

# Family Matters

## A Guide to Developing Family Supportive Housing



Written by Ellen Hart Shegos

Prepared for Corporation for Supportive Housing



CORPORATION *for* SUPPORTIVE HOUSING



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Dear Colleagues,

We are pleased to share with you *Family Matters: A Guide to Developing Family Supportive Housing*.

For the past ten years, the Corporation for Supportive Housing (CSH) has worked with hundreds of organizations who develop and operate permanent supportive housing—affordable housing linked to comprehensive services. We have used our resources to provide a variety of tools, including grants, loans, technical assistance and publications, to groups around the country who are housing people who have been homeless or are at serious risk of homelessness and struggle with the challenges of mental illness, substance use and other chronic health challenges.

Increasingly, organizations are asking CSH for assistance in developing permanent supportive housing for chronically homeless families. *Family Matters* was developed as a comprehensive guide to developing supportive housing for families who have struggled continuously to maintain housing and a stable family life. The manual offers practical information, planning tools and sample forms.

We hope *Family Matters* will be useful to organizations new to supportive housing as well as experienced providers who now want to serve families. You can also download this entire guide or specific chapters and other CSH publications from our website [www.csh.org](http://www.csh.org).

We'd like to hear from you. Was *Family Matters* a helpful resource? What else would you like to know about developing and operating supportive housing?

Please let us know by sending an e-mail to [information@csh.org](mailto:information@csh.org).

Sincerely,

Carla I. Javits  
President

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## Credits & Thanks

Ellen Hart Shegos developed and managed the state of Minnesota's first emergency shelter for homeless women and children as well as developed, managed and consulted on a number of transitional housing programs for women and children. Ellen has also developed and conducted training programs for a number of subsidized or publicly sponsored housing and advocacy programs for homeless families.

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*Please Note:* Throughout the manual are examples of community case stories illustrating various points of the text. Unless otherwise noted, the organizations are fictionalized versions of practical experience.

Founded in 1991, the Corporation for Supportive Housing (CSH) is a national financial and technical assistance intermediary dedicated to helping nonprofit organizations develop and operate service-enriched permanent housing for homeless and at-risk families and individuals with special needs, including mental illness, HIV/AIDS and substance use issues. CSH currently carries out its programs in eight states and localities with offices in: California, Connecticut, Illinois, Michigan, Minnesota, New Jersey, New York City, and Ohio. As a local intermediary, CSH convenes community-based stakeholders, brings relevant research and data to the table, works with networks of providers and government from planning through implementation and makes grants and loans. Its goals are to expand the supply of supportive housing, build new constituencies and local capacity for reform, help networks take advantage of funding opportunities, and provide assessment of the efficacy of new initiatives.





# Introduction

This manual is designed for a number of different audiences. You may be...

- A drug treatment counselor who finds that participants in your program can't succeed because their energy is consumed by finding a place to live for themselves and their children;
- A grassroots group of women who have escaped homelessness and poverty and want to help others to do the same;
- An affordable housing developer or housing authority who wishes families living in your housing could find the counseling and services they need;
- A religious congregation that is committed to building housing for homeless families in your community, but isn't sure where to start;
- A neighborhood organization that is concerned about the number of homeless parents and children that you see in your neighborhood; or
- A service agency or foundation dedicated to serving the homeless.

No matter what your background may be, you share the dream of helping homeless parents and children in your community to find a home and lead healthy, fulfilling lives.

You may have noted with alarm the unprecedented swell in the number of homeless families in recent years. Beginning in the mid-1980s, families with children began appearing among the ranks of the homeless. Fifteen years later, homelessness is beginning to span generations. Many of today's homeless parents were homeless themselves as children, growing up in foster care or shelters.

Many homeless families are further stressed by: extreme poverty, substance use or mental illness among parents, and behavioral problems and poor school performance among children. At the same time, social attitudes toward homeless families are becoming less tolerant and more punitive. It seems as if some families will be simply written off as "hopeless."

Yet your instincts tell you that parents and children can't be written off. With this manual, we hope to give you a way to translate those instincts into action. This manual focuses on housing for *chronically homeless* families who struggle to survive in a continuous cycle of homelessness and extreme poverty. Supportive housing—long-term, affordable housing with supportive services for parents and children—breaks the cycle by addressing the root causes of the family's homelessness. It can change lives.



## What is supportive housing?

Supportive housing combines three elements: affordable housing, supportive services and community.

The housing element of supportive housing...

- Provides long-term, decent and safe rental housing, not temporary shelter or institutional care;
- Does not require families to participate in a particular service program to remain in their housing, but does require tenants to pay rent and comply with their lease;
- Is affordable, with rent usually no more than 30 percent of the tenant's income; and
- May consist of any number of housing types, depending on the profile of the families served: apartments, town houses or houses on single sites, scattered sites or units scattered within a larger housing development.

The service element of supportive housing...

- Provides central coordination of the services that families need to become stable, with some services on-site and others available in the surrounding community;
- Usually provides access to chemical dependency treatment and support, mental health counseling, job training and support, parenting skill development for adults and mental health, academic, social and recreational programs for children;
- Offers services that are flexible and responsive to individual needs. Services intensify or diminish as each family's needs change, but are always available; and
- Builds a partnership between the family and the service provider that gives families the right to seek or reject support.

The community element of supportive housing...

- Breaks through the social isolation that homeless families often feel;
- Takes advantage of the wisdom and security that peers can provide for each other; and
- Gives supportive housing its true power. At its core, a supportive housing community is not built from bricks and mortar but from the adults and children who support each other along what can be a very difficult journey to recovery and self-reliance.



## **About this manual**

This manual will assist you with the basics of creating a supportive housing program for homeless families. It consists of the following sections:

- Chapter One: The Profile of Homelessness Among Families
- Chapter Two: Gathering Information and Defining Your Mission
- Chapter Three: Planning for Services in Supportive Housing
- Chapter Four: The Housing Development Process
- Chapter Five: Sponsor or Tenant-Leased Housing
- Chapter Six: Supportive Housing Property Management
- Chapter Seven: Implementing Your Supportive Services Plan
- Chapter Eight: Thinking Beyond “NIMBY” – Building Community Support

Operating a supportive housing program requires cooperation among several organizations with expertise in housing and service provision. Regardless of your experience in these areas, this manual will give you an understanding of how the service and housing functions work within supportive housing and will help you to pull together the multifaceted team that can create high-quality housing and services for families.





# Chapter One: A Profile of Chronic Homelessness Among Families

As we mentioned earlier, this manual focuses on supportive housing for *chronically homeless* families—those who have had the most difficult struggles with maintaining housing and stable family lives.

Beginning in the mid 1980s the faces of the homeless began changing to include a growing number of homeless families headed by single women. Including the precariously housed in the definition of homelessness, we have seen a dramatic increase among homeless families. Some cities, such as the Twin Cities of Minneapolis/St. Paul, Minnesota, have seen nearly an 800% increase in family homelessness since 1985.<sup>1</sup> There is no national data available to reliably measure the current number of homeless families with children, nor is there reliable trend data to measure the growth of family homelessness nationally. However, a number of studies cite that the average homeless person in shelters today is a child and it is well-documented that the fastest growing segment of homelessness is among families with children.

This chapter describes the difficulties that many chronically homeless parents and their children face. Of course, this profile of chronically homeless families is an overgeneralization; every family has its own story. Among the growing number of families caught in a cycle of repeated homelessness, however, there are some common characteristics. Knowing what these characteristics are can help you plan a supportive housing program that will help families in their effort to stabilize their lives.

## Profile of the Chronically Homeless Parent

**Family Life and Social Isolation:** National statistics today indicate that the average homeless family is represented by a single woman in her twenties with two or more children under the age of six.<sup>2</sup> While the number of homeless families headed by single males is increasing, the vast majority of homeless families are headed by single women. The majority of these women have never been married and have limited relationships with the fathers of their children.<sup>3</sup>

Today's chronically homeless parents are likely to have been homeless themselves as children. Many have spent time in foster care, group homes or shelters and have been victims of physical abuse and/or sexual abuse. Often this abuse continued into adulthood.<sup>4</sup> In one regional report on homelessness, twice as many homeless as housed women cite domestic violence as a reason for leaving a partner.<sup>5</sup>

It would be a mistake to assume that there are no men involved in the lives of these women. While most homeless mothers have never married, they usually have been involved with men who have played significant and sometimes disruptive roles in their lives. Many of these men are themselves trapped in homelessness and have experienced chronic unemployment.



In conversations with the author, current tenants of supportive housing point to the men in their lives as a destabilizing influence on their lives, presenting domestic violence, drugs and other dangers that jeopardize the health and safety of the family. However, despite the dangers these men represent to the family, the women continue to seek relationships that they feel have the potential of satisfying their needs for love and support.

Many homeless families have limited social networks and receive little support from friends and relatives.<sup>6</sup> While some have close contact with family and friends, the support network may be in a similar state of crisis and unable to help. It is common for families to live with relatives or friends in an effort to avoid homelessness. If the homelessness persists the family often ends up in a shelter or on the streets after exhausting the generosity of their extended family and friends. This can leave the family's social network strained. If this is a chronically homeless family they may have even more limited access to a social network for assistance. If they have not severed their relationships due to the chronic nature of their homelessness, they may have an extended family who are homeless as well.

A number of providers and reports indicate that chronically homeless families may have transferred their social network to a service network. While this may lessen their isolation and fulfill their need for support, it may also make it more difficult for them to maintain their independence.

**Emotional and Mental Health:** A significant number of chronically homeless parents abuse alcohol or other drugs. Often, this leads to a separation from their children. Without stable housing and adequate family supports, these parents cannot focus on overcoming their alcohol or drug dependency.

Many chronically homeless parents also struggle with mental illness. Living in extreme poverty can be debilitating, and most homeless women report that they have experienced depression. As stated earlier, most homeless women have experienced physical and/or sexual abuse; experiences that have lasting and profound impact throughout life.<sup>7</sup> Many have attempted suicide. Some experience post-traumatic stress disorder (PTSD) as a reaction to extreme life traumas, such as family violence.<sup>8</sup> Supportive housing providers are reporting an increase in dually diagnosed individuals; those who struggle with both alcohol/drug dependency *and* mental illness.<sup>9</sup>

**Physical Health:** Poverty and homelessness take a physical toll. Homeless parents have higher rates of asthma, anemia and ulcers, diseases that are common to people living in poverty. At least 30% report chronic health problems for which they consistently have difficulty finding health care.<sup>10</sup> In addition, some homeless families are struggling with the added burden of an HIV-AIDS diagnosis. It is a common and expensive practice for homeless families to use the emergency room as their primary source of health care.

**Education and Work History:** Most homeless parents have poor educational backgrounds. Half of homeless women have not received a GED or high school diploma, with the average parent leaving school in the tenth grade and reading at the fifth or sixth grade level.<sup>11</sup>

Chronically homeless parents have difficulty maintaining steady employment, due to a combination of poor education, lack of work skills and the stress caused by physical abuse, mental and physical illness, and the lack of social support. Most homeless families receive welfare benefits through the Temporary Assistance to Needy Families (TANF) program, which replaced AFDC under federal welfare reform. TANF benefits are now limited to five years over an adult's lifetime. Without additional support to move



into the workplace, many homeless parents are at risk of exhausting their lifetime benefits without finding work that will support their families.

**Housing History:** The housing histories of homeless families chronicle the crisis and poverty they have faced. Homeless families often have no rental histories at best, and turbulent histories at worst.

Families that have lived with relatives or friends without being named on a lease cannot provide a new landlord with a rental history that demonstrates their reliability. Landlords often are reluctant to rent to families without a rental history. The lack of a rental history has a similar effect to the lack of a credit history.

More often, homeless families actually have a negative rental history, with several evictions on record for nonpayment of rent, drug arrests, police calls or domestic disturbances. It is not uncommon for one or both parents to have a criminal record compounded by a poor credit history. With such an unstable history, the family will have great difficulty finding a landlord who will rent to them, particularly affordable and decent housing.

## **Profile of Chronically Homeless Children**

Much of the attention to homeless families focuses on the needs of homeless adults; however, children represent the largest and fastest growing segment of the homeless population:<sup>12</sup>

- On any given night, 1.2 million children are homeless.
- More than half of all homeless children are under age six.<sup>13</sup>
- 97% of homeless children move one to three times within a single year.<sup>14</sup>
- Over half of all homeless children have never lived in their own home and have experienced repeated moves. This disruption affects children's physical and mental health, as well as their educational development.

**Prenatal and Infant Care:** The effect of homelessness on children begins even before they are born. Most homeless women receive little or no prenatal care or other support to prepare for the birth of their children, resulting in low birth weight babies and double the rate of infant mortality. The risks to the baby are even higher if the mother also abused alcohol and/or drugs while pregnant.<sup>15</sup>

Homelessness also exposes infants to environmental factors that can endanger their health. Homeless women with newborns are often forced to return to a shelter or the overcrowded home of a friend or family member. Overcrowding can expose babies to disease and illness, maternal stress, lack of sanitation, lack of refrigeration and sterilization for formula, and lack of a stable routine. The difficult surroundings often affects the mother's feelings of adequacy and can interfere with critical maternal-child bonding.<sup>16</sup>

**Parent-Child Relationships and Psychological Effects:** Homelessness disrupts the physical, spiritual, mental and emotional bonds between parents and children. Families are often forced either to accept life on the streets in order to remain together or risk separation into various



shelters and/or foster care. In these situations, parents cannot provide the support that their children need to feel secure. Shelters are often overcrowded and chaotic. This environment increases personal pressures, frequently leading to conflicts or violence between parents and children. In other cases, parents may try to hide their concerns from their children, resulting in an emotional distance between the parent and child, or may be less sensitive to their children's needs because of the tremendous strain of homelessness.<sup>17</sup>

For their part, homeless children may assume adult roles too early if they are required to care for younger siblings, or even for parents incapacitated by chemical dependency, mental illness, or despair. Constant relocation makes it difficult for them to make connections with a neighborhood, friends and a school, and often results in the loss of personal possessions.

Because violence and separation from parents are common experiences for homeless children, over one-third of homeless families are under scrutiny by child protective services for child abuse or neglect, and one in five has lost at least one child to foster care. Nearly half of all homeless children either have witnessed or have been subjected to violence in their home.<sup>18</sup>

Children react to these traumas in a variety of ways. Because they learn that they rarely can depend on adults to rescue them from overwhelming situations, they often develop other coping skills (sometimes viewed as problems), which may include:

- feelings of anger, depression, isolation and low self-esteem;
- chronic anxiety, often manifested in aggressive behavior among boys and passive behavior or withdrawal among girls;
- inadequate social skills;
- insecurity about their substandard clothing and inability to practice good personal hygiene; and
- a tendency to develop inappropriate, overly friendly relationships with the adults who do show interest in them.<sup>19</sup>

**Physical Health:** As with their parents, homeless children are at high risk of developing health problems. Many suffer from chronic asthma and digestive disorders. Homeless children are also more vulnerable to environmental factors that negatively affect their health, such as malnutrition and lead poisoning. Homeless children tend to get sick more often and with greater severity than housed children. Despite this increased risk, homeless children seldom receive adequate medical and dental care.<sup>20</sup>

**Education and Development:** Homeless children experience developmental delays that hamper academic success at four times the rate of other children. Few homeless children attend preschool or early childhood education, which could help them overcome these delays. They suffer from emotional and behavioral problems that affect learning at almost three times the rate of housed children.<sup>21</sup>

Homeless children experience twice the incidence of learning disabilities, such as speech delays and dyslexia, as other children. In addition to higher rates of perinatal complications, reduced access to resources that buffer the effects of these complications, increased exposure to lead and less home-based



cognitive stimulation, homeless children have been subjected to the detrimental affects of pronounced and prolonged stress. These factors, often combined with lower teacher expectations and poor school readiness skills, conspire to negatively affect cognitive and intellectual development. Developmental problems persist after children reach school age. Compared with children in the general population, homeless children are four times more likely to have behavioral disorders, three times more likely to show signs of a learning disability, and eight times more likely to show signs of mental retardation.<sup>22</sup>

In addition to the lasting effects of these developmental delays, many circumstances make it difficult for older homeless children to perform well in school. First, they often do not receive the support they need from their parents. With the average homeless parent reading at or below the sixth grade level, many parents are uncomfortable reading to their children or participating in their education. Faced with constant crises, parents often do not ensure that their children attend school regularly. Second, chronically homeless children tend to be mobile, moving in and out of shelters and foster care. They change schools frequently and must constantly reestablish themselves after enrollment. Their education lacks continuity, and they are often left out of extended class projects because of their transience. Third, homeless children experience social isolation at school. Most schools and teachers do not have special training to understand the needs of homeless children.<sup>23</sup> Classmates can be quick to ridicule, causing homeless children to feel stigmatized and ashamed. Under these circumstances, most homeless children perform below grade level in reading, math and spelling.<sup>24</sup>

Despite these increased difficulties, many homeless children cannot gain access to the extra educational services they need. While many qualify for special education programs because of a learning disability or mental health problem, their frequent moves and their parents' inability to navigate the complex special education system prevent them from receiving the help they need.<sup>25</sup>

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2 *Homeless Children: American's New Outcasts*, a public policy report from The Better Homes Fund, 1999.

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## Chapter Two: Gathering Information and Defining Your Vision

Many well-meaning agencies dive into providing supportive housing because they find a building and want to use it to provide much-needed housing for homeless families. This is a commendable impulse, but it rarely leads to successful supportive housing projects. The agency may realize too late that the building doesn't serve the homeless families in the community or that developing and owning housing does not fit well within the agency's mission.

For this reason, we urge you to begin the process of creating your supportive housing community by: 1) revisiting your organizational mission, 2) fully developing your understanding of the families you will serve, and 3) creating a statement that articulates your vision of the new supportive housing program.

### **Evaluating Your Organizational Mission**

Before you launch a supportive housing project, think about how your organization was created, its original purpose and structure, and how pursuing supportive housing for homeless families will respond to your mission. Your mission statement may already specifically call for you to create family supportive housing. If not, review your mission to determine whether supportive housing fits with existing activities. You may find that your organization should redevelop its mission statement to include the creation of supportive housing as a goal, or you may determine that you can best serve homeless families through activities other than providing supportive housing.

To evaluate your mission, begin by answering some basic questions about the organization's purpose:

- What was the original purpose stated in your organization's submission for nonprofit status to the IRS?
- How does your mission statement identify your organization's role(s): policy maker, educational institution, direct service provider, housing development corporation or public education and information service? Alternatively, does the mission statement leave your organization's function open-ended?
- When was the last time the mission of the organization was updated? Is it still an effective description of your organization's purpose?

Next, answer some questions about how your mission relates to supportive housing:

- Does your mission statement specifically call for your organization to participate in supportive housing?



- Does the statement call for the organization to develop, own and manage real estate?
- Does it call for your organization to ensure the availability of affordable supportive housing in your community?

Finally, answer questions about the constituency identified for your services:

- Does your mission statement identify a constituency? If so, how broadly or narrowly? For example, does it call for you to serve all members of the community, only families or a specific group of families?
- If the constituency is broadly stated or not identified, how does the local community usually define your constituency?
- Would serving homeless families be consistent with the local interpretation of your mission and the language of the mission statement?

If you discover that serving homeless families through supportive housing is not consistent with your mission, you may decide to revise your mission statement to include this activity. If so, be sure to involve the full board of directors and any key stakeholders in the revision. You may find that not everyone agrees that the organization should add supportive housing to its activities. It is important to find this out now rather than while you are finding housing or are already serving families facing complicated challenges. The families you serve deserve an organization that is fully committed to all the obligations inherent in creating supportive housing.

## **Gathering Information About Homelessness in Your Community**

Once you have established that creating supportive housing for families is consistent with your organization's mission, the next step is to learn about homelessness among families in your community and the need for supportive housing.

We suggest that you begin by collecting facts about homelessness from service providers and more formal reports on homelessness, and then confirm and deepen that understanding by listening to homeless and formerly homeless families themselves. You will use this information to develop a vision statement to describe your program to others. In later chapters, you will also use the information gathered here to determine the best type of housing units for your development and to help you plan for services.

### **What do you need to know to get started?**

To plan a supportive housing program, you will need to decide which families you plan to serve and what kind of program will best serve them. You probably already have some idea of the families you expect to encounter and the type of program you would like to develop. To refine this picture, you will need to determine:



- How many homeless families are there in your community? Of these, how many families are experiencing chronic homelessness?
- Where are homeless families living now? What is the most common makeup of a homeless family (how many adults, children)?
- What are the most difficult struggles for homeless parents and children? What circumstances and choices contribute to families' homelessness? What kinds of positive and negative experiences have families had with service and housing providers?
- What kinds of services already exist for homeless families? Are they adequate? If not, what services are missing?
- Who are the housing providers, service providers and funders in your community? Which of these can provide financial support and collaboration for your supportive housing program?

A resource developed to aid communities as they plan to organize and deliver housing and services to meet the needs of the homeless is called the Continuum of Care Plan. This plan includes action steps to move homeless individuals and families to stable housing and maximum self-sufficiency.

A Continuum of Care Plan is required for communities wishing to apply to HUD for McKinney Act and other funding designed to respond to homelessness. Entitlement communities (those meeting certain population thresholds) are required to submit their own Plan; rural communities and non-entitlement counties usually cooperate with a regional plan sponsored by the state.

This is a good place to start as you begin to gather information. However, you may find the data collected in your area's Plan is not sufficient to assist you in designing your supportive housing project. If that is the case, the following may help you.

### **Talking with Service Providers**

Service agencies that work with families in your community are a valuable source of information. Some of these, such as shelters, may work solely with homeless families. Others, such as a county mental health agency or a school district, may serve a broad base of clientele but have encountered homeless families in their programs.

Because these agencies often collect data about the families they serve, they can help you determine the number of homeless families in your area, where these families live now, the typical family size and the families' primary service needs. These agencies also can assist you by identifying other local service providers, gaps in services and potential funders.

First, develop a list of organizations that might be able to provide useful information. These might include:

- City or county child protection services
- School counselors



- Local TANF staff<sup>1</sup>
- Social workers at local hospitals
- Staff with local chemical dependency treatment programs
- Staff with local mental health service agencies
- Emergency shelter and transitional housing providers
- Staff with local adult and juvenile corrections departments
- Service agencies that serve homeless families and children
- Health clinics
- Public housing authorities
- Managed care health assessors
- Charitable foundations
- Housing advocacy groups

Be aware that these organizations often are overwhelmed and underfunded. You may not be able to convince them to give you information unless you can demonstrate that their agencies will gain a valuable new service by doing so. As you gather information about homelessness, concentrate your efforts on those who express frustration with the lack of stable housing among their constituents. You may be able to begin building a list of agencies that eventually will evolve into a service team for your supportive housing community. At the very least, you may find organizations that would be willing to share information if it will help to create new housing for their constituents.

## **Questionnaires**

One way to learn about family homelessness in your community is to develop a series of questionnaires for these organizations. *Exhibit 2-A* includes sample questionnaires for several of the types of agencies listed above. Feel free to use these questionnaires, modify them or design your own survey tool.

Tailor the questions to the type of services or resources each organization provides. For example, a questionnaire sent to the local TANF office might ask how many of the families who receive public assistance are homeless and how many homeless families risk losing assistance because of noncompliance with the program or time limits on benefits.

Because organizations do not always track homelessness among their clients, you should add questions that will uncover the extent of homelessness among families served. Again using the TANF office example, if the office does not track homelessness among recipients, you may want to ask, “How often do TANF constituents request emergency shelter funding?” or “How often do TANF constituents lose their jobs due to lack of housing?”



## Focus Groups

To learn more, you may wish to follow up the questionnaire with a focus group of service providers to talk about homelessness among families in your community. A focus group is a guided discussion among a small group of three to seven members who respond to a series of questions. *Exhibit 2-B* describes focus groups in more detail.

You might want to ask a focus group of service providers the following questions:

- How does homelessness affect the provision of services and the availability of community resources?
- What are the public costs associated with homelessness?
- What specific services are lacking for local homeless families?

## Facts and Figures

To round out your research with some statistics, check with your city, county or state government for local data on homelessness. If a community is eligible for federal assistance through the Department of Housing and Urban Development (HUD), it must complete a Consolidated Plan estimating needs associated with housing and community development. As noted above, it may also complete a Continuum of Care Plan to receive federal funds for programs serving homeless families. Either of these documents would contain local statistics on homelessness.

## Talking with Families

Talking to service providers and gathering facts and figures are necessary steps in planning your supportive housing program. However, you will need to talk to families themselves in order to understand the day-to-day experience of homelessness and convey it to partners, funders, neighborhoods, elected officials and others. Conversations with families can help you to understand how families become homeless, what is missing from their lives that a supportive housing program can provide, why families find it difficult to become stable and what could help to alter this cycle.

## Collecting Stories

Many homeless people are asked to share their stories only in clinical settings when they seek assistance. You can try something different: the oral history approach. Conduct personal, private interviews with individual families to learn about their experiences with homelessness. Because supportive housing for families serves children as well as adults, be sure to include interviews with children.

If your organization does not currently serve homeless families, you may need to work through other agencies to gain access to individuals for interviews. Establish a relationship with these organizations before you seek access to their constituents. They will need to know and support the purpose of the interviews before they will feel comfortable promoting the opportunity to their constituents. Because



of confidentiality laws, these other organizations may have to engage the interviewees rather than your organization.

In order to gain interviewees' trust, assure them that their comments are strictly confidential and will not be personally attributed to them in any written reports. They also should be assured that their participation is voluntary and not a condition for receiving services.

Ask adults:

- What circumstances led to their loss of housing?
- What services have been helpful or have not been helpful to them? Why?
- What choices limit their ability to overcome homelessness, and why have they made those choices?

Ask children:

- How does being homeless make them feel?
- What has been their experience in school?
- What do they wish were different about their lives?

You may want to interview children separately from their parents so that they can talk frankly without fear of hurting their parents' feelings. You should also obtain permission from parents before interviewing their children and involve parents in developing questions posed to children.

You may be able to find volunteers who can help you collect oral histories: members of local religious congregations, college students or senior citizens, for example. Be sure to find volunteers who easily establish rapport with others, understand the sensitivity and confidentiality of their purpose, and are good listeners.

## **Focus Groups**

You may also organize focus group discussions of adults who are currently or formerly homeless. In a focus group, you would ask the participants similar questions to those in the one-on-one interviews, regarding the root causes of family homelessness and how supportive housing can help. *Exhibit 2-B* contains a more detailed list of questions for a focus group. Because of its limited size, a focus group cannot represent all homeless families, but discussing these questions as a group can generate new ideas and creativity. It is important to confirm with the group the purpose of the focus group discussion. Some participants may assume that by participating in the discussion they may have better access to housing. You will need to be clear with the participants about why the group is meeting and what benefits may be derived. As with the individual interviews, the environment of the focus group must be inviting and respectful. Be sure to provide transportation and child care for participants.

Whether you choose to collect stories from individuals, hold focus groups, or both, be sure to compensate the participants through stipends or consulting fees. Their experience is their wisdom, and it



is as valuable as the experience of the architect who designs your buildings. If a cash payment might jeopardize the family's eligibility for public assistance, offer alternative forms of compensation such as tickets to movies or recreational events, gift certificates or long-distance telephone cards.

## **Analyze the Information**

Once you have collected information from service providers and homeless families, use this information to create a picture of family homelessness in your community. You should now be able to identify:

- An estimate of the number of homeless families in your community and where these families are currently living. Note that homeless families are sometimes redirected to other communities where shelters are available. If this is true in your community, determine where families want to live;
- The services families may need, such as child care, employment counseling and so forth;
- The housing and services that already exist and do not need to be created. This will help you locate your program where it is needed and where families can find complementary services; and
- The housing providers, service providers and funders who may be able to support your development.

## **Creating Your Supportive Housing Vision Statement**

Once you have finished gathering information, translate what you have learned into a vision statement. Your vision statement should articulate the dream that underlies your supportive housing program, describing the families you wish to serve and how you will serve them. The statement will serve as a yardstick to measure progress and a reminder to each member of the housing and service team of the importance of their work. You will also use the vision statement to describe your purpose to others, including political leaders, community organizations, funders and investors, to gain their support for your program.

The vision statement should explain the results of your information-gathering and research in a simple, brief document that describes:

- The problem of family homelessness in your community;
- The purpose of your program and the families to be served;
- The type of housing and services you plan to provide (see the following two chapters); and
- The benefits of supportive housing programs to its tenants and the surrounding community.



## Example: Vision Statement

East Monroe Housing Corporation asked the Urban Studies department of a local college to help gather information about family homelessness among families in the city and surrounding county. The college assigned student interns and a class of graduate students to the project.

The students identified five organizations as information sources: the city's Housing and Community Development Office, the State Demographer's Office, the County Welfare Office, the local Public Housing Authority, and the Public Health department. All of these organizations had identified serving homeless families as a priority and were willing to share information.

The interns distributed surveys in advance and then conducted on-site interviews with each of these organizations. The students also collected local reports on homelessness. The community did not have a shelter for families, but the county welfare office produced a report of all requests for emergency shelter resulting in hotel vouchers during the previous year. The report showed that requests for shelter from families had grown by 500% in the past five years.

Of families requesting shelter, the county reported that:

- Most heads of household were single women under age 25, and 65% had three or more children. The average age of the children was seven years. Sixty percent of parents had lost a child to the foster care system at least once in the past 12 months.
- Forty percent of the families had experienced homelessness at least four times in the past 12 months.
- Eighty percent of homeless families were not compliant with TANF and were at risk of losing welfare benefits permanently.
- Ninety percent of the school age children were performing academically at least one full grade below their classroom level, and 65% of the children tested positive for lead poisoning above toxic levels.

Finally, the interns held a focus group of homeless families at a nearby shelter and interviewed several children. The students learned that most of the parents had tried to work but were unable to find jobs that fit their skills, reliable child care or convenient transportation. The children reported that they had few friends because they had no place to bring them after school. The children wished they could attend school regularly, but it was too difficult because they moved often and got sick frequently.

Based on the information collected, East Monroe Housing Corporation developed the following mission statement: East Monroe Housing Corporation is committed to developing 100 units of supportive housing serving chronically homeless families.

Their vision statement continued as: EMHC will sponsor supportive housing to serve families who have been chronically homeless as a result of mental illness, chemical dependency, HIV-AIDS, or dual-diagnosed conditions of the above. Families must have children, although parents may have lost custody of children temporarily and may be in the process of family reunification.



The supportive housing community will make the following services available, either on-site or through off-site program collaboratives:

- Assistance in obtaining and maintaining employment;
- Child care serving infants through age 12;
- After-school enrichment and academic programs for all children;
- Adult education and job training support services; and
- Individual case management linking the family to service providers in the following areas: mental health counseling and stabilization; chemical dependency screening, treatment and support; HIV-AIDS medical services and support; and health care services for adults and children.

The housing will include the following:

- Convenient access to public transportation;
- Space for on-site case management services;
- Children's recreational and play areas; and
- Sufficient interior space to accommodate large numbers of young children.

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1 TANE, or Temporary Assistance for Needy Families, is the public assistance program that has replaced AFDC under welfare reform. The program is designed by the states and often administered by local cities and counties.





## **Exhibit 2-A:** **Sample Introductory Letter and Service Questionnaires**

Date \_\_\_\_\_

Dear \_\_\_\_\_:

Thank you for accepting our invitation to participate in our focus group discussion on the status of chronically homeless families in Ramsey County, to be held on Wednesday, January 12, 2000, at 1000 Franklyn Boulevard. You have been selected because of your interest in homeless families and your work as \_\_\_\_\_ within (organization) \_\_\_\_\_ department.

As you are aware, homelessness among families with children is increasing at an extraordinary rate around the country and in our community. The focus group discussion is part of an effort ABC, Inc., has undertaken to better identify chronically homeless families and their unique needs. We are interested in exploring ways of serving these families through stabilizing their housing, combined with comprehensive and targeted service delivery. We believe that new strategies are required to end cycles of homelessness which include creating innovative partnerships and collaboration among the various service sectors of our community.

We are including a brief questionnaire which will assist you in preparing for the first focus group meeting. If your organization collects data responsive to the questionnaire, we would appreciate it if you would bring this information with you. All information collected will be shared with the focus group participants in an effort to foster strong and effective working relationships concerning this service issue.

Thank you in advance for your participation.

Sincerely,

Jeff Anderson  
Executive Director  
ABC, Inc.

Enclosures:  
Focus Group Questionnaire  
List of Focus Group Participants





## **Exhibit 2-A: Supportive Housing for Chronically Homeless Families**

### **County Child Protection Services Questionnaire**

There are a number of families in our community who are trapped in cycles of chronic homelessness. This questionnaire will assist us by collecting information from your organization and its experience with serving families who might fit the profile of chronic homelessness. Please fill out the information as completely as possible. If data is not available, please offer estimated information. This information will be shared with others as part of a focus group discussion on the need for supportive housing for families.

- What is the average number of families per year that have an open child protection file with a confirmed case of abuse and/or neglect?  
\_\_\_ abuse  
\_\_\_ neglect  
\_\_\_ combination  
\_\_\_ other (explain: \_\_\_\_\_ )
  
- Of these families, on average how many have had one or more of their children removed to out-of-home placement care?
  
- Of these families, on average how many parents are in danger of permanently losing custody of their children?
  
- Of these families, how many families have histories of homelessness?  
\_\_\_ currently homeless and in emergency shelter  
\_\_\_ currently homeless and living with relatives and/or friends  
\_\_\_ have been homeless at least once within the past year  
\_\_\_ have been homeless more than once within the past year
  
- Of these families (open child protection case), on average how many parents have been assessed as having an alcohol and/or drug dependency diagnosis?  
\_\_\_ alcohol  
\_\_\_ drug dependency  
\_\_\_ combination



- Of those families who have an open child protection case and an alcohol and/or chemical dependency diagnosis, what is their primary drug of choice?

\_\_\_ alcohol

\_\_\_ marijuana

\_\_\_ cocaine

\_\_\_ crack

\_\_\_ barbiturates

\_\_\_ amphetamines

\_\_\_ heroin

\_\_\_ other (explain: \_\_\_\_\_ )

- Of those with an open child protection case and a diagnosis of chemical addiction, how many are currently receiving residential treatment?

\_\_\_

- Of those with an open child protection case, how many are:

\_\_\_ currently receiving TANF financial assistance

\_\_\_ currently working

\_\_\_ currently working and receiving TANF financial assistance

\_\_\_ do not have an obvious means of financial support





## **Exhibit 2-A: Supportive Housing for Chronically Homeless Families**

### **Public School Counseling Services Questionnaire**

There are a number of families in our community who are trapped in cycles of chronic homelessness. This questionnaire will assist us by collecting information from your organization and its experience with serving families who might fit the profile of chronic homelessness. Please fill out the information as completely as possible. If data is not available, please offer estimated information. This information will be shared with others as part of a focus group discussion on the need for supportive housing for families.

- How many children does the school district serve annually?
  - \_\_\_ preschool
  - \_\_\_ elementary
  - \_\_\_ middle/junior high school
  - \_\_\_ high school
  - \_\_\_ alternative secondary (GED)
  
- What percentage of children served in the district annually qualify for federally funded food programs?
  - \_\_\_ preschool
  - \_\_\_ elementary
  - \_\_\_ middle/junior high school
  - \_\_\_ high school
  - \_\_\_ alternative secondary (GED)
  
- What is the racial composition of the study body within the district?
  - \_\_\_ Caucasian
  - \_\_\_ African-American
  - \_\_\_ Hispanic
  - \_\_\_ Asian
  - \_\_\_ Native American
  - \_\_\_ other (explain: \_\_\_\_\_ )



- What is the racial composition of students qualifying for federally funded food programs?
  - \_\_\_ Caucasian
  - \_\_\_ African-American
  - \_\_\_ Hispanic
  - \_\_\_ Asian
  - \_\_\_ Native American
  - \_\_\_ other (explain: \_\_\_\_\_ )
  
- What percentage of students move more than twice in a given academic year?
  - \_\_\_ preschool
  - \_\_\_ elementary
  - \_\_\_ middle/junior high school
  - \_\_\_ high school
  - \_\_\_ alternative secondary (GED)
  
- What is the racial composition of students who move more than twice in a given academic year?
  - \_\_\_ Caucasian
  - \_\_\_ African-American
  - \_\_\_ Hispanic
  - \_\_\_ Asian
  - \_\_\_ Native-American
  - \_\_\_ other (explain: \_\_\_\_\_ )
  
- How many students were reported as homeless at any time during the academic year?
  - \_\_\_ preschool
  - \_\_\_ elementary
  - \_\_\_ middle/junior high school
  - \_\_\_ high school
  - \_\_\_ alternative secondary (GED)



- How many students reported being homeless more than once during the academic year?

preschool  
 elementary  
 middle/junior high school  
 high school  
 alternative secondary (GED)

- Does the school district have an arrangement to transport children from emergency and/or transitional housing shelters to their respective schools?

yes  
 no

Explain: \_\_\_\_\_

- If the school district transports children from emergency and/or transitional shelters, how many children does this include?

preschool  
 elementary  
 middle/junior high school  
 high school  
 alternative secondary (GED)

- What percentage of homeless children have been evaluated for an IEP, and/or received one?

preschool  
 elementary  
 middle/junior high school  
 high school  
 alternative secondary (GED)

- How does the public school engage in and coordinate resources available in the larger community which could benefit homeless children?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_





## **Exhibit 2-A: Supportive Housing for Chronically Homeless Families**

### **County TANF Division Questionnaire**

There are a number of families in our community who are trapped in cycles of chronic homelessness. This questionnaire will assist us by collecting information from your organization and its experience with serving families who might fit the profile of chronic homelessness. Please fill out the information as completely as possible. If data is not available, please offer estimated information. This information will be shared with others as part of a focus group discussion on the need for supportive housing for families.

- How many families are currently receiving TANF benefits (within the jurisdiction)?  
\_\_\_\_\_
  
- Of these families, how many are nearly at the end of their eligibility for benefits? (percentage) \_\_\_\_\_
  
- Of those families nearing the end of their benefits, how many have experienced homelessness?  
\_\_\_\_ currently homeless  
\_\_\_\_ have received shelter services within the last year  
\_\_\_\_ have changed addresses three or more times within the last year  
\_\_\_\_ doubled up with family or friends, or precariously housed
  
- Does the county have families who are no longer currently eligible for TANF resources because:  
\_\_\_\_ their eligibility has expired  
\_\_\_\_ they have been unable or unwilling to comply with program expectations (have not met employment criteria)
  
- Has the county been able to track the number of families who are receiving TANF benefits, have accessed shelter resources and have an open child protection case file?  
\_\_\_\_ no, our data systems do not integrate this data  
\_\_\_\_ yes, the data is available and \_\_\_\_ families fit this profile





## **Exhibit 2-A: Supportive Housing for Chronically Homeless Families**

### **Public/County Hospital – Social Work Services Questionnaire**

There are a number of families in our community who are trapped in cycles of chronic homelessness. This questionnaire will assist us by collecting information from your organization and its experience with serving families who might fit the profile of chronic homelessness. Please fill out the information as completely as possible. If data is not available, please offer estimated information. This information will be shared with others as part of a focus group discussion on the need for supportive housing for families.

- Annually, how many patients are seen by this hospital?  
\_\_\_\_ adult percentage  
\_\_\_\_ pediatric percentage
  
- Annually, how many patients are members of families receiving TANF financial support (Medicaid to families)?  
\_\_\_\_ adult percentage  
\_\_\_\_ pediatric percentage
  
- Annually, how many patients are members of families enrolled in state-financed health care programs?  
\_\_\_\_ adult percentage  
\_\_\_\_ pediatric percentage
  
- Annually, what percentage of patients are served who note at admissions that they do not have a permanent address?  
\_\_\_\_ adult patients (who have children in custody)  
\_\_\_\_ pediatric patients



- Annually, what percentage (or number) of patients require special assistance from the social services division of the hospital at discharge because:

\_\_\_ they do not have a permanent residence

\_\_\_ adult

\_\_\_ pediatric

\_\_\_ are being discharged to an emergency shelter

\_\_\_ adult

\_\_\_ pediatric

- Annually, what percentage (or number) of newborn infants are discharged:

\_\_\_ with no permanent residence

\_\_\_ to an emergency shelter

- Annually, what percentage (or number) of newborn infants are discharged to foster care? \_\_\_





## **Exhibit 2-A: Supportive Housing for Chronically Homeless Families**

### **County Chemical Health Services Questionnaire**

There are a number of families in our community who are trapped in cycles of chronic homelessness. This questionnaire will assist us by collecting information from your organization and its experience with serving families who might fit the profile of chronic homelessness. Please fill out the information as completely as possible. If data is not available, please offer estimated information. This information will be shared with others as part of a focus group discussion on the need for supportive housing for families.

*Please note:* Reference to “adults” assumes adults who are parents with custody of minor children.

- Annually, how many adults (with custody of children) are assessed as needing substance abuse treatment (both alcohol and drug)? \_\_\_\_\_
  
- Of these adults, what percentage are receiving TANF financial assistance? \_\_\_\_\_
  
- Of those receiving TANF assistance, what percentage of these adults are admitted into a residential treatment program?  
\_\_\_\_ average days of residential treatment provided per person
  
- Where do the dependent children go when parents seek treatment?  
\_\_\_\_ residential program allows parents to bring children with them  
\_\_\_\_ children are placed in foster care  
\_\_\_\_ children are placed in kinship care (with another member of the family)  
\_\_\_\_ children are placed in institutional care (identify: \_\_\_\_\_)
  
- What percentage of these adults are admitted into a nonresidential treatment program?  
\_\_\_\_ average days of treatment provided per person
  
- What percentage of adults admitted into treatment have an open child protection case file while in:  
\_\_\_\_ residential treatment programs  
\_\_\_\_ nonresidential treatment programs



- What percentage of adults lose permanent custody of their children while in:
  - \_\_\_ residential treatment programs
  - \_\_\_ nonresidential treatment programs
  
- What percentage of adults are homeless or do not have a permanent address when admitted into a treatment program? \_\_\_\_\_
  
- What percentage of adults are discharged from the program to:
  - \_\_\_ halfway facilities
  - \_\_\_ sober housing (explain: \_\_\_\_\_ )
  - \_\_\_ emergency housing
  - \_\_\_ transitional housing
  - \_\_\_ permanent affordable housing
  - \_\_\_ staying with a relative/friend
  - \_\_\_ hospital
  - \_\_\_ correctional facility and/or program
  - \_\_\_ unknown
  
- What is the major impediment to maintaining sobriety?
  - \_\_\_ personal commitment to sobriety
  - \_\_\_ lack of housing
  - \_\_\_ lack of sobriety (aftercare and support)
  - \_\_\_ housing is situated in high drug area
  - \_\_\_ other (explain: \_\_\_\_\_ )





## **Exhibit 2-A: Supportive Housing for Chronically Homeless Families**

### **County Mental Health Services Questionnaire**

There are a number of families in our community who are trapped in cycles of chronic homelessness. This questionnaire will assist us by collecting information from your organization and its experience with serving families who might fit the profile of chronic homelessness. Please fill out the information as completely as possible. If data is not available, please offer estimated information. This information will be shared with others as part of a focus group discussion on the need for supportive housing for families.

*Please note:* Reference to “adults” assumes adults who are parents with custody of minor children.

- How many clients receive county mental health services annually?  
\_\_\_\_ adult  
\_\_\_\_ children
  
- How many adult clients receiving services also receive TANF and have custody of dependent children? \_\_\_\_\_
  
- What percentage of adult clients (custodial parents) receiving services are:  
\_\_\_\_ currently homeless  
\_\_\_\_ receiving emergency shelter services  
\_\_\_\_ not receiving emergency shelter services  
\_\_\_\_ have been homeless within the past year  
\_\_\_\_ receiving emergency shelter services  
\_\_\_\_ not receiving emergency shelter services
  
- What percentage of clients receiving services also have an open child protection case file? \_\_\_\_\_
  
- What percentage of clients receiving services have children in out-of-home placement:  
\_\_\_\_ temporarily  
\_\_\_\_ permanently



■ What most impacts a client's ability to maintain their mental health?

\_\_\_ medication compliance

\_\_\_ affordable housing

\_\_\_ personal support (supportive community)

\_\_\_ access to supportive services

\_\_\_ access to other services (explain: \_\_\_\_\_ )

\_\_\_ diagnosis not appropriate for access to support services (i.e., PTSD)





## **Exhibit 2-A: Supportive Housing for Chronically Homeless Families**

### **Emergency Shelter Services Questionnaire**

There are a number of families in our community who are trapped in cycles of chronic homelessness. This questionnaire will assist us by collecting information from your organization and its experience with serving families who might fit the profile of chronic homelessness. Please fill out the information as completely as possible. If data is not available, please offer estimated information. This information will be shared with others as part of a focus group discussion on the need for supportive housing for families.

*Please note:* Reference to “adults” assumes adults who are parents with custody of minor children.

- How many tenants does the shelter (system) serve annually?

\_\_\_ adults (single)

\_\_\_ families (custodial parent[s] and at least one child)

\_\_\_ unaccompanied youth

- Primary reason families are homeless:

\_\_\_ evicted for nonpayment of rent

\_\_\_ evicted for drug and/or illegal activity

\_\_\_ housing condemned

\_\_\_ unable to afford rent, not evicted

\_\_\_ new to the area and unable to find housing

\_\_\_ other (explain: \_\_\_\_\_ )

- How many homeless individuals are turned away annually?

\_\_\_ adults (single)

\_\_\_ adults (custodial parents)

\_\_\_ children

\_\_\_ unaccompanied youth



- Why are homeless families turned away?
  - \_\_\_ (%) lack of space/capacity
  - \_\_\_ (%) does not meet occupancy restrictions (e.g., does not allow children, or males, etc.)
  - \_\_\_ (%) client presents issues which result in denial of shelter:
    - \_\_\_ client presents inebriated
    - \_\_\_ client presents as vulnerably mentally ill
    - \_\_\_ client is violent
    - \_\_\_ client has had a previous history of being expelled from facility
  
- What percentage of families discharged from the shelter go to:
  - \_\_\_ affordable housing
  - \_\_\_ another shelter program
  - \_\_\_ transitional housing
  - \_\_\_ live with family/friends
  - \_\_\_ live in the streets/car
  - \_\_\_ live in supportive housing program
  
- What percentage of families have open child protection case files? \_\_\_\_\_
  
- What percentage of families have one or more children in out-of-home placement (foster care)? \_\_\_\_\_
  
- What percentage of families have permanently lost parental rights to one or more children? \_\_\_\_\_
  
- What percentage of families have primary adult who is alcohol- and/or chemically dependent?
  - \_\_\_ receiving treatment services
  - \_\_\_ not receiving treatment services



- What percentage of families have primary adult who is actively, persistently mentally ill?  
\_\_\_\_ receiving treatment services  
\_\_\_\_ not receiving treatment services
  
- What percentage of families are receiving TANF benefits? \_\_\_\_\_
  
- What percentage of families have accessed emergency financial assistance?  
\_\_\_\_\_
  
- What percentage of families have children enrolled in and/or attending school? \_\_\_\_\_
  
- What percentage of families have received or are currently receiving federal rental assistance (i.e., Section 8 voucher/certificate or have lived in public housing)? \_\_\_\_\_





## **Exhibit 2-A: Supportive Housing for Chronically Homeless Families**

### **County Correctional Services Questionnaire**

There are a number of families in our community who are trapped in cycles of chronic homelessness. This questionnaire will assist us by collecting information from your organization and its experience with serving families who might fit the profile of chronic homelessness. Please fill out the information as completely as possible. If data is not available, please offer estimated information. This information will be shared with others as part of a focus group discussion on the need for supportive housing for families.

*Please note:* Reference to “adults” assumes adults who are parents with custody of minor children.

- How many clients are adjudicated through the court system, annually?  
\_\_\_\_ adults  
\_\_\_\_ juveniles
  
- Of the adults, how many are single parents with custody of minor children?  
\_\_\_\_\_
  
- How many of the single parents cited no permanent address when adjudicated?  
\_\_\_\_\_
  
- What percentage of parents also had an open child protection case file at the time of adjudication? \_\_\_\_\_
  
- Where were the children placed, when parents were being adjudicated?  
\_\_\_\_ foster care  
\_\_\_\_ kinship care  
\_\_\_\_ institutional care  
\_\_\_\_ hospital  
\_\_\_\_ other (explain: \_\_\_\_\_ )
  
- What percentage of parents adjudicated lost permanent custody of children?  
\_\_\_\_\_



- Of the juveniles, how many are unaccompanied, or homeless? \_\_\_\_\_
  
- What percentage of juveniles are parents of minor children? \_\_\_\_\_
  
- What percentage of parents adjudicated are receiving TANF financial assistance?  
\_\_\_\_\_
  
- What percentage of parents adjudicated have been assessed with an alcohol  
and/or drug dependency? \_\_\_\_\_
  
- What percentage of parents adjudicated have been diagnosed with serious,  
persistent mental illness? \_\_\_\_\_
  
- What percentage of parents adjudicated could not comply with court-ordered  
expectations because of homelessness? \_\_\_\_\_





## Exhibit 2-A: Supportive Housing for Chronically Homeless Families

### Charitable Foundations Questionnaire

There are a number of families in our community who are trapped in cycles of chronic homelessness. This questionnaire will assist us by collecting information from your organization and its experience with serving families who might fit the profile of chronic homelessness. Please fill out the information as completely as possible. If data is not available, please offer estimated information. This information will be shared with others as part of a focus group discussion on the need for supportive housing for families.

*Please note:* Reference to “adults” assumes adults who are parents with custody of minor children.

- Does your organization fund the development of housing resources for homeless families?

Yes, type:

\_\_\_ emergency shelters

\_\_\_ transitional housing shelters

\_\_\_ permanent housing resources

\_\_\_ other (explain: \_\_\_\_\_ )

No, why: \_\_\_\_\_

- Does your organization fund the operations of housing resources for homeless families?

Yes, type:

\_\_\_ operating subsidies per unit

\_\_\_ occasional staff support

\_\_\_ other (explain: \_\_\_\_\_ )

No, why: \_\_\_\_\_



- Does your organization fund supportive service strategies for homeless families?

Yes, type:

\_\_\_ staffing

\_\_\_ program (general)

\_\_\_ program (specific, explain: \_\_\_\_\_ )

\_\_\_ transportation

\_\_\_ child care for participating families

\_\_\_ adult services

\_\_\_ children services

\_\_\_ case management

\_\_\_ other (explain: \_\_\_\_\_ )

No, why: \_\_\_\_\_

- Does the organization collect information concerning trends of homelessness among families with children? \_\_\_\_\_

- Is this information available? \_\_\_\_\_

- What is the organization's impression concerning homelessness among families?

homelessness has increased dramatically (explain: \_\_\_\_\_ )

homeless has remained consistent among families

homelessness has decreased among families





## **Exhibit 2-B: Focus Groups**

There are three general steps to conducting focus group information gathering:

- selecting the focus group members;
- selecting and preparing the focus group facilitator; and
- tying the information gathered to the mission of the project.

It is important to select focus group participants who generally represent the same experiences of homelessness and respond to as narrow as possible a definition of the target group to be served. For example, families with children who have been chronically homeless while the children have been in their custody. This way the questions will have the same general meaning to the participants as a group. If the constituent group includes families for whom English is not the primary language, you will want to engage the necessary translation services. It would be a good idea to gather focus group members together who all speak the same language. You can recruit focus group participants from local shelters or community service agencies, perhaps the same organizations that assisted you in collecting the homeless data.

Focus group participants are generally compensated for the sharing of their expertise. The amount of compensation varies; however, it is important to acknowledge this information may be as critical to the project's design as any other expertise secured for your supportive housing project. It will be important to include this information when recruiting participants.

The facilitator plays a very important role and should be skilled in posing questions and developing rapport sufficient to encourage participation from all the group members. It is important not to select someone whom the group may confuse with authority or power over their present housing or access to services. For example, it would be inappropriate for the shelter director to be conducting the focus group because some members may fear that they cannot be candid or lose access to their shelter. It should be someone who is neutral to them and has a comfortable and inviting style.

The facilitator will need an agenda and script which will guide the group through the information-sharing process. The agenda outlines the major topics to be covered. The agenda is written for the facilitator, not the participants. It is used as a guide for the facilitator to ensure that all the major topics have been covered. It is important to start out with questions that all the members can answer. The initial questions should be positive and designed to launch an open and comfortable discussion. Once the focus group environment is comfortable and open, the facilitator can continue with more difficult and perhaps a more intimate level of questioning. Sometimes the questions generated by the facilitator will prompt members to talk about topics planned for later in the discussion. It will be up to the facilitator to decide to whom to direct the conversation so that the environment remains comfortable and the information gathered is specific to the intended use. Most facilitators seek an informal, conversational tone to the focus



group discussion and allow the discussion to go where the participants take it. If allowed to flow naturally, this process may produce a number of unanticipated outcomes that will greatly benefit your project.

The facilitator will need to be focused on the discussion and the needs of the participants in the group. Therefore, it is advised that the focus group include a way of recording the information other than as a result of the facilitator's notes. You could tape the session with participant approval, or include an assistant who acts as a scribe. Some focus groups are conducted in professional settings designed to unobtrusively record the session. You might want to check out the facilities of your local university or college. If you have a major manufacturer or ad agency in your community, they may have facilities they would be willing to donate for your focus group meetings. If you decide to observe or record the session, it is important to notify the group participants in advance. Focus group reports are considered to be generalized observations of the discussion sessions: very short and focused on the highlights of the major observations.

Some sample questions to consider for your focus group:

- How many of you have children? How many and what are their ages?
- How difficult is it to locate affordable housing? Please describe your efforts to locate housing and what have been your barriers.
- Where are you residing now as you look for housing (shelter, with friends, etc.)? How long have you stayed there? What impact does this have on your children? What impact does it have on your ability to parent the children?
- When you look for an apartment that best meets your family's needs, what is most important to you? Why?
- When you think about living within a community of supportive neighbors, how would you best describe them?
- What kinds of problems or challenges do you deal with as a single parent? What do you wish was available to you as you meet these challenges?
- How many of you are receiving TANF (welfare or public assistance) benefits? Are you experiencing challenges or difficulties in accessing public assistance? Why?
- How are your children doing in school? What are the biggest challenges that are facing them in school? What do you wish was available to them to help them be successful in school?
- What is it like to access affordable, quality child care? What are your experiences? What was/is the biggest difficulty associated with finding child care?
- What is it like trying to find a job? What are the biggest challenges with finding and keeping employment? What would you like to have available to you to help you find and keep your job?





## Chapter Three: Planning for Services in Supportive Housing

Once you have gathered information about homeless families in your area and defined your project vision, you are ready to begin planning the specific services you will offer in your supportive housing program. In this chapter, you will learn about the philosophy behind service provision in supportive housing. You will then move through a series of steps to help you decide which services your program should include and who should provide them. Finally, you will learn about the practice of case management in supportive housing and how to build a community of peers among tenants and staff.

### Principles of Service Provision in Supportive Housing

Often, families come to supportive housing because traditional social service programs have not worked for them. They may have been turned away from a transitional housing program because the parent has not completed a minimum sobriety period or the family's history suggests they are unlikely to meet program expectations. Alternatively, they may have tried a number of previous programs without success.

What is special about services in supportive housing that can make a difference for these families? Here, we outline the principles behind service provision in supportive housing.

### Four Purposes of Services

While each supportive housing community is different, all share these objectives for their services:

- Assisting parents in maintaining a life commitment to stability and health;
- Enabling parents to make a transition from welfare to work;
- Building the capacity of parents to nurture and care for their children; and
- Encouraging productive participation in the community and society.



## **Voluntary Participation**

Generally, supportive housing programs do not require tenants to participate in services in order to retain their housing. Instead, as a leaseholder, the tenant has a contractual relationship with your organization or a private landlord. If a family does not wish to participate in a program, rejects support services and elects not to engage in community activities, yet it fulfills its lease obligations and does not pose a danger to itself or others, then the family may continue to live in supportive housing.

The challenge for the service provider is to encourage and engage tenants to participate voluntarily in personal plans for stability and self-reliance. The service provider involves family members from the beginning of their stay in determining the need for services. Lack of participation in a service or program may suggest that the service is inadequately designed or delivered rather than that the family is resisting unreasonably.

## **Creation of a Peer Community**

The concept of “supportive” housing is based as much on the support that tenants provide for each other as the support that comes from social services. In family supportive housing, peers who have shared similar experiences form a community that gives its members a sense of belonging and security and motivates them to make the changes that they feel they need to become stable. The service plan must include activities that will help to build and nurture this community.

The relationship between the service provider and the tenants also follows this model of peer community. To the extent possible, service providers in supportive housing breach the traditional distance between the “professional” and the “client” and work to develop close relationships with tenants based on a sense of mutual respect and equality.

## **Individually Tailored Services with Central Coordination**

Rather than requiring all tenants to follow a predetermined program, in supportive housing the service provider works with tenants to create an individual service plan for each family. The supportive housing program offers a range of services from which to choose. As a single case manager for the family, the supportive housing program coordinates the web of services that chronically homeless families often use.

This simple principle can be complicated in practice. Supportive service providers must navigate complex mazes of services that are publicly funded and at times mandated for the family. The provider and family may need to negotiate waivers from local requirements or augment mandated services with specialized support in order to follow the family plan. Moreover, the families may seem willing initially to dedicate themselves to a personal plan in order to access housing but may later decide they no longer need to pursue stability as it was once defined. The service provider must find ways to reengage the tenants’ commitment to a personal plan for stability.



## The Service Team

The sponsor of a supportive housing development rarely provides all of the services that are available to tenants. Instead, a single organization, often the owner or sponsor of the housing, acts as the *primary service provider* (PSP). The PSP builds a team of organizations to provide the full range of services. In many cases, the PSP offers some services itself, contracts with outside organizations to provide other services at the supportive housing site, and helps tenants find still other services in the surrounding community. *Exhibit 3-A* offers an example of how a group of service providers in Michigan defined the role of the PSP.

If your organization will not be acting as a primary service provider, you should select a PSP as early as possible, preferably before the concept development phase (refer to Chapter Four on housing development). The PSP must be involved in program design from the start to help you determine the housing model and the balance of on-site and off-site services appropriate for the targeted families. If you will be working with an outside PSP, that organization can fulfill many of the service planning steps listed below.

## Creating Your Service Plan

### Step 1: Create a Family Profile

The first step in planning for services is to develop a profile of the families you plan to serve. In your information-gathering stage, what trends did you identify in common among these families? For example, are many parents struggling with chemical dependency, mental illness, or both? Are parents at risk of losing welfare benefits but unable to support their families through employment? Are children falling behind in school?

The following chart can help you sort the different family profiles and their service needs. Check the boxes next to the items that best describe the majority of the families that you plan to serve. In some categories, you may check more than one box if you found a wide range of diversity among families. In other categories, you may not check any boxes.

The family profile chart will give you an idea of the major types of services that families with each characteristic can use. Following the chart, we will examine these types of services in more depth.



## Chart 1: The Family Profile

If most of the families have these characteristics:	✓	...then your program should address these types of services
<b>Family</b>		
<b>1. Family Makeup</b>		
A. Single parents, 1-2 children	<input type="checkbox"/>	Parenting support, respite care, child care referral or service
B. Single parents, 3+ children	<input type="checkbox"/>	Parenting support, respite care, child care referral or service
C. Couples with 1-2 children	<input type="checkbox"/>	Parenting support, respite care, child care referral or service
D. Couples with 3+ children	<input type="checkbox"/>	Parenting support, respite care, child care referral or service
<b>2. Child Protective Services (CPS)</b>		
A. Parents have custody, no CPS involvement	<input type="checkbox"/>	Parenting peer support groups
B. Parents have custody, CPS involvement	<input type="checkbox"/>	Parenting support, peer support groups and case management
C. Parents regaining or trying to regain custody	<input type="checkbox"/>	Above plus reunification services
<b>Parent</b>		
<b>3. Domestic Violence</b>		
A. None	<input type="checkbox"/>	
B. Past domestic violence	<input type="checkbox"/>	Domestic abuse prevention services
C. Currently experiencing violence	<input type="checkbox"/>	Domestic abuse prevention services plus safety planning, referrals to legal counseling
<b>4. Parents' Childhood History</b>		
A. History of physical or sexual abuse	<input type="checkbox"/>	Counseling, parenting skills training, peer support groups
B. Foster care	<input type="checkbox"/>	Parenting support and skills development
<b>5. Chemical Dependency</b>		
A. Past chemical use, treated successfully	<input type="checkbox"/>	Recovery support services and sober recreational activities, relapse prevention and intervention, peer support groups
B. Untreated substance abuse or treated but unable to maintain sobriety	<input type="checkbox"/>	Above plus chemical dependency assessment, treatment and aftercare
<b>6. Mental Illness</b>		
A. Diagnosed mental illness, successfully treated	<input type="checkbox"/>	Medication management and support, relapse prevention and intervention
B. Diagnosed mental illnesses, not stabilized or parents are having trouble maintaining medications	<input type="checkbox"/>	Above plus mental health assessment, treatment and aftercare
<b>7. Physical Health</b>		
A. Chronic health problems that are being treated	<input type="checkbox"/>	Visiting home health care, assistance with medication management
B. Chronic health problems, no access to health care	<input type="checkbox"/>	Above plus helping families gain access to community clinics and preventative care, health insurance



If most of the families have these characteristics:	✓	...then your program should address these types of services
<b>8. Housing History</b>		
A. Repeated evictions	<input type="checkbox"/>	Tenant training
B. Never been leaseholder	<input type="checkbox"/>	Tenant training
<b>9. Employment</b>		
A. History of employment at living wage	<input type="checkbox"/>	Child care, transportation assistance
B. History of employment but below living wage	<input type="checkbox"/>	Child care, job training and skills, transportation assistance
C. Holding first job, no previous employment history	<input type="checkbox"/>	Child care, job training and skills, work readiness, transportation assistance, employment support peer groups
D. Not employed, no employment history	<input type="checkbox"/>	Child care, job training and skills, work readiness, on-site employment opportunities, employment support peer-groups
<b>10. Temporary Assistance for Needy Families (TANF)</b>		
A. Never received TANF or has successfully left it	<input type="checkbox"/>	
B. Receiving TANF but preparing to stop or working	<input type="checkbox"/>	Employment training, personal budget management, preparation for assuming expenses such as child care, etc.
C. Receiving TANF, not working	<input type="checkbox"/>	Employment training, educational skills, work readiness, job placement assistance, child care referral and resource, transportation assistance, employment support groups
<b>11. Educational Level</b>		
A. Postsecondary (high school plus additional education)	<input type="checkbox"/>	career guidance and counseling, scholarship research and application assistance, child care and transportation assistance, homework help
B. High school diploma	<input type="checkbox"/>	career guidance and counseling, scholarship research and application assistance, child care and transportation assistance, homework help
C. GED	<input type="checkbox"/>	career guidance and counseling, scholarship research and application assistance, child care and transportation assistance, homework help
D. Some high school, did not graduate	<input type="checkbox"/>	Adult Basic Education, literacy training, tutoring, child care and transportation assistance (if not on-site)
E. Did not reach high school	<input type="checkbox"/>	Adult Basic Education, literacy training, tutoring, child care and transportation assistance (if not on-site)
<b>12. Immigrant Status</b>		
A. Naturalized citizens or permanent tenants, good English skills	<input type="checkbox"/>	
B. Recent immigrants, good English skills	<input type="checkbox"/>	Citizenship training, work visa assistance, job training, job placement assistance, assistance with child care referral and resource, transportation assistance
C. Established or recent immigrants, difficulty speaking English	<input type="checkbox"/>	English as a Second Language classes, citizenship training, work visa assistance, job training, assistance with child care referral and resource, transportation assistance



If most of the families have these characteristics:	✓	...then your program should address these types of services
<p><b>Children</b></p> <p><b>13. Physical Health</b></p> <p>A. Children are physically healthy</p> <p>B. Children have acute, chronic or congenital health problems</p> <p><b>14. Academic and Cognitive Development</b></p> <p>A. Children are performing at age or grade level</p> <p>B. Children are performing below grade level, showing developmental delays or learning disabilities</p> <p><b>15. Mental Health</b></p> <p>A. Children have mental illnesses that are being treated successfully</p> <p>B. Children have mental illnesses that have not been treated successfully</p> <p><b>16. Chemical Health</b></p> <p>A. Children have abused drugs and/or alcohol but have received successful treatment</p> <p>B. Children are continuing to abuse substances</p> <p><b>17. Foster Care</b></p> <p>A. Children have experienced foster care but are currently with parents</p> <p>B. Children are coming to supportive housing directly from foster care</p>	<p>✓</p> <p><input type="checkbox"/></p>	<p>Preventative care, immunizations, dental care, vision, hearing and lead screening</p> <p>Above plus visiting health care, medication management, helping families gain access to health benefits, nutrition education, parenting support, respite care</p> <p>Children's recreational programs, early childhood development programs, after-school enrichment and tutoring support</p> <p>Above plus advocacy to help gain special education services, tutoring</p> <p>Medication management and support</p> <p>Above plus mental health assessment, treatment and aftercare</p> <p>Recovery support services and recreational activities</p> <p>Above plus chemical dependency assessment, treatment and aftercare</p> <p>Parenting support, referral to community counseling services, on-site enrichment and recreational support services</p> <p>Reunification services, parenting support, referral to community counseling services, on-site enrichment and recreational support services</p>

## Step 2: Learn About Services Needed

In this section, you will learn more about the specific services that supportive housing programs provide so that you can choose services for your program.

For each category of service, we have included a list of typical services offered and references to the family profile chart that correspond to each service. For instance, in the category of chemical health support services, we have designated “chemical dependency assessment, treatment and aftercare” as corresponding to boxes 5B and 16B in the family profile. If you checked those boxes which identify parents and children who have untreated substance abuse problems, then you may want to offer these



types of chemical dependency services in your program. Some services are marked “all,” meaning that they would be appropriate regardless of the family profile for your supportive housing program.

Your organization does not have to provide every service itself. “Offering” a service also can mean contracting with another agency to provide a service on- or off-site or referring families to an existing service in the community.

Please do not feel limited by this list of services! You may decide to include different services in which you have expertise or that exist in your community. This list simply shows the major types of services that many supportive housing programs have in common.

### **Services for Families**

Some services in a supportive housing program involve both parents and children. These include:

- Case management;
- Chemical health support services;
- Mental health support services;
- Physical health support services;
- Child care; and
- Community information and referral.

**Case Management.** Case management is the coordination of an individual family’s service program, including:

- Recruiting families for the program;
- Assessing families’ needs for services and working with them to develop individual service plans; and
- Advocating for the family with systems such as the schools or child protection agencies, and counseling.

All supportive housing programs include a case management component, which is almost always provided by the PSP. We will present a full discussion of case management in supportive housing at the end of this chapter.

**Chemical Health Support Services.** Chemical dependency is one of the most common disabilities that chronically homeless parents share. Most supportive housing programs provide chemical dependency treatment and other services to support recovery from drug and alcohol abuse.

Chronically homeless children are also affected by their parent’s substance abuse:

- They may have had prenatal exposure to drugs, leaving them vulnerable to physical and developmental disabilities.



- They may have been separated from their parents because of substance abuse. If the parent becomes sober and begins to spend time with the children and take control of the family, children may need counseling to sort out the confusion they experience in seeing the change.
- Some homeless children themselves abuse drugs and alcohol and need intervention, assessment and treatment.

Many sponsors of supportive housing are already providers of chemical dependency support services. Others contract with outside agencies for these services. Chemical dependency support services can include:

- Chemical dependency assessment, treatment and aftercare for adults and, if necessary, children (Family Profile: 5B, 16B);
- Relapse prevention and intervention (Family Profile: 5A-B, 16A-B);
- Methadone maintenance (Family Profile: 5A-B, 16A-B);
- Harm reduction services (Family Profile: 5A-B, 16A-B);
- Drug testing (if the program requires sobriety) (Family Profile: 5A-B, 16A-B);
- Chemical health support groups (Family Profile: 5A-B, 16A-B);
- Sober recreational activities (Family Profile: 5A-B, 16A-B);
- Counseling for children affected by their parents' drug use (Family Profile: 5A-B); and
- Health care and monitoring for infants born with drugs or alcohol in their systems (Family Profile: 5A-B).

Beyond simply providing services, supportive housing usually provides a drug- and alcohol-free home community that makes it easier for tenants to maintain their sobriety. Some supportive housing programs operate as “sober” housing that prohibits the use of drugs or alcohol on the premises and considers on-site drug use a violation of the lease that can result in eviction. Others are more flexible and do not necessarily connect drug use with the loss of housing. Note that while terminating a lease for illegal drug use is usually upheld in local courts, it may not be legal to terminate a lease because of alcohol use, since alcohol is not an illegal substance.

Finally, supportive housing programs need to have a response in place for times that tenants relapse in ways that place their housing and children at risk. For example, a parent in your program who enters a detoxification center may lose her job. Even if your program does not require sobriety as a condition of her lease, she may fall behind on her rent and therefore still risk eviction. Occupancy policies should create flexible payment options for those who cannot pay rent due to treatment. Many supportive housing programs also care for children when their parents are in a detoxification center or an in-patient treatment facility by arranging for another family member, staff or other tenants to stay with them.



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### Example: Chemical Dependency Relapse Support

*Grant Park Apartments is a 12-unit supportive housing program for families. One of the tenants, Martha, is a recovering crack addict whose children had been taken from her by the county because of her drug use. After a few months in Grant Park Apartments, Martha achieved six months of sobriety, completed her GED and a job readiness program, started work as a full-time receptionist for a neighborhood beauty salon, and was reunited with her children.*

*Martha was meeting all of the county's requirements in order to maintain custody of her children, but one day she panicked while recalling an argument with her teenage daughter. The daughter was angry that Martha was much more involved with her eight-year-old son's education than she had been with the daughter's school. As Martha walked to work, filled with guilt and remorse, she ran into an old smoking partner, who urged her to join him at a "party." Before she knew it, she was with the old group, smoking crack.*

*Martha missed work that day but was able to return to the apartment. She wanted to hide, but she knew her children would be able to tell that she had lost her battle. Instead, she confessed to Susan, her next-door neighbor, who had once been addicted to crack herself. Susan immediately contacted Juanita, the on-site family support specialist. Susan and Juanita agreed to take turns staying with Martha's children while Martha checked into a 72-hour in-patient program. Susan and Juanita helped the children to understand that Martha was taking positive steps to be a good parent, that relapse is part of recovery, and that the Grant Park community would support them. Juanita also talked to the beauty shop, which was willing to keep Martha as a receptionist when she returned.*

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**Mental Health Support Services.** Because so many chronically homeless parents and children suffer from mental health problems such as depression and anxiety, nearly all supportive housing programs offer mental health care services.

As with chemical health programming, some supportive housing sponsors offer mental health care as one of their primary services, and others contract with another agency on-site or elsewhere in the community to provide mental health services. Whichever arrangement you choose, tenants in your program may need the following services:

- Mental health assessment for both parents and children (Family Profile: All);
- Mental health treatment, counseling and aftercare (Family Profile: 6B, 15B);
- Medication management and support (Family Profile: 6A-B, 15A-B);
- Relapse prevention and intervention (Family Profile: 6A-B, 15A-B);
- Mental health education (Family Profile: 6A-B, 15A-B); and
- Advocacy and liaison services with mental health care providers such as psychiatrists (Family Profile: 6A-B, 15A-B).



At times, parents who suffer from mental illness may endanger the family's housing as a result of inability to cope with their disability. For example, while a family would not lose supportive housing if a parent refused to accept mental health services, she may experience an episode of illness, become hospitalized, lose her job and thus be unable to pay rent. As with chemical dependency, a supportive housing program must be able to respond to instances of mental illness and help tenants to stabilize their illness, maintain their housing and provide alternative care for their children.

You may want to work with tenants to develop relapse plans early in their stays in supportive housing, so that they can direct how they should be served if an intervention becomes necessary. For example, one supportive housing provider has developed peer community relapse plans with tenants. The tenants work together to identify signs that would indicate episodes of illness and how they would like their neighbors to respond. Thus, tenants maintain the community's health and stability and the service provider gains valuable support in recognizing when tenants are struggling.

---

#### **Example: Mental Health Relapse Support**

*Jenny has been diagnosed with manic depression. She has struggled in the past to control her illness because the medication causes side effects that interfere with her sense of well-being. Jenny is the mother of two school age boys, ages 7 and 10, who have experienced a number of foster care placements.*

*Since coming to Skyway Towers, a supportive housing program for parents with mental illness, Jenny has been able to maintain her stability and has been employed in a sheltered work program that combines work readiness with supported job placement services. Jenny's children have settled into their school, participating in after-school recreation and tutoring programs.*

*After maintaining her job for three months and earning repeated good performance reviews, Jenny decided that she no longer needed her medication. After two weeks, she fluctuated between severe emotional highs and lows. For several days, Jenny called in sick to work. The supportive housing staff noticed that her children had missed the bus for school two days in a row and paid a home visit. Jenny was found sleeping and the boys told the staff that their mother had been sleeping most of the time during the last several days. There was little food in the house and the apartment was a mess.*

*The staff convinced Jenny to enter the hospital. The staff made arrangements with a county home nurse, a neighbor and a relative to stay in the apartment with the children, according to an agreement Jenny developed when she first moved into supportive housing. The children continued to attend school.*

*When Jenny's condition stabilized, she returned home. Staff helped her regain her confidence. A visiting home nurse was assigned daily visits, augmented by periodic visits from the supportive housing staff.*

*Jenny kept her job, but her schedule was rearranged to make it easier to balance work and parenting responsibilities. Since Jenny's loss of employment for three weeks made it impossible to pay her rent while hospitalized, the supportive housing program tapped a special operating subsidy fund to cover the gap. Jenny agreed to pay \$10 per month until the fund was fully repaid.*

*Jenny's relapse plan was modified to allow a supportive services staff person to check in with her weekly until Jenny felt that she no longer needed the intensified support.*

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**Physical Health Services.** Homeless parents and children often suffer from poor health but have little access to consistent health care. Most often, families seek help from local hospital emergency rooms, an expensive and often inappropriate health care source. Supportive housing programs can assist families in finding better quality, preventative health and dental care services and in navigating health benefit and insurance systems.

Many of the health services that tenants will need may already be available in the surrounding community. Supportive housing programs can help their tenants gain access to:

- Health benefits such as insurance and access to community clinics (Family Profile: All);
- Routine and preventative health, dental and optical care (Family Profile: All);
- Prenatal care for pregnant women (Family Profile: All);
- Immunizations, lead poisoning testing and treatment, and vision and hearing tests for children (Family Profile: All);
- Care for chronic illnesses (Family Profile: 7A-B, 13B);
- Assistance in managing medications (Family Profile: 7A-B, 13B);
- Visiting home nurse care (Family Profile: 7A-B, 13B); and
- Physical and occupational therapy (Family Profile: 7A-B, 13B).

In some cases, homeless adults may suffer from serious illnesses such as HIV-AIDS. Supportive services can help a parent to maintain a home for her children while she attempts to stabilize the disease or faces the prospect of a terminal illness. These services can include a meal delivery program, home health aides, homemaker support services, helping the tenant gain access to public benefits such as Medicaid and hospice care. Just as important, supportive housing programs can help to eliminate the social isolation of people suffering from a chronic, debilitating disease and keep them as active members of the community for as long as possible.

**Child Care.** Working parents in your program will need child care for their families. Because affordable, high-quality child care is difficult to find, most supportive housing programs for families include child care as part of their menu of services. Some offer child care at the housing site, while others contract with outside child care providers to reserve slots for children from the housing community.

Chronically homeless families likely will need special child care services. Children who have experienced abuse, neglect or repeated foster care placements may need therapeutic child care that accommodates their developmental needs. Moreover, many parents leaving welfare work in low-paying jobs with night or weekend hours, so they will need child care that is very low-cost and offers flexible hours.

Most communities offer some type of child care subsidy to very low-income families or those in which the parent is making the transition from welfare to work. You may need to assist families in your program in obtaining these subsidies. If these subsidies do not exist in your community, you may need to raise funds for child care for families in your project. For example, you could make an appeal to your



state legislature to use welfare program funds for child care subsidies, ask religious congregations to be matched with a family and donate funds for their child care needs, or appeal to employers directly for assistance with child care.

Child care services associated with supportive housing may include:

- Helping families find child care and gain access to subsidies (Family Profile: All);
- Infant, toddler and preschool care (Family Profile: All);
- After-school and summer care for school age children (Family Profile: All);
- Special needs child care for children with disabilities, developmental delays and behavioral problems (Family Profile: 14B);
- Emergency and respite child care for parents who are experiencing a crisis (Family Profile: All);
- Evening and weekend child care (Family Profile: All, but especially 9C);
- Care programs for sick children (Family Profile: All); and
- Overnight care when the parent experiences a relapse or hospitalization (Family Profile: 5A-B, 6A-B, 7A-B).

**Community Information and Referral.** A supportive housing program does not need to provide every possible service to tenants itself. Many services, such as education, public transportation and health care are already available in most communities. In addition to providing services, a supportive housing program can involve families in determining what kinds of community-based services would be useful for them, teach tenants how to find and use these services and assist tenants if the service agencies are unresponsive.

At a minimum, a community information and referral program might include:

- Information and training on using the local health care system (Family Profile: All);
- Information about how to use public transportation (Family Profile: All);
- Training on finding and initiating contact with community resources, such as making inquiries on service availability and eligibility requirements (Family Profile: All); and
- Advocacy for tenants when community services are not working properly (Family Profile: All).



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### Example: Community Information and Referral

Riverview Residence is the largest subsidized housing community in the state, with over 2,000 tenants. About 200 of those tenants are part of a supportive housing program for formerly homeless families. While in-house services are only available to tenants of the supportive housing program, the Primary Service Provider felt that the other tenants of the complex could use many of the same outside services as the supportive housing tenants. However, the PSP could not possibly offer personal referrals to that number of tenants.

To help all Riverview tenants find the services they need in the community, the PSP created an interactive software program that directs tenants to the nearest community resources that can assist them. Since 60% of the tenants of Riverview are immigrants, the software program works in six languages. After entering some information to help guide the search, tenants can move through the interactive screens with information about 500 organizations offering more than 2,000 services and resources. When tenants find the services that best respond to their needs, they can print information about them.

For example, Fahima selected an evening child care program serving Somali children. She was given the organization's address, contact person, telephone number, a brief description, eligibility criteria for financial assistance and a list of the personal information she would need when initiating the call.

The Riverview staff urges tenants to contact a staff person if they encounter difficulty pursuing the referral. Quarterly, 10% of those who use the database are surveyed to determine how well the program is working and how it can be improved.

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### Services for Adults

Other services specifically target adults. These include:

- Education and employment support services;
- Parenting information and support;
- Tenant information and training; and
- Personal safety and crime prevention.

**Education and Employment Support Services.** With welfare reform requirements, helping parents prepare for employment is more important than ever. Many supportive housing programs help parents overcome gaps in their education with remedial programs such as GED<sup>1</sup> and English as a Second Language classes. Supportive housing programs also can help tenants develop the skills they need to find and maintain employment. Some supportive service strategies even include on-site employment programs as a kind of sheltered work experience.

While these are the most common programs, supportive housing providers should present a wide range of opportunities for tenants. Some tenants may not need remedial education and may be ready to move



to higher education opportunities. Others may begin with remedial education and move on to more advanced studies. Still others may not be able to begin GED programs immediately, as enrollment in programs to gain a GED can take significant time and endurance. Therefore, some supportive housing programs help tenants to pursue jobs that do not require a diploma or GED and then to pursue additional education or job training once their employment is stable.

Some of the components of an educational and employment support program might be:

- Basic adult education classes such as GED, literacy and English as a Second Language courses (Family Profile: 11D-E, 12C);
- Assistance in identifying and applying for higher education programs, loans and scholarships (Family Profile 2A);
- Citizenship training (Family Profile: 12B);
- Training for job readiness in areas such as preparation of a resume, job search skills, interview skills, conflict resolution and anger management in the workplace and balancing work and family (Family Profile: 9C-D, 10B-C);
- Job skills training (Family Profile: 9B-D, 10B-C);
- Job placement services (Family Profile: 9B, 9D, 10B-C);
- Employment support groups (Family Profile: 9C-D, 10C);
- On-site employment opportunities (Family Profile: 9D); and
- Assistance in obtaining loans and financing for small business start-ups (Family Profile: All).

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### **Example: Employment Support Services**

*Phillips Community Housing provides on-site child care and after-school enrichment activities in its supportive housing program. Parents in a welfare-to-work program are employed by the children's program as classroom aides, kitchen staff, recreational staff and homework help tutors. They are paid \$6.00 per hour and receive workplace training covering time management, conflict resolution, self-assessment and employment search and interviewing skills. They also are matched with a mentor. The on-site employment program improves the children's program through increased adult support, prepares the parents for outside employment and builds stronger relationships between parents and children.*

*After a parent completes six months of training and mentoring, the supportive housing program helps him or her seek work from outside employers. The program assists parents with public transportation and provides clothing and special equipment if needed for off-site work. Once parents make the transition into working off-site, the supportive housing program encourages them to join a parent support team that helps prepare an evening meal and assists with child care.*

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**Parenting Information and Support.** Most homeless parents are deeply committed to their children, but they may have had few positive experiences with their own parents that would teach them how to care for their children. Many homeless parents in your program will have overcome tremendous barriers to keep their children with them. Others may feel guilty and ashamed because they have been separated from their children. Supportive housing can provide a safe environment to build parents' confidence and skills.

Services to develop parents' skills include:

- Training in the care of newborns and infants (Family Profile: All, especially 2B-C, 5A-B, 13A-B);
- Education about toddler and preschool early childhood development (Family Profile: All, especially 2B-C, 4A-B);
- Training in caring for school age children (Family Profile: All, especially 2B-C, 4A-B);
- Assistance in supporting adolescents through participation in educational events, volunteering in schools, attending sports events and so forth (Family Profile: All, especially 2B-C, 4A-B);
- Special services for parents reuniting with children in foster care, such as family counseling, family recreational programs, linking families with a mentor or coach who has successfully accomplished reunification, and peer support groups (Family Profile: 2C);
- General parent support groups and peer mentoring programs (Family Profile: All); and
- Assistance to parents of children with special needs, such as respite care, in-home nursing or foster grandparent support (Family Profile: 13B, 14B, 15A-B).

**Tenant Information and Training.** Many chronically homeless parents have never lived in stable housing as adults. Whether your organization will own the housing used for your program or the families will rent from a separate landlord, parents in your program may need training in how to live independently in an apartment. This training should help tenants understand their and their landlord's rights and responsibilities; how to maintain a unit, use appliances and conserve utilities; day-to-day independent living skills such as grocery shopping, cooking and household finances; and how to become involved in the management of their housing.

Some of the components of a tenant information and training service might be:

- New tenant orientation and move-in assistance (Family Profile: All);
- Basic tenant occupancy training (Family Profile: All, especially 8A-B);
- Energy conservation and asset management training (Family Profile: All);
- Tenant's rights training (Family Profile: All, especially 8A-B);
- Tenant leadership training and organization of a tenants' council (Family Profile: All); and



- Independent living skills training and support (Family Profile: All).

**Personal Safety and Crime Prevention.** Most homeless women have experienced domestic violence as children and as adults. Many women seeking safety turn to unhealthy relationships in which they are further victimized. Many homeless families also have lived in neighborhoods where they have witnessed or experienced violence.

A personal safety and crime prevention program can help women to learn to defend themselves, how to avoid unsafe situations, how to join with others to prevent neighborhood crime and how to respond appropriately in the event of an emergency. You may want to include the following in your program:

- Self-defense training (Family Profile: All, especially 3B-C);
- Participation in community-based crime prevention programs, such as block clubs (Family Profile: All);
- Emergency first aid and CPR training (Family Profile: All); and
- Domestic violence prevention training (Family Profile: 3B-C).

### **Services for Children**

Many programs for homeless families concentrate primarily on services for the parent. The parent's struggles with chemical dependency, mental illness and/or unemployment are often more obvious than the effects of homelessness on their children. However, homelessness affects children deeply, from before birth through each of the developmental milestones to adulthood. What affects the child affects the whole family. Within a community, what affects the family affects the entire community. The well-being of children is paramount to a stable family and a thriving community.

Therefore, supportive housing programs must provide services for children. If your organization is a primary service provider that specializes in services for adults, you must develop new expertise within your organization or establish a partnership with outside organizations to provide services specifically designed for children. A measure of the success of a supportive housing program is the healthy development and well-being of the children who live within its community.

In addition to providing child care and including treatment for children's chemical dependency, mental illness and physical health, supportive housing programs often offer these services:

- Children's educational services; and
- Children's recreational programs.

**Children's Education.** Supportive housing offers an opportunity for homeless children to catch up with their classmates and for parents to become involved in their children's education. Helping a child to succeed in school can be a crowning accomplishment of a supportive housing program, one that can be measured clearly by what the child achieves. Moreover, by keeping children in the same school for an extended period, giving them a home where friends are welcome and providing activities to which friends are invited, supportive housing gives children a chance to make real and lasting friendships with their classmates.



Supportive housing programs offer a variety of educational programs for children, including activities to encourage young children's development, academic assistance for school age children and remedial and special education services. Some of the components of your educational program for children might include:

- Infant and toddler stimulation programs (Family Profile: All);
- Parent/child active play and reading activities (Family Profile: All);
- Early childhood development and school readiness programs (Family Profile: All, especially 14B);
- After-school enrichment programs (Family Profile: All);
- Opportunities to form friendships outside of the supportive housing community through school activities and inviting school peers to supportive housing-sponsored activities (Family Profile: All);
- Academic tutoring (Family Profile: 14B);
- Advocacy to help parents negotiate special education services for their children (Family Profile: 14B);
- Teen dropout prevention and support (Family Profile: All); and
- College and other postsecondary education counseling, placement and advocacy for tuition assistance (Family Profile: All).

**Children's Recreational Programs.** Through play, children learn, grow and socialize. Homeless children often come into supportive housing without the developmental advantages that playtime provides. They may not have had access to stimulating toys, large muscle equipment or well-supervised play with other children. Supportive housing services should include regular opportunities for structured play, sports and recreation to help children develop social and emotional skills.

Adolescents also need positive recreational activities. Otherwise, they may experiment with high-risk activities such as vandalism, gang and drug activities, and sexual activity. Through programs that build social, problem-solving, conflict resolution and leadership skills, supportive housing can help teenagers to mature and reclaim the youth that was overwhelmed with displacement and stress.

Recreational programs for children might include:

- Supervised play activities for preschoolers (Family Profile: All);
- After-school sports and recreation for school age children (Family Profile: All);
- Supervised outdoors programs such as Outward Bound, scouting and the 4-H Club (Family Profile: All);
- Arts and music programming (Family Profile: All); and
- Summer recreational and camping programs (Family Profile: All).



Housing providers who participated in the first round of Michigan's Supportive Housing Demonstration Program worked as part of a consortium to address the question of service needs. They found it helpful to identify three tiers of service in supportive housing:

- **First Tier:** “Essential On-Site Services” which they defined as the heart of the core program, includes services that:
  - are integral to housing satisfaction and stability
  - help prevent housing-related crises, including eviction
  - are designed to facilitate access to other community services
  - address emergent housing problems
  - foster the development of natural support systems among tenants
  - allow for longer-term engagement for tenants whose history or current housing status suggests a need for services—but who may be reluctant to receive them

These services may not be subject to tenant voluntary participation, unless the tenant would choose to live elsewhere, because as the Michigan consortium states, “it is part of the housing.”

- **Second Tier:** It is called the “supportive living services” category of services, which the consortium identified may be convenient to provide on-site and offered by the PSP if the tenant wants the service and wants it provided by the PSP. If the tenant prefers a relationship with another service provider, that would be their option. This category of service includes:
  - one-on-one and group counseling
  - health care support
  - recovery support

Tenants participate voluntarily. They can either choose to participate or not, and may choose to access services from an alternative provider. The consortium points out “the provider must not only honor the tenant’s choice, but encourage each tenant to take responsibility for managing his or her own support system.”

- **Third Tier:** It is referred to as “services for separate budgeting” and is not included in the supportive housing core “package” of services. These services would be identified and arranged for through the development of the family plan. The tenant could choose to access these services through the PSP, but it is not required.

This is an example of how one group of housing providers dealt with the complexity of supportive service provision. You may select other ways of identifying and serving needs that best respond to your tenants, program and locale.



### Step 3: Choose Services for Your Program

Now that you have a better idea of what services are appropriate for different family types, you will determine how services will be delivered and the PSP's direct service role.

Review the services that match the family profile you created and reflect on your discussions with homeless families about what they felt they needed to change and enrich their lives. Think about which services you would like your program to include. Fill in the first column of the service planning chart below with the list of services that you would like to be available to families in your program. You may decide to group services by levels of essential need, such as Michigan's example. You will also need to decide if the service best meets the family profile of need as an immediately available service, located on-site or as a service that can be accommodated through off-site community referral. This is the beginning of your planning process. You will make changes to this list once you know what funding and expertise are available to your PSP, in other agencies and throughout your community.

**Chart 2: The Service Planning List**

Family Profile	Type of Service	PSP Will Provide (✓)	Location (OS: On-site; RC: referral to community)
All, 8A-B	Tenant occupancy training	✓	OS
All	Infant/toddler stimulation programs	No	RC

### Step 4: Identify Potential Service Providers

As a next step, think about who can best provide these services to families in your program and fill in the appropriate service provider for each. If your PSP has expertise in providing a particular service or can add staff that does, check the column marked "PSP Will Provide" next to that service. If, in your information-gathering phase, you found that another service provider in your area can provide a service, fill in its name in the third column across from that service. At this point, you do not need to have formal agreements with these organizations, but you can identify them as possible providers for your program. In later steps, you will formalize your relationships with providers to create a service collaborative.



The following chart can help you create an inventory of service providers in your area who might be able to work with your program, so you may want to fill it out before you complete the second two columns of the service planning chart. You will also use some of the more detailed information in this chart when you create your service collaborative plan.

**Chart 3: Inventory of Community Services**

Type of Service	Agency Name	Service Cost	Eligibility Requirements	Availability of Service

The following is an example of a portion of a completed chart:

**Chart 3-A: Inventory of Community Services (example)**

Type of Service	Agency Name	Service Cost	Eligibility Requirements	Availability of Service
Domestic Violence Prevention Services	Safe Families, Inc	No cost to family or project	Women who have received an order of protection only	Has limited capacity. First-come, first-served
	The Law Project	No cost to family or project	Women who need an order of protection	Has no limit. Law students matched with clients
Adult Education – GED	City PS District #312	No cost for school site classes. On-site classes \$300/month	No limits	No limits
Continued...				



## **Step 5: Build the Supportive Housing Service Team**

Next, you will determine which of the service providers identified in your service planning list will be part of the team and how you will formalize your arrangements with them.

### **Choosing Service Partners**

To begin building the service team, discuss your mission and program with the service providers you identified in your service planning list to determine whether they want to work with you. Before adding an organization to your service team, consider whether it has the following qualities:

- **Qualifications.** Determine whether the agency has the experience, organizational stability and technical expertise to carry out the service as you have envisioned. Consider your own past experiences with the organization, and if possible, talk to others about their experiences. Find out whether the organization has a history of collaborating with others, whether the executive director and board of directors are effective, whether the staff is stable or turnover is high, whether the organization is financially stable and who its major funders are.

This does not mean that you should reject a new organization just because it has a short history. You can evaluate a newer organization by learning about the previous experience of its staff and board of directors and its current relationships with funders, community members and service consumers.

- **Shared Vision.** Service providers who work with your program should be committed to serving chronically homeless families and to supportive housing principles, such as voluntary participation and the importance of peer support. They should also be in agreement with your specific mission. Be aware that some organizations may gain access to additional funding if they work with a supportive housing program and may be expressing interest for that reason.
- **Confirm the compatibility of your organization's mission and vision with that of the potential provider through discussions with its executive staff and board of directors.** Ask how participating in your project will advance the goals of the provider. Be sure that the partnership will benefit both organizations beyond helping one to gain additional funding.
- **Compatible Service Styles.** The manner in which collaborating agencies operate also should be compatible. For example, if the primary service provider is a small, grass-roots organization that is managed mostly through personal relationships, then it may have difficulty dealing with the administration of a large organization that is managed through intricate systems. Likewise, the way that the different organizations relate to service recipients should be consistent. Supportive housing programs are less successful when tenants must constantly adjust to multiple styles of service providers.



Exhibit 3-B contains a list of questions that you can ask other agencies to evaluate these considerations.

You might feel awkward about asking questions and collecting evaluative information from potential partners or collaborators. However, selecting the right service partners will be essential to the success of your program.

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### Example: Clashing Service Styles

*Charing Homes is a 12-unit housing community of formerly homeless women with HIV-AIDS and their children. The program is sponsored by MACA (Moms and Children with AIDS), a grassroots, consumer-governed support organization. Charing Homes provides child care, recreation, education and employment support services, with an emphasis on peer support.*

*One of the key services needed by tenants was home-based medication management. MACA contracted with the county public health department to provide the services. However, tenants began complaining that they did not feel they had a voice in how the services were provided. They often felt coerced into medical regimes for fear the county would remove their children if they did not comply.*

*MACA convened a meeting with the health department staff and Charing Homes tenants. The county staff insisted that internal county protocols for managing medications and treatment procedures should be followed. The county had been sued recently and had stepped up its mandates for in-home care.*

*MACA pursued a waiver of the protocols based on the tenants' concerns, but the county denied the waiver. Finally, rather than sacrifice its core principle of tenant control over care, MACA found a small physician's association to replace the county services. The association promised to work with tenants to design medication and treatment protocols.*

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## Creating the Collaborative Service Plan

Once you have identified qualified, compatible agencies to provide services for your program, you and each of your new partners will need to make a series of decisions about how you will arrange your collaboration. These include:

**Legal Relationship.** You may structure a formal legal relationship with a service provider through a contract or other legal agreement. A contract spells out:

- The terms of your agreement;
- The scope of services to be delivered;
- The obligations each party has to the other in the delivery or receipt of services;
- The method of remuneration or payment;



- The circumstances under which parties to the contract may terminate the contract; and
- Any other conditions that can impact on the relationship.

A contract is a formal legal document usually reserved for situations involving the sharing of funding or payment for services. If you plan to use these agreements, we recommend that you seek the services of an attorney to assist you in drafting the agreement to decrease the chance of misunderstandings.

If you will be referring tenants to another service without payment, you may still want to design a written agreement which details the referral process, service and expectations of accessibility or capacity to respond as referrals are made. This type of written agreement is sometimes called a “memorandum of understanding” or MOU. Unlike a contract, an MOA is not legally enforceable but it is an important tool for defining roles and responsibilities when multiple organizations are collaborating in service delivery. No matter who delivers a service, the PSP is the principal organization held responsible for its efficacy. Defining your expectation of a service in advance will help you to evaluate its success.

**Location.** Will the services be provided on- or off-site? This decision will impact on your facility needs. Your housing may or may not include common space for services. Some services may require a special off-site facility, such as a health care clinic.

You should also consider the family profile when making this decision. If your general family profile includes single parents with two or more small children, and if the family is fresh from an extended period of chronic homelessness and crisis, on-site services associated with the most common critical needs may be the most beneficial. In this example, families may not be used to functioning in the immediacy of the moment and may easily get lost in the system if required to travel from one service to another.

**Cost to Your Program.** You and the other agency will need to negotiate a cost per tenant or other method of compensation calculation for the service. Often, an agency will be willing to provide services at little or no cost, especially if the tenants referred to them fit a targeted profile for which the organization receives funding. However, you may want to enter into a paid relationship with a provider to ensure that tenants of your program receive adequate and assured access to the service.

You may refer tenants to another agency on a case-by-case basis, or you may enter into a contract with an agency to provide services for your program’s general participation. The cost-effectiveness of each option may depend on the number of tenants using the service. If only a few tenants will need a service, referrals are probably the less expensive option. If most tenants will use a service, it may be less costly to enter into a contract with the community provider.

If you do contract with a provider, then the location of services also will affect the costs. If the service will be provided on-site, the agency may need to hire new staff to send to the site, thus increasing costs. If the provider can accommodate tenants at its primary (off-site) location, then the cost of the service may be lower, although your program’s transportation costs may increase.

After you have made these decisions, document the results in Chart 4, the Collaborative Service Plan. This chart lists your relationships with other organizations and the services they will provide.



### Chart 4: Collaborative Service Plan

Type of Service	Agency Name	Legal Relationship (C, MOU, R, JP)	Location of Services; on-site, off-site, or combination	Cost to Project

C = Contract, MOU = Memorandum of Understanding; R = Referral, JP = Joint Partnership w/PSP

### Step 6: Create a PSP Staffing Plan

If your organization will be acting as the primary service provider, you can use the service planning list to help you plan for the staff you will need to carry out your program.

In order to implement the supportive housing program, your organization will need to add new staff, reassign existing staff to take on new responsibilities, or both. How you plan for staff for your new program will depend on several criteria:

- **Scope of services.** If most of the services in your service planning list will be provided by other organizations, then obviously you will need fewer staff than if the PSP will be providing most of the services.
- **Number of tenants.** The more tenants that will be using a particular service, the more staff it will require, particularly if it is a service that is provided one-on-one rather than in a group.
- **Housing type.** If your program is a scattered-site development with little common meeting space and significant PSP involvement in service delivery, then it may require more staff per family than a congregate development, since staff will need to travel to reach families.
- **Your existing organization.** If your agency already provides similar services at other sites, the supportive housing program may be able to share staff with these programs, reducing the need to hire new staff.



To determine your staffing needs, fill out Chart 5: Staffing Plan below. To do so, you will need to know the number of tenants using each type of service and compute a ratio of tenants served to the daily number of hours that the service will be provided. This is not a simple math calculation. Each organization approaches staffing differently. The size of the housing community and whether it is a scattered-site or single-site community affect staffing needs. The ways that a service is provided (on- or off-site, always available or occasionally needed, in a group setting or through one-on-one contact) also affects the number of staff members needed.

The Minnesota office of CSH analyzed the service and staffing plans of five PSPs working in single-site, scattered-site and master-leased supportive housing communities. The analysis yielded the following results:

- The average case management ratio is between five to eight tenant households per full-time case manager;
- Staffing for an after-school activities, enrichment and academic support program averaged 15 school age children per half-time staff person working 20 hours per week;
- The average 20-unit housing community needs one full-time staff person to manage case management and support services for between 30-40 children, in addition to child care and after-school activities staff; and
- The average 20-unit housing community requires at least 20 hours per week in program administration for on-site services.

**Chart 5: Staffing Plan**

Type of Service	Staff Position	# of Tenants Needing Service*	Anticipated Daily Service Need**	Staff Availability (NH, SS, FTE, O)

\*Be sure to include number of children, if appropriate

\*\*Include number of hours, time of day or evening, day of week

NH = New Hire; SS = Shared Staff (existing staff shared from another program operated by the PSP); FTE = Full-Time Equivalent; O = Other



The following is an example of a staffing plan based on the chart:

**Chart 5-A: Staffing Plan (example)**

Type of Service	Staff Position	# of Tenants Needing Service*	Anticipated Daily Service Need**	Staff Availability (NH, SS, FTE, O)
Case management	Tenant Specialist	20 adults, 72 children	Fluctuates between 15 minutes and 1.3 hours	6.8–7.5 FTE-NH
School-age after-school enrichment	Children's Education Specialist	40 children and youth (including 17 youth ages 12–18 years)	Academic Year 40 weeks: M-F: 3 hours; Sat: 4 hours Summer 12 weeks: M-F: 8 hours; Sat: 4 hours	2 FTE-NH
Family health and education programming	Family Education Specialist	20 adults, 72 children	8-12 hours per week for scheduled classes and events	.5 FTE-SS (from public health dept. and University Extension Services)
Chemical health screening and support services	CD Counselor	15 adults, 6 youth	Average 15 hours per week	.5 FTE-O: purchased services from county chemical dependency program
On-site child care	Child Care Director	11 infants/toddlers 20 preschoolers	Average 50 hours per week	1 FTE-SS (with ABC Children's Place)
On-site child care	Child Care Specialist	11 infants/toddlers 20 preschoolers	Average 50 hours per week	5 FTE-SS (with ABC Children's Place)
On-site child care	Child Care Aides/Assistants	11 infants/toddlers 20 preschoolers	Average 50 hours per week	2 FTE-SS (with ABC Children's Place)
Transportation assistance	Van Driver	20 households	Average 15 hours per week	5 FTE-O (loaned driver from Messiah Church)
Administrative support services	Administrative Assistant, Assistant Bookkeeper	20 households	Average 20 hours per week	.5 FTE-NH
Program direction and supervision	Program Director	20 households	Average 40 hours per week	1 FTE-NH

\*Be sure to include number of children, if appropriate

\*\*Include number of hours, time of day or evening, day of week

NH = New Hire; SS = Shared Staff (existing staff shared from another program operated by the PSP); FTE = Full-Time Equivalent; O = Other



## Step 6: Determine Special Credentials

Now that you have created a list of staff positions, you should consider whether local and state laws require special qualifications for those positions. For example, in some states staff performing crisis counseling must have specific credentials. Also, some staff positions must be directed by supervisors with special credentials or licensing. For example, your state may require a teaching assistant in a licensed child care facility to be supervised by a lead teacher meeting state licensing requirements. For assistance in determining your local requirements, contact the local funding or licensing entity, usually a department within your local county offices.

The next exercise will help you plan for your hiring by listing those special requirements. Fill in the list of staff positions that you created in the last exercise and note any qualifications or special supervision that a staff member in that position would need.

**Chart 6: Staffing Qualifications**

Staff Position	Minimum Credentials Required	Licensing Required	Specialized Supervision Required	Other Limitations



The following sample chart continues the example started in the staffing plan sample above.

**Chart 6-A: Staffing Qualifications (example)**

Staff Position	Minimum Credentials Required	Licensing Required	Specialized Supervision Required	Other Limitations
Tenant Specialist	4-year social work degree or equivalent	Yes	Yes, must be supervised by a licensed MSW	Must refer mental health counseling needs to qualified institution
Children's Education Specialist	4-year early childhood, social work or education degree	No	No	Must meet licensing requirements for child care if parents are not on-site during program
Family Education Specialist	None – specific to the topics offered	No	No	N/A
CD Counselor	Minimum 2-year CD counseling degree – 4-year preferred	Yes	Yes, if 2-year degree	May not do treatment counseling, only recovery support
Child Care Director	4-year early childhood degree	Yes	No	May have insurance restrictions
Child Care Specialist	Must have a child development certificate	Yes	Yes, must be supervised by licensed teacher	Must have assistants if ratio exceeds state maximum
Child Care Aides/Assistants	A minimum of 15 hours of early childhood education credits and 2 years' experience	Yes	Yes, must be supervised by a licensed early childhood teacher	Must always be in the company of an assistant teacher. State regulations require minimum ratio of children to staff
Van Driver	Must have valid state driver's license, have insurance and have completed the state's requirements for a class C chauffeur's license	Yes	No, not if insurance has approved	Must have at least one adult assisting if children are under 3 years of age

## Case Management in Supportive Housing

Up to this point, this manual has concentrated on planning for services for the whole supportive housing community. We now want to turn to a discussion of *case management*, which focuses on the individual family. Case management is the act of coordinating services with a single family. In supportive housing, the primary service provider nearly always provides case management services to tenants of the program.



Traditionally, case management has been defined as the practice of “managing a client” through a social service system. In its historical roots in the social work field, case management was often used as the vehicle to control the client’s use of services and resulting behavior. More recently, the practice of case management has evolved toward a “systems management” and advocacy approach. Rather than focusing on managing the actions of the client, the professional assists the client in successfully navigating the service system in order to accomplish goals that have been determined by the client and professional together.

In supportive housing, the case manager and the family work together to create a service plan to help the family meet its goals. In addition to more formal case management activities such as assessment and counseling, the case manager develops a close relationship with the family and provides emotional support.

At a minimum, case management in supportive housing includes the following activities:

- Outreach and intake services;
- Assessments for needs and services;
- Development of a family plan;
- Encouragement and support;
- Mentoring and role modeling;
- Education;
- Brokering and coordinating services;
- Advocacy;
- Counseling and crisis intervention; and
- Monitoring and follow-up services.

**Outreach and Intake.** Outreach involves locating, identifying and engaging potential tenants. The agencies that provided information during the data-gathering and concept planning phases of your supportive housing community likely can help you identify potential tenants as well.

Tenant outreach can be tricky because fair housing laws prohibit restricted leasing. In areas with housing shortages, families who do not need supportive services may still apply for supportive housing units because they are affordable. It may be illegal to discriminate against these families solely because they do not have a disability, just as it is illegal to discriminate against a tenant that does.

Of course, we do not recommend that you avoid fair housing obligations. However, we do encourage you to direct your outreach to those closest to the problem of chronic family homelessness, such as shelters or agencies providing services to homeless families, so that you have the best chance of identifying tenants with the family profile for which the housing is intended. We also encourage you to



establish strong working relationships with a number of other local housing programs so that you can assist families not meeting your targeted profile in finding affordable housing.

Once families have been identified or referred to your program, you will need to conduct an application process that will help the applicant to understand what supportive housing is and whether the program is a good match for the family's needs. (Chapter Six, pages 6-31 more fully describes the initial application and intake processes.) If an initial screening shows that the family would be better served by another program, the case manager should assist the family in understanding the reason and make a referral to another agency or housing program.

If the screening shows that your program is right for the family, the case manager should help prepare the family for a move into supportive housing. The case manager should also help develop activities with other tenants to welcome new families to the supportive housing community. (Again, please refer to Chapter Six, pages 6-64.)

**Assessments for Needs and Services.** The case manager should work with the family before, during, and after the family's move to supportive housing to determine the parents' and children's needs and desires for services. The assessment should focus on the issues typically faced by the families you intend to serve, such as chemical dependency or involvement with child protective services. *Exhibit 3-C* is a sample tool that may help you in developing your own assessment process.

In addition to a general assessment by the case manager, outside service providers may perform assessments to determine a family's eligibility for specific services. For example, a school district may offer assessments to determine whether children qualify for special educational services, or a community clinic may provide assessments to determine whether parents and children have special medical needs.

**Developing the Family Plan.** The family and the case manager should collaborate to develop a set of goals for each family member and a plan for services to help the family achieve those goals. Usually, this plan is directed specifically toward changing the conditions that contributed to the family's homelessness. The assessments performed earlier can help determine priorities, but ultimately the family itself should determine its own goals and objectives.

**Encouraging and Supporting.** In addition to more formal tasks, the case manager in supportive housing provides emotional support to tenants. The relationship between the service provider and the family in supportive housing is often less rigid and more intimate than the traditional, professional-client relationship. By developing contact in a variety of informal ways—providing a ride to a meeting, accompanying a child on a doctor visit, or standing by a parent during a difficult visit from a child protective service worker or a parole officer, for example—the case manager can develop a close relationship with a family.

Supportive housing providers interviewed for this manual continually noted this close relationship between the tenant and the service provider. They cited examples such as a service provider actually moving into the tenant's unit to care for children while the parent was hospitalized to avoid placement of the children in foster care. Supportive housing providers felt that this transcendence of traditional notions of professional boundaries was a key difference between supportive housing and other types of service programs.



**Mentoring and Role Modeling.** As important as any formal service, the case manager provides a mentoring relationship and serves as a role model for the tenant. Often, service providers are peers who have been able to overcome an experience of poverty and homelessness. When families see themselves mirrored in a service staff member, it can give them a powerful sense of their own possibilities. Therefore, while the relationship between the case manager and the tenant can be informal and at times intimate, there is also a sense that the case manager is always “on,” demonstrating choices that promote personal integrity, growth, stability and self-determination.

**Education.** The case manager in supportive housing also helps families develop independence and self-reliance by educating them about their life options, the availability of services and their right to make their own decisions. Rather than “do” for the family, the service provider teaches the family to “do” for themselves. Often, the service provider must teach what may seem to be the most rudimentary of concepts, such as how to be a reliable tenant or how to enroll a child in school.

An underlying assumption in supportive housing is that each member of the community has something to offer and all members of the community, including the staff, have an obligation to learn. This helps to equalize the relationship between the service provider and family and helps the family demonstrate its strengths, not just its weaknesses.

**Brokering and Coordinating Services.** The supportive housing provider can help families obtain services that are available in the surrounding community. In keeping with the principle of family self-determination and voluntary participation, the case manager should assist with finding and negotiating services but ultimately the family should be responsible for deciding from whom it will receive services. The case manager also can help the family evaluate the quality of the services and hold an agency accountable if services are not provided in a way that helps the family accomplish its goals.

**Advocacy.** A traditional aspect of case management, advocacy involves interceding on a family’s behalf when systems or resources are unresponsive to the family’s needs. The supportive service provider assists the tenants in negotiating for services rather than working apart from the family. The supportive service provider should intercede only at the request of the family and in a manner that the family controls.

Examples of advocacy include:

- Helping a tenant to meet an eligibility requirement for public benefits;
- Convincing a public aid office to delay TANF sanctions until an employment assessment is complete; or
- Expediting access to child care subsidies so that the parent can continue employment.

**Counseling and Crisis Management.** At times, families in your supportive housing program will experience crises such as a chemical dependency or mental illness relapse, a medical emergency or the loss of an essential service upon which the family relies for its stability, such as child care. The emotional reuniting of a parent and children formerly separated by foster care and protective services, the stress of maintaining a new job while taking care of children, the unexpected loss of a job, the sudden reappearance of the children’s father—all of these events can conspire to unravel even the most well-constructed lives.



Counseling services must be available, sometimes around the clock, at times when the crisis develops or when a family discovers it can no longer cope alone. Families should have access to support services staff after hours through referrals via emergency pagers or contact made through property management.

**Monitoring and Follow-Up Services.** In contrast to times of crisis are those quieter periods when the family may not be as engaged within the supportive housing community. Perhaps the parent is busy working and the children are in school or child care. The needs of the family are less evident. This is when a case manager may be most valuable, reintroducing the support of the community periodically and reassuring the family that others in supportive housing are always available to them.

A simple visit from the case manager can help keep the family connected to the supportive housing community. An evening visit with a gift of fruit and breakfast treats for the next day, a phone call, an invitation to join the community for a potluck, an evening out for the mother with other moms—all of these remind tenants they are not alone but part of a larger, caring community. Coupled with more formal meetings with the case manager to evaluate the family's progress, this informal contact can help assure that a family maintains its newfound stability. Note that parents in entry-level jobs often work irregular schedules, so the service staff plan may need to include staff who can contact families during evening or weekend hours.

## **Creating Peer Community in Supportive Housing**

One of the most essential aspects of supportive housing is its reliance on a supportive community of peers, especially when housing models are designed on single sites. A supportive community can inspire extraordinary performance among its members. The community can establish expectations for sobriety and stability with an authenticity that inspires conformance more than any program expectation.

Supportive housing encourages peer community by designing opportunities for neighbors to get to know and serve each other. These might include:

- Regular social events
- Opportunities to establish community rules and policies and give feedback to the supportive services and property management staff;
- Caring for children when a relapse crisis unfolds and the parent is receiving off-site care;
- Peer counseling in chemical dependency and mental health support programs, and
- Group early childhood education and training programs, with parents learning together and sharing ideas.

One of the greatest assets of a supportive housing program is the strength and resiliency of its tenants.

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<sup>1</sup> General Equivalency Diploma: grants the equivalent of a high school diploma for those who have not completed high school.





## **Exhibit 3-A:**

### **Core Responsibilities of a Primary Service Provider**

Created by the Michigan Supportive Housing Consortium

#### **Core service responsibilities are:**

- Developing with the tenant a service/support plan which incorporates assessment and reassessment of the needs, goals and preferences of the person served.
- Resource assessment and management.
- Outreach and support (engagement) to encourage the person served to participate in the services needed.
- Coordination and assistance in crisis intervention and stabilization as needed, including participation in a 24-hour, on-call program.
- Assistance for the person served to achieve their objectives and optimize their independence and productivity through support and training in the use of personal and community resources.
- Assistance in the development of formal community linkages that meet the needs of the person served, particularly when tenants are currently receiving outside case-management services.
- Assistance for the person served to further develop the competencies they need to increase and enjoy social support networks.
- Coordination of transportation as needed for the person served.
- Assistance to enhance functioning and daily living activities.
- Facilitating volunteer mentoring for tenants who request it.
- Maintaining all program-required records, which are not specifically the responsibility of the program management staff.
- Establishing a frequent presence at all tenantial sites.
- Advocacy with property management staff for property improvement and maintenance.
- Facilitating tenant participation in property management.





## **Exhibit 3-B: Evaluating the Service Provider**

The following format will help you collect information to assist you in selecting collaborative service providers.

### **Type of Service**

Examine the service component. Keeping the tenant profile in mind:

- Does the service provider have a history of providing this service?
  - Length of experience?
  - Results of their service? (Can they quantify their outcomes?)
- Does the service provider have a history of providing this service for the supportive housing tenant profile?
  - Length of experience?
  - Results of their service?
- Does the service provider have experience in providing the service on a site other than that controlled by the service provider? (Remote site delivery experience?)
- Does the service provider have experience with staff collaborating with and under the direction of a different agency?
- Does the service provider have the staff capacity to accommodate the services needed by supportive housing tenants?
  - Would they need to hire new staff?
  - Would they need to train current staff differently?
- Would they need to negotiate an amendment to their current funding agreements to accommodate the collaborative?
- Does the service provided require special credentials or licenses, either by internal or legal regulation?
  - If yes, does the provider monitor the status of these requirements?
- If special supervision is required, does the service provider provide this?



## Organizational Review

- How long has the organization been incorporated?
- Is it a new start-up organization? If yes, is it backed by a larger organization or fiscal agent?
- Is it an established organization? If yes, does it have a reputation for excellence and respect among other service providers?
- What is the status of the board of directors?
  - Established and fully constituted? If not, why?
  - Undergoing a process of reorganization? Why?
  - Established but currently struggling to maintain a full board constituency? Why?
- Is the board aware and supportive of this collaborative opportunity?
- Does the board see this collaborative opportunity as compatible with the organization's mission and vision?
  - If yes, why?
  - If no, why and are they still intent on pursuing this opportunity?
- How long has the current leadership (ED, CEO) been in place?
- Is the current leadership changing?
  - If yes, why?
- What is the organization's experience with staff turnover?
  - Explain:
- What is the organization's current financial health?
- Is the total agency budget fully funded?
  - If yes, what is the next fiscal year's projection?
  - If no, why and what are your plans?
- Does the organization have difficulty funding its programs?
  - If yes, why?
- Has the organization experienced an operating deficit within the past two to three years?
  - If yes, why?
  - If yes, is the operating deficit still unresolved?



- Has the organization incurred any audit findings in the past two years?
  - If yes, what and why?
  - If yes, are they resolved?
- Is the organization engaged in any pending litigation?
  - If yes, is it program-related in a manner which could impact the collaborative?
  - If yes, is it staff-related in a manner which could impact the collaborative?

## **Service Philosophy**

- Does the organization share your values in how you define the quality of the relationship between service provider and tenant?
- How does the organization define case management?
- How does the organization define success with regard to their services?
- How does the organization define advocacy and the role of the service provider?
- How does the provider evaluate and train staff in their philosophical principles?





## Exhibit 3-C: Assessment Tool for Developing a Family Supportive Service Plan

(PLEASE NOTE: THE FOLLOWING INFORMATION IS COMBINED WITH  
INFORMATION COLLECTED AT THE TIME OF TENANT APPLICATION)

What has your experience been with:

Program/Resource	Applied*/ Not Accepted (why)	Accepted*/ Left early voluntary (why)	Accepted*/ Left early involuntary (why)	Completed successful occupancy (date)
Halfway residence				
Sheltered-Group home				
Domestic violence shelter				
Emergency homeless shelter (county)				
Emergency homeless shelter (church)				
Transitional housing				
Supportive housing				
Other type of housing program (describe):				

\*Please note if applied and/or accepted a number of times

If you have had experience with a type of supportive housing, what did you find about it that was particularly helpful and should be replicated here? (Explain: \_\_\_\_\_)

What was not helpful and should be avoided here? (Explain: \_\_\_\_\_)

Have you had an experience in living within a community of others striving to overcome barriers to stability and/or homelessness? What did you find about that experience that was particularly helpful and should be replicated? (Explain: \_\_\_\_\_) What was not helpful and should be avoided here? (Explain: \_\_\_\_\_)

Have you ever negotiated a lease directly with a landlord before? What was that experience like? What would have been helpful to you to make that experience successful?

Have you ever been listed on a lease before? \_\_\_\_\_



What is your goal as a tenant in this housing?

- to consistently pay rent in full and on time
- to comply with the expectations of the lease and house rules
- to demonstrate my capacity to keep my apartment clean and orderly
- to communicate promptly with property management when/if there are maintenance problems in my unit
- to maintain a good, respectful relationship with my neighbors
- to teach my children how to respect our home and help in maintaining its condition
- to participate in an annual apartment inspection and have no notations for damage or inappropriate wear and tear
- to create special decorating touches in my unit, such as:
  - make window coverings
  - make accessories for furnishings
  - create art and decorations for my apartment
- to reestablish a positive rent history for \_\_\_ years
- to comply with the requirements of using and maintaining my rental subsidy (Section 8 voucher/certificate)

## **Learning/Participating Styles:**

I like to learn by:

- watching others
- hearing about it first and then doing
- trying it on my own—trial and error
- doing it with others
  - one-on-one
  - in a group
- practicing it a while before I really understand it

I consider myself:

- shy—it is hard for me to be around others
- shy—but I like to be around others
- outgoing and bold—I like to be a part of a group
- a combination of outgoing and shy



When living in a community, I like to:

- be close to the action—I want to know what's going on and be involved
- I like to know what's going on and then chose to be in a few activities
- I like to know what's going on, but I rarely participate
- I like to be left alone and don't want to be a part of a group or activity
- I like to be left alone but I want my children to be a part of group activity

## Parenting

Do you have interest in expanding your knowledge of child development and your capacity as a parent in the following areas (please describe any specific needs):

- infant care and stimulation
- toddler development and stimulation
- preschooler development and stimulation
- early childhood disciplinary practices—how to discipline without hurting my child(ren)
- controlling my anger when overwhelmed with children
- helping my kindergartner get ready for the first day of school
- preparing the family for school success
  - time management—getting everyone out the door on time
  - time management—setting aside time for homework
  - time management—organizing clothes, supplies and meals for school
  - time management—participating in my children's school experience
  - creating an atmosphere of support for learning
  - how to help my children with schoolwork
  - how to help my children with making a new start in a new school
  - setting rules for after school when mom's not home
  - how to have fun with my school-ager
- conflict management—among siblings
- conflict management—between me and my children
- conflict management—between my children and neighbors
- teaching my children to deal with anger and disappointment



- preadolescent development
  - how to talk to youth about the changes in their bodies
  - how to talk about emotions
  - how to respect a pre-teen's need for privacy but still be available to them
  - how to talk about sex with my child
  - how to help my preadolescent begin in a new school
  - how to have fun with my preadolescent
- adolescent development
  - how to set limits for teens
  - how to manage anger and teach my teen about anger management
  - how to have fun with my teenager
- how to reestablish myself as the parent in my new home
  - preparing for reunification
  - preparing for change in roles
  - how to support myself and my child during the difficult times

## Child Custody/Protection Issues

Are any of your children currently placed outside of the home:

- in publicly funded foster care (locally)
- in publicly funded foster care (different state, where: \_\_\_\_\_)
- in publicly funded kinship care (with whom: \_\_\_\_\_)
- with relatives (not publicly funded)(with whom: \_\_\_\_\_)
- in state institution (type: \_\_\_\_\_ name/location: \_\_\_\_\_)

Are you planning to seek reunification?

- yes
- no

If yes, what issues must be resolved to allow reunification and how can supportive housing assist you in this effort? \_\_\_\_\_

Is there a deadline by which reunification must take place or parental rights will be terminated?  
If so, when? \_\_\_\_\_

If you are not seeking reunification, will you be seeking continued access/relationship with the child(ren)? Explain: \_\_\_\_\_

How can supportive housing assist with this? \_\_\_\_\_

Do you have an assigned child protection services worker?

- yes
- no



If yes, why do you have a worker assigned to you?

- to resolve outstanding parental custody issues with children that have been placed outside the home
- to resolve current allegations of child abuse (Explain: \_\_\_\_\_)
- to resolve current allegations of child neglect (Explain: \_\_\_\_\_)
- because I am pregnant and the baby had prenatal exposure to drugs/alcohol
- because I have been identified as a high-risk parent (Explain: \_\_\_\_\_)
- other (Explain: \_\_\_\_\_)

If you are a single parent raising your children, are you currently receiving child support?

- yes, through the county
- yes, directly from the parent
- no (why \_\_\_\_\_)

If you are a single parent raising your children, is the noncustodial parent involved in child caring?

- yes:
  - active—has legal joint custody (note which children \_\_\_\_\_)
  - active—has legal open visitation (note which children \_\_\_\_\_)
  - active—has legal supervised visitation (note which children \_\_\_\_\_)
  - active—has informal access (not legally mandated) (note which children \_\_\_\_\_)
  - occasionally active—sometimes comes around (note which children \_\_\_\_\_)
- no:
  - parent not identified (note which children \_\_\_\_\_)
  - parent does not pursue legally determined access to children (note which children \_\_\_\_\_)

If you and/or your children experienced prior domestic abuse/violence:

- abuser is still involved in child caring
  - has legal joint custody
  - has legal visitation rights
    - supervised
    - unsupervised
- have an order of protection issued by the courts which restricts access:
  - name OFP is issued against
  - limitations to be enforced
- family has safety plan
  - yes, describe \_\_\_\_\_
  - no
    - needs one to be developed
    - does not need one

Do you need to resolve any child support issues? Explain: \_\_\_\_\_





Has a history of absences:

- never—perfect attendance
- less than 5 in a year
- between 5-10 times per year
- more than 10 times per year

Most common reasons for not attending school:

- homeless without access to school
- moving and missed school during transfers
- child was sick
- child was not in my custody and was not encouraged to go to school
- other (Explain: \_\_\_\_\_)

Is able to keep up academically with other students in classroom:

- yes
- no (Explain: \_\_\_\_\_)
- don't know

If infant (ages newborn to 18 months):

- has all immunizations
- needs immunizations
- has had preventative health care screening
- has health care needs (Explain: \_\_\_\_\_)
- has suspected developmental delays (Explain: \_\_\_\_\_)
- needs developmental screening
- parent has record of immunizations and screenings as may be required for child care
- has been screened for lead

If toddler (ages 18 months to 3 years):

- has all immunizations
- needs immunizations
- has had preventative health care screening
- has health care needs (Explain: \_\_\_\_\_)
- has suspected developmental delays (Explain: \_\_\_\_\_)
- needs developmental screening
- parent has record of immunizations and screenings as may be required for child care
- has been screened for lead



If preschooler (ages 3-5):

- has all immunizations
- needs immunizations
- has had preventative health care screening
- has health care needs (Explain: \_\_\_\_\_)
- has suspected developmental delays (Explain: \_\_\_\_\_)
- needs developmental screening
- parent has record of immunizations and screenings as may be required for child care
- child needs to prepare for entrance to kindergarten
- parent needs to review and select school for child
- has been screened for lead exposure

If child is a school-ager (ages 5-10)

- has all immunizations
- needs immunizations
- has had preventative health care screening
- has health care needs (Explain: \_\_\_\_\_)
- has suspected development delays (Explain: \_\_\_\_\_)
- needs developmental screening
- parent has record of immunizations and screenings as may be required for school and child care
- child has received an individual educational assessment to determine if there are academic needs or delays
  - child has been determined to need special education and is receiving it
  - child has been determined to need special education and is not receiving it
  - child has not been determined to need special education, but is having academic difficulties that need to be addressed
- child has had repeated school changes and/or absences and needs remedial educational support
- child has emotional problems and needs psychological testing/assessment
- child has emotional problems and needs continued access to psychological services (Explain: \_\_\_\_\_)
  - there are new problems with access to services due to transportation needs
  - there are new problems with access to services due to child care needs so parent can accompany child
  - there are new problems with access to services due to income eligibility or other eligibility issues (Explain: \_\_\_\_\_)
- has been screened for lead exposure



If pre-teen (ages 10-12):

- has all immunizations
- needs immunizations
- has had preventative health care screening
- has health care needs (Explain: \_\_\_\_\_)
- has suspected developmental delays (Explain: \_\_\_\_\_)
- needs developmental screening
- parent has record of immunizations and screenings as may be required for school
- child has received an individual educational assessment to determine if there are academic needs or delays
  - child has been determined to need special education and is receiving it
  - child has been determined to need special education and is not receiving it
  - child has not been determined to need special education but is having academic difficulties that need to be addressed
- child has had repeated school changes and/or absences and needs remedial educational support
- child needs to participate in sports and other extracurricular activities but is challenged by:
  - lack of transportation
  - the after-school child care needs of other children in the family
  - does not have the proper clothes or equipment
  - does not have the money for fees
  - needs emotional support to overcome shyness or reluctance to participate
- child needs to participate in local leadership programming (e.g., scouting, 4-H, etc.), but is challenged by:
  - fees and tuition costs
  - lack of transportation
  - uniform and/or equipment needs
  - needs emotional support to overcome shyness or reluctance to participate
- child has emotional problems and needs psychological testing/assessment
- child has emotional problems and needs continued access to psychological services (Explain: \_\_\_\_\_)
  - there are new problems with access to services due to transportation needs
  - there are new problems with access to services due to child care needs of other children to enable parent to accompany child
  - there are new problems with access to services due to income eligibility or other eligibility issues (Explain: \_\_\_\_\_)
- has been screened for lead



If teenager (ages 13-18):

- has all immunizations
- needs immunizations
- has had preventative health care screening
- has health care needs (Explain: \_\_\_\_\_)
- has suspected developmental delays (Explain: \_\_\_\_\_)
- needs developmental screening
- parent has record of immunizations and screenings as may be required for school
- child has received an individual educational assessment to determine if there are academic needs or delays
  - child has been determined to need special education and is receiving it
  - child has been determined to need special education and is not receiving it
  - child has not been determined to need special education but is having academic difficulties that need to be addressed
- child has had repeated school changes and/or absences and needs remedial educational support
- child needs to participate in sports and other extracurricular activities but is challenged by:
  - lack of transportation
  - the after-school child care needs of other children in the family
  - does not have the proper clothes or equipment
  - does not have the money for fees
  - needs emotional support to overcome shyness or reluctance to participate
- child needs to participate in local leadership programs (e.g., scouting, 4H, etc.), but is challenged by:
  - fees and tuition costs
  - lack of transportation
  - uniform and/or equipment needs
  - needs emotional support to overcome shyness or reluctance to participate
- child has emotional problems and needs psychological testing/assessment
- child has emotional problems and needs continued access to psychological services (Explain: \_\_\_\_\_)
  - there are new problems with access to services due to transportation needs
  - there are new problems with access to services due to child care needs of other children to enable parent to accompany child
  - there are new problems with access to services due to income eligibility or other eligibility issues (Explain: \_\_\_\_\_)
- child needs assistance with developing a personal safety plan
  - for dealing with invitations from local gangs
  - for dealing with drug abuse and other high-risk behaviors
  - for protecting themselves when traveling to and from work and/or school and home
  - for being in the apartment alone (with or without younger siblings)



- child is interested in going on to post secondary schools but needs help with:
  - preparing for SAT/ACT tests
  - identifying and applying to colleges
  - identifying and applying for scholarships and financial support
  - attending and conducting site visits of potential schools (needs transportation and accompaniment)
  - assistance with moving to school (finding housing, transportation to and from, supplies, etc.)
- child needs assistance in finding part-time work
  - help in identifying potential employers
  - assistance with job interviews
  - assistance with developing a resume
- has been screened for lead exposure

## Adult Education – Head of Household

I would like to pursue:

- learning how to read
- learning English as a second language
- completion of U.S. citizenship classes
- testing for my GED
- adult basic education for completion of my GED
- a high school diploma
- special training in \_\_\_\_\_
- a certification program in \_\_\_\_\_
- an associate's degree in \_\_\_\_\_
- a four-year degree in \_\_\_\_\_

I need help pursuing my educational goals through:

- access to transportation
- access to child care for:
  - study time
  - class time
- assistance in securing financial assistance for tuition, books and fees
- assistance in resolving a prior school loan default
- educational support and tutoring
- access to study lab and computer
- assistance in securing approval through the local welfare office as an allowable welfare compliance activity
- assistance in identifying resources and gaining admission



## **Educational – Other Adult in Household**

Name of adult: \_\_\_\_\_

I would like to pursue:

- learning how to read
- learning English as a second language
- completion of U.S. citizenship classes
- testing for my GED
- adult basic education for completion of my GED
- a high school diploma
- special training in \_\_\_\_\_
- a certification program in \_\_\_\_\_
- an associate's degree in \_\_\_\_\_
- a four-year degree in \_\_\_\_\_

I need help pursuing my educational goals through:

- access to transportation
- access to child care for:
  - study time
  - class time
- assistance in securing financial assistance for tuition, books and fees
- assistance in resolving a prior school loan default
- educational support and tutoring
- access to study lab and computer
- assistance in securing approval through the local welfare office as an allowable welfare compliance activity
- assistance in identifying resources and gaining admission

## **Income/Employment - Head of Household**

Currently enrolled in local welfare program:

- yes
- no

If yes, date of enrollment \_\_\_\_\_

Date when benefits are permanently expired: \_\_\_\_\_



If yes:

- in compliance with welfare requirements
- non-compliant with welfare requirements
  - currently sanctioned
  - number of times sanctioned: \_\_\_\_\_
  - Date current sanctioning began: \_\_\_\_\_
  - Date current sanctioning will be permanent or expire: \_\_\_\_\_

If no, have all welfare benefits been fully expended (lifetime)?

- yes
- no

If no, what amount of benefit time is left? \_\_\_\_\_

Are you employed?

- yes
- no

If yes:

- Number of hours per week: \_\_\_\_\_
  - full-time and do not desire additional hours
  - full-time and want additional hours or additional employment
- Number of additional hours wanted: \_\_\_\_\_
- part-time (# hours: \_\_\_\_\_) and do not desire additional hours
- part-time (# hours: \_\_\_\_\_) and want additional hours or additional employment:
  - Number of additional hours wanted: \_\_\_\_\_

Challenges to seeking additional employment:

- need assistance in finding additional employer
- need assistance in negotiating with current employer
- need additional access to child care
- need access to transportation
- other (Explain: \_\_\_\_\_)

Currently employed, but want to change:

- hours/schedule
- job/work with same employer
- job/work with different employer

Currently employed, but need help:

- negotiating better relationship with employer/boss
- need help in resolving on-the-job conflict with other employees
- need assistance in building employment skills, such as:
  - getting to work on time
  - listening skills (for employment directives and instruction)
  - time management skills—meeting production time requirements
  - communication skills
    - with supervisor
    - with other employees



If not:

- need help in developing employment-seeking skills
- need help in developing resume or filling out basic employment applications
- need assistance in developing interviewing skills
- need help with:
  - work clothes
  - transportation to interviews
- need help in developing good work habits:
  - a short-term sheltered work environment
  - a long-term sheltered work environment
- have prior work experience:
  - yes (Explain: \_\_\_\_\_)
  - no

Prior work experience resulted in:

- layoff by employer
- loss of hours and couldn't live on resulting paycheck
- termination for cause:
  - repeated tardiness
  - repeated absences
  - conflict with supervisor
- termination, cause unknown (Explain: \_\_\_\_\_)
- just didn't go back to the job
- quit under protest (forced)

Type of work interested in (describe in more detail):

- food service \_\_\_\_\_
- child care \_\_\_\_\_
- office work \_\_\_\_\_
- factory \_\_\_\_\_
- construction-related \_\_\_\_\_
- service \_\_\_\_\_
- other \_\_\_\_\_

Current barriers to employment:

- need access to child care
  - eligible for subsidized child care benefits
  - not eligible for subsidized child care benefits (why) \_\_\_\_\_
- need access to transportation
- need to complete employment program:
  - technical training (Explain: \_\_\_\_\_)
  - other (Explain: \_\_\_\_\_)
- need to stabilize children
  - reunification



- ill child
- other (Explain: \_\_\_\_\_)
- need to stabilize health status
  - physical health (Explain: \_\_\_\_\_)
  - mental health (Explain: \_\_\_\_\_)
  - chemical health (Explain: \_\_\_\_\_)
- need to resolve legal issues:
  - community service requirements
  - jail time
  - probation
  - other (Explain: \_\_\_\_\_)

Prefer to work:

- first shift (approximately 8:00 am to 4:00 pm)
- second shift (approximately 4:00 pm to midnight)
- third shift (approximately midnight to 8:00 am)
- split shift (Explain: \_\_\_\_\_)
- weekends
- other (Explain: \_\_\_\_\_)

## **Income/Employment - Other Adult**

Name: \_\_\_\_\_

Currently enrolled in local welfare program:

- yes
- no

If yes, date of enrollment \_\_\_\_\_

Date when benefits are permanently expired: \_\_\_\_\_

If yes:

- in compliance with welfare requirements
- noncompliant with welfare requirements
  - currently sanctioned
    - number of times sanctioned: \_\_\_\_\_
    - date current sanctioning began: \_\_\_\_\_
    - date current sanctioning will be permanent or expire: \_\_\_\_\_

If no, have all welfare benefits been fully expended (lifetime)?

- yes
- no

If no, what amount of benefit time is left? \_\_\_\_\_



Are you employed?

yes

no

If yes:

Number of hours per week: \_\_\_\_\_

full-time and do not desire additional hours

full-time and want additional hours or additional employment

Number of additional hours wanted: \_\_\_\_\_

part-time (# hours: \_\_\_\_\_) and do not desire additional hours

part-time (# hours: \_\_\_\_\_) and want additional hours or additional employment:

Number of additional hours wanted: \_\_\_\_\_

Challenges to seeking additional employment:

need assistance in finding additional employer

need assistance in negotiating with current employer

need additional access to child care

need access to transportation

other (Explain: \_\_\_\_\_)

Currently employed, but want to change:

hours/schedule

job/work with same employer

job/work with different employer

Currently employed, but need help:

negotiating better relationship with employer/boss

need help in resolving on-the-job conflict with other employees

need assistance in building employment skills, such as:

getting to work on time

listening skills (for employment directives and instruction)

time management skills—meeting production time requirements

communication skills

with supervisor

with other employees

If not:

need help in developing employment-seeking skills

need help in developing resume or filling out basic employment applications

need assistance in developing interviewing skills

need help with:

work clothes

transportation to interviews

need help in developing good work habits:

a short-term sheltered work environment

a long-term sheltered work environment

have prior work experience:

yes (Explain: \_\_\_\_\_)

no



Prior work experience resulted in:

- layoff by employer
- loss of hours and couldn't live on resulting paycheck
- termination for cause:
  - repeated tardiness
  - repeated absences
  - conflict with supervisor
- termination, cause unknown (Explain: \_\_\_\_\_)
- just didn't go back to the job
- quit under protest (forced)

Type of work interested in (describe in more detail):

- food service \_\_\_\_\_
- child care \_\_\_\_\_
- office work \_\_\_\_\_
- factory \_\_\_\_\_
- construction-related \_\_\_\_\_
- service \_\_\_\_\_
- other \_\_\_\_\_

Current barriers to employment:

- need access to child care
  - eligible for subsidized child care benefits
  - not eligible for subsidized child care benefits (why) \_\_\_\_\_
- need access to transportation
- need to complete employment program:
  - technical training (Explain: \_\_\_\_\_)
  - other (Explain: \_\_\_\_\_)
- need to stabilize children
  - reunification
  - ill child
  - other (Explain: \_\_\_\_\_)
- need to stabilize health status
  - physical health (Explain: \_\_\_\_\_)
  - mental health (Explain: \_\_\_\_\_)
  - chemical health (Explain: \_\_\_\_\_)
- need to resolve legal issues:
  - community service requirements
  - jail time
  - probation
  - other (Explain: \_\_\_\_\_)



Prefer to work:

- first shift (approximately 8:00 am to 4:00 pm)
- second shift (approximately 4:00 pm to midnight)
- third shift (approximately midnight to 8:00 am)
- split shift (Explain: \_\_\_\_\_)
- weekends
- other (Explain: \_\_\_\_\_)

## Physical Health — Head of Household

Physical health assessment needs include:

- general physical
- women's health screening
- vision check
- hearing check
- immunizations (hepatitis, tetanus, etc.)
- blood pressure
- screening for:
  - mammogram
  - colon cancer
  - glaucoma
  - diabetes
  - heart disease
- dental
  - general screening
  - dental hygiene
  - periodontal screening
- other (Explain: \_\_\_\_\_)

Special health issues:

- smoking cessation
- weight control (obesity)
- eating disorders (bulimia, anorexia)
- birth control
- STDs
- pregnancy/prenatal care
- issues associated with disability and/or chronic illness



## Physical Health – Other Adult

Name: \_\_\_\_\_

Physical health assessment needs include:

- general physical
- women's health screening
- vision check
- hearing check
- immunizations (hepatitis, tetanus, etc.)
- blood pressure
- screening for:
  - mammogram
  - colon cancer
  - glaucoma
  - diabetes
  - heart disease
- dental
  - general screening
  - dental hygiene
  - periodontal screening
- other (Explain: \_\_\_\_\_)

Special Health Issues:

- smoking cessation
- weight control (obesity)
- eating disorders (bulimia, anorexia)
- birth control
- STDs
- pregnancy/prenatal care
- issues associated with disability and/or chronic illness

## Physical Health Needs – Children

General assessment and preventative screening:

- well baby checkup
- school physical
- camp physical



- hearing screening
- vision screening
- lead poisoning/screening
- asthma/allergies
- dental:
  - checkup
  - hygiene
  - restoration/repair
  - orthodontia

Health maintenance:

- respiratory care (asthma)
- ear infections
- skin care (rashes)
- special conditions (Explain: \_\_\_\_\_)

Special health issues:

- lead poisoning—treatment (e.g., relation needs)
- diabetes maintenance
- weight control (obesity)
- eating disorders (bulimia, anorexia)
- smoking cessation
- birth control
- STDs
- pregnancy/prenatal care

## **Mental Health Care – Head of Household**

- Does not have current mental health issues/challenges
- Does have current mental health issues/challenges
  - has undiagnosed mental health concerns:
    - depression
    - anxiety
    - suicidal thoughts
    - other (Explain: \_\_\_\_\_)
  - has undiagnosed anxiety



- has diagnosed mental health illness/disorder/condition:
  - depression
  - anxiety
  - other (Explain: \_\_\_\_\_)
- currently receiving psychiatric care:
  - satisfactory and wants to stay with current professional with no added involvement by provider
  - satisfactory and wants to stay with current professional with additional support by provider:
    - assistance with transportation
    - assistance with child care
    - assistance with eligibility issues (Explain: \_\_\_\_\_)
    - other (Explain: \_\_\_\_\_)
  - unsatisfactory:
    - wants assistance to renegotiate services with provider
    - wants to discontinue with current provider and find alternative provider
    - wants to discontinue with current provider and not seek additional services
    - other (Explain: \_\_\_\_\_)
- support for prior abuse issues:
  - domestic violence as adult ( 1:1 counseling  group counseling  support group)
  - domestic violence as child ( 1:1 counseling  group counseling  support group)
  - sexual abuse as adult ( 1:1 counseling  group counseling  support group)
  - sexual assault/rape as adult ( 1:1 counseling  group counseling  support group)
  - sexual abuse as child ( 1:1 counseling  group counseling  support group)
  - sexual assault/rape as child ( 1:1 counseling  group counseling  support group)
- education/support in identifying and managing stress
- education/support in identifying and managing minor depression
- education/support in building and maintaining positive self-esteem/confidence
- support for recovery from prostitution
- needs to negotiate a relapse plan in the event of a mental health crisis:
  - how behaviors should be confronted
  - how to maintain apartment availability
  - recovery behavior requirements
  - how children are to be cared for in the event of inpatient treatment
  - other (Explain: \_\_\_\_\_)



## Mental Health Care – Other Adult

Name: \_\_\_\_\_

\_\_\_ Does not have current mental health issues/challenges

\_\_\_ Does have current mental health issues/challenges

\_\_\_ has undiagnosed mental health concerns:

\_\_\_ depression

\_\_\_ anxiety

\_\_\_ suicidal thoughts

\_\_\_ other (Explain: \_\_\_\_\_)

\_\_\_ has undiagnosed anxiety

\_\_\_ has diagnosed mental health illness/disorder/condition:

\_\_\_ depression

\_\_\_ anxiety

\_\_\_ other (Explain: \_\_\_\_\_)

\_\_\_ currently receiving psychiatric care:

\_\_\_ satisfactory and wants to stay with current professional with no added involvement by provider

\_\_\_ satisfactory and wants to stay with current professional with additional support by provider:

\_\_\_ assistance with transportation

\_\_\_ assistance with child care

\_\_\_ assistance with eligibility issues (Explain: \_\_\_\_\_)

\_\_\_ other (Explain: \_\_\_\_\_)

\_\_\_ unsatisfactory:

\_\_\_ wants assistance to renegotiate services with provider

\_\_\_ wants to discontinue with current provider and find alternative provider

\_\_\_ wants to discontinue with current provider and not seek additional services

\_\_\_ other (Explain: \_\_\_\_\_)

\_\_\_ support for prior abuse issues:

\_\_\_ domestic violence as adult ( \_\_\_1:1 counseling \_\_\_group counseling \_\_\_support group)

\_\_\_ domestic violence as child ( \_\_\_1:1 counseling \_\_\_group counseling \_\_\_support group)

\_\_\_ sexual abuse as adult ( \_\_\_1:1 counseling \_\_\_group counseling \_\_\_support group)

\_\_\_ sexual assault/rape as adult ( \_\_\_1:1 counseling \_\_\_group counseling \_\_\_support group)

\_\_\_ sexual abuse as child ( \_\_\_1:1 counseling \_\_\_group counseling \_\_\_support group)

\_\_\_ sexual assault/rape as child ( \_\_\_1:1 counseling \_\_\_group counseling \_\_\_support group)

\_\_\_ education/support in identifying and managing stress



- education/support in identifying and managing minor depression
- education/support in building and maintaining positive self-esteem/confidence
- support for recovery from prostitution
- needs to negotiate a relapse plan in the event of a mental health crisis:
  - how behaviors should be confronted
  - how to maintain apartment availability
  - recovery behavior requirements
  - how children are to be cared for in the event of inpatient treatment
  - other (Explain: \_\_\_\_\_)

## **Mental Health Care – Child**

- Does have current mental health issues/challenges
  - has undiagnosed mental health concerns:
    - depression
    - anxiety
    - suicidal thoughts
    - other (Explain: \_\_\_\_\_)
  - has undiagnosed anxiety
  - has diagnosed mental health illness/disorder/condition:
    - depression
    - anxiety
    - other (Explain: \_\_\_\_\_)
  - currently receiving psychiatric care:
    - satisfactory and wants to stay with current professional with no added involvement by provider
    - satisfactory and wants to stay with current professional with additional support by provider:
      - assistance with transportation
      - assistance with child care
      - assistance with eligibility issues (Explain: \_\_\_\_\_)
      - other (Explain: \_\_\_\_\_)
    - unsatisfactory:
      - wants assistance to renegotiate services with provider
      - wants to discontinue with current provider and find alternative provider
      - wants to discontinue with current provider and not seek additional services
      - other (Explain: \_\_\_\_\_)



- support for prior abuse issues:
  - domestic violence as adult ( 1:1 counseling  group counseling  support group)
  - domestic violence as child ( 1:1 counseling  group counseling  support group)
  - sexual abuse as adult ( 1:1 counseling  group counseling  support group)
  - sexual assault/rape as adult ( 1:1 counseling  group counseling  support group)
  - sexual abuse as child ( 1:1 counseling  group counseling  support group)
  - sexual assault/rape as child ( 1:1 counseling  group counseling  support group)
- needs to negotiate a relapse plan in the event of a mental health crisis:
  - how behaviors should be confronted
  - how to maintain apartment availability
  - recovery behavior requirements
  - how children are to be cared for in the event of inpatient treatment
  - other (Explain: \_\_\_\_\_)

## **Chemical Health Issues – Head of Household**

- Does not have chemical health issues/challenges
- Does have chemical health issues/challenges
  - has completed an assessment describing dependency and treatment needs
  - has not completed an assessment describing dependency and treatment needs
    - does not want but requires an assessment (Explain: \_\_\_\_\_)
    - does want an assessment, but has not been directed to get one
      - eligible for subsidized assessment
      - needs support in gaining referral for subsidized assessment
  - has completed assessment and has referral to treatment
    - satisfied with referral and needs additional support for follow-through:
      - access to transportation
      - access to child care
      - support to maintain housing
      - support to renegotiate employment (TANF) status
      - support with regard to maintaining positive status with children's protective services
      - support for benefit management (eligibility advocacy)
    - unsatisfied with referral and needs:
      - additional referral



- support in selecting provider
  - access to transportation
  - access to child care
  - support to maintain housing
  - support to renegotiate employment (TANF) status
  - support with regard to maintaining positive status with children's protective services
  - support for benefit management (eligibility advocacy)
- currently receiving treatment/support for chemical dependency
- satisfied with service and provider and does not need additional support
  - satisfied with service and provider and does require additional support
    - access to child care
    - access to transportation
    - support to maintain housing
    - support to renegotiate employment (TANF) status
    - support for benefit management (eligibility advocacy)
    - support with regard to maintaining positive status with children's protective services
  - access to on-site support/recovery group to augment support for sobriety
  - needs to negotiate an agreement/plan with supportive housing support staff which identifies behaviors which need to be managed in support of sobriety
  - needs to negotiate a relapse plan in the event that sobriety is breached—the plan will include:
    - how behaviors should be confronted
    - how to maintain apartment availability
    - recovery behavior requirement
    - how children are to be cared for in the event of inpatient treatment
    - other (Explain: \_\_\_\_\_)

## **Chemical Health Issues — Other Adult**

Name: \_\_\_\_\_

- Does not have chemical health issues/challenges
- Does have chemical health issues/challenges
  - has completed an assessment describing dependency and treatment needs
  - has not completed an assessment describing dependency and treatment needs
  - does not want but requires an assessment (Explain: \_\_\_\_\_)



- \_\_\_ does want an assessment, but has not been directed to get one
  - \_\_\_ eligible for subsidized assessment
  - \_\_\_ needs support in gaining referral for subsidized assessment
- \_\_\_ has completed assessment and has referral to treatment
  - \_\_\_ satisfied with referral and needs additional support for follow-through:
    - \_\_\_ access to transportation
    - \_\_\_ access to child care
    - \_\_\_ support to maintain housing
    - \_\_\_ support to renegotiate employment (TANF) status
    - \_\_\_ support with regard to maintaining positive status with children's protective services
    - \_\_\_ support for benefit management (eligibility advocacy)
  - \_\_\_ unsatisfied with referral and needs:
    - \_\_\_ additional referral
    - \_\_\_ support in selecting provider
    - \_\_\_ access to transportation
    - \_\_\_ access to child care
    - \_\_\_ support to maintain housing
    - \_\_\_ support to renegotiate employment (TANF) status
    - \_\_\_ support with regard to maintaining positive status with children's protective services
    - \_\_\_ support for benefit management (eligibility advocacy)
- \_\_\_ currently receiving treatment/support for chemical dependency
  - \_\_\_ satisfied with service and provider and does not need additional support
  - \_\_\_ satisfied with service and provider and does require additional support
    - \_\_\_ access to child care
    - \_\_\_ access to transportation
    - \_\_\_ support to maintain housing
    - \_\_\_ support to renegotiate employment (TANF) status
    - \_\_\_ support for benefit management (eligibility advocacy)
    - \_\_\_ support with regard to maintaining positive status with children's protective services
    - \_\_\_ access to on-site support/recovery group to augment support for sobriety
    - \_\_\_ needs to negotiate an agreement/plan with supportive housing support staff which identifies behaviors which need to be managed in support of sobriety
    - \_\_\_ needs to negotiate a relapse plan in the event that sobriety is breached—the plan will include:



- how behaviors should be confronted
- how to maintain apartment availability
- recovery behavior requirement
- how children are to be cared for in the event of inpatient treatment
- other (Explain: \_\_\_\_\_)

## **Chemical Health Issues – Child**

- Does not have chemical health issues/challenges
- Does have chemical health issues/challenges
  - has completed an assessment describing dependency and treatment needs
  - has not completed an assessment describing dependency and treatment needs
    - does not want but requires an assessment (Explain: \_\_\_\_\_)
    - does want an assessment, but has not been directed to get one
      - eligible for subsidized assessment
      - needs support in gaining referral for subsidized assessment
  - has completed assessment and has referral to treatment
    - satisfied with referral and needs additional support for follow-through:
      - access to transportation
      - access to child care
      - support to maintain housing
      - support to renegotiate employment (TANF) status
      - support with regard to maintaining positive status with children's protective services
      - support for benefit management (eligibility advocacy)
    - unsatisfied with referral and needs:
      - additional referral
      - support in selecting provider
      - access to transportation
      - access to child care
      - support to maintain housing
      - support to renegotiate employment (TANF) status
      - support with regard to maintaining positive status with children's protective services
      - support for benefit management (eligibility advocacy)



- currently receiving treatment/support for chemical dependency
- satisfied with service and provider and does not need additional support
- satisfied with service and provider and does require additional support
  - access to child care
  - access to transportation
  - support to maintain housing
  - support to renegotiate employment (TANF) status
  - support for benefit management (eligibility advocacy)
  - support with regard to maintaining positive status with children's protective services
  - access to on-site support/recovery group to augment support for sobriety
  - needs to negotiate an agreement/plan with supportive housing support staff which identifies behaviors which need to be managed in support of sobriety
  - needs to negotiate a relapse plan in the event that sobriety is breached—the plan will include:
    - how behaviors should be confronted
    - how to maintain apartment availability
    - recovery behavior requirement
    - how children are to be cared for in the event of inpatient treatment
    - other (Explain: \_\_\_\_\_)

### **Community Life — Head of Household**

- Desires to be part of a group of other tenants focused on:
  - helping each other with problems, challenges, issues
  - learning about ways to build capacity as a parent
  - learning about ways to resolve past problems with credit, rental history
  - employment support
  - issues of recovery:
    - mental health
    - domestic abuse
    - sexual abuse
    - crime victim
    - chemical dependency
    - smoking cessation
    - other (Explain: \_\_\_\_\_)



- developing leadership potential:
  - within the supportive housing community
    - personal
    - tenant council opportunities
    - other (Explain: \_\_\_\_\_)
  - within the larger community
    - as part of a crime prevention block club
    - as part of a district council or citizen forum
    - as part of a children's safety effort
    - other (Explain: \_\_\_\_\_)
- I want to be a part of a social network within the community:
  - weekly night out with other parents
  - participate in regular family recreational events and activities with other families
  - participate in regular adult recreational events with other parents
- I want my children to be involved in regularly scheduled group recreational opportunities
- I want to be involved in sharing the cultural diversity of the community

## Community Life – Other Adult

Name: \_\_\_\_\_

- Desires to be part of a group of other tenants focused on:
  - helping each other with problems, challenges, issues
  - learning about ways to build capacity as a parent
  - learning about ways to resolve past problems with credit, rental history
  - employment support
- issues of recovery:
  - mental health
  - domestic abuse
  - sexual abuse
  - crime victim
  - chemical dependency
  - smoking cessation
  - other (Explain: \_\_\_\_\_)



- \_\_\_ developing leadership potential:
  - \_\_\_ within the supportive housing community
    - \_\_\_ personal
    - \_\_\_ tenant council opportunities
    - \_\_\_ other (Explain: \_\_\_\_\_)
  - \_\_\_ within the larger community
    - \_\_\_ as part of a crime prevention block club
    - \_\_\_ as part of a district council or citizen forum
    - \_\_\_ as part of a children's safety effort
    - \_\_\_ other (Explain: \_\_\_\_\_)
- \_\_\_ I want to be a part of a social network within the community:
  - \_\_\_ weekly night out with other parents
  - \_\_\_ participate in regular family recreational events and activities with other families
  - \_\_\_ participate in regular adult recreational events with other parents
- \_\_\_ I want my children to be involved in regularly scheduled group recreational opportunities
- \_\_\_ I want to be involved in sharing the cultural diversity of the community





## Chapter Four: The Housing Development Process

This chapter reviews housing development: the process by which an organization acquires a property and either builds new housing or rehabilitates an existing property. This chapter will apply if your organization, as the lead agency or sponsor of the program, will own the housing in which program participants live. This chapter may be of benefit if your organization will lease housing units from a private owner but be primarily responsible for tasks often associated with housing ownership, such as rehabilitation of units, paying property taxes, and providing for property management.

Other options include leasing units from a private owner without assuming these responsibilities or having tenants lease units directly from private landlords. These last options will be explored in detail in *Chapter Five*.

Building new housing or rehabilitating an existing property gives your organization greater control over aspects such as apartment layout, types of common areas, rent levels and lease terms. In this way, you can incorporate the unique features of supportive housing that are not typical of existing housing developed on the private market. However, developing housing requires a considerable up-front financial investment, can expose the sponsor to financial risk and, of course, requires much more time and attention on the part of your organization and its governing board. *Exhibit 4-A, Assessing the Role for Your Organization*, can help you decide whether your organization should own housing.

### Finding Development Expertise

The first step will be to identify a developer or project manager to oversee the housing development process. The developer's responsibilities include the following:

- Assembling the development team of experts who will design, build, finance and manage the project;
- Identifying and obtaining control of a suitable site for the housing;
- Working with the development team, particularly the architect to design the physical space;
- Working with legal and accounting staff to obtain appropriate financing for the development from private lenders and public agencies;



- Implementing and monitoring the construction process with the construction team;
- Selecting and hiring property management services; and
- Monitoring the property management agent as it implements initial lease-up tenants.

Compensation for these services and responsibilities can be structured in a number of ways. There is no hard and fast fee structure. If your organization has entered into an agreement with a development partner, all or a portion of a development fee may be negotiated which ranges up to 15% of the total development cost of the project. Compensation for a development consultant is typically based on a negotiated scope of services and ranges in cost from a few thousand for minimal advice to as much as \$100,000 or more depending on the scale and the complexity of the project. As one expert states, “developers (and development consultants) come in dozens of shapes and sizes. The relationship and value-added have to be closely scrutinized before negotiating a fee.”

Many service providers that sponsor supportive housing consider acting as developers. However, most organizations find that the demands of developing real estate take them away from their mission, not closer to it. If housing development is not already a central part of your mission and the organization does not have staff experienced in development, we suggest you contract with an individual or organization for assistance with your development. Depending on how you negotiate your scope of services this may give you control over the development process without the burden of developing the expertise in-house.

## **Working with a Development Consultant**

The development consultant is a professional who can guide you through the responsibilities outlined above. He/she may also act as your day-to-day project manager of the development project if you do not have a staff person to fulfill this role. While the scope of the consultant’s services can vary, generally the consultant begins by helping conceptualize the development project and continues to oversee the development process until the beginning of construction. In some cases, the development consultant may continue their involvement to assist in completing the necessary documentation and negotiations for permanent financing through lease-up activities.

*Exhibit 4-B* provides you with a list of questions and a process for advertising for and securing consulting services. *Exhibit 4-C* provides you with a sample consulting agreement for development services.

---

### **Example: Working with a Development Consultant**

*The Masjid of Central Avenue (MCA) was concerned about an increase in homelessness among members of its community. A 20-unit vacant apartment building was located across the street from the mosque. It was an eyesore and was becoming a high-crime site in the neighborhood. MCA contacted the city, the county and the local neighborhood citizen association and was able to attract considerable political and funding support for acquiring the building.*

*Because MCA was not interested in developing other properties and did not have the expertise internally to develop the apartment building, it contracted with a local consultant with experience in*



affordable rental housing development. The development consultant helped MCA assemble a team of experts, including:

- an architect with experience in designing small rental housing and a specific expertise in building restoration of similar types of properties, and who has worked with the major funding sources and understands their requirements;
- a law firm experienced in housing development that has specific experience with the major funding sources;
- a property management firm experienced in managing low-income housing for families and that is knowledgeable about chronically homeless families; and
- a general contractor who was willing to hire local tenants, has experience working on similar projects, and understands and accepts the restrictions associated with the major funding sources.

MCA acquired the building, and the development consultant helped MCA oversee its renovation. The total development cost of the project was \$3,020,000.00. The development consultant received a fee of \$86,000.00.

MCA convened a gathering of local and neighborhood social service agencies and tenants to identify supportive service needs for the new housing. A neighborhood organization agreed to act as the primary service provider, with MCA and a tenant advisory committee monitoring the delivery of services.

The supportive housing program is now up and running. MCA continues to own the building, which is managed by a company under contract with MCA. MCA remains active in the project by attending monthly service management meetings, assisting in evaluation, providing access to resources and services as requested by the service team and tenant advisory committee, and generally overseeing the performance of the property management. The development consultant assisted MCA in completing their initial occupancy and lease-up activities and remained available for consultations throughout the first six months of occupancy.

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## **Working with a Housing Development Organization**

You may instead decide to engage a development organization to manage the development process in return for some or all of a developer's fee and/or part or whole ownership of the project. Possibilities include:

- Community development corporations (CDCs);
- Community housing development organizations (CHDOs).
- For-profit real estate developers; and
- Local housing authorities.



### Community Development Corporations (CDCs)

CDCs are private, nonprofit development organizations that are engaged in housing development and economic development activities in local communities, often in a single neighborhood. In addition to owning affordable housing, some CDCs also provide development services for outside organizations.

CDCs can make good partners since they can relate to your pursuit of a mission and may enjoy a high level of community support. Moreover, their strengths complement those of social service organizations well; they are often experienced in development and property management but lack supportive service expertise. We recommend this option if a qualified and compatible CDC is active in your target neighborhood.

### Community Housing Development Organizations (CHDOs)

In addition to community development corporations, a variety of other nonprofit organizations known as community housing development organizations (CHDOs) develop, own and manage affordable housing for low-income tenants. Your local HUD office or city planning department should be able to tell you whether an approved CHDO exists in your area.

### For-Profit Real Estate Developers

For-profit developers often are skilled in managing the development process, know the local planning and zoning approval systems, have access to a variety of properties, and are able to attract financial investors. However, a for-profit developer may not be familiar with supportive housing or share your service mission. For-profit developers may lack specific knowledge about subsidized financing programs for special needs projects, like supportive housing. If you chose to work with a for-profit developer, make sure that the developer is committed to the principles of supportive housing and understands your requirements.

### Local Housing Authorities

Housing authorities are public corporations affiliated with a city or county government that receive federal funding to perform housing and community development activities. A housing authority is often referred to as an HRA (housing and redevelopment authority) or a PHA (public housing authority). Housing authorities sometimes offer development services in return for a fee or part ownership of a development. They may also be interested in serving in this role if they have underutilized properties that can be converted into supportive housing for families. It's important to note that PHAs often have access to public funding for operating subsidies.

*Exhibit 4-B* can be a useful tool in choosing a development partner. For more information about development partnerships and how to structure them, please refer to another CSH resource, *Not a Solo Act*.

### Overview of Development Tasks

For the remainder of this chapter, we will assume that your organization has decided to take primary responsibility for the development process, perhaps with the assistance of a development consultant or partner.



The following chart shows the sequence of specific development activities, and each of these steps is then described in more detail. Please note that while we have presented these steps in rough chronological order, many of them must occur simultaneously.

Development Activities	Sequence of Activities						
Finalize Project Concept	■						
Secure Organizational Support	■						
Assemble Development Team	■						
Siting the Project		■	■				
Financial Feasibility Analysis			■				
Building Community Support	■	■	■	■	■	■	■
Architectural Design Process			■	■	■		
Packaging Capital Financing				■			
Operating and Services Funding				■			
Pre-Construction Phase					■		
Construction Phase						■	
Tenant Selection/Lease-Up							■

### Step One: Finalize the Project Development Concept

By this point, you will have prepared a detailed profile of your target population and a plan for services. Based on these, you will now create a *project development concept* describing the housing model, facilities and layout of your supportive housing project.

The concept will outline a number of aspects of the supportive housing development:

- Target population;
- Service program design;
- Location;
- Scale;
- Physical design; and
- New construction vs. rehabilitation.



## Target Population

Based on your work in Chapters Two and Three, you should now be able to identify the specific characteristics of prospective tenants: family makeup and size as well as their service needs.

## Service Program Design

Similarly, you should now be able to document your service program design, including the type of services to be provided, level of on-site services, and linkage with community-based services. As outlined below, your service program design will affect a number of decisions related to housing development, including the physical design and location of the project.

## Location

At this point, you should make preliminary decisions about the location of your project, perhaps identifying a specific neighborhood or several-block area. The project should be convenient to tenants' needs, such as public transportation, employment and community-based services. We will explore these considerations in more detail in the section below on siting.

## Scale

You should take a number of factors into account when deciding on the size of the development. You also should think about scale in terms of efficiency of program delivery and economies of scale for fixed costs. The following issues will influence decisions regarding the scale of your project:

**Gap in Need.** The number of units should correspond to the needs you identified in the information-gathering stage; be sure that you are not creating more housing than is needed for your target population given other existing housing options.

**Neighborhood Character.** The size and density (number of units per square foot) of the development should be similar to properties in the surrounding neighborhood.

**Zoning.** Local zoning regulations will specify the number of units that can be built on a particular site. It will be easier if your development does not require a variance from zoning regulations. We will cover this topic in more detail below.

**Property Management.** The development should be designed within a scale (size), population mix (bedroom and tenant-type mix), and layout that is optimal for property management. Property management is discussed more fully in *Chapter Six*.

## Physical Design

The major decision you will make at this point about the design of your project is the configuration of the units. In *multifamily* housing, the housing units are grouped together on a single site containing one or more buildings. In *scattered-site* housing, as the name implies, units are scattered, although often clustered, throughout a neighborhood or city.



Ideally, the family profile and service plan should be the major determinants of the housing configuration. *Multifamily housing* is appropriate if

- families have multiple, intensive supportive service needs and have tended to “get lost” in a web of services in the past;
- significant numbers of young children require a site designed with security and supervision in mind;
- you plan to offer a number of on-site services; and
- much of your service plan will depend on peer support.

More efficient and effective delivery of services may require multifamily site models as well as aid in the development of a supportive community for and among tenants. *Scattered-site housing* can be appropriate if

- families are more independent; and
- most services will be provided by community agencies located throughout the area.

However, other considerations will also dictate the configuration of units. Only one type of housing, multifamily housing on a multifamily site or scattered sites, may be available and affordable. Also, the degree of community support for your project may affect this decision; neighborhoods are more likely to accept small-scale, scattered-site developments than larger multifamily developments.

Other decisions regarding physical design include:

- the number of bedrooms in each unit, which should be based on the family sizes identified in the family profile;
- the amenities that will be available on-site; and
- the types of common areas, which should be adequate to accommodate any on-site services and recreational programs identified in your service plan.

We suggest that you network with other nonprofit organizations that serve chronically homeless families in your state or other parts of the country to learn more about “what works and what doesn’t” in terms of housing design. Or contact the Corporation for Supportive Housing and ask for case studies of projects that are similar to yours.

### **New Construction vs. Rehabilitation**

You may decide to newly construct your housing, or you may decide to rehabilitate an existing property. Your approach will be dictated by the types of properties that are typically available and affordable in your community. Your development consultant, architect and/or realtor will be able to help you discern your options. Also, check with local funding sources; some may restrict the use of funds to



rehabilitation. (For example, some federal sources, such as the Shelter Plus Care [S+C] program provide additional operating subsidies if the project involves rehabilitation.)

Rehabilitation projects are often more challenging. The extent of rehabilitation obviously depends on the condition and adaptability of the building(s) available. Moderate rehabilitation may be all that is required if the buildings need limited rehabilitation and are already sufficiently configured to meet the size/number of units you need. However, building condition is difficult to determine prior to construction. You often cannot determine until after construction has started the full extent of the required rehabilitation. At a minimum, it is especially important to have an architect and/or contractor on the development team who has experience in this particular type of rehabilitation.

Rehabilitation projects often need additional front-end planning which may include a more detailed analysis of the capacity and feasibility of the building's major systems (roofs, windows, furnaces, water heaters, etc.). This planning process and documentation will guide asset and property management decisions in the future.

If the building(s) require extensive adaptation and/or replacement of systems (e.g., heating/ventilating, roof and windows) you will need to prepare for *substantial* or *gut* rehabilitation. Acquisition and rehabilitation of existing buildings may be the only options available to you, but they will not necessarily be the least expensive development approach.

### Funders' Requirements

The requirements of potential funders will need to be considered when finalizing the project concept. These funders may have specific restrictions in such areas as construction type, development cost allowances and allowable uses (e.g., some funding sources will not fund space for a services or a common area). Also, funders have allowable rent and income levels as well as affordability standards. For example, the HOME and SHP financing programs require targeting to specific tenants to receive their funds.

### Documenting Your Project Concept

Once you have made these decisions, prepare a brief concept paper that describes the project and the development approach. This document will have several purposes, including:

- Obtaining board of directors' support before proceeding with the development;
- Communicating your organization's plans to the community;
- Providing a platform for proposals to potential funders;
- Providing key information to development team members;
- Ensuring, as the development moves forward, the project addresses the family profile of needs as determined earlier; and
- Providing a set of guiding principles or design requirements to evaluate the project as it "evolves" throughout the process.



## **Step 2: Secure Organizational Support for Project**

Earlier, you reviewed the mission and vision for the supportive housing project with your organization's board of directors. Because of the level of risks, responsibilities and expense of developing housing, it is critical to secure your board's support before proceeding.

Some of the issues you will want your board to consider are:

- The financial liability of development (e.g., sponsor guarantees, cost overruns);
- The legal liability of developing and operating housing;
- Managing the relationships with the immediate neighborhood or broader public;
- Amount of staff time required, which can be substantial among key staff (executive director); and
- Costs that may not be recovered, such as site search and feasibility costs for a project that does not proceed.

The section on financing below provides more detail on the financial risks inherent in housing development.

To inform the board fully, you may want to project the predevelopment costs, such as professional fees, and out-of-pocket expenses for which your organization will be responsible (including staff time). *Exhibit 4-D* offers a list of development expenses and how they are often calculated. Your development consultant/partner can assist you in assessing the extent of your predevelopment liability, but these costs may include a portion or all of the following:

- the development consultant's fee;
- the architect's fee (depending on status of project when abandoned);
- land costs (options, appraisal, title research, holding costs, maybe even purchase price);
- legal fees associated with structuring contracts, etc.; and
- repayment of predevelopment loan interest.

## **Step 3: Assemble Development Team**

Throughout the process, the developer will add various experts to the team responsible for the development. These team members include:

- Architect;
- Attorney;
- Accountant;



- General Contractor;
- Property Manager;
- Asset Manager;
- Primary Service Provider; and
- Consumer Representative.

The specific roles for the development team members are as follows:

### **Architect**

The project architect should join the team as soon as possible, because the architect will evaluate prospective sites to determine their feasibility for housing development. Other responsibilities include analyzing site zoning, preparing cost estimates, designing the project and overseeing construction (construction management). *Exhibit 4-E* offers some questions and actions to consider when selecting an architect.

### **Attorney**

A real estate attorney must be available to help negotiate the acquisition of the housing site and prepare related documents. Your organization's attorney should also review all contracts with other members of the development team to ensure that they protect your organization and meet the requirements of potential funders and investors. Sample agreements are generally available from more experienced sponsors or national organizations like the Corporation for Supportive Housing, LISC and The Enterprise Foundation. *Exhibit 4-F* offers information on choosing and working with a lawyer.

### **Accountant**

The project accountant can play a number of roles during development, including responding to funders' requests for financial information about the sponsor and reviewing the financial feasibility analysis.

Your project's competitiveness for funding may hinge on your ability to demonstrate the accountant's capacity to prepare reports for investors and perform a required certification of costs at the end of the development process. Depending on your sources for funding, it may be important to find an accountant with experience in the federal Low Income Housing Tax Credit program. We will discuss the tax credit process in more detail later in this chapter.

### **General Contractor**

The general contractor is responsible for the actual construction or rehabilitation of the housing. As with the project architect, some housing developers also operate as general contractors, but most hire an outside firm either through a competitive bidding process after the architect completes the plans and specifications for the development or via a negotiated bid. The general contractor is responsible for procuring the necessary insurance coverage and building permits, contracting with subcontractors,



managing the construction, and ensuring wage and labor standards are met for construction workers. *Exhibit 4-G* offers suggestions for screening potential general contractors for your project.

### **Property Manager**

The property manager oversees the day-to-day operations of a housing development. The property manager is the owner's and asset manager's (if separate) primary representative with tenants. Property management activities include showing and leasing apartments, rent collection, establishing occupancy policies and other building rules, developing a budget to cover the costs of operating the housing, building maintenance, and interfacing with the support services staff. A full discussion of property management in supportive housing is provided in *Chapter Six*.

Some sponsors manage their housing projects using in-house staff. Other sponsors, who do not have property management experience and do not wish to distract their organization with the obligations of this role, contract for property management services. Sometimes sponsors contract for services if they are concerned with the possibility of conflicts in roles if they are also intending to act as primary service provider.

Whether you intend to manage your project or contract for services, you will want to involve property management staff as part of the development team. The property manager can help to prepare the operating budget and can contribute to the physical design in ways such as suggesting materials that are easy to maintain. If you decide to contract for property management services, *Exhibit 4-I* offers suggestions that may be useful in your selection process.

### **Asset Manager**

The asset manager acts as a financial manager for the completed development, overseeing property management to ensure that tenant occupancy levels remain high and the project performs well financially. The asset manager also reports information about the development to funders, in compliance with regulations associated with housing funding programs. Often, the property manager assumes the role of asset management in addition to their other duties.

The asset manager's responsibilities begin once the housing is constructed and occupied, although the asset manager should be involved in decisions and knowledgeable about the development from the beginning. Some housing sponsors perform their own asset management, especially if they are also managing the property. Others subcontract the asset management responsibilities to a professional firm specializing in these services. *Exhibit 4-H* offers suggestions for selecting or staffing the asset management function.

### **Primary Service Provider**

As noted in *Chapter Three*, the primary service provider plans and oversees the services to be offered at the supportive housing development. The presence of the primary service provider on the development team is a key difference between supportive housing development and other types of housing development. The primary service provider can help translate the needs of tenants into the location of the housing, the layout of the housing, the incorporation of community spaces for service delivery, and the size and number of bedrooms in the individual units.



If the primary service provider has identified additional agencies that will be providing services, the development team should also solicit input about the project design from these agencies. The more input from those who will be serving the tenants, the greater the probability the design and construction of the housing will be compatible with the supportive service strategies.

**Consumer Representative:**

Current or formerly homeless constituents, identified as fitting the selected target audience of tenants, can provide valuable information during the concept development and initial feasibility phases of the development. They may have a perspective that can help the development team identify site and building characteristics that can assist families in their transition to the community. They can also offer information about the barriers the site may present for easy access to on- and off-site services. Consumers can be a sounding board against which you can explore new strategies for your project concept. And finally, consumers will be important in your efforts to introduce and promote supportive housing in your community. The more involved consumers are, the better they can articulate the importance of supportive housing to those who might fight it.

The following chart provides more information about the various roles on the supportive housing development team.

**The Supportive Housing Development Team**

Role	Responsibilities	Relationship to Sponsor, Owner and Developer	Phase of Development Process	Capacity and Experience Required
Sponsor	Initiates concept and provides leadership.	May also be the owner and developer of the project, but not required.	If also the owner, sponsor will be involved in all phases of the project: predevelopment, development, initial occupancy and ongoing occupancy. If not owner, may be involved in predevelopment, development and then leave the team or continue as a service provider once the housing has opened.	Depends on the additional roles assumed by the sponsor. If the sponsor is only providing leadership during the predevelopment and development phases, it will be important that the sponsor have experience with the development process and will be able to build support for the project with political and neighborhood leaders.
Owner	Owens the project, responsible to the mortgagee and others for the financial status of building.	It is common for the owner to also be the sponsor. The owner can also be the developer.	The owner is involved in all phases of the development and asset management process.	As owner, it will be important to demonstrate the ability to own and manage the value of the asset. Does the owner have other real estate? Is the entity financially viable? Does the owner have experience with supportive or other affordable housing?



Role	Responsibilities	Relationship to Sponsor, Owner and Developer	Phase of Development Process	Capacity and Experience Required
Developer	May be the owner, or a development partner who guides the development process for the partnership. (See activities associated with Project Manager below.)	The developer can be the sponsor and the owner of the real estate, or may be a partner who will co-own and guide the project.	Involved in predevelopment, development and initial occupancy stages of development, as well as continuing in either a co-owner or owner capacity.	Must have experience in each aspect of the development process. Should have working knowledge of local building practices, political processes and expectations, and knowledge of community leadership.
Project Manager or Development Consultant	Is the owner's representative in the development process and provides professional development services on the owner's behalf, such as: acquires site, negotiates with local government, selects technical experts such as architects and accountants, coordinates the development of the design, secures general contracting services, submits necessary documents as part of the underwriting process for securing financing, coordinates owner's activities at closings, and may monitors initial lease-up and occupancy process.	The Project Manager and or Development Consultant is an outside entity compensated by a fee or hourly rate.	Involved in predevelopment, development and initial occupancy stages of development.	Must have experience in each aspect of the development process. Should have working knowledge of the local building practices, political processes and expectations, and knowledge of community leadership. Should be an effective coordinator, communicator, problem solver, experienced in coordinating a number of different entities with sometimes conflicting interests and missions.
Attorney	Provides legal services associated with the real estate (acquisition of property), project financing and organizational issues (e.g., creating new corporation).	Usually an independent professional or firm.	May be involved in all phases of development, and on retainer for needs as they arise during operations.	Experienced with real estate, housing financing, corporate structure, partnership negotiations, etc. Knows specific funding programs and players.
Accountant	Provides cost certifications (LIHTC), and other general accounting work as may be defined by the funding sources.	Usually an independent professional consultant or firm.	Involved in certifying the development pro forma and operating pro forma costs. May continue to be involved in producing financial management reports.	Must be familiar with the various requirements of both for-profit and nonprofit accounting practices, as well as the unique requirements of some housing financing (LIHTC).



Role	Responsibilities	Relationship to Sponsor, Owner and Developer	Phase of Development Process	Capacity and Experience Required
Architect	Works with the development team and assists with site selection, creates preliminary and final drawings, develops construction specifications, assists with preliminary cost estimates, works with the developer to secure local site and design approvals, monitors construction.	Usually an independent professional contractor. However, some real estate development corporations have in-house architects.	Involved early in the process beginning with the predevelopment phase through construction completion and initial occupancy. Is involved until the general contractor is released.	Must be licensed and bonded. Should have experience in designing family housing, especially rental. Helpful if knowledgeable about target tenant population. Must be able to interpret needs expressed by the development team into design. Should know funder requirements, procedures and players.
General Contractor	Builds the project according to the plans and specifications, secures bonding and insurance, manages subcontractors, and is responsible for meeting contracting, wage and labor obligations.	Generally an independent corporation selected by the owner and developer. However, the developer may have in-house contracting capacity.	If an independent contractor, usually brought in at the end of the predevelopment phase via competitive bids based on the final housing plans. Sometimes a contractor who is selected early in the predevelopment process and is a member of the development team from the beginning.	Has sufficient general construction experience to meet local requirements and meet funders' expectations. Should have experience in the type of development planned and knowledge of target audience and mission of project. Should know funder requirements, procedures and players.
Asset Manager	Oversees performance of property manager, ensures project purpose is maintained, and manages regulatory agreements, partnership documents and ongoing finances of the property. (Note: this function is generally provided in-house since there usually isn't operating funding for this. )	Is an agent of the owner. Sometimes is an independent professional contractor. When ownership is by a nonprofit development corporation, asset manager can be part of in-house staff.	Primarily involved once the development phase has been completed. Often an asset manager is included in initial decisions of the development process.	Experience with nonprofit housing management, financing and other regulatory expectations. Understands the needs of the target population.
Property Manager	Manages day-to-day operations of housing, such as leasing apartments, collecting rent, developing an operations budget, and maintenance.	Is an agent of the owner. Often property management is provided by a private company. Some nonprofit development corporations have in-house property management staff.	Mostly involved once housing is occupied, but may be included in earlier development decisions, particularly if the property manager will be contributing information to the development and operating pro forma.	Experience in managing affordable housing. Understanding of target population and sensitivity to their needs. Excellent interpersonal and communication skills. Able to work in effective collaboration with service providers.



Role	Responsibilities	Relationship to Sponsor, Owner and Developer	Phase of Development Process	Capacity and Experience Required
Primary Service Provider	Develops service strategies and plans, identifies outside service providers, secures service funding, coordinates service delivery, maintains service records, and contracts for service evaluation.	Can be a number of different entities. Often is the sponsor and the owner of the project. If a part of a full-service housing development corporation, primary service provider may be part of an in-house team.	The primary service provider should be involved from the predevelopment phase through development and has an ongoing role throughout occupancy.	Must be experienced in serving target population. Depending on how services are to be delivered, should be experienced either in the provision of services or in making referrals to outside agencies.
Consumer Representative	Participates in early discussions of the development concept as well as ongoing discussions regarding design considerations, location of site and service planning.	An independent consultant compensated for expertise as a current and/or former homeless person.	Initial development phase.	Formerly or currently homeless. Interested in collaborating with development team to create new housing resources.

## Step 4: Siting the Project

Selecting a site—a building, group of buildings or lot—is a critical initial step in the development process that should be done methodically. Far too often, sponsors react to an immediate opportunity, such as a call from an owner ready to sell a building, rather than conduct a comprehensive search to identify the best available property. This random approach can result in a site that is less than optimal.

The design and cost of the housing will depend greatly on the site chosen. Moreover, securing a site gives the sponsor the credibility needed to attract the interest of potential funders and other supporters. Typically, funders will not begin to review development proposals seriously until a suitable site has been identified or