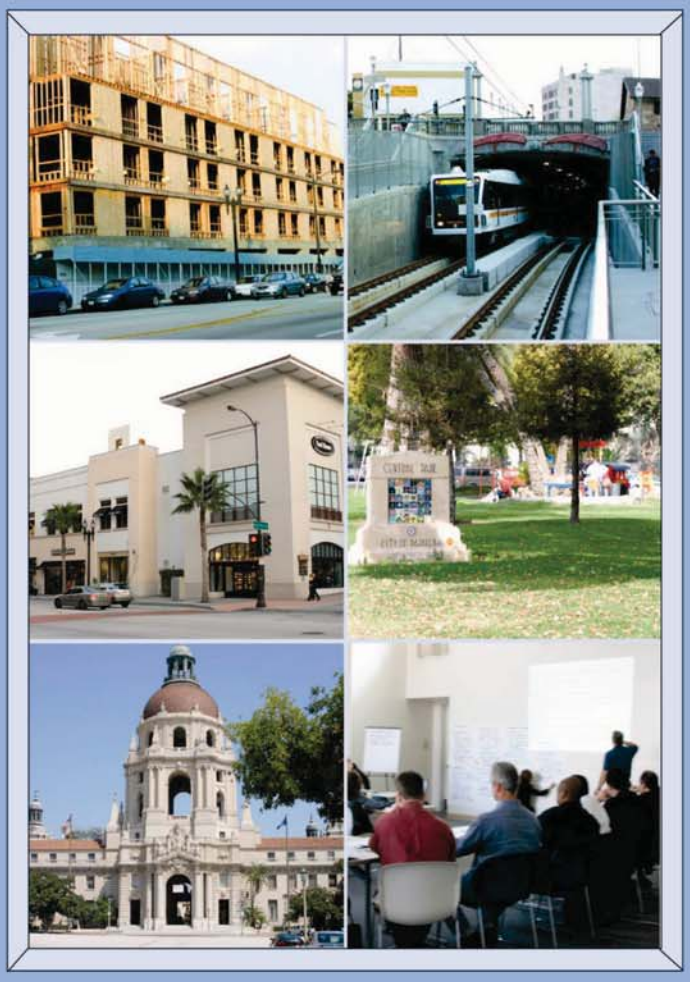
CITY OF PASADENA

CITY OF PASADENA HOUSING DEPARTMENT (CoPHD)

Public Housing Agency

5-Year Plan 2014-2019
Annual Plan 2014



PHA 5-Year and Annual Plan

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

OMB No. 2577-0226
Expires 4/30/2011

CITY OF PASADENA HOUSING DEPARTMENT (CoPHD)

PHA 5-Year Plan	2014 - 2019

Annual Plan for Fiscal Year 2014

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Five Year PHA Plan

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PHA Annual Plan

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Attachments

Required Submission:

- (Attachment A), *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (Attachment B) *Form HUD-50070, Certification for a Drug-Free Workplace*
- (Attachment C) *Form HUD-50071, Certification of Payments to Influence Federal Transactions*
- (Attachment D) *Form SF-LLL, Disclosure of Lobbying Activities*
- (Attachment E) *Form HUD-50077-SL, Certification by State or Local Office of PHA Plans Consistency with the Consolidated Plan*
- (Attachment F) *Resident Advisory Board (RAB) comments*
- (Attachment G) *Public Notices/Public Hearing Comments*
- (Attachment H) *City of Pasadena-Single Audit Report (Year ended June 30, 2013)*
- (Attachment I) *Housing Department Organization Chart*
- (Attachment J) *PHA-CDC Rental Assistance 2013 Administrative Plan-Chapter 20* Amendments

PHA 5-Year and Annual Plan	**U.S. Department of Housing and Urban Development Office of Public and Indian Housing**	**OMB No. 2577-0226 Expires 4/30/2011**

1.0 PHA Information

PHA Name: City of Pasadena PHA Code:CA079

PHA Type: ☐ Small ☒ High Performing ☐ Standard ☒ HCV (Section 8)

PHA Fiscal Year Beginning: (MM/YYYY): July 1, 2014

2.0 Inventory (based on ACC units at time of FY beginning in 1.0 above)

Number of PH units: 0 Number of HCV units: 1442

3.0 Submission Type

☒ 5-Year and Annual Plan ☐ Annual Plan Only ☐ 5-Year Plan Only

4.0 PHA Consortia ☐ PHA Consortia: (Check box if submitting a joint Plan and complete table below.)

Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program	
				PH	HCV
PHA 1:					
PHA 2:					
PHA 3:					

5.0 5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.

5.1 Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years:

The mission of the City of Pasadena Housing Department is the same as that of the Department of Housing and Urban Development: "To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.

All Pasadena residents have an equal right to live in decent, safe and affordable housing in a suitable living environment for the long-term well-being and stability of themselves, their families, their neighborhoods and their community. The housing vision for Pasadena is to maintain a socially and economically diverse community of homeowners and renters who are afforded this right.

5.2 **Goals and Objectives.** Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.

Goals and Objectives 2014-2019

- Goal: Improve the availability of Decent, Safe, and affordable Housing.
  Objective: Apply for additional rental vouchers.

- Goal: Improve the Quality of Assisted Housing.
  Objective: Maintain Section Eight Management Assessment Program (SEMAP) High Performance rating.

- Goal: Ensure integrity in Housing Programs.
  Objective: Utilize technology to increase our capacity to maintain program integrity. Housing Choice Voucher Open enrollment will utilize technology to reduce risk of exposing personal Information. CoPHD will continue to provide information regarding housing opportunities through its website and other printed materials (i.e. brochures), as well as at community forums.

- Goal: Continue to promote fair housing and equal opportunities.
  Objective: CoPHD will continue to provide training related to fair housing discrimination to employees, its owners and tenants at workshops and mailers.

PHA Plan Update

6.0 (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:

- **There have been no revisions to the PHA Plan since the last Annual Plan submission.**

(b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions.

City of Pasadena Housing Department's Main Administrative Office:

City of Pasadena
Housing Department
649 N. Fair Oaks Avenue, Suite 202
Pasadena, CA 91103

All Branches of the Pasadena Public Library:

• Central Library - 285 East Walnut,	744-4052
• Allendale – 1130 S. Marengo,	799-2519
• Hastings – 3325 Orange Grove,	792-0945
• Hill Avenue – 55 S. Hill,	796-1276
• Lamanda Park – 140 S. Altadena Drive,	793-5672
• La Pintoresca – 1355 N. Raymond,	797-1873
• Linda Vista – 1281 Bryant,	793-1808
• San Rafael – 1240 Nithsdale Road,	795-7974
• Santa Catalina – 999 E. Washington,	794-1219

6.0	**Other Locations:** City of Pasadena Office of the City Clerk 100 North Garfield Avenue, Room S228 Pasadena, CA 91109 **Community Facilities:** Jackie Robinson Center – 1020 North Fair Oaks, 791-7983 Villa-Park Neighborhood Center – 363 East Villa, 744-6530 Pasadena Senior Citizens Center – 85 East Holly, 795-4331 Victory Park Center – 2575 Paloma, 798-0865 El Centro de Accion Social, Inc.- 37 East Del Mar 792-3148

	PHA ANNUAL PLAN
7.0	**Project-Based Voucher Program** City of Pasadena Housing Department (CoPHD) implemented the Project-Based Voucher Program in 2003. CoPHD was approved by HUD to project–base up to 20% of CoPHD's Annual Contributions Contract (ACC) 1442 which is 288 tenant-based Section 8 Vouchers. This program links the Section 8 rental subsidy voucher to properties in exchange for the owner's agreement to rent some or all of the housing units to Section 8 tenants. The CoPHD has currently assisted 202 units under HAP contracts for the Project-Based Voucher Program. Most of which serve special needs households, such as the disabled, homeless and chronically homeless. If you have any other questions see Chapter 19, of the Housing Department's Administrative Plan. Current locations participating: • Woodbury Senior Apartments - 3 units • Villa Los Robles - 2 units • Centennial Place Apartments - 144 units • Orange Grove Gardens Apartments - 9 units • Hudson Oaks – 44 units Total: 202
8.0	**Capital Improvements. Not Applicable**
8.1	**Capital Fund Program Annual Statement/Performance and Evaluation Report. Not Applicable**
8.2	**Capital Fund Program Five-Year Action Plan. Not Applicable**
8.3	**Capital Fund Financing Program (CFFP). Not Applicable**

Financial Resources. A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.

Financial Resources: Planned Sources and Uses		
Sources	**Planned $**	**Planned Uses**
1. **Federal Grants (FY 2014 grants)**	N/A	
a) Public Housing Operating Fund	N/A	
b) Public Housing Capital Fund	N/A	
c) HOPE VI Revitalization	N/A	
d) HOPE VI Demolition	N/A	
e) Annual Contributions for Section 8 Tenant-Based Assistance	$12,894,259	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	N/A	
g) Resident Opportunity and Self-Sufficiency Grants	N/A	
h) Community Development Block Grant (CDBG)	$1,775,309	Economic Development; Youth Diversion; Housing Rehab; Family Empowerment; and Public Services Programs.
Other Federal Grants (list below)		
Shelter Plus Care (S+C) (3 years funds)	$744,490 $54,296 $56,742	Tenant-based rental assistance and supportive services for homeless person with disabilities (serious mental illness, HIV/AIDS, and substance abuse); administration.
Supportive Housing Program (SHP) (Euclid Villa)	$166,818	16 units of transitional housing coupled with supportive services for homeless families.
Supportive Housing Program (SHP) (Union Station Transitional Housing)	$124,423	Transitional housing & services for 20 homeless individuals.
Supportive Housing Program (SHP) (Permanent Housing for Persons with Disabilities) Hestia House	$240,187	To develop 8 units of permanent supportive housing for recovering substance abusers.
Supportive Housing Program (SHP) (Homeless Management Information Systems – HMIS)	$140,378	Grant awarded to develop and implement a HUD mandated HMIS service.

