared goods and services.

(f) The non-Federal entity is encouraged to use Federal excess and surplus property in lieu of purchasing new equipment and property whenever such use is feasible and reduces project costs.

(g) The non-Federal entity is encouraged to use value engineering clauses in contracts for construction projects of sufficient size to offer reasonable opportunities for cost reductions. Value engineering is a systematic and creative analysis of each contract item or task to ensure that its essential function is provided at the overall lower cost.

(h) The non-Federal entity must award contracts only to responsible contractors possessing the ability to perform successfully under the terms and

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

Consideration will be given to such matters as contractor integrity, compliance with public policy, record of past performance, and financial and technical resources.

(9) Grantees and subgrantees will maintain records sufficient to detail the significant history of a procurement. These records will include, but are not necessarily limited to the following: rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price.

(10) Grantees and subgrantees will use time and material type contracts only—

(i) After a determination that no other contract is suitable, and

(ii) If the contract includes a ceiling price that the contractor exceeds at its own risk.

(11) Grantees and subgrantees alone will be responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of procurements. These issues include, but are not limited to source evaluation, protests, disputes, and claims. These standards do not relieve the grantee or subgrantee of any contractual responsibilities under its contracts. Federal agencies will not substitute their judgment for that of the grantee or subgrantee unless the

conditions of a proposed procurement. Consideration will be given to such matters as contractor integrity, compliance with public policy, record of past performance, and financial and technical resources.

(i) The non-Federal entity must maintain records sufficient to detail the history of procurement. These records will include, but are not necessarily limited to the following: rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price.

(j)(1) The non-Federal entity may use time and material type contracts only after a determination that no other contract is suitable and if the contract includes a ceiling price that the contractor exceeds at its own risk. Time and material type contract means a contract whose cost to a non-Federal entity is the sum of:

(i) The actual cost of materials; and

(ii) Direct labor hours charged at fixed hourly rates that reflect wages, general and administrative expenses, and profit.

(j)(2) Since this formula generates an open-ended contract price, a time-and-materials contract provides no positive profit incentive to the contractor for cost control or labor efficiency. Therefore, each contract must set a ceiling price that the contractor exceeds at its own risk. Further, the non-Federal entity awarding such a contract must assert a high degree of oversight in order to obtain reasonable assurance that the contractor is using efficient methods and effective cost controls.

(k) The non-Federal entity alone must be responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of procurements. These issues include, but are not limited to, source evaluation, protests, disputes, and claims. These standards do not relieve the non-Federal entity of any contractual responsibilities under its contracts. The Federal awarding agency will not substitute its

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

matter is primarily a Federal concern. Violations of law will be referred to the local, State, or Federal authority having proper jurisdiction.

(12) Grantees and subgrantees will have protest procedures to handle and resolve disputes relating to their procurements and shall in all instances disclose information regarding the protest to the awarding agency. A protestor must exhaust all administrative remedies with the grantee and subgrantee before pursuing a protest with the Federal agency. Reviews of protests by the Federal agency will be limited to: (i) Violations of Federal law or regulations and the standards of this section (violations of State or local law will be under the jurisdiction of State or local authorities) and (ii) Violations of the grantee's or subgrantee's protest procedures for failure to review a complaint or protest. Protests received by the Federal agency other than those specified above will be referred to the grantee or subgrantee.

(c) Competition.

(1) All procurement transactions will be conducted in a manner providing full and open competition consistent with the standards of §85.36. Some of the situations considered to be restrictive of competition include but are not limited to:

- (i) Placing unreasonable requirements on firms in order for them to qualify to do business,
- (ii) Requiring unnecessary experience and excessive bonding,
- (iii) Noncompetitive pricing practices between firms or between affiliated companies,
- (iv) Noncompetitive awards to consultants that are on retainer contracts,

judgment for that of the non-Federal entity unless the matter is primarily a Federal concern. Violations of law will be referred to the local, state, or Federal authority having proper jurisdiction.

§200.319 Competition.

(a) All procurement transactions must be conducted in a manner providing full and open competition consistent with the standards of this section. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, and invitations for bids or requests for proposals must be excluded from competing for such procurements. Some of the situations considered to be restrictive of competition include but are not limited to:

- (1) Placing unreasonable requirements on firms in order for them to qualify to do business;
- (2) Requiring unnecessary experience and excessive bonding;
- (3) Noncompetitive pricing practices between firms or between affiliated companies;
- (4) Noncompetitive contracts to consultants that are on retainer contracts;

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
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(v) Organizational conflicts of interest,

(vi) Specifying only a *brand name* product instead of allowing an *equal* product to be offered and describing the performance of other relevant requirements of the procurement, and

(vii) Any arbitrary action in the procurement process.

(2) Grantees and subgrantees will conduct procurements in a manner that prohibits the use of statutorily or administratively imposed in-State or local geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. Nothing in this section preempts State licensing laws. When contracting for architectural and engineering (A/E) services, geographic location may be a selection criteria provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.

(3) Grantees will have written selection procedures for procurement transactions. These procedures will ensure that all solicitations:

(i) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description shall not, in competitive procurements, contain features which unduly restrict competition. The description may include a statement of the qualitative nature of the material, product or service to be procured, and when necessary, shall set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use. Detailed product specifications should be avoided if at all possible. When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a *brand name or equal* description may be used as a means to define the performance or other salient requirements of a procurement. The specific features of the named brand which must be met by offerors shall be clearly stated; and

(5) Organizational conflicts of interest;

(6) Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance or other relevant requirements of the procurement; and

(7) Any arbitrary action in the procurement process.

(b) The non-Federal entity must conduct procurements in a manner that prohibits the use of statutorily or administratively imposed state or local geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. Nothing in this section preempts state licensing laws. When contracting for architectural and engineering (A/E) services, geographic location may be a selection criterion provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.

(c) The non-Federal entity must have written procedures for procurement transactions. These procedures must ensure that all solicitations:

(1) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description must not, in competitive procurements, contain features which unduly restrict competition. The description may include a statement of the qualitative nature of the material, product or service to be procured and, when necessary, must set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use. Detailed product specifications should be avoided if at all possible. When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a “brand name or equivalent” description may be used as a means to define the performance or other salient requirements of procurement. The specific features of the named

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

(ii) Identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.

(4) Grantees and subgrantees will ensure that all prequalified lists of persons, firms, or products which are used in acquiring goods and services are current and include enough qualified sources to ensure maximum open and free competition. Also, grantees and subgrantees will not preclude potential bidders from qualifying during the solicitation period.

(d) Methods of procurement to be followed.

(1) Procurement by small purchase procedures. Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the simplified acquisition threshold fixed at 41 U.S.C. 403(11) (currently set at \$100,000). If small purchase procedures are used, price or rate quotations shall be obtained from an adequate number of qualified sources.

(2) Procurement by sealed bids (formal advertising). Bids are publicly solicited and a firm-fixed-price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming with all the material terms and

brand which must be met by offers must be clearly stated; and

(2) Identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.

(d) The non-Federal entity must ensure that all prequalified lists of persons, firms, or products which are used in acquiring goods and services are current and include enough qualified sources to ensure maximum open and free competition. Also, the non-Federal entity must not preclude potential bidders from qualifying during the solicitation period.

§200.320 Methods of procurement to be followed.

The non-Federal entity must use one of the following methods of procurement.

(a) Procurement by micro-purchases. Procurement by micro-purchase is the acquisition of supplies or services, the aggregate dollar amount of which does not exceed \$3,000 (or \$2,000 in the case of acquisitions for construction subject to the Davis-Bacon Act). To the extent practicable, the non-Federal entity must distribute micro-purchases equitably among qualified suppliers. Micro-purchases may be awarded without soliciting competitive quotations if the non-Federal entity considers the price to be reasonable.

(b) Procurement by small purchase procedures. Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the Simplified Acquisition Threshold. If small purchase procedures are used, price or rate quotations must be obtained from an adequate number of qualified sources.

(c) Procurement by sealed bids (formal advertising). Bids are publicly solicited and a firm fixed price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming with all the material terms and conditions of the invitation

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2 CFR §200.317 - §200.326, *Procurement Standards*
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conditions of the invitation for bids, is the lowest in price. The sealed bid method is the preferred method for procuring construction, if the conditions in §85.36(d)(2)(i) apply.

(i) In order for sealed bidding to be feasible, the following conditions should be present:

(A) A complete, adequate, and realistic specification or purchase description is available;

(B) Two or more responsible bidders are willing and able to compete effectively and for the business; and

(C) The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price.

(ii) If sealed bids are used, the following requirements apply:

(A) The invitation for bids will be publicly advertised and bids shall be solicited from an adequate number of known suppliers, providing them sufficient time prior to the date set for opening the bids;

(B) The invitation for bids, which will include any specifications and pertinent attachments, shall define the items or services in order for the bidder to properly respond;

(C) All bids will be publicly opened at the time and place prescribed in the invitation for bids;

(D) A firm fixed-price contract award will be made in writing to the lowest responsive and responsible bidder. Where specified in bidding documents, factors such as discounts, transportation cost, and life cycle costs shall be considered in determining which bid is lowest. Payment discounts will only be used to determine the low bid when prior experience indicates that such discounts are usually taken advantage of; and

for bids, is the lowest in price. The sealed bid method is the preferred method for procuring construction, if the conditions in paragraph (c)(1) of this section apply.

(1) In order for sealed bidding to be feasible, the following conditions should be present:

(i) A complete, adequate, and realistic specification or purchase description is available;

(ii) Two or more responsible bidders are willing and able to compete effectively for the business; and

(iii) The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price.

(2) If sealed bids are used, the following requirements apply:

(i) The invitation for bids will be publicly advertised and bids must be solicited from an adequate number of known suppliers, providing them sufficient response time prior to the date set for opening the bids;

(ii) The invitation for bids, which will include any specifications and pertinent attachments, must define the items or services in order for the bidder to properly respond;

(iii) All bids will be publicly opened at the time and place prescribed in the invitation for bids;

(iv) A firm fixed price contract award will be made in writing to the lowest responsive and responsible bidder. Where specified in bidding documents, factors such as discounts, transportation cost, and life cycle costs must be considered in determining which bid is lowest. Payment discounts will only be used to determine the low bid when prior experience indicates that such discounts are usually taken advantage of; and

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2 CFR §200.317 - §200.326, *Procurement Standards*
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(E) Any or all bids may be rejected if there is a sound documented reason.

(3) Procurement by competitive proposals. The technique of competitive proposals is normally conducted with more than one source submitting an offer, and either a fixed-price or cost reimbursement type contract is awarded. It is generally used when conditions are not appropriate for the use of sealed bids. If this method is used, the following requirements apply:

(i) Requests for proposals will be publicized and identify all evaluation factors and their relative importance. Any response to publicized requests for proposals shall be honored to the maximum extent practical;

(ii) Proposals will be solicited from an adequate number of qualified sources;

(iii) Grantees and subgrantees will have a method for conducting technical evaluations of the proposals received and for selecting awardees;

(iv) Awards will be made to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered; and

(v) Grantees and subgrantees may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services. It cannot be used to purchase other types of services though A/E firms are a potential source to perform the proposed effort.

(4) Procurement by *noncompetitive proposals* is procurement through solicitation of a proposal from only one source, or after solicitation of a

(v) Any or all bids may be rejected if there is a sound documented reason.

(d) Procurement by competitive proposals. The technique of competitive proposals is normally conducted with more than one source submitting an offer, and either a fixed price or cost-reimbursement type contract is awarded. It is generally used when conditions are not appropriate for the use of sealed bids. If this method is used, the following requirements apply:

(1) Requests for proposals must be publicized and identify all evaluation factors and their relative importance. Any response to publicized requests for proposals must be considered to the maximum extent practical;

(2) Proposals must be solicited from an adequate number of qualified sources;

(3) The non-Federal entity must have a written method for conducting technical evaluations of the proposals received and for selecting recipients;

(4) Contracts must be awarded to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered; and

(5) The non-Federal entity may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services. It cannot be used to purchase other types of services though A/E firms are a potential source to perform the proposed effort.

(e) [Reserved]

(f) Procurement by noncompetitive proposals. Procurement by noncompetitive proposals is procurement through solicitation of a proposal from

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

number of sources, competition is determined inadequate.

(i) Procurement by noncompetitive proposals may be used only when the award of a contract is infeasible under small purchase procedures, sealed bids or competitive proposals and one of the following circumstances applies:

- (A) The item is available only from a single source;
- (B) The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation;
- (C) The awarding agency authorizes noncompetitive proposals; or
- (D) After solicitation of a number of sources, competition is determined inadequate.

(ii) Cost analysis, i.e., verifying the proposed cost data, the projections of the data, and the evaluation of the specific elements of costs and profits, is required.

(iii) Grantees and subgrantees may be required to submit the proposed procurement to the awarding agency for pre-award review in accordance with paragraph (g) of this section.

(e) Contracting with small and minority firms, women's business enterprise and labor surplus area firms.

- (1) The grantee and subgrantee will take all necessary affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible.
- (2) Affirmative steps shall include:
 - (i) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;

only one source and may be used only when one or more of the following circumstances apply:

- (1) The item is available only from a single source;
- (2) The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation;
- (3) The Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity; or
- (4) After solicitation of a number of sources, competition is determined inadequate.

§200.321 Contracting with small and minority businesses, women's business enterprises, and labor surplus area firms.

- (a) The non-Federal entity must take all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible.
- (b) Affirmative steps must include:
 - (1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

(ii) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;

(iii) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprises;

(iv) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;

(v) Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce; and

(vi) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (e)(2)(i) through (v) of this section.

(f) Contract cost and price.

(2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;

(3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises;

(4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises;

(5) Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and

(6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (1) through (5) of this section.

§200.322 Procurement of recovered materials.
A non-Federal entity that is a state agency or agency of a political subdivision of a state and its contractors must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired by the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

§200.323 Contract cost and price.

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

(1) Grantees and subgrantees must perform a cost or price analysis in connection with every procurement action including contract modifications. The method and degree of analysis is dependent on the facts surrounding the particular procurement situation, but as a starting point, grantees must make independent estimates before receiving bids or proposals. A cost analysis must be performed when the offeror is required to submit the elements of his estimated cost, e.g., under professional, consulting, and architectural engineering services contracts. A cost analysis will be necessary when adequate price competition is lacking, and for sole source procurements, including contract modifications or change orders, unless price reasonableness can be established on the basis of a catalog or market price of a commercial product sold in substantial quantities to the general public or based on prices set by law or regulation. A price analysis will be used in all other instances to determine the reasonableness of the proposed contract price.

(2) Grantees and subgrantees will negotiate profit as a separate element of the price for each contract in which there is no price competition and in all cases where cost analysis is performed. To establish a fair and reasonable profit, consideration will be given to the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work.

(3) Costs or prices based on estimated costs for contracts under grants will be allowable only to the extent that costs incurred or cost estimates included in negotiated prices are consistent with Federal cost principles (see § 85.22). Grantees may reference their own cost principles that comply with the applicable Federal cost principles.

(4) The cost plus a percentage of cost and percentage of construction cost methods of contracting shall not be used.

(a) The non-Federal entity must perform a cost or price analysis in connection with every procurement action in excess of the Simplified Acquisition Threshold including contract modifications. The method and degree of analysis is dependent on the facts surrounding the particular procurement situation, but as a starting point, the non-Federal entity must make independent estimates before receiving bids or proposals.

(b) The non-Federal entity must negotiate profit as a separate element of the price for each contract in which there is no price competition and in all cases where cost analysis is performed. To establish a fair and reasonable profit, consideration must be given to the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work.

(c) Costs or prices based on estimated costs for contracts under the Federal award are allowable only to the extent that costs incurred or cost estimates included in negotiated prices would be allowable for the non-Federal entity under Subpart E—Cost Principles of this part. The non-Federal entity may reference its own cost principles that comply with the Federal cost principles.

(d) The cost plus a percentage of cost and percentage of construction cost methods of contracting must not be used.

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

(g) Awarding agency review.

(1) Grantees and subgrantees must make available, upon request of the awarding agency, technical specifications on proposed procurements where the awarding agency believes such review is needed to ensure that the item and/or service specified is the one being proposed for purchase. This review generally will take place prior to the time the specification is incorporated into a solicitation document. However, if the grantee or subgrantee desires to have the review accomplished after a solicitation has been developed, the awarding agency may still review the specifications, with such review usually limited to the technical aspects of the proposed purchase.

(2) Grantees and subgrantees must on request make available for awarding agency pre-award review procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, etc. when:

(i) A grantee's or subgrantee's procurement procedures or operation fails to comply with the procurement standards in this section; or

(ii) The procurement is expected to exceed the simplified acquisition threshold and is to be awarded without competition or only one bid or offer is received in response to a solicitation; or

(iii) The procurement, which is expected to exceed the simplified acquisition threshold, specifies a "brand name" product; or

(iv) The proposed award is more than the simplified acquisition threshold and is to be awarded to other than the apparent low bidder under a sealed bid procurement; or

§200.324 Federal awarding agency or pass-through entity review.

(a) The non-Federal entity must make available, upon request of the Federal awarding agency or pass-through entity, technical specifications on proposed procurements where the Federal awarding agency or pass-through entity believes such review is needed to ensure that the item or service specified is the one being proposed for acquisition. This review generally will take place prior to the time the specification is incorporated into a solicitation document. However, if the non-Federal entity desires to have the review accomplished after a solicitation has been developed, the Federal awarding agency or pass-through entity may still review the specifications, with such review usually limited to the technical aspects of the proposed purchase.

(b) The non-Federal entity must make available upon request, for the Federal awarding agency or pass-through entity pre-procurement review, procurement documents, such as requests for proposals or invitations for bids, or independent cost estimates, when:

(1) The non-Federal entity's procurement procedures or operation fails to comply with the procurement standards in this part;

(2) The procurement is expected to exceed the Simplified Acquisition Threshold and is to be awarded without competition or only one bid or offer is received in response to a solicitation;

(3) The procurement, which is expected to exceed the Simplified Acquisition Threshold, specifies a "brand name" product;

(4) The proposed contract is more than the Simplified Acquisition Threshold and is to be awarded to other than the apparent low bidder under a sealed bid procurement; or

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

(v) A proposed contract modification changes the scope of a contract or increases the contract amount by more than the simplified acquisition threshold.

(3) A grantee or subgrantee will be exempt from the pre-award review in paragraph (g)(2) of this section if the awarding agency determines that its procurement systems comply with the standards of this section.

(i) A grantee or subgrantee may request that its procurement system be reviewed by the awarding agency to determine whether its system meets these standards in order for its system to be certified. Generally, these reviews shall occur where there is a continuous high-dollar funding, and third party contracts are awarded on a regular basis.

(ii) A grantee or subgrantee may self-certify its procurement system. Such self-certification shall not limit the awarding agency's right to survey the system. Under a self-certification procedure, awarding agencies may wish to rely on written assurances from the grantee or subgrantee that it is complying with these standards. A grantee or subgrantee will cite specific procedures, regulations, standards, etc., as being in compliance with these requirements and have its system available for review.

(h) Bonding requirements.

For construction or facility improvement contracts or subcontracts exceeding the simplified acquisition threshold, the awarding agency may accept the bonding policy and requirements of the grantee or subgrantee provided the awarding agency has made a determination that the awarding agency's interest is adequately protected. If such a determination has not been made, the minimum requirements shall be as follows:

(1) *A bid guarantee from each bidder equivalent to five percent of the bid price.*

(5) A proposed contract modification changes the scope of a contract or increases the contract amount by more than the Simplified Acquisition Threshold.

(c) The non-Federal entity is exempt from the pre-procurement review in paragraph (b) of this section if the Federal awarding agency or pass-through entity determines that its procurement systems comply with the standards of this part.

(1) The non-Federal entity may request that its procurement system be reviewed by the Federal awarding agency or pass-through entity to determine whether its system meets these standards in order for its system to be certified. Generally, these reviews must occur where there is continuous high-dollar funding, and third party contracts are awarded on a regular basis;

(2) The non-Federal entity may self-certify its procurement system. Such self-certification must not limit the Federal awarding agency's right to survey the system. Under a self-certification procedure, the Federal awarding agency may rely on written assurances from the non-Federal entity that it is complying with these standards. The non-Federal entity must cite specific policies, procedures, regulations, or standards as being in compliance with these requirements and have its system available for review.

§200.325 Bonding requirements.

For construction or facility improvement contracts or subcontracts exceeding the Simplified Acquisition Threshold, the Federal awarding agency or pass-through entity may accept the bonding policy and requirements of the non-Federal entity provided that the Federal awarding agency or pass-through entity has made a determination that the Federal interest is adequately protected. If such a determination has not been made, the minimum requirements must be as follows:

(a) A bid guarantee from each bidder equivalent to five percent of the bid price. The "bid guarantee"

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

The "bid guarantee" shall consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying a bid as assurance that the bidder will, upon acceptance of his bid, execute such contractual documents as may be required within the time specified.

(2) A performance bond on the part of the contractor for 100 percent of the contract price. A "performance bond" is one executed in connection with a contract to secure fulfillment of all the contractor's obligations under such contract.

(3) A payment bond on the part of the contractor for 100 percent of the contract price. A "payment bond" is one executed in connection with a contract to assure payment as required by law of all persons supplying labor and material in the execution of the work provided for in the contract.

(i) Contract provisions.

A grantee's and subgrantee's contracts must contain provisions in paragraph (i) of this section. Federal agencies are permitted to require changes, remedies, changed conditions, access and records retention, suspension of work, and other clauses approved by the Office of Federal Procurement Policy.

must consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying a bid as assurance that the bidder will, upon acceptance of the bid, execute such contractual documents as may be required within the time specified.

(b) A performance bond on the part of the contractor for 100 percent of the contract price. A "performance bond" is one executed in connection with a contract to secure fulfillment of all the contractor's obligations under such contract.

(c) A payment bond on the part of the contractor for 100 percent of the contract price. A "payment bond" is one executed in connection with a contract to assure payment as required by law of all persons supplying labor and material in the execution of the work provided for in the contract.

§200.326 Contract provisions.

The non-Federal entity's contracts must contain the applicable provisions described in *Appendix II to Part 200—Contract Provisions for non-Federal Entity Contracts Under Federal Awards.*

NOTE: The following "Appendix II" is not listed consecutive in the CFR to the afore-listed Sections. It has been inserted here (1) because it lists important required clauses and (2) to correspond, in order, with the similar Sections within 24 CFR 85.36. **[HAPA]**

APPENDIX II TO PART 200—Contract Provisions For Non-Federal Entity Contracts Under Federal Awards

In addition to other provisions required by the Federal agency or non-Federal entity, all contracts made by the non-Federal entity under the Federal award must contain provisions covering the following, as applicable.

Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)

(1) Administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as may be appropriate. (Contracts more than the simplified acquisition threshold)

(2) Termination for cause and for convenience by the grantee or subgrantee including the manner by which it will be effected and the basis for settlement. (All contracts in excess of \$10,000)

(3) Compliance with Executive Order 11246 of September 24, 1965, entitled "Equal Employment Opportunity," as amended by Executive Order 11375 of October 13, 1967, and as supplemented in Department of Labor regulations (41 CFR chapter 60). (All construction contracts awarded in excess of \$10,000 by grantees and their contractors or subgrantees).

(5) Compliance with the Davis-Bacon Act (40 U.S.C. 276a to 276a-7) as supplemented by Department of Labor regulations (29 CFR part 5). (Construction contracts in excess of \$2000 awarded by grantees and subgrantees when required by Federal grant program legislation)

(A) Contracts for more than the simplified acquisition threshold currently set at \$150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.

(B) All contracts in excess of \$10,000 must address termination for cause and for convenience by the non-Federal entity including the manner by which it will be effected and the basis for settlement.

(C) Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of "federally assisted construction contract" in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, "Equal Employment Opportunity" (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and implementing regulations at 41 CFR part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor."

(D) Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, "Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction"). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-

Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)

(4) Compliance with the Copeland “Anti-Kickback” Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR part 3). (All contracts and subgrants for construction or repair)

(6) Compliance with Sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR part 5). (Construction contracts awarded by grantees and subgrantees in excess of \$2000, and in excess of \$2500 for other contracts which involve the employment of mechanics or laborers).

Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.

(E)Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708). Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
(Important revisions highlighted in red/underlined)**

(7) Notice of awarding agency requirements and regulations pertaining to reporting.

(8) Notice of awarding agency requirements and regulations pertaining to patent rights with respect to any discovery or invention which arises or is developed in the course of or under such contract.

(9) Awarding agency requirements and regulations pertaining to copyrights and rights in data.

(10) Access by the grantee, the subgrantee, the Federal grantor agency, the Comptroller General of the United States, or any of their duly authorized representatives to any books, documents, papers, and records of the contractor which are directly pertinent to that specific contract for the purpose of making audit, examination, excerpts, and transcriptions.

(11) Retention of all required records for three years after grantees or subgrantees make final payments and all other pending matters are closed.

(12) Compliance with all applicable standards, orders, or requirements issued under section 306 of the Clean Air Act (42 U.S.C. 1857(h)), section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency regulations (40 CFR part 15). (Contracts, subcontracts, and subgrants of amounts in excess of \$100,000).

(F) Rights to Inventions Made Under a Contract or Agreement. If the Federal award meets the definition of "funding agreement" under 37 CFR § 401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that "funding agreement," the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," and any implementing regulations issued by the awarding agency.

(G) Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended—Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

**Side-by-Side Comparison of 24 CFR §85.36, *Procurement* and
2 CFR §200.317 - §200.326, *Procurement Standards*
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(13) Mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94-163, 89 Stat. 871).

(H) Mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (42 U.S.C. 6201).

(I) Debarment and Suspension (Executive Orders 12549 and 12689)—A contract award (see 2 CFR 180.220) must not be made to parties listed on the government wide Excluded Parties List System in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR Part 1986 Comp., p. 189) and 12689 (3 CFR Part 1989 Comp., p. 235), ‘Debarment and Suspension.’ The Excluded Parties List System in SAM contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.

(J) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—Contractors that apply or bid for an award of \$100,000 or more must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

(K) See § 200.322 Procurement of recovered materials.



Procurement Policy

Adopted by ARHA Board of Commissioners

Resolution No: _____

Date of Adoption: _____

Effective Date of Implementation: _____

Alexandria Redevelopment & Housing Authority

401 Wythe Street

Alexandria, Virginia 22314

Tel: 703-549-7115 Fax: 703-838-2825

www.arha.us

Alexandria Redevelopment and Housing Authority
PROCUREMENT POLICY

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1.0 INTRODUCTION

- 1.1 General.** Established for the Alexandria Redevelopment and Housing Authority (hereinafter, “the Agency”) by Action of the Agency Board of Commissioners (Board) on August XXth, 2017, this Procurement Policy (Policy) complies with the Annual Contributions Contract (ACC) between the Agency and the United States Department of Housing and Urban Development (HUD), Federal Regulations at 2 CFR 200.317 through 200.326, *Procurement Standards*, the procurement standards of the Procurement Handbook for Public Housing Authorities (PHAs), HUD Handbook 7460.8, REV 2, and applicable State and Local laws.

2.0 GENERAL PROVISIONS

- 2.1 General.** The Agency shall:

2.1.1 Provide for a procurement system of quality and integrity;

2.1.2 Provide for the fair and equitable treatment of all persons or firms involved in purchasing by the Agency;

2.1.3 Ensure that supplies and services (including construction) are procured efficiently, effectively, and at the most favorable and valuable prices available to the Agency;

2.1.4 Promote competition in contracting; and

2.1.5 Assure that the agency purchasing actions are in full compliance with applicable Federal standards, HUD regulations, State, and local laws.

- 2.2 Application.** This Policy applies to all procurement actions of the Agency, regardless of the source of funds, except as noted under “exclusions” below. However, nothing in this Policy shall prevent the Agency from complying with the terms and conditions of any grant, contract, gift or bequest that is otherwise consistent with the law. When both HUD and non-Federal grant funds are used for a project, the work to be accomplished with the funds should be separately identified prior to procurement so that appropriate requirements can be applied, if necessary. If it is not possible to separate the funds, HUD procurement regulations shall be applied to the total project. If funds and work can be separated and work can be completed by a new contract, then regulations applicable to the source of funding may be followed.

- 2.3 Definition.** The term “procurement,” as used in this Policy, includes the procuring, purchasing, leasing, or renting of: (1) goods, supplies, equipment, and materials, (2) construction and maintenance; consultant services, (3) Architectural and Engineering (A/E) services, (4) Social Services, and (5) other services.

- 2.4 Exclusions.** This policy does not govern administrative fees earned under the Section 8 voucher program, the award of vouchers under the Section 8 program, the execution of landlord Housing Assistance Payments contracts under that program, or non-program income, e.g., fee-for-service revenue under 24 CFR Part 990. These excluded areas are subject to applicable state and local requirements.
- 2.5 Changes in Laws and Regulations.** In the event an applicable law or regulation is modified or eliminated, or a new law or regulation is adopted, the revised law or regulation shall, to the extent inconsistent with these Policies, automatically supersede these Policies.
- 2.6 Public Access to Procurement Information.** Most procurement information that is not proprietary is a matter of public record and shall be available to the public to the extent provided in the Virginia Freedom of Information Act.

3.0 ETHICS IN PUBLIC CONTRACTING

- 3.1 General.** The Agency hereby establishes this code of conduct regarding procurement issues and actions and shall implement a system of sanctions for violations. This code of conduct, etc., is consistent with applicable Federal, State, or local law.
- 3.2 Conflicts of Interest.** No employee, officer, Board member, or agent of the Agency shall participate directly or indirectly in the selection, award, or administration of any contract if a conflict of interest, either real or apparent, would be involved. This type of conflict would be when one of the persons listed below has a financial or any other type of interest in a firm competing for the award:
- 3.2.1** An employee, officer, Board member, or agent involved in making the award;
 - 3.2.2** His/her relative (including father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half-brother, or half-sister);
 - 3.2.3** His/her partner; or
 - 3.2.4** An organization which employs or is negotiating to employ, or has an arrangement concerning prospective employment of any of the above.
- 3.3 Gratuities, Kickbacks, and Use of Confidential Information.** No officer, employee, Board member, or agent of the Agency shall ask for or accept gratuities, favors, or items of more than nominal value (i.e. inexpensive hat with logo) from any contractor, potential contractor, or party to any subcontract, and shall not knowingly use confidential information for actual or anticipated personal gain.

- 3.4 Prohibition Against Contingent Fees.** Contractors wanting to do business with the Agency must not hire a person to solicit or secure a contract for a commission, percentage, brokerage, or contingent fee, except for bona fide established commercial selling agencies.

4.0 PROCUREMENT PLANNING

- 4.1 General.** Planning is essential to managing the procurement function properly. Hence, the Agency will periodically review its record of prior purchases, as well as future needs, to:

- 4.1.1** Find patterns of procurement actions that could be performed more efficiently or economically;
- 4.1.2** Maximize competition and competitive pricing among contracts and decrease the Agency's procurement costs;
- 4.1.3** Reduce Agency administrative costs;
- 4.1.4** Ensure that supplies and services are obtained without any need for re-procurement (i.e., resolving bid protests); and
- 4.1.5** Minimize errors that occur when there is inadequate lead time.

Consideration shall be given to storage, security, and handling requirements when planning the most appropriate purchasing actions.

5.0 PROCUREMENT METHODS

- 5.1 Petty Cash Purchases.** Purchases under \$150 may be handled through the use of a petty cash account. Petty Cash Accounts may be established in an amount sufficient to cover small purchases made during a reasonable period, e.g., one month. For all Petty Cash Accounts, the Agency shall ensure that security is maintained and only authorized individuals have access to the account. These accounts shall be reconciled and replenished periodically.
- 5.2 Small Purchase Procedures.** For any amounts above the Petty Cash ceiling, but not exceeding \$150,000, the Agency may use small purchase procedures. Under small purchase procedures, the Agency shall obtain a reasonable number of quotes (preferably three); however, for purchases of less than **\$3,000, (except for construction procurements which is set at \$2,000 and \$5,000, for non-federal funding)** may use small purchase also known as Micro Purchases, only one quote is required provided the quote is considered reasonable. To the greatest extent feasible, and to promote competition, small purchases should be distributed among qualified sources. Quotations for Small Purchases (QSP), or quotes, may be obtained orally (either in person or by phone), by fax or email, in writing, or through e-procurement. Award shall be made to the responsive and responsible vendor that submits the lowest cost to the Agency. If award is to be

made for reasons other than lowest price, documentation shall be provided in the contract file. The Agency shall not break down requirements aggregating more than the small purchase threshold (or the Micro Purchase threshold) into several purchases that are less than the applicable threshold merely to: (1) permit use of the small purchase procedures or (2) avoid any requirements that applies to purchases that exceed the Micro Purchase threshold.

5.3 Sealed Bids. Sealed bidding, also known as Invitation for Bids (IFB), shall be used for all contracts that exceed the small purchase threshold and that are not competitive proposals or non-competitive proposals, as these terms are defined in this Policy. Under sealed bids, the Agency publicly solicits bids and awards a firm fixed-price contract (lump sum or unit price) to the responsive and responsible bidder whose bid, conforming with all the material terms and conditions of the IFB, is the lowest in price. Sealed bidding is the preferred method for procuring construction, supply, and non-complex service contracts that are expected to exceed \$150,000.

5.3.1 Conditions for Using Sealed Bids. The Agency shall use the sealed bid method if the following conditions are present: a complete, adequate, and realistic statement of work, specification, or purchase description is available; three or more responsible bidders are willing and able to compete effectively for the work; the contract can be awarded based on a firm fixed price; and the selection of the successful bidder can be made principally on the lowest price.

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

5.3.3 Bid Opening and Award. Bids shall be opened publicly. All bids received shall be recorded on an abstract (tabulation) of bids, which shall then be made available for public inspection. If equal low bids are received from responsible bidders, selection shall be made by drawing lots or other similar random method. The method for doing this shall be stated in the IFB. If only one responsive bid is received from a responsible bidder, award shall not be made unless the price can be determined to be reasonable, based on a cost or price analysis.

5.3.4 Mistakes in Bids. Correction or withdrawal of bids may be permitted, where appropriate, before bid opening by written or telegraphic notice received in the office designated in the IFB prior to the time set for bid opening. After bid opening, corrections in bids may be permitted only if the bidder can show by clear and convincing

evidence that a mistake of a nonjudgmental character was made, the nature of the mistake, and the bid price actually intended. A low bidder alleging a nonjudgmental mistake may be permitted to withdraw its bid if the mistake is clearly evident on the face of the bid document but the intended bid is unclear or the bidder submits convincing evidence that a mistake was made. All decisions to allow correction or withdrawal of a bid shall be supported by a written determination signed by the Contracting Officer. After bid opening, changes in bid prices or other provisions of bids prejudicial to the interest of the Agency or fair competition shall not be permitted.

5.4 Competitive Proposals. Unlike sealed bidding, the competitive proposal method, also known as Request For Proposals (RFP), permits: consideration of technical factors other than price; discussion with offerors concerning offers submitted; negotiation of contract price or estimated cost and other contract terms and conditions; revision of proposals before the final contractor selection; and the withdrawal of an offer at any time up until the point of award. Award is normally made on the basis of the proposal that represents the best overall value to the Agency, considering price and other factors, e.g., technical expertise, past experience, quality of proposed staffing, etc., set forth in the solicitation and not solely the lowest price.

5.4.1 Conditions for Use. Where conditions are not appropriate for the use of sealed bidding, competitive proposals may be used. Competitive proposals are the preferred method for procuring professional services that will exceed the small purchase threshold. As detailed within Section 7.2.B of HUD Procurement Handbook 7460.8 REV 2, "Only under limited circumstances would construction services be procured by competitive proposals;" accordingly, construction services will most typically be procured utilizing the sealed bid (IFB) or small purchase procedures (QSP).

5.4.2 Form of Solicitation. Other than A/E services, developer-related services and energy performance contracting, competitive proposals shall be solicited through the issuance of an RFP. The RFP shall clearly identify the importance and relative value of each of the evaluation factors as well as any sub factors and price. A mechanism for fairly and thoroughly evaluating the technical and price proposals shall be established before the solicitation is issued. Proposals shall be handled so as to prevent disclosure of the number of offerors, identity of the offerors, and the contents of their proposals until after award. The Agency may assign price a specific weight in the evaluation factors or the Agency may consider price in conjunction with technical factors; in either case, the method for evaluating price shall be established in the RFP.

5.4.3 Evaluation. The proposals shall be evaluated only on the factors stated in the RFP. Where not apparent from the evaluation factors, the Agency shall establish an Evaluation Plan for each RFP. Generally, all RFPs shall be evaluated by an appropriately appointed Evaluation

Committee. The Evaluation Committee shall be required to disclose any potential conflicts of interest and to sign a Non-Disclosure statement. An Evaluation Report, summarizing the results of the evaluation, shall be prepared prior to award of a contract.

- 5.4.4 Negotiations.** Negotiations shall be conducted with all offerors who submit a proposal determined to have a reasonable chance of being selected for award, unless it is determined that negotiations are not needed with any of the offerors. This determination is based on the relative score of the proposals as they are evaluated and rated in accordance with the technical and price factors specified in the RFP. These offerors shall be treated fairly and equally with respect to any opportunity for negotiation and revision of their proposals. No offeror shall be given any information about any other offeror's proposal, and no offeror shall be assisted in bringing its proposal up to the level of any other proposal. A common deadline shall be established for receipt of proposal revisions based on negotiations.

Negotiations are exchanges (in either competitive or sole source environment) between the Agency and offerors that are undertaken with the intent of allowing the offeror to revise its proposal. These negotiations may include bargaining. Bargaining includes persuasion, alteration of assumptions and positions, give-and-take, and may apply to price, schedule, technical requirements, type of contract or other terms of a proposed contract. When negotiations are conducted in a competitive acquisition, they take place after establishment of the competitive range and are called discussions. Discussions are tailored to each offeror's proposal, and shall be conducted by the contracting officer with each offeror within the competitive range. The primary object of discussions is to maximize the Agency's ability to obtain best value, based on the requirements and the evaluation factors set forth in the solicitation. The contracting officer shall indicate to, or discuss with, each offeror still being considered for award, significant weaknesses, deficiencies, and other aspects of its proposal (such as technical approach, past performance, and terms and conditions) that could, in the opinion of the contracting officer, be altered or explained to enhance materially the proposer's potential for award.

The scope and extent of discussions are a matter of the contracting officer's judgment. The contracting officer may inform an offeror that its price is considered by the Agency to be too high, or too low, and reveal the results of the analysis supporting that conclusion. It is also permissible to indicate to all offerors the cost or price that the Agency's price analysis, market research, and other reviews have identified as reasonable. "Auctioning" (revealing one offeror's price in an attempt to get another offeror to lower their price) is prohibited.

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

5.4.6 A/E Services. The Agency shall contract for A/E services using Qualifications-based Selection (QBS) procedures, utilizing a Request For Qualifications (RFQ). Sealed bidding shall not be used for A/E solicitations. Under QBS procedures, competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. Price is not used as a selection factor under this method. QBS procedures shall not be used to purchase other types of services, other than Energy Performance Contracting and Developer services, though architectural/engineering firms are potential sources.

5.5 Noncompetitive Proposals.

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

5.5.1.1 The item is available only from a single source, based on a good faith review of available sources;

5.5.1.2 An emergency exists that seriously threatens the public health, welfare, or safety, or endangers property, or would otherwise cause serious injury to the Agency, as may arise by reason of a flood, earthquake, epidemic, riot, equipment failure, or similar event. In such cases, there must be an immediate and serious need for supplies, services, or construction such that the need cannot be met through any of the other procurement methods, and the emergency procurement shall be limited to those supplies, services, or construction necessary simply to meet the emergency;

5.5.1.3 HUD authorizes the use of noncompetitive proposals; or

5.5.1.4 After solicitation of a number of sources, competition is determined inadequate.

5.5.2 Justification. Each procurement based on noncompetitive proposals shall be supported by a written justification for the selection of this method. The justification shall be approved in writing by the

responsible Contracting Officer. Poor planning or lack of planning is not justification for emergency or sole-source procurements. The justification, to be included in the procurement file, should include the following information:

- 5.5.2.1 Description of the requirement;
- 5.5.2.2 History of prior purchases and their nature (competitive vs. noncompetitive);
- 5.5.2.3 The specific exception in 2 CFR 200(f)(1)-(4) which applies;
- 5.5.2.4 Statement as to the unique circumstances that require award by noncompetitive proposals;
- 5.5.2.5 Description of the efforts made to find competitive sources (advertisement in trade journals or local publications, phone calls to local suppliers, issuance of a written solicitation, etc.);
- 5.5.2.6 Statement as to efforts that will be taken in the future to promote competition for the requirement;
- 5.5.2.7 Signature by the Contracting Officer's supervisor (or someone above the level of the Contracting Officer); and
- 5.5.2.8 Price Reasonableness. The reasonableness of the price for all procurements based on noncompetitive proposals shall be determined by performing an analysis, as described in this Policy.

5.6 Cooperative Purchasing/Intergovernmental Agreements. The Agency may enter into State and/or local cooperative or intergovernmental agreements to purchase or use common supplies, equipment, or services. The decision to use an interagency agreement instead of conducting a direct procurement shall be based on economy and efficiency. If used, the interagency agreement shall stipulate who is authorized to purchase on behalf of the participating parties and shall specify inspection, acceptance, termination, payment, and other relevant terms and conditions. The Agency may use Federal or State excess and surplus property instead of purchasing new equipment and property if feasible and if it will result in a reduction of project costs. The goods and services obtained under a cooperative purchasing agreement must have been procured in accordance with 2 CFR 200.317 through 200.326.

6.0 INDEPENDENT COST ESTIMATE (ICE)

6.1 General. For all purchases above the Micro Purchase threshold, the Agency shall prepare an ICE prior to solicitation. The level of detail shall be commensurate with the cost and complexity of the item to be purchased.

7.0 COST AND PRICE ANALYSIS (CPA)

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

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

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

7.1.3 Sealed Bids. The presence of adequate competition should generally be sufficient to establish price reasonableness. Where sufficient bids are not received, and when the bid received is substantially more than the ICE, and

where the Agency cannot reasonably determine price reasonableness, the Agency must conduct a cost analysis, consistent with federal guidelines, to ensure that the price paid is reasonable.

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

7.1.5 Contract Modifications. A cost analysis, consistent with federal guidelines, shall be conducted for all contract modifications for projects that were procured through Sealed Bids, Competitive Proposals, or Non-Competitive Proposals, or for projects originally procured through Small Purchase procedures and the amount of the contract modification will result in a total contract price in excess of \$150,000.

8.0 SOLICITATION AND ADVERTISING

8.1 Method of Solicitation.

8.1.1 Petty Cash and Micro Purchases. The Agency may contact only one source if the price is considered reasonable.

8.1.2 Small Purchases. Quotes may be solicited orally, through fax, E-Procurement, or by any other reasonable method.

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

8.1.3.1 Advertising in newspapers or other print mediums of local or general circulations.

8.1.3.2 Advertising in various trade journals or publications (for construction).

8.1.3.3 E-Procurement. The Agency may conduct its public procurements through the Internet using e-procurement systems. However, all e-procurements must otherwise be in compliance with 2 CFR 200.317 through 200.326, State and local requirements, and the Agency's procurement policy.

8.2 Time Frame. For purchases of more than \$150,000, the public notice should run not less than once each week for two consecutive weeks.

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

8.4 Time Period for Submission of Bids. A minimum of 30 days shall generally be provided for preparation and submission of sealed bids and 15 days for competitive proposals. However, the Executive Director may allow for a shorter period under extraordinary circumstances.

8.5 Cancellation of Solicitations.

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

8.5.1.1 The supplies, services or construction is no longer required;

8.5.1.2 The funds are no longer available;

- 8.5.1.3 Proposed amendments to the solicitation are of such magnitude that a new solicitation would be best; or
 - 8.5.1.4 Other similar reasons.
- 8.5.2 A solicitation may be cancelled and all bids or proposals that have already been received may be rejected if:
- 8.5.2.1 The supplies or services (including construction) are no longer required;
 - 8.5.2.2 Ambiguous or otherwise inadequate specifications were part of the solicitation;
 - 8.5.2.3 All factors of significance to the Agency were not considered;
 - 8.5.2.4 Prices exceed available funds and it would not be appropriate to adjust quantities to come within available funds;
 - 8.5.2.5 There is reason to believe that bids or proposals may not have been independently determined in open competition, may have been collusive, or may have been submitted in bad faith; or
 - 8.5.2.6 For good cause of a similar nature when it is in the best interest of the Agency.
- 8.5.3 The reasons for cancellation shall be documented in the procurement file and the reasons for cancellation and/or rejection shall be provided upon request.
- 8.5.4 A notice of cancellation shall be sent to all bidders/offerors solicited and, if appropriate, shall explain that they will be given an opportunity to compete on any re-solicitation or future procurement of similar items.
- 8.5.5 If all otherwise acceptable bids received in response to an IFB are at unreasonable prices an analysis should be conducted to see if there is a problem in either the specifications or the Agency's cost estimate. If both are determined adequate and if only one bid is received and the price is unreasonable, the Contracting Officer may cancel the solicitation and either
- 8.5.5.1 Re-solicit using an RFP; or
 - 8.5.5.2 Complete the procurement by using the competitive proposal method. The Contracting Officer must determine, in writing, that such action is appropriate, must inform all bidders of the Agency's intent to negotiate, and must give each bidder a reasonable opportunity to negotiate.

8.5.6 If problems are found with the specifications, the Agency should cancel the solicitation, revise the specifications and re-solicit using an IFB.

8.6 Credit (or Purchasing) Cards. Credit card usage should follow the rules for all other small purchases. For example, the Contracting Officer may use a credit card for Micro Purchases without obtaining additional quotes provided the price is considered reasonable. However, for amounts above the Micro Purchase level, the Contracting Officer would generally need to have obtained a reasonable number of quotes before purchasing via a credit card. When using credit cards, the Agency shall adopt reasonable safeguards to assure that they are used only for intended purposes (for instance, limiting the types of purchases or the amount of purchases that are permitted with credit cards).

9.0 BONDING REQUIREMENTS

9.1 General. The standards under this section apply to construction contracts that exceed \$150,000. There are no bonding requirements for small purchases or for competitive proposals. The Agency may require bonds in these latter circumstances when deemed appropriate; however, non-construction contracts should generally not require bid bonds.

9.1.1 Bid Bonds. For construction contracts exceeding \$150,000, offerors shall be required to submit a bid guarantee from each bidder equivalent to 5% of the bid price.

9.1.2 Payment Bonds. For construction contracts exceeding \$150,000, the successful bidder shall furnish an assurance of completion. This assurance may be any one of the following four:

9.1.2.1 A performance and payment bond in a penal sum of 100% of the contract price; or

9.1.2.2 Separate performance and payment bonds, each for 50% or more of the contract price; or

9.1.2.3 A 20 % cash escrow; or

9.1.2.4 A 25 % irrevocable letter of credit.

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

circular is mandatory.

10.0 CONTRACTOR QUALIFICATIONS AND DUTIES

10.1 Contractor Responsibility.

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

10.1.1.1 Have adequate financial resources to perform the contract, or the ability to obtain them;

10.1.1.2 Be able to comply with the required or proposed delivery or performance schedule, taking into consideration all of the bidder's/offeror's existing commercial and governmental business commitments;

10.1.1.3 Have a satisfactory performance record;

10.1.1.4 Have a satisfactory record of integrity and business ethics;

10.1.1.5 Have the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them;

10.1.1.6 Have the necessary production, construction, and technical equipment and facilities, or the ability to obtain them; and,

10.1.1.7 Be otherwise qualified and eligible to receive an award under applicable laws and regulations, including not be suspended, debarred or under a HUD-imposed LDP.

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

10.2 Suspension and Debarment. Contracts shall not be awarded to debarred, suspended, or ineligible contractors. Contractors may be suspended, debarred, or determined to be ineligible by HUD in accordance with HUD regulations (2 CFR 200.317 through 200.326) or by other Federal agencies, e.g., Department of Labor for violation of labor regulations, when necessary to protect housing authorities in their business dealings. Prior to issuance of a contract, Agency staff shall, as detailed within Section 10.2.H.1 and 10.2.H.2 of HUD Procurement Handbook 7460.8 REV 2, conduct the required searches within the HUD Limited Denial of Participation (LDP) system and the U.S. General Services Administration System for Award Management (SAM) and place within the applicable contract file a printed copy of the results

of each such search.

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

11.0 CONTRACT PRICING ARRANGEMENTS

- 11.1 Contract Types.** Any type of contract which is appropriate to the procurement and which will promote the best interests of the Agency may be used, **provided the cost - plus-a-percentage-of-cost and percentage-of-construction-cost methods are not used.** All solicitations and contracts shall include the clauses and provisions necessary to define the rights and responsibilities of both the contractor and the Agency. For all cost reimbursement contracts, the Agency must include a written determination as to why no other contract type is suitable. Further, the contract must include a ceiling price that the contractor exceeds at its own risk.
- 11.2 Options.** Options for additional quantities or performance periods may be included in contracts, provided that:
- 11.2.1** The option is contained in the solicitation;
 - 11.2.2** The option is a unilateral right of the Agency;
 - 11.2.3** The contract states a limit on the additional quantities and the overall term of the contract;
 - 11.2.4** The options are evaluated as part of the initial competition;
 - 11.2.5** The contract states the period within which the options may be exercised;
 - 11.2.6** The options may be exercised only at the price specified in or reasonably determinable from the contract; and
 - 11.2.7** The options may be exercised only if determined to be more advantageous to the Agency than conducting a new procurement.

12.0 CONTRACT CLAUSES

- 12.1 Contract Pricing Arrangements.** All contracts shall identify the contract pricing arrangement as well as other pertinent terms and conditions, as determined by the Agency.
- 12.2 Required Forms.** Additionally, the forms HUD-5369, 5369-A, 5369-B, 5369, 5370, 5370-C (Sections I and II); 51915; and 51915-A, which contain all HUD-required clauses and certifications for contracts of more than \$150,000, as well as any forms/clauses as required by HUD for small purchases, shall be used in all

corresponding solicitations and contracts issued by the Agency.

- 12.3 Required Contract Clauses:** The Agency shall ensure that each contract executed by the Agency contains the required contract clauses detailed within 2 CFR 200.326 and Appendix II.

13.0 CONTRACT ADMINISTRATION

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

14.0 SPECIFICATIONS

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

- 14.2 Limitation.** The following types of specifications shall be avoided:

- 14.2.1** geographic restrictions not mandated or encouraged by applicable Federal law (except for A/E contracts, which may include geographic location as a selection factor if adequate competition is available);
- 14.2.2** brand name specifications (unless the specifications list the minimum essential characteristics and standards to which the item must conform to satisfy its intended use).

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

15.0 APPEALS AND REMEDIES

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

- 15.2 Informal Appeals Procedure.** The Agency shall adopt an informal bid protest/appeal procedure for contracts of \$150,000 or less. Under these procedures, the bidder/contractor may request to meet with the appropriate Contract Officer.
- 15.3 Formal Appeals Procedure.** A formal appeals procedure shall be established for solicitations/contracts of more than \$150,000.
- 15.3.1 Bid Protest.** Any actual or prospective contractor may protest the solicitation or award of a contract for serious violations of the principles of this Policy. Any protest against a solicitation must be received before the due date for the receipt of bids or proposals, and any protest against the award of a contract must be received within ten (10) calendar days after the contract receives notice of the contract award, or the protest will not be considered. All bid protests shall be in writing, submitted to the Contracting Officer or designee, who shall issue a written decision on the matter. The Contracting Officer may, at his/her discretion, suspend the procurement pending resolution of the protest if the facts presented so warrant.
- 15.3.2 Contractor Claims.** All claims by a contractor relating to performance of a contract shall be submitted in writing to the Contracting Officer for a written decision. The contractor may request a conference on the claim. The Contracting Officer's decision shall inform the contractor of its appeal rights to the next higher level of authority in Agency. Contractor claims shall be governed by the Changes clause in the form HUD-5370.

16.0 ASSISTANCE TO SMALL AND OTHER BUSINESSES

- 16.1 Required Efforts.** Consistent with Presidential Executive Orders 11625, 12138, and 12432, and Section 3 of the HUD Act of 1968, all feasible efforts shall be made to ensure that small and minority-owned businesses, women's business enterprises, and other individuals or firms located in or owned in substantial part by persons residing in the area of the project are used when possible. Such efforts shall include, but shall not be limited to:
- 16.1.1** Including such firms, when qualified, on solicitation mailing lists;
- 16.1.2** Encouraging their participation through direct solicitation of bids or proposals whenever they are potential sources;
- 16.1.3** Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by such firms;
- 16.1.4** Establishing delivery schedules, where the requirement permits, which encourage participation by such firms;

- 16.1.5** Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce;
- 16.1.6** Including in contracts, to the greatest extent feasible, a clause requiring contractors, to provide opportunities for training and employment for lower income residents of the project area and to award subcontracts for work in connection with the project to business concerns which provide opportunities to low-income residents, as described in 24 CFR Part 135 (so-called Section 3 businesses); and
- 16.1.7** Requiring prime contractors, when subcontracting is anticipated, to take the positive steps listed above.
- 16.2 Goals.** Shall be established periodically for participation by small businesses, minority- owned businesses, women-owned business enterprises, labor surplus area businesses, and Section 3 business concerns in Agency prime contracts and subcontracting opportunities.
- 16.3 Definitions.**
- 16.3.1** A small business is defined as a business that is: independently owned; not dominant in its field of operation; and not an affiliate or subsidiary of a business dominant in its field of operation. The size standards in 13 CFR Part 121 should be used to determine business size.
- 16.3.2** A minority-owned business is defined as a business which is at least 51% owned by one or more minority group members; or, in the case of a publicly- owned business, one in which at least 51% of its voting stock is owned by one or more minority group members, and whose management and daily business operations are controlled by one or more such individuals. Minority group members include, but are not limited to Black Americans, Hispanic Americans, Native Americans, Asian Pacific Americans, Asian Indian Americans, and Hasidic Jewish Americans.
- 16.3.3** A women's business enterprise is defined as a business that is at least 51% owned by a woman or women who are U.S. citizens and who control and operate the business.
- 16.3.4** A "Section 3 business concern" is as defined under 24 CFR Part 135.
- 16.3.5** A labor surplus area business is defined as a business which, together with its immediate subcontractors, will incur more than 50% of the cost of performing the contract in an area of concentrated unemployment or underemployment, as defined by the DOL in 20 CFR Part 654, Subpart A, and in the list of labor surplus areas published by the Employment and Training Administration.

17.0 BOARD APPROVAL OF PROCUREMENT ACTIONS

- 17.1 Authority.** The Board appoints and delegates procurement authority to the Executive Director (ED) in the amount not to exceed \$100,000 and is responsible for ensuring that any procurement policies and procedures adopted are appropriate for the Agency. All procurements that exceed \$100,000 must have approval from the Board prior to award and/or contract execution.

18.0 DELEGATION OF CONTRACTING AUTHORITY

- 18.1 Delegation.** While the ED is responsible for ensuring that the Agency's procurements comply with this Policy, the ED may delegate in writing all procurement authority as is necessary and appropriate to conduct the business of the Agency.
- 18.2 Procedures.** Further, and in accordance with this delegation of authority, the ED shall, where necessary, establish operational procedures (such as a procurement manual or standard operating procedures) to implement this Policy. The ED shall also establish a system of sanctions for violations of the ethical standards described in Section 3.0 herein, consistent with Federal, State, or local law.

19.0 DOCUMENTATION

- 19.1 Required Records.** The Agency must maintain records sufficient to detail the significant history of each procurement action. These records shall include, but shall not necessarily be limited to, the following:
- 19.1.1** Rationale for the method of procurement (if not self-evident);
 - 19.1.2** Rationale of contract pricing arrangement (also if not self-evident);
 - 19.1.3** Reason for accepting or rejecting the bids or offers;
 - 19.1.4** Basis for the contract price (as prescribed in this handbook);
 - 19.1.5** A copy of the contract documents awarded or issued and signed by the Contracting Officer;
 - 19.1.6** Basis for contract modifications; and
 - 19.1.7** Related contract administration actions.
- 19.2 Level of Documentation.** The level of documentation should be commensurate with the value of the procurement.
- 19.3 Record Retention.** Records are to be retained for a period of three years after final payment and all matters pertaining to the contact are closed.

20.0 DISPOSITION OF SURPLUS PROPERTY

20.1 General. Property no longer necessary for the Agency's purposes (non-real property) shall be transferred, sold, or disposed of in accordance with applicable Federal, state, and local laws and regulations.

21.0 FUNDING AVAILABILITY

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

IX. ACTION DOCKET

X. OTHER BUSINESS

City Of Alexandria And ARHA Launch Public Consultation Process On Affordable Housing Policy

January 2nd 2018



In January 2018, the City of Alexandria and the Alexandria Redevelopment and Housing Authority will begin an effort to review and modernize their joint commitment to a policy requiring replacement of public housing and publicly-assisted units that are demolished or redeveloped.

This commitment, first memorialized in 1972 in a document known as Resolution 99 and then in 1981 in a document known as Resolution 830, also requires that ARHA and its development partners relocate public housing residents displaced by demolition and redevelopment activities. There are approximately 1,150 public and publicly-assisted housing units in Alexandria protected by Resolution 830.

Local and federal policies, programs, partners and funding sources have evolved significantly since Resolutions 99 and 830 were adopted. With several

ARHA properties planned for redevelopment in the next few years, the City and ARHA will undertake a community engagement process to consider current best practices, development and funding tools, and how they can be applied to future affordable housing development.

As part of the public consultation process, the City and ARHA have established the Resolution 830 Working Group, a diverse group of stakeholders who will help develop recommendations for consideration in spring 2018 by the ARHA Board of Commissioners and the Alexandria City Council. The public is encouraged to participate by attending meetings and providing input during public discussion periods. Questions and comments will also be taken throughout the public consultation process.

The first of four public meetings will be held Jan' 10, 2018, from 6:30 to 8:30 p.m., at the ARHA Administrative Building (401 Wythe St.) The meeting topic will be "Current Context of Public Housing Funding: Existing Resolution 830 Policy." For information about upcoming meetings, the Working Group, and Resolution 830, click [here](#).

Santa Dispenses Toys And Good Cheer At 8th Annual Winter Wonderland

December 21st 2017



Lyrik meets Santa at Winter Wonderland
(Photo: Wayne Hulehan)

The reindeer are resting at the North Pole and elves are packing the sleigh for Santa's round-the-world Christmas Eve trip. However, Santa took time out of his busy schedule and with the help of the Alexandria Fire Department came to the Charles Houston Recreation Center on Wednesday night to bring presents and smiles to hundreds of children who live in Alexandria Redevelopment and Housing Authority homes.



The Grinch was very popular with the kids.
(Photo: Wayne Hulehan)

Eight years ago a group of ARHA staff thought it would be a good idea to decorate vacant housing that was about to be redeveloped as an Alexandria Winter Wonderland. They built replicas of Alexandria landmarks and invited children from ARHA developments to tour the magical village and have a visit with Santa. Over the years, the village has grown as has the event, which now attracts volunteers who want to help.

Each child selects gifts and gets sweet treats to take home. Everyone had a wonderful time.

Winter Wonderland



[Winter Wonderland \(Photo: Wayne Hulehan\)](#)



Winter Wonderland (Photo: Wayne Hulehan)



Winter Wonderland (Photo: Wayne Hulehan)

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Winter Wonderland (Photo: Wayne Hulehan)



Winter Wonderland (Photo: Wayne Hulehan)



Winter Wonderland (Photo: Wayne Hulehan)

City Urges Caution During Dangerously Cold Temperatures

Updated 3:14 p.m. Fri, Jan 5

City of Alexandria and Alexandria Redevelopment and Housing Authority Launch Public Consultation Process on Affordable Housing Policy

Page updated on Jan 2, 2018 at 1:23 PM

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City of Alexandria and Alexandria Redevelopment and Housing Authority Launch Public Consultation Process on Affordable Housing Policy

For Immediate Release: December 29, 2017

In January 2018, the City of Alexandria and the Alexandria Redevelopment and Housing Authority (ARHA) will begin an effort to review and modernize their joint commitment to a policy requiring replacement of public housing and publicly-assisted units that are demolished or redeveloped.

This commitment, first memorialized in 1972 in a document known as Resolution 99 and then in 1981 in a document known as Resolution 830, also requires that ARHA and its development partners relocate public housing residents displaced by demolition and redevelopment activities. There are approximately 1,150 public and publicly-assisted housing units in Alexandria protected by Resolution 830.



Winter Wonderland (Photo: Wayne Hulehan)



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Winter Wonderland (Photo: Wayne Hulehan)



Winter Wonderland (Photo: Wayne Hulehan)

SHARE

Local and federal policies, programs, partners and funding sources have evolved significantly since Resolutions 99 and 830 were adopted. With several ARHA properties planned for redevelopment in the next few years, the City and ARHA will undertake a community engagement process to consider current best practices, development and funding tools, and how they can be applied to future affordable housing development.

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For media inquiries, contact Andrea Blackford, Senior Communications Officer, at andrea.blackford@alexandriava.gov or 703.746.3959.

The City of Alexandria is committed to compliance with the Americans with Disabilities Act, as amended. To request a reasonable accommodation, email gwen.lassiter@alexandriava.gov or call 703.746.4990, Virginia Relay 711. Language interpretation services will also be provided upon request.

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This news release is available at alexandriava.gov/101289.



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Welcome Mr. Pettigrew And Thank You Mr. Priest

December 1st 2017

alexandrianews.org Editorial

ALEXANDRIA
NEWS.org

 This news organization has a strong record of in-depth reporting with regard to the Alexandria Redevelopment and Housing Authority and we welcome Keith Pettigrew in his new role as the Chief Executive Officer of ARHA. He has already met with staff, the Residents Council and the Senior Residents Counsel and his goals include spending time at all ARHA properties and meeting more of the residents. Importantly, he also wants to meet with City officials to establish a closer working relationship. This will be critical as ARHA continues to redevelop and improve its properties in a manner that best suits the needs of ARHA and its residents, particularly in an era when federal funds for public housing are being cut.

The City has always understood that ARHA provides housing to some of Alexandria's neediest residents but the path to modernizing the housing stock while maintaining financial viability has not always run smooth. Mr. Pettigrew has a strong background in public housing, including with the city of New Orleans, and that experience will be put to use as

he tries to get the Andrew Adkins redevelopment back on track. ARHA is in the best financial situation that it has been in for many years and we trust that Mr. Pettigrew will keep it that way as he moves the agency forward. We wish him well.

We also wish his predecessor well and thank Mr. Priest for his role in getting ARHA on a firm financial footing with a long term financial plan in place. Just as meaningful, Mr. Priest turned the operative culture of ARHA around so that the needs and dignity of residents is respected. Mr. Priest presided over new scattered site housing development and mixed income redevelopments where residents of million dollar town homes live next to units occupied by public housing residents. His successes provide a model for how such authorities should be run and we urge Mr. Pettigrew to continue these practices as ARHA faces its new challenges.