Financial Resources: Planned Sources and Uses		
Sources	**Planned $**	**Planned Uses**
Supportive Housing Program (SHP) (Serra Project)	$123,719 $108,818	Twelve (12) unit of scattered site housing for homeless families & individuals with HIV/AIDS.
Supportive Housing Program (SHP) (Navarro House)	$44,557	6 units of permanent supportive housing for homeless individuals.
Supportive Housing Program (SHP) (Casa Maria)	$158,367	Provide 14 beds of transitional housing for homeless women & children.
Emergency Shelter Grant (ESG)	$127,931	The provision of temporary emergency shelters, emergency hotel/motel vouchers and supportive services for the homeless.
HOME Affordable Housing Program (FY 2013 Grant)	$552,315	CHDO set aside, housing projects, administration.
4. Other Income (list below)		
HOPWA (City of Los Angeles)	$230,000	Tenant-based rental assistance for persons living with HIV/AIDS.
4. Non-federal sources (list below)		
Compliance Monitoring Fee	$74,999	Annual housing unit covenant compliance monitoring entailing both on-site visitation and tenant eligibility determination.
Total resources	***$17,617,608***	

9.0

Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.

Housing Needs:

- Continue marketing the Section 8 housing programs at local community and governmental activities to the general public.
- Market/assist Section 8 tenants to locate units outside of areas of poverty or minority concentration.
- Market the Section 8 program to owners outside of areas of poverty or minority concentration.
- Utilize Fair Housing and Resident Advisory Board to conduct presentation for the residents and the CoPHD participants.
- Provide free listing of affordable properties in the City of Pasadena.

Housing Needs of Families on the PHA's Waiting Lists

Waiting list type: (select one)

☒ Section 8 tenant-based assistance
☐ Public Housing
☐ Combined Section 8 and Public Housing
☐ Public Housing Site-Based or sub-jurisdictional waiting list (optional)
If used, identify which development/subjurisdiction:

	# of families	% of total families	Annual Turnover
Waiting list total	2070		
Extremely low income <=30% AMI	1765	85%	
Very low income (>30% but <=50% AMI)	305	15%	
Low income (>50% but <80% AMI)	0	0%	
		100%	
Families with children	564	27%	
Elderly families	731	35%	
Families with Disabilities	718	35%	
		97%	
Race/ethnicity White	1225	59%	
Race/ethnicity Black	722	35%	
Race/ethnicity Asian	100	4%	
Race/ethnicity Native	15	1%	
Race/ethnicity Pacific	8	1%	
		100%	

Is the waiting list closed (select one)? ☐ No ☒ Yes
If yes:
How long has it been closed (# of months)? **May 2008**
Does the PHA expect to reopen the list in the PHA Plan year? ☐ No ☒ Yes
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? ☒ No ☐ Yes

9.1

Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.**

1. Provide annual rental assistance for 1,450 extremely low and low-income households.
2. Establish and record long-term affordability covenants for all city-assisted units and inclusionary housing.
3. Support the City's fair housing plan that addresses the noted impediments to fair housing opportunities.
4. Promote a 95% Section 8 lease-up rate by utilizing an appropriate payment standard that enables families to rent units throughout the city.
5. Support the preservation of existing affordable rental housing units.
6. Promote and strengthen implementation of a comprehensive continuum of care strategy which includes outreach/assessment, coordination and collaboration of emergency shelters and transitional housing with support services, permanent service-enriched housing and permanent housing, for addressing homelessness and priority needs of homeless and at-risk individuals and families.
7. Promote and maintain continued participation by property owners in rental assistance programs.
8. Identify, leverage and effectively utilize all available funding sources (local and other) for affordable housing.
9. Promote a balanced geographic dispersal of assisted affordable housing developments including emergency shelters, transitional housing, service-enriched permanent housing, independent-living permanent housing, and associated supportive social services for individuals/households, throughout the City.

10.0 **Additional Information**. Describe the following, as well as any additional information HUD has requested.

(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan.

Progress in Meeting Goals and Objectives described in the 5 Years for Fiscal Years 2009-2013:

PCDC Goal: Expand the supply of assisted housing.
Objectives: Apply for additional rental vouchers.
Progress: In 2009 Pasadena had only 1315 vouchers, currently we have 1442 vouchers.

PCDC Goal: Improve the quality of assisted housing.
Objectives: Improve voucher management: (SEMAP score).
Progress: During FY 2009, 2010, 2011, 2012 and 2013 the SEMAP scores had rated City of Pasadena as a High Performer.

PCDC Goal: Increase assisted housing choices.
Objectives: Provide voucher mobility counseling.
Progress: We have increase our participating owners/landlords by 5%, even with the decrease in HUD's annual payment standards for the last 3 years.

PCDC Goal: Ensure Equal Opportunity in Housing for all Americans.
Objectives: Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability.
Progress: The City continued to provide information regarding housing opportunities through our website PasadenaHousingSearch.com, printed listing and as well as at community outreaches. The briefing packet for the Section 8 participants were updated monthly, to include the most up to date federal, state and local information on fair housing and equal opportunity.

Continued participation by the Resident Advisory Board (RAB) to allow program participants to be actively involved in the planning, programming and implementation of City's rental housing activities. The RAB ensures that appropriate actions are taken by the City of Pasadena to address the needs of program participants in their efforts to lease properties in the City.

Utilizing the Project Based Assistance (PBA) program to induce property owners to participate and make rental housing available to low income families (Section 8 Housing Choice Voucher Program participants). Through PBA, Pasadena shall encourage the creation of new affordable housing units and maintain the continued affordability of existing units. Currently, we have 202 PBA units leased.

Our next advertisement for open enrollment for Section 8 (Housing Choice Voucher Program) will require that all applicants apply on-line. This follows the process adopted by several other Housing agencies, including the counties of Los Angeles, Orange and Riverside. An email address will be required in order to submit a new application or to make updates to an existing application using the Online Section 8 Housing Voucher website. This has been deemed the most responsible way of ensuring the integrity and privacy of our customers' personal information, whereby reducing the risk of exposing personal information (security number, date of birth, etc.) for identify fraud. . Alternative methods, even some used by other agencies in California, can potentially leave our constituents at risk of having their personal information viewed or stolen. Requiring an email address will allow us to confirm the identity of the person logging on the system, and to communicate with them if necessary and to protect their personal information.

The CoPHD will continue to administer its programs in a manner that reflects its commitment to building better lives and better neighborhoods while maintaining program integrity and compliance with all applicable Federal, State and local housing regulations.

The CoPHD published "House Notes" a newsletter containing program updates and useful information for participants, and landlords/owners. The newsletters are published at least two times annually.

Housing Mediation Program that provides the opportunity for local residents (tenants, owners, managers) to resolve rental issues in an objective and constructive manner. These services are provided by the City through a contract with the Housing Rights Center (HRC). Free mediation services are available to foster early solutions to problems along with free phone consultations regarding Fair Housing issues. The Center supports and promotes freedom of residence through education, and they assist with basic questions about landlord and tenant rights and responsibilities. The HRC counselors provide clients with comprehensive information they can use to resolve those problems.

The CoPHD sets the payment standard at a level that is high enough to ensure that families are able to afford quality housing while also balancing the need to provide assistance to as many families as possible. HUD's annual Fair Market Rents have decreased for the last 3 years, however, Pasadena's payment standards has maintain comparable.

(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification" and "substantial deviation/modification".

NONE

Operation and Management.

The organization chart showing the CoPHD's management structure and organization:
See Attachment "I"

Section 8 Operation and Management rules, standards and polices are contained in the documents listed below:

- Rental Assistance Program Administrative Plan
- Shelter Plus Care (S+C) Action Plan
- Housing Opportunities for Persons with AIDS (HOPWA) Action Plan
- Consolidated Plan (2010 - 2014)
- Rental Assistance Program Policies and Procedures

Fiscal Year Audit. The results of the most recent fiscal year audit for the PHA.

City of Pasadena single Audit Report (Year ended June 30, 2013) was not required. Section 8 was not awarded ARRA Funds only Public Housing. (See Attachment "H")

11.0	**Required Submission for HUD Field Office Review.** In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. **Note:** Faxed copies of these documents will not be accepted by the Field Office. (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations* (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, *Certification for a Drug-Free Workplace* (PHAs receiving CFP grants only) (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions* (PHAs receiving CFP grants only) (d) Form HUD-50077-SL, *Certification by State or Local Office of PHA Plans Consistency with the Consolidated Plan* (e) Form SF-LLL, *Disclosure of Lobbying Activities* (PHAs receiving CFP grants only) (f) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet* (PHAs receiving CFP grants only) (g) Resident Advisory Board (RAB) comments. *Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.*

Attachments

Required Submission:

- (Attachment A) *Form HUD-50077, PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (Attachment B) *Form HUD-50070, Certification for a Drug-Free Workplace*
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- (Attachment G) *Public Notices/Public Hearing Comments*
- (Attachment H) *City of Pasadena-Single Audit Report (Year ended June 30,2013)*
- (Attachment I) *Housing Department Organization Chart*
- (Attachment J) *PHA-CDC Rental Assistance 2013 Administrative Plan - Chapter 20* Amendments

Attachment "A"

PHA Certifications of Compliance with PHA Plans and Related Regulations	U.S. Department of Housing and Urban Development Office of Public and Indian Housing Expires 4/30/2011

PHA Certifications of Compliance with the PHA Plans and Related Regulations:
Board Resolution to Accompany the PHA 5-*Year and Annual* PHA Plan

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the 5-Year and/ Annual PHA Plan for the PHA fiscal year beginning JULY 1, 2014, hereinafter referred to as" the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

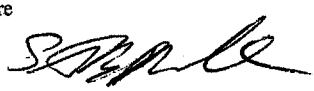
1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA certifies that there has been no change, significant or otherwise, to the Capital Fund Program (and Capital Fund Program/Replacement Housing Factor) Annual Statement(s), since submission of its last approved Annual Plan. The Capital Fund Program Annual Statement/Annual Statement/Performance and Evaluation Report must be submitted annually even if there is no change.
4. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
6. The PHA certifies that it will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. For PHA Plan that includes a policy for site based waiting lists:
   - The PHA regularly submits required data to HUD's 50058 PIC/IMS Module in an accurate, complete and timely manner (as specified in PIH Notice 2006-24);
   - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
   - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
   - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
   - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
9. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
10. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
11. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.

12. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
13. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
14. The PHA will provide the responsible entity or HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58 or Part 50, respectively.
15. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
16. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
17. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR Part 35.
18. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments), 2 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
19. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
20. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.
21. The PHA provides assurance as part of this certification that:
    (i) The Resident Advisory Board had an opportunity to review and comment on the changes to the policies and programs before implementation by the PHA;
    (ii) The changes were duly approved by the PHA Board of Directors (or similar governing body); and
    (iii) The revised policies and programs are available for review and inspection, at the principal office of the PHA during normal business hours.
22. The PHA certifies that it is in compliance with all applicable Federal statutory and regulatory requirements.

CITY OF PASADENA HOUSING DEPARTMENT — CA 079
PHA Name — PHA Number/HA Code

x 5-Year PHA Plan for Fiscal Years 2014- 2019, INCLUDING Annual PHA Plan for Fiscal Years 2014.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Title
MICHAEL J. BECK	CHIEF EXECUTIVE OFFICER
Signature	Date
	3/25/14

Attachment "B"

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

CITY OF PASADENA

Program/Activity Receiving Federal Grant Funding

SECTION 8 TENANT BASED RENTAL ASSISTANCE PROGRAM

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federalagency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Title
MICHAEL J. BECK	CHIEF EXECUTIVE OFFICER

Signature	Date
X	3/25/14

Attachment "C"

OMB Approval No. 2577-0157 (Exp. 01/31/2014)

Certification of Payments to Influence Federal Transactions

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

Applicant Name

CITY OF PASADENA

Program/Activity Receiving Federal Grant Funding

SECTION 8 TENANT BASED RENTAL ASSISTANCE PROGRAM

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

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

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

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

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

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Title
For MICHAEL J. BECK	CHIEF EXECUTIVE OFFICER
Signature	**Date (mm/dd/yyyy)**
SG for	11/7/13

Previous edition is obsolete **form HUD 50071** (3/98)

ref. Handbooks 7417.1, 7475.13, 7485.1, & 7485.3

Attachment "D"

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action:
[B] a. contract
b. grant
c. cooperative agreement
d. loan
e. loan guarantee
f. loan insurance

2. Status of Federal Action:
[A] a. bid/offer/application
b. initial award
c. post-award

3. Report Type:
[A] a. initial filing
b. material change
For Material Change Only:
year _____ quarter _____
date of last report _____

4. Name and Address of Reporting Entity:
[x] **Prime** [ ] **Subawardee**
Tier _____, if known:

Congressional District, if known: 29TH

5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:
CITY OF PASADENA
649 N. FAIR OAKS AVE SUITE 202
PASADENA, CA 91103

Congressional District, if known: 29TH

6. Federal Department/Agency:
U.S. Department of Housing & Urban Development

7. Federal Program Name/Description:
CFDA Number, if applicable: _____

8. Federal Action Number, if known:

9. Award Amount, if known:
$

10. a. Name and Address of Lobbying Registrant
(if individual, last name, first name, MI):
Carolyn Chaney & Associates
1212 New York Ave. NW, Suite 250
Washington, DC

b. Individuals Performing Services (including address if different from No. 10a)
(last name, first name, MI):

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature: [signature]
Print Name: for MICHAEL J. BECK
Title: CHIEF EXECUTIVE OFFICER
Telephone No.: 626-744-8305 Date: 11/7/13

Federal Use Only:

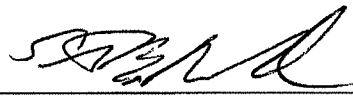
Authorized for Local Reproduction
Standard Form LLL (Rev. 7-97)

Attachment "E"

U.S. Department of Housing and Urban Development Office of Public and Indian Housing **Expires 4/30/2011** form (1/2009) OMB Approval No. 2577-0226

Certification by State or Local Official of PHA Plans Consistency with the Consolidated Plan

I, MICHAEL J. BECK the CHIEF EXECUTIVE OFFICER certify that the Five Year and Annual PHA Plan of the CITY OF PASADENA HOUSING DEPARTMENT is consistent with the Consolidated Plan of CITY OF PASADENA prepared pursuant to 24 CFR Part 91.



for Signed / Dated by Appropriate State or Local Official

Form HUD-50077-SL

Attachment "F"

PASADENA HOUSING AUTHORITY CDC
(PHA-CDC)

RESIDENT ADVISORY BOARD (RAB)

EXECUTIVE COMMITTEE MEETING

December 20, 2013

Housing Department
Renaissance Plaza
649 N. Fair Oaks Ave, Suite 202
Pasadena, CA 91103

AGENDA

I. Welcome and Introductions

II. Reports
- Chairperson
- Vice Chairperson
- Secretary

III. Next RAB Meeting on December 30, 2013

- Public Housing Agency (PHA) 5-Year Plan (2014-2019) & Annual Plan (2014)
- Updated 2013 Administrative Plan
- Presentations

IV. Recommendations for next RAB Meeting

V. Executive Committee Comments

VI. Adjournment

HOUSING DEPARTMENT

December 9, 2013

Dear: Program Participant

The Pasadena Housing Authority CDC (PHA-CDC) is in the process of preparing its Public Housing Authority (PHA) 5-Year Plan (2014-2019) and Annual Plan for fiscal year 2014, as required by the U.S. Department of Housing and Urban Development (HUD). PHA-CDC is requesting your participation in this planning process through your comments and recommendations regarding the PHA 5-Year Plan and Annual Plan.

The PHA 5-Year Plan is a five-year planning document which describes the mission of the PHA-CDC in serving the needs of low-income, very low income, and extremely low-income rental assistance program participants in the City of Pasadena. This plan outlines the PHA-CDC's long range goals and objectives for achieving the mission over the five year period.

Annual Plan describes PHA-CDC's immediate operations, program participants, programs/services, and the strategy for handling operational concerns of the Rental Assistance Programs for the upcoming fiscal year.

Both PHA 5-Year Plan and Annual Plan will be reviewed and discussed at the Resident Advisory Board (RAB) meeting on Monday, **December 30, 2013**, from 10:00 a.m. to 12:00 p.m. Renaissance Plaza Community Room, 649 North Fair Oaks Ave, Suite 203. The PHA-CDC extends an invitation to you to attend the RAB meeting.

However, your participation is strictly voluntary and your rental assistance will not be affected if you choose not to attend this meeting.

If you have any questions, please contact the PHA-CDC, at (626) 744-8300.

Sincerely,

Myrtle Dunson
Housing Assistance Officer
Housing Department

649 North Fair Oaks Avenue, Suite 202 · P.O. Box 7115 · Pasadena, CA 91109-7215
(626) 744-8300 Fax (626) 744-8340
www.cityofpasadena.net

PASADENA HOUSING AUTHORITY CDC
(PHA-CDC)

RESIDENT ADVISORY BOARD (RAB)
Annual RAB Meeting

10:00 A.M. - 12:00 P.M., Monday, December 30, 2013
Renaissance Plaza
649 N. Fair Oaks Ave, Suite 203
Pasadena, CA 91103

AGENDA

I. Call to Order - Welcome

II. Executive Committee Reports
Chairperson (Jacqueline Howard)
Vice Chairperson (Susan Grant)
Secretary (Lois Broughton)
Executive Committee Member (Michael Watkins)

- Last RAB Meeting (1/10/13)

III. New Business

Secretary Presentation (Lois Broughton)

- Identity Theft Information
- Evictions Information

Myrtle Dunson, Housing Assistance Officer

- Public Housing Agency (PHA) 5-Year Plan (2014-2019) & Annual Plan (2014)

IV. Recommendations and Comments

V. Next RAB Meeting and Suggested Agenda Items

Adjournment

Attachment "G"

PUBLIC NOTICE OF THE AVAILABILITY FOR REVIEW OF THE PUBLIC HOUSING AGENCY (PHA) FIVE YEAR PLAN FOR FISCAL YEARS 2014-2019, AND THE PHA ANNUAL PLAN FOR FISCAL YEAR 2014, FOR THE CITY OF PASADENA.

The City of Pasadena Housing Department ("City", formerly referred to as "Pasadena Community Development Commission" or "PCDC") announces that the Public Housing Agency (PHA) Five Year Plan (2014-2019), and the PHA Annual Plan (2014), for the City in compliance with the Quality Housing and Work Responsibility Act of 1998 (QHWRA), U.S. Department of Housing and Urban Development (HUD) PHA Plan Final Rule (24 CFR Part 903), Public and Indian Housing (PIH) Notice 2000-43, is available for public review.

The PHA Five Year Plan (2014-2019) is a five-year planning document which describes the mission of the City in serving the needs of low-income, very low income, and extremely low-income rental assistance program participants in the City of Pasadena. This plan outlines the City's long range goals and objectives for achieving the mission over the five year period.

The PHA Annual Plan (2014) describes the City's current operations, assesses housing assistance needs, housing stock conditions, and rental housing subsidy needs of lower income households for the upcoming fiscal year.

The City is extremely interested in improving and increasing communication with Pasadena's citizens in the area of housing. Comments on the plan are requested and encouraged.

The PHA Five Year Plan and the PHA Annual Plan will be available for public review at the following locations:

Housing Department:
649 North Fair Oaks Avenue, Suite 202
Pasadena, CA 91103
Office hours are: Monday & Tuesday between 8:00 a.m. - 1:00 p.m.
Wednesday & Thursday between 12: p.m. - 5:00 p.m.

Community Facilities*:

Jackie Robinson Center – 1020 North Fair Oaks	791-7983
Villa-Parke Neighborhood Center – 363 East Villa	744-6530
Pasadena Senior Citizens Center – 85 East Holly	795-4331
Victory Park Center – 2575 Paloma	798-0865
El Centro de Accion Social, Inc.- 37 East Del Mar	792-3148

All Branches of the Pasadena Public Library*:	
Central Library - 285 East Walnut	744-4052
Allendale – 1130 South Marengo	799-2519
Hastings – 3325 East Orange Grove	792-0945
Hill Avenue – 55 South Hill	796-1276
Lamanda Park – 140 South Altadena Drive	793-5672
La Pintoresca – 1355 North Raymond	797-1873
Linda Vista – 1281 Bryant	793-1808
San Rafael – 1240 Nithsdale Road	795-7974
Santa Catalina – 999 East Washington	794-1219

**Check these facilities for hours of availability*

The PHA Five Year Plan and the PHA Annual Plan will be considered by the City on March 17, 2014, and if adopted, will be submitted to the U.S. Department of Housing and Urban Development, shortly thereafter.

Comments in writing from the public on the PHA Five Year Plan and the PHA Annual Plan will be received by the City's Housing Department located at, 649 North Fair Oaks Avenue, Suite 202, Pasadena, CA from January 28, 2014 to March 17, 2014. If you have any questions call Myrtle Dunson, City of Pasadena, Housing Department, at (626) 744-8300.

Michael J. Beck, City Manager
100 North Garfield Avenue
Pasadena, CA 91109

Publish:

Approved as to Form:

BRAD L. FULLER
Assistant City Attorney

Publish Once:
Account Number: 8112 220 684210 50109

PHA: (626) 744-8300
FAX: (626) 744-8340

NOTICE TO THE PUBLIC OF A PUBLIC HEARING BY THE CITY OF PASADENA HOUSING DEPARTMENT TO CONSIDER THE APPROVAL OF THE PUBLIC HOUSING AGENCY (PHA) FIVE YEAR PLAN (2014-2019) AND THE PHA ANNUAL PLAN (2014).

In accordance with 24 Code of Federal Regulations, Part 903 et seq., as published by the U.S. Department of Housing and Urban Development (HUD) on December 22, 2000, in the Federal Register, Public and Indian Housing (PIH) Notice 2000-43, and the Quality Housing and Work Responsibility Act of 1998, the City of Pasadena Housing Department ("City", formerly referred to as "Pasadena Community Development Commission" or "PCDC") hereby gives notice that the Public Housing Agency (PHA) Five Year Plan (2014-2019), and the PHA Annual Plan (2014), will be considered for approval at a public hearing of the City on Monday, March 17, 2014 at 7:00 p.m., or as soon thereafter as the matter may be heard, in the Council Chambers, Room S249, at 100 North Garfield Avenue, Pasadena, California. The purpose of the public hearing is to obtain the views of citizens, service providers, participants, and interested individuals regarding the development of the PHA Five Year Plan (2014-2019), and the PHA Annual Plan (2014).

The PHA Five -Year Plan (2014-2019) is a five-year planning document which describes the mission of the City in serving the housing related needs of low-income, very low income, and extremely low-income rental assistance program participants in the City of Pasadena. This plan outlines the City's long range goals and objectives for achieving the mission over the five year period.

The PHA Annual Plan (2014) describes the City's current operations, assesses housing assistance needs, housing stock conditions, and rental housing subsidy needs of lower income households for the upcoming fiscal year.

Upon approval by the City, the PHA Five Year Plan (2014-2019), and the PHA Annual Plan (2014) will be submitted to HUD to ensure the City will continue to receive federal funds that benefit very low income individuals and households from the rental assistance programs. Rental Assistance Programs subsidies will be contingent upon the availability of funding to the City from HUD, as well as the preparation and submittal to HUD of the PHA Agency Plans.

ALL INTERESTED AGENCIES, GROUPS, OR INDIVIDUALS who wish to be heard on this matter are invited to attend this public hearing and speak to the City at the time and place stated. The City will consider approval of the PHA Five Year Plan (2014-2019), and the PHA Annual Plan (2014) at the public hearing after receiving testimony, oral or written.

If you have any questions or require information regarding the PHA Five Year Plan (2014-2019), and the PHA Annual Plan (2014), and/or the process, contact Myrtle Dunson, Housing Assistance Officer, at (626) 744-8300, or provide written comments to: Housing Department, 649 N. Fair Oaks Avenue, Suite 202, Pasadena, California 91103.

Michael J. Beck, City Manager
100 North Garfield Avenue
Pasadena, CA 91109

Approved as to Form:

BRAD L. FULLER
Assistant City Attorney

Publish:

Notice of Public Hearing

City Council

PUBLIC NOTICE OF THE AVAILABILITY FOR REVIEW OF THE PUBLIC HOUSING AGENCY (PHA) FIVE YEAR PLAN FOR FISCAL YEARS 2014-2019, AND THE PHA ANNUAL PLAN FOR FISCAL YEAR 2014, FOR THE CITY OF PASADENA.

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San Rafael - 1240 Nithsdale Road	795-7974
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Michael J. Beck, City Manager
100 North Garfield Avenue
Pasadena, CA 91109

January 30, 2014
Pasadena Weekly

Notice of Public Hearing

City Council

NOTICE TO THE PUBLIC OF A PUBLIC HEARING BY THE CITY OF PASADENA HOUSING DEPARTMENT TO CONSIDER THE APPROVAL OF THE PUBLIC HOUSING AGENCY (PHA) FIVE YEAR PLAN (2014-2019) AND THE PHA ANNUAL PLAN (2014).

In accordance with 24 Code of Federal Regulations, Part 903 et seq., as published by the U.S. Department of Housing and Urban Development (HUD) on December 22, 2000, in the Federal Register, Public and Indian Housing (PIH) Notice 2000-43, and the Quality Housing and Work Responsibility Act of 1998, the City of Pasadena Housing Department ("City", formerly referred to as "Pasadena Community Development Commission" or "PCDC") hereby gives notice that the Public Housing Agency (PHA) Five Year Plan (2014-2019), and the PHA Annual Plan (2014), will be considered for approval at a public hearing of the City on Monday, March 17, 2014 at 7:00 p.m., or as soon thereafter as the matter may be heard, in the Council Chambers, Room S249, at 100 North Garfield Avenue, Pasadena, California. The purpose of the public hearing is to obtain the views of citizens, service providers, participants, and interested individuals regarding the development of the PHA Five Year Plan (2014-2019), and the PHA Annual Plan (2014).

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Upon approval by the City, the PHA Five Year Plan (2014-2019), and the PHA Annual Plan (2014) will be submitted to HUD to ensure the City will continue to receive federal funds that benefit very low income individuals and households from the rental assistance programs. Rental Assistance Programs subsidies will be contingent upon the availability of funding to the City from HUD, as well as the preparation and submittal to HUD of the PHA Agency Plans.

ALL INTERESTED AGENCIES, GROUPS, OR INDIVIDUALS who wish to be heard on this matter are invited to attend this public hearing and speak to the City at the time and place stated. The City will consider approval of the PHA Five Year Plan (2014-2019), and the PHA Annual Plan (2014) at the public hearing after receiving testimony, oral or written.

If you have any questions or require information regarding the PHA Five Year Plan (2014-2019), and the PHA Annual Plan (2014), and/or the process, contact Myrtle Dunson, Housing Assistance Officer, at (626) 744-8300, or provide written comments to: Housing Department, 649 N. Fair Oaks Avenue, Suite 202, Pasadena, California 91103.

Michael J. Beck, City Manager

100 North Garfield Avenue
Pasadena, CA 91109

January 30, 2014
Pasadena Weekly

Public Hearing Comments:

On December 30, 2013, the Public Housing Agency (PHA) 2014 Annual Plan and PHA 5-Year Plan 2014-2019 ("Plans") were presented to the City of Pasadena Resident Advisory Board (RAB) for their comments and recommendations. Approximately 56 RAB members attended the scheduled meeting and recommended that the Plans as drafted be forward to the City for a public hearing on March 17, 2014. The RAB was in agreement with the Plans and no other comments were made at the meeting.

On March 3, 2014, the Plans were presented to the Economic Development and Technology Committee. The Economic Development and Technology Committee reviewed the Plans and recommended the Plans be forwarded to the City of Pasadena for a public hearing and approval.

On March 17, 2014, the Plans were presented to the City of Pasadena as Successor Agency to the Pasadena Community Development Commission for a public hearing. The City adopted the Plans and approved the submittal of the Plans to U.S. Department of Housing and Urban Development.

Attachment "H"

CITY OF PASADENA-SINGLE SINGLE AUDIT REPORT

(YEAR ENDED JUNE 30, 2013)

CITY OF PASADENA

SINGLE AUDIT REPORTS

YEAR ENDED JUNE 30, 2013

CITY OF PASADENA
PASADENA, CALIFORNIA
SINGLE AUDIT REPORT ON FEDERAL AWARDS
YEAR ENDED JUNE 30, 2013

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CERTIFIED PUBLIC ACCOUNTANTS

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STOCKTON, CA 95207
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PKF
REGISTERED with the Public Company Accounting Oversight Board and MEMBER of the American Institute of Certified Public Accountants

BROWN ARMSTRONG

Certified Public Accountants

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS*

To the Honorable City Council
City of Pasadena
Pasadena, California

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the City of Pasadena, California (City), as of and for the year ended June 30, 2013, and the related notes to the financial statements, which collectively comprise the City's basic financial statements, and have issued our report thereon dated November 8, 2013.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the City's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the City's internal control. Accordingly, we do not express an opinion on the effectiveness of the City's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

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

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the City's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the City's internal control and compliance. Accordingly, this report is not suitable for any other purpose.

BROWN ARMSTRONG
ACCOUNTANCY CORPORATION

Brown Armstrong
Accountancy Corporation

Bakersfield, California
November 8, 2013

BROWN ARMSTRONG
CERTIFIED PUBLIC ACCOUNTANTS

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4200 TRUXTUN AVENUE
SUITE 300
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BROWN ARMSTRONG

Certified Public Accountants

INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE FOR EACH MAJOR FEDERAL PROGRAM; REPORT ON INTERNAL CONTROL OVER COMPLIANCE; AND REPORT ON THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS REQUIRED BY OMB CIRCULAR A-133

To the Honorable City Council
City of Pasadena
Pasadena, California

Report on Compliance for Each Major Federal Program

We have audited the compliance of the City of Pasadena (the City) with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) Circular A-133 *Compliance Supplement* that could have a direct and material effect on the City's major federal programs for the year ended June 30, 2013. The City's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

The City's Management is responsible for compliance with the requirements of laws, regulations, contracts, and grants applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on the compliance for each of the City's major federal programs based on our audit. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards,* issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the City's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of the City's compliance.

Opinion on Each Major Federal Program

In our opinion, the City complied, in all material respects, with the requirements referred to above that have a direct and material effect on each of its major federal programs for the year ended June 30, 2013.

Other Matters

The results of our auditing procedures disclosed instances of noncompliance, which are required to be reported in accordance with OMB Circular A-133 and which are described in the accompanying schedule of findings and questioned costs as items 13-01 through 13-03. Our opinion on each major federal program is not modified with respect to these matters.

The City's responses to the noncompliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The City's responses were subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

Report on Internal Control Over Compliance

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

A *deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis.

A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs as items 13-01 through 13-03 to be significant deficiencies.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Report on Schedule of Expenditures of Federal Awards Required by OMB Circular A-133

We have audited the financial statements of the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the City as of and for the year ended June 30, 2013. We issued our report thereon dated November 8, 2013, which contained unmodified opinions on those financial statements.. Our audit was performed for the purpose of forming an opinion on the financial statements that collectively comprise the City's basic financial statements. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations,* and is not a required part of the basic financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain

additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the basic financial statements as a whole.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of OMB Circular A-133. Accordingly, this report is not suitable for any other purpose

BROWN ARMSTRONG
ACCOUNTANCY CORPORATION

Brown Armstrong
Accountancy Corporation

Bakersfield, California
November 27, 2013

CITY OF PASADENA
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
YEAR ENDED JUNE 30, 2013

	Federal Domestic Assistance Number		Program Identification Number	Program Expenditures	Amount Provided to Sub-Recipients
Department of Labor					
Passed through the State of California Employment Development Department					
Workforce Investment Act - Adult	17.258		K178656, K282471	$ 703,907	$ 71,890
Workforce Investment Act - Youth	17.259		K178656, K282471	860,090	3,163
Workforce Investment Act - Dislocated Worker	17.278		K178656, K282471	704,253	93,280
Workforce Investment Act - Rapid Response	17.278		K074137, K178656, K28471	246,331	-
Workforce Investment Act - Foster Youth	17.207		K178656, K282471	198,848	-
Workforce Investment Act - New Start 15% DW Aug	17.258		R970533	53,937	-
Workforce Investment Act - National Emergency Grant	17.277		K282471	206,140	-
Total Passed through State of California Employment Development Department				2,973,506	168,333
Passed through the County of Los Angeles					
Workforce Investment Act - County Youth	17.259		Y080905	33,082	-
Total Passed through County of Los Angeles				33,082	-
Passed through the City of Hawthorne					
Workforce Investment Act - National Emergency Grant	17.277		11W109	175,820	-
Total Passed through City of Hawthorne				175,820	-
Passed through the City of Inglewood					
Workforce Investment Act - CA Multi-Sector Partnership-25%	17.278		13WO60	31,162	-
Total Passed through City of Inglewood				31,162	-
Total Department of Labor				3,213,570	168,333
Department of Health and Human Services					
Direct Program					
Special Projects of National Significance	93.928		N/A	51,911	-
Total Direct Programs				51,911	-
Passed through the State of California Department of Health Services					
Immunization Subvention Funds	93.268		09-11288	58,504	-
Medi-Cal Administrative Claiming	93.778		04-35118	69,620	-
Centers for Disease Control and Prevention - TB Local Assistance	93.283		N/A	23,777	-
Child Lead Poison Prevention	93.197		95-6000759	107,609	-
MCH County and Comprehensive Prenatal Outreach	93.994		201061	143,450	-
MCH Block Infant	93.994		201061	170,556	-
Child Health and Disability Prevention Program - Gateway	93.778		None - Pasadena 63	190,595	-
Total Passed through the State of California Department of Health Services				764,111	-
Passed through the County of Los Angeles:					
Alcohol & Drug Abuse/Mental Health Services Block Grant - AODPS	93.992		H702536	86,266	-
Alcohol & Drug Abuse/Mental Health Services Block Grant - General Relief	93.992		H700118	27,289	-
AIDS HIV Early Intervention	93.914	*	H209212	1,980,252	-
Bio-Terrorism	93.069		H-701584	309,834	-
Total Passed through County of Los Angeles				2,403,641	-
Total Department of Health and Human Services				3,219,663	-

* Denotes a Major Program
N/A indicates that information is not available

See accompanying Notes to the Schedule of Expenditures of Federal Awards.

CITY OF PASADENA
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (Continued)
YEAR ENDED JUNE 30, 2013

	Federal Domestic Assistance Number		Program Identification Number	Program Expenditures	Amount Provided to Sub-Recipients
Department of Housing and Urban Development					
Direct Programs					
Community Development Block Grant Entitlement	14.218	*	N/A	1,421,272	309,154
Section 108 Loan - Fair Grove Shopping Center	14.248		N/A	359,711	-
Community Development Block Grant - ARRA	14.253	*	N/A	170,124	170,124
Homeless Prevention Rapid Re-Housing Program - ARRA	14.257		N/A	18,968	18,968
Section 8 Low Income Housing - Voucher Program	14.871	*	N/A	13,172,265	-
HOME - Investment in Affordable Housing	14.239		N/A	1,370,948	-
Shelter Plus Care	14.238		N/A	789,588	742,729
Emergency Shelter Grant Program	14.231		N/A	207,831	204,201
Supportive Housing	14.235	*	N/A	1,025,178	884,911
Total Direct Programs				18,535,885	2,330,087
Passed through the City of Los Angeles					
Home Opportunities for Persons with AIDS	14.241		C98522	27,759	-
Total Passed through the City of Los Angeles				27,759	-
Total Department of Housing and Urban Development				18,563,644	2,330,087
Department of Agriculture					
Direct Program					
Food Inspection Tablet Program	93.103		N/A	12,023	-
Total Direct Program				12,023	-
Passed through the State of California Department of Agriculture					
Supplemental Food Program for Women, Infants, and Children (WIC)	10.557	*	05-45781	1,047,119	-
Total Passed through the State of California Department of Agriculture				1,047,119	-
Total Department of Agriculture				1,059,142	-
Department of Homeland Security					
Direct Program					
FEMA/Grants Programs	97.044		EMW-2011-FO-06950	83,416	-
Total Direct Program				83,416	-
Passed through the County of Los Angeles					
FY 2009 State Homeland Security Grant Program	97.005		2009-0019, OES#37-00000	347,474	-
FY 2010 State Homeland Security Grant Program	97.005		2010-0019, OES#37-00000	551,196	-
FY 2011 State Homeland Security Grant Program	97.005		2011-0019, OES#37-00000	49,744	-
Total Passed through the County of Los Angeles				948,414	-
Passed through the City of Los Angeles					
FY 2009 Urban Areas Security Initiative	97.067		2009-0019, OES#37-95050	138,978	-
FY 2010 Urban Areas Security Initiative	97.067		2010-0019, OES#37-95050	358,782	-
FY 2011 Urban Areas Security Initiative	97.067		2011-0019, OES#37-95050	46,022	-
Total Passed through the City of Los Angeles				543,782	-
Total Department of Homeland Security				1,575,612	-
Department of Transportation					
Passed through the State of California Department of Transportation					
La Loma Bridge	20.205		HP21L-5064-(020)	419,350	-
Civic Center Mid-Town Public Improvements	20.500		RPSTPLE-5064(048)	181,831	-
East Colorado Blvd. Specific Plan	20.205		CML-5064(067)	55,629	-
Route 210 Freeway Soundwalls	20.205		HPLU-5064(058)	206,094	-
Preventative Maintenance Asphalt 2011-2015	20.205		RPSTPLE-5064(070)	93,385	-
Imprv Alley/Concr St 2011-2015	20.205		SRTSL-5064(071)	45,000	-
Pedestrian Safety Enhance@SI	20.205		HSIPL5064-(074)	41,349	-
LTSignal Phs Colo/OraGrv/Holly	20.205		HSIPL5064-(076)	12,716	-
TS Improve at Pas Ave/Walnut	20.205		HSIPL5064-(075)	29,910	-
Selective Traffic Enforcement Program	20.600		20253	154,661	-
UCB Sobriety Checkpoint Grant	20.600		SC12310	144,111	-
Safe Routes to School	20.205		SRTSLNI-5064(069)	14,655	-
Reconstruction of Eastside-Neighborhood and JPL Connector Trail	20.219		N/A	340	-
Lower Arroyo Trail Restoration	20.219		N/A	42,797	-
Sunset Overlook Trailhead Arena	20.219		N/A	131,695	-
Transit Planning Student Internship	20.505		145.SCF02025.01	11,784	-
Total Passed through the State of California Department of Transportation				1,585,307	-
Total Department of Transportation				1,585,307	-

* Denotes a Major Program
N/A indicates that information is not available

See accompanying Notes to the Schedule of Expenditures of Federal Awards.

CITY OF PASADENA
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (Continued)
YEAR ENDED JUNE 30, 2013

	Federal Domestic Assistance Number		Program Identification Number	Program Expenditures	Amount Provided to Sub-Recipients
Department of Energy					
Direct Programs					
Repair/Replace Existing Street Light System - ARRA	81.128	*	09-SC004851	48,787	-
Repair/Replace Existing Street Light System - ARRA	81.128	*	09-SC004851	127,811	-
Total Direct Programs				176,598	-
Total Department of Energy				176,598	-
Department of Justice					
Direct Programs					
Asset Forfeiture	16.000		CA0195300	394,323	-
Edward Byrne Memorial Justice Assistance Grant	16.738		2011-DJ-BX-1103	42,392	-
Total Direct Programs				436,715	-
Indirect Programs - Passed through the City of Los Angeles					
City of Los Angeles Recovery Act Justice Assistance Grant Project Award - ARRA	16.804		2009-SB-B9-2024	25,105	-
Total Indirect Programs - Passed through the City of Los Angeles				25,105	-
Total Department of Justice				461,820	-
Department of Treasury					
Direct Programs					
Asset Forfeiture	21.000		CA0195300	144,822	-
Total Direct Programs				144,822	-
Total Department of Treasury				144,822	-
U.S. Small Business Administration					
Direct Programs					
Small Business Administration Congressional Grant	59.059		SBAHQ-10-I-0270	16,220	-
Total Direct Programs				16,220	-
Total U.S. Small Business Administration				16,220	-
TOTAL FEDERAL ASSISTANCE PROGRAMS				$ 30,016,398	$ 2,498,420

* Denotes a Major Program
N/A indicates that information is not available

See accompanying Notes to the Schedule of Expenditures of Federal Awards.

CITY OF PASADENA
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
YEAR ENDED JUNE 30, 2013

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES APPLICABLE TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

A. Scope of Presentation

The accompanying schedule presents only the expenditures incurred by the City of Pasadena (the City) that are reimbursable under the programs of federal agencies providing financial assistance. For the purposes of the schedule, financial assistance includes both federal financial assistance received directly from a federal agency, as well as federal funds received directly by the City from a non-federal agency or other organization. Only the portions of program expenditures reimbursable with such federal funds are reported on the accompanying schedule. Program expenditures in excess of the maximum federal reimbursement authorized or the portion of the program expenditures that were funded with state, local, or other non-federal funds are excluded from the accompanying schedule.

B. Basis of Accounting

The expenditures included in the accompanying schedule were reported on the modified accrual basis of accounting. Under the modified accrual basis of accounting, expenditures are incurred when the City becomes obligated for payment as a result of the receipt of the related goods and services. Expenditures reported included any property or equipment acquisitions incurred under the federal program.

C. Sub-recipients

During the fiscal year ended June 30, 2013, the City disbursed $2,498,420 to sub-recipients to be used for the federally allowable expenditures in accordance with grant agreements.

NOTE 2 – RECONCILIATION OF THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

The following is a reconciliation between the Schedule of Expenditures of Federal Awards to Operating Grants and Contributions and Capital Grants and Contributions as presented in the City's Comprehensive Annual Financial Report:

Operating Grants and Contributions	$ 37,234,620	
Capital Grants and Contributions	22,872,873	
Total Grants and Contributions from Governmental Activities per the City's Comprehensive Annual Financial Report		$ 60,107,493
Adjustments:		
Net increase in deferred revenues between fiscal year 2012 and fiscal year 2013 due to changes in eligibility		1,527,160
Net unbilled expenses due to timing differences		(162,925)
Grants from the State of California and other entities recorded as Operating and Capital Grants and Contributions in accordance with accounting principles generally accepted in the United States of America (GAAP)		32,033,281
Non-grant amounts received from the Federal Emergency Management Agency		674,912
Miscellaneous program income and other adjustments		(751,543)
Workforce Investment Act amounts reported in agency funds		(3,229,790)
Net Adjustments between the Schedule of Expenditures of Federal Awards and Grant Contributions		30,091,095
Total Expenditures of Federal Awards		$ 30,016,398

NOTE 3 – CLUSTER INFORMATION

Presented in this note are only grants that are clustered under Part 5 of the *Compliance Supplement* to OMB Circular A-133, and all grants are not presented.

Federal CFDA	Program Title	Federal Expenditures
Community Development Block Grants (CDBG) - Entitlement Grants Cluster		
Direct Programs		
14.218	Community Development Block Grants/Entitlement Grants	$ 1,421,272
14.253	Community Development Block Grants ARRA Entitlement Grants (CDBG-R) - (Recovery Act Funded)	170,124
Total CDBG - Entitlement Grants Cluster		$ 1,591,396
Housing Voucher Cluster		
Direct Programs		
14.871	Section 8 Housing Choice Vouchers	$ 13,172,265
Total Housing Voucher Cluster		$ 13,172,265

NOTE 3 – CLUSTER INFORMATION (Continued)

Federal CFDA	Program Title	Federal Expenditures
Justice Assistance Grant (JAG) Program Cluster		
Direct Programs		
16.738	Edward Byrne Memorial Justice Assistance Grant (JAG) Program / Grants to Units of Local Government	$ 42,392
Passed Through the City of Los Angeles		
16.804	City of Los Angeles Recovery Act Justice Assistance Grant Project Award - ARRA	25,105
Total JAG Program Cluster		$ 67,497
Employment Service Cluster		
Passed Through the State of California Economic Development Department		
17.207	Employment Service	$ 198,848
Total Employment Service Cluster		$ 198,848
Workforce Investment Act (WIA) Cluster		
Passed Through the State of California Employment Development Department		
17.258	Workforce Investment Act - Adult	$ 703,907
17.259	Workforce Investment Act - Youth	860,090
17.278	Workforce Investment Act - Dislocated Worker	704,253
17.278	Workforce Investment Act - Rapid Response	246,331
17.258	Workforce Investment Act - New Start 15% DW Aug	53,937
17.278	Workforce Investment Act - National Emergency Grant	206,140
Passed Through the County of Los Angeles		
17.259	Workforce Investment Act - County Youth	33,082
Passed Through the City of Inglewood		
17.278	Workforce Investment Act - CA Multi-sector Partnership 25%	31,162
Passed Through the City of Hawthorne		
17.277	Workforce Investment Act - National Emergency Grant	175,820
Total WIA Cluster		$ 3,014,722
Highway Planning and Construction Cluster		
Passed Through the State of California Department of Transportation		
20.205	La Loma Bridge	$ 419,350
20.205	East Colorado Blvd. Specific Plan	55,629
20.205	Route 210 Freeway Soundwalls	206,094
20.205	Preventive Maintenance - Asphalt St-2011-2015	93,385
20.205	Imprv Alley/Concr St 2011-2015	45,000
20.205	Pedestrian Safety Enhance@SI	41,349
20.205	LTSignal Phs Colo/OraGrv/Holly	12,716
20.205	TS Improve at Pas Ave/Walnut	29,910
20.205	Safe Routes to School	14,655
20.219	Reconstruction of Eastside-Neighborhood &JPL Connector Trail	340
20.219	Lower Arroyo Trail Restoration	42,797
20.219	Sunset Overlook Trail Arena	131,695
Total Highway Planning and Construction Cluster		$ 1,092,920

NOTE 3 – CLUSTER INFORMATION (Continued)

Federal CFDA	Program Title	Federal Expenditures
Federal Transit Cluster		
Passed Through the State of California Department of Transportation		
20.500	Civic Center Mid-Town Public Improvements	$ 181,831
Total Federal Transit Cluster		$ 181,831
Highway Safety Cluster		
Passed Through the State of California Department of Transportation		
20.600	Selective Traffic Enforcement Program	$ 154,661
20.600	UCB Sobriety Checkpoint Grant	144,111
Total Highway Safety Cluster		$ 298,772
Medicaid Cluster		
Passed Through the State of California Department of Health Service		
93.778	Child Health and Disability Prevention Program - Gateway	$ 190,595
93.778	Medi-Cal Administrative Claiming	69,620
Total Medicaid Cluster		$ 260,215

NOTE 4 – LOAN OUTSTANDING

At June 30, 2013, an outstanding loan under the U.S. Department of Housing and Urban Development – Section 108 program was $350,000. Amounts expended under the U.S. Department of Housing and Urban Development – Community Development Block Grant program were $359,711 for fiscal year 2013. Amounts expended from the loan proceeds are reflected in the accompanying Schedule of Expenditures of Federal Awards.

NOTE 5 – SUBSEQUENT EVENTS

Subsequent events have been evaluated as of November 27, 2013, the date when the single audit report was issued and there are no subsequent events requiring disclosure.

CITY OF PASADENA
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
YEAR ENDED JUNE 30, 2013

A. Summary of Auditor's Results

A. Summary of Auditor's Results

Financial Statements:		
Type of auditor's report issued	Unmodified	
Internal control over financial reporting:		
Material weakness(es) identified?	___ Yes	_X_ No
Significant deficiencies identified not considered to be a material weakness?	___ Yes	_X_ No
Noncompliance material to financial statements noted?	___ Yes	_X_ No
Federal Awards:		
Internal control over major programs:		
Material weakness(es) identified?	___ Yes	_X_ No
Significant deficiencies identified not considered to be a material weakness? (See items 13-01 through 13-03)	_X_ Yes	___ No
Type of auditor's report issued on compliance for major programs:	Unmodified	
Any audit findings disclosed that are required to be reported in accordance with OMB Circular A-133, Section .510(a)?	_X_ Yes	___ No

Identification of Major Programs:

CFDA Number(s)	Name of Federal Program or Cluster
10.557	Special Supplemental Nutrition Program for Women, Infants, and Children
14.218, 14.253	CDBG - Entitlement Grants
14.235	Supportive Housing Program
14.871	Housing Voucher Cluster
81.128	Energy Efficiency and Conservation Block Grant
93.914	AIDS HIV Early Intervention

Dollar threshold used to distinguish between Type A and Type B programs	$ 900,492	
Auditee qualified as low-risk auditee?	_X_ Yes	___ No

B. Findings Related to the Financial Statements which are Required to be Reported in Accordance with Generally Accepted Government Auditing Standards

None.

C. Findings and Questioned Costs for Federal Awards as Defined in Paragraph .510(a) of OMB Circular A-133

13-01 – Supportive Housing – CFDA #14.235

Federal Agency's Name: Department of Housing and Urban Development (HUD)
Passed-Through Entity's Name: N/A
Questioned Costs: None

Criteria/Specific Requirement Including Statutory Regulation/Citation for the Finding

The March 2013 OMB Circular A-133 *Compliance Supplement* states that the HUD-40118 Annual Progress Report (OMB No. 2506-0145) is due from each grantee 90 days after the end of each operating year. The United States Department of Housing and Urban Development (HUD) Grantee Monitoring Handbook, Chapter 2 also stipulates that this report is due 90 days after the end of the operating year(24 CFR 583.400(b)).

Finding

During our review of the Annual Progress Reports, we noted that the sub-recipients were not submitting their reports within the required 90 days after the end of the operating year. This condition existed with three of the five Annual Progress Reports that we reviewed.

Recommendation

We suggest that the Annual Progress Reports submission should be properly monitored and reports to be timely submitted to adhere to the compliance requirements.

Management's Comments Regarding Corrective Actions Planned

The City agrees with this finding. The Annual Progress Reports (APRs) have been submitted past due date owing to challenges that providers have had in synchronizing HMIS data with required APR data elements. This has been primarily a training issue. Staff have been working with providers and provided technical assistance. Moving forward, the first draft APRs will be required to be submitted to the City within two (2) weeks of program year end to ensure that all issues will be resolved prior to the APR due date.

13-02 – Community Development Block Grant – CFDA # 14.218 and CFDA #14.253

Federal Agency's Name: Department of Housing and Urban Development (HUD)
Passed-Through Entity's Name: N/A
Questioned Costs: None

Criteria/Specific Requirement Including Statutory Regulation/Citation for the Finding

The March 2013 OMB Circular A-133 *Compliance Supplement* states that HUD 60002 Section 3 reports are to be submitted annually. Additionally, Consolidated Annual Performance and Evaluation Report (CAPER) is required to be submitted within 90 days at the end of the Program year and is required to contain the C04PR03 report in addition to the C04PR26 report.

Finding

During our review of 2013 CDBG program no evidence of submission of the HUD 60002 Section 3 report was provided. Additionally, the CAPER was submitted late and did not include all the required components.

Recommendation

We suggest that the CDBG program to be properly monitored for complete and timely submission of the required reports to adhere to the compliance requirements.

Management's Comments Regarding Corrective Actions Planned

The City agrees with this finding. To supplement staff capacity, the Housing Department has retained additional consultant services to work with management to develop and implement a monitoring schedule to ensure that required reports are submitted in compliance with requirements.

13-03 – Community Development Block Grant – CFDA # 14.218 and CFDA #14.253

Federal Agency's Name: Department of Housing and Urban Development (HUD)
Passed-Through Entity's Name: N/A
Questioned Costs: None

Criteria/Specific Requirement Including Statutory Regulation/Citation for the Finding

The March 2013 OMB Circular A-133 *Compliance Supplement* requirements for sub-recipient monitoring state that the pass-through entity is responsible for monitoring the sub-recipient's use of Federal awards through reporting, site visits, regular contact, or other means to provide reasonable assurance that the sub-recipient administers Federal awards in compliance with laws, regulations, and the provisions of contracts or grant agreements and that performance goals are achieved. Per review of the City's guidelines, all sub-recipients are monitored on an annual basis.

Finding

During our review of programmatic sub-recipients monitoring for CDBG programs, out of four sub-recipients that we reviewed no evidence of monitoring was provided for two of them.

Recommendation

We suggest that programmatic sub-recipients monitoring to be done and documented on a regular basis for ensuring all appropriate monitoring procedures are performed to adhere to the compliance requirements.

Management's Comments Regarding Corrective Actions Planned

The City agrees with this finding. To supplement staff capacity, the Housing Department has retained additional consultant services to work with management to develop and implement sub-recipient monitoring procedures and a schedule to ensure that required monitoring is performed in compliance with requirements.

CITY OF PASADENA
SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS
YEAR ENDED JUNE 30, 2013

The following is the status of prior audit findings:

12-01 – Accounts Payable

During our testing of unrecorded liabilities, we selected a sample of forty (40) material cash disbursements that occurred subsequent to fiscal year-end and reviewed support to ensure that they were accrued in accordance with accounting requirements. The results of our testing showed the following:

- One (1) of the forty (40) disbursements was not adequately accrued. The total of the disbursement totaled $97,424.30.
- One (1) of the forty (40) disbursements lacked sufficient support. The total of the disbursement totaled $155,925.

Recommendation

We recommend that the City's Accounts Payable Division (AP) enter the activity periods for each invoice received into the City's accounting software, PeopleSoft. This provides the Finance Department the ability to do query searches based on activity date to assist in its determination of accounts payable completeness and accuracy. In addition, we recommend that the Accounts Payable Division actively seek to maintain complete records of its transactions.

Management's Comments Regarding Corrective Actions Planned

In conjunction with the Accounting Division, Accounts Payable establishes a cut-off date to receive and process invoices from the previous fiscal year. The AP staff works diligently with departments to make sure that invoices are submitted in timely. Going forward, amendments have been made to the Accounts Payable end-of-year process in order to more effectively capture all accruable expenses. Accounts Payable has taken steps to extend the initial accrual cut-off date as well as provide for a longer accrual period following the initial cut-off date. Also, with the implementation of AvidXchage, the City's new electronic invoice routing system, AP staff will be able to track invoices more efficiently.

Specifically, in reference to the $155,925 disbursement, which was a reimbursement to the Pasadena Unified Court for state mandated fees collected by the City of Pasadena, the documentation provided for these types of transactions furnish a breakdown of the number of citations and the amounts collected for various penalties. This court payment breakdown document is signed by the Municipal Services supervisor and countersigned by the City Treasurer. For future payment requests, Accounts Payable has requested the Treasury division to submit the corresponding report that is generated from the parking system as back-up documentation to be attached to its request for payment. Accounts Payable will continue to require sufficient back-up documentation from departments for all invoices and other payment request.

With respect to the auditor's recommendation to enter the activity periods for each invoice received into the City's accounting software, this function is currently not available in PeopleSoft. The City is presently soliciting proposals to engage a new ERP system citywide. Accounts Payable will explore the options to accomplish the purpose of the auditor's recommendation in the course of implementing the new accounting system.

Current Year Status

Item completed. The City has extended the initial cut-off periods used to accrue expensed into the correct fiscal year. Accounts Payable continues to work diligently to verify that all invoices meet the requirements of the City's approval process and are accrued to the correct accounting period.

12-02 – Personnel File Requirements

To test the City's controls over payroll, we selected a sample of forty (40) City employees. During our analysis, we noted four (4) out of forty (40) employees selected for testing did not have documents validating information on their I-9 forms.

Reform and Control Act of 1986 (IRCA) requires that all employers verify the employment eligibility and identity of all employees hired to work in the United States after November 6, 1986. Compliance with IRCA is documented through the completion and maintenance of Employment Eligibility Form I-9.

Recommendation

While new Personnel File Requirements have been developed over time and firmly implemented within the past four years (per discussion with Human Resources Manager), there are no monitoring procedures within the Human Resources Department for personnel files that have missing requirements. To ensure federal compliance of the IRCA, we suggest that the City actively seek to maintain complete records for each City employee. We suggest that monitoring procedures be developed and implemented which will periodically review personnel files for missing required documents (Form I-9 and copies of the supporting documents).

Management's Comments Regarding Corrective Actions Planned

The City agrees with the recommendation and will implement it.

Current Year Status

The City believes this item has been completed.

With regard to I-9 completion and retention, the Human Resources Department has improved our quality control in recent years. The I-9 form is part of the new hire onboarding process before an employee can begin working for the City of Pasadena, and a trained Human Resources staff person assists with completion of the form and verifies the validating documentation. Based on the prior audit, we also modified our retention methods and initiated a process to ensure compliance for longer-term employees. All I-9 forms were removed from employee personnel files and were compiled in a central location in the Human Resources Department. A review of each current employee's I-9 form and supporting documentation was conducted, and those with missing information were contacted and asked to bring appropriate documentation to Human Resources. We believed this brought us into 100% compliance, but it appears that one long-term employee was overlooked.

In response, we will undertake another comprehensive audit of I-9 forms for all current City of Pasadena employees to ensure that the form is complete and the copies of the supporting documentation are present.

12-03 – AIDS HIV Early Intervention – CFDA #93.915

Federal Agency's Name: Department of Health and Human Services
Passed-Through Entity's Name: County of Los Angeles
Questioned Costs: None

Criteria/Specific Requirement Including Statutory Regulation/Citation for the Finding

The County of Los Angeles Public Health, Pass-through Agency, requires verification of the client's Los Angeles County residency and income shall be conducted on an annual basis. These requirements include the maintenance of documentation necessary to support eligibility re-determinations.

Finding

To test the controls over eligibility determination, we selected a sample of forty (40) case files at the City's Public Health Department. During our review, we noted that:

- Thirteen (13) case files did not have eligibility screening re-redeterminations completed in the required timely manner.
- Sixteen (16) case files did not contain support for the eligibility screening re-determination to show that eligibility determination was completed in the required timely manner.

Recommendation

We suggest that the City strengthen its eligibility determination procedures and take steps to ensure that proper documentation is kept for it in the case file.

Management's Comments Regarding Corrective Actions Planned

The City is taking additional steps to ensure that the files are adequately maintained to support eligibility requirements. These steps include:

1. The Front Office Staff, which are the case managers for every AIDS client, will be required to complete the eligibility screening and obtain copies of the required documents for every case (file) assigned to them.
2. The Program Director or Intake Specialist is required to complete an AIDS File Review once eligibility screening is completed by Front Office Staff.
3. The Front Office Staff will check for annual eligibility screenings prior to the receipt of any services.

Current Year Status

Items completed. The Health Department created a registration packet for all clients. Within these packets are requested items that help determine eligibility. These registration packets are filed into the patient chart. Before the client can see a provider, the medical assistant reviews the chart to determine whether the client has been verified for eligibility or not.

12-04 – Supportive Housing – CFDA #14.235

Federal Agency's Name: Department of Housing and Urban Development (HUD)
Passed-Through Entity's Name: N/A
Questioned Costs: None

Criteria/Specific Requirement Including Statutory Regulation/Citation for the Finding

The June 2012 OMB Circular A-133 *Compliance Supplement* states HUD may provide grants to pay for a portion of the actual operating costs of supportive housing. Assistance for operating costs is available for up to 75% of the total costs in each year of the grant. The non-Federal entity (sub-recipient) must pay with its own funds the percentage of the actual operating costs not funded by HUD. At the end of each operating year, the non-Federal entity must demonstrate that it has met its share of the costs for that year (24 CFR Section 583.125). Beginning with 1999 grants, all funding for supportive services must be matched by 25% funding from non-Federal entity (Pub. L. No. 105-276).

Finding

During our review of the "cash match" reports, we noted that sub-recipients were not matching the 25% match requirement.

Recommendation

We suggest that the required matching from the sub-recipients for the support services funding should be properly implemented to adhere to the compliance requirements.

Management's Comments Regarding Corrective Actions Planned

Sub-recipients matching for the support services funding has been properly implemented in the monthly match report in fiscal year 2012-13.

Current Year Status

This item is completed. The corrective actions planned have been implemented, bringing us into compliance.

12-05 – Community Development Block Grant – CFDA #14.218

Federal Agency's Name: Department of Housing and Urban Development
Passed-Through Entity's Name: N/A
Questioned Costs: None

Criteria/Specific Requirement Including Statutory Regulation/Citation for the Finding

The June 2012 OMB Circular A-133 *Compliance Supplement* requirements for sub-recipient states that the pass-through entity is responsible for monitoring the sub-recipient's use of Federal awards through reporting, site visits, regular contact, or other means to provide reasonable assurance that the sub-recipient administers Federal awards in compliance with laws, regulations, and the provisions of contracts or grant agreements and that performance goals are achieved. It requires the follow-up to ensure corrective action is taken for the noted deficiencies.

Finding

During our review of the sub-recipient monitoring, we noted the City did not follow up with findings issued for corrective action. The City risks noncompliance with sub-recipient requirements as set forth in accordance with U.S. Department of Housing and Urban Development guidelines (specifically the Community Program Development Grantee Monitoring Handbook, Chapter 2 as well as 24, CFR 570 et seq.).

Recommendation

We suggest that the required matching from the sub-recipients for the support services funding should be properly implemented to adhere to the compliance requirements.

Management's Comments Regarding Corrective Actions Planned

The corrective action was requested as necessary from sub-recipient. The City will develop a checklist or log to document the issues and resolutions resulting from the monitoring.

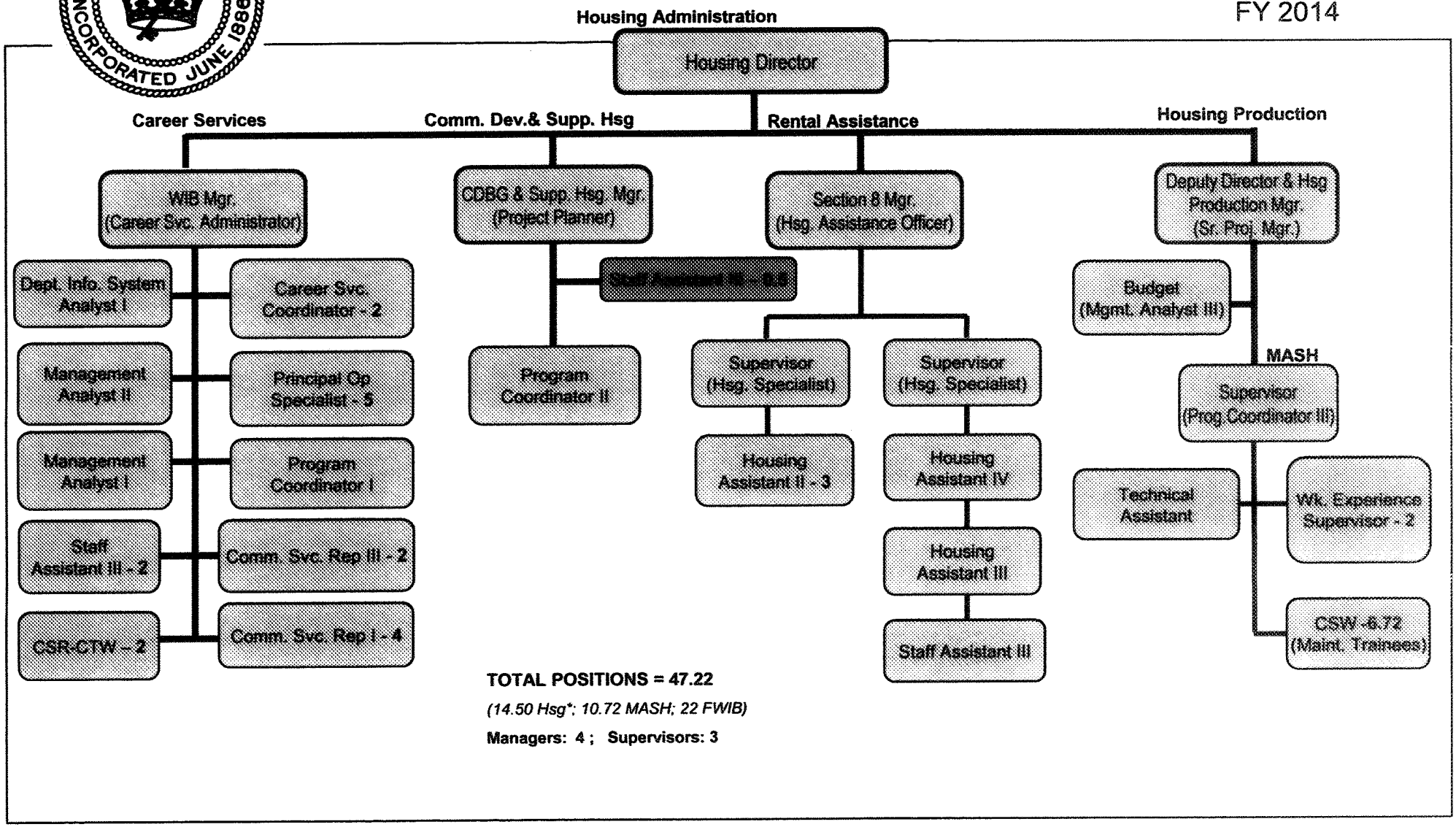
Current Year Status

This item is completed. The corrective actions planned have been implemented, bringing us into compliance.

Attachment "I"

HOUSING & CAREER SERVICES DEPARTMENT

FY 2014



Attachment "J"

City of Pasadena Housing Department
Rental Assistance Program
2013 Administrative Plan

Chapter 20 - Page 20-7

HOME Tenant-Based Rental Assistance Program (24 CFR 92.209)

The HOME Tenant-Based Rental Assistance (TBRA) has been discontinued due to federal funding reductions. HOME TBRA may be reinstated in a future program years utilizing new or past eligibility criteria if funding allows. Existing program participants who remain in good standing will be able to continue participation until their 24 months assistance period is completed. For these participants, the program will be operated as noted below.

The overall objective of HOME (TBRA) is to provide rental subsidies to very low-income individuals and families with special circumstances, who reside or are employed in the City of Pasadena. Special circumstances recognized by the CoPHD are: involuntarily displaced due to government action, involuntarily displaced as a result of a health or safety hazard cited by the City of Pasadena, victim of domestic violence, at risk for homelessness due to a crisis situation, and homelessness due to loss of job or other event beyond the persons' control. Applicants will be referred to the CoPHD by a supportive service agency or by the City of Pasadena. Under the HOME TBRA Program, assistance is ***only*** for 24 months with no exceptions.

Applicants to the HOME TBRA Program will be interviewed by CoPHD Supportive Housing Program Staff to ensure that the applicant meets the eligibility criterion. A criminal background check is conducted as detailed in Chapter 2 of this Plan, "Eligibility for Admission".

An applicant who meets the eligibility criterion and passes the criminal background screening is issued a Coupon in a briefing session conducted by CoPHD Supportive Housing Program staff. The Coupon holder must then locate a rental unit within the City of Pasadena. As with the HCVP, the unit must pass HQS inspection before the unit can begin to be subsidized and the applicant become a participant in the HOME TBRA Program.

In cases where a HOME TBRA Program participant's name is reached on the HCVP waiting listing, the HOME Program participant will be given the opportunity to select between the two programs. If the HOME Program participant selects to remain on the HOME Program and declines the HCVP Rental Voucher, their application will be withdrawn from the HCVP.

When HCVP vouchers are available, CoPHD reserves the option to move HOME TBRA participants to the HCVP to ensure continuity of assistance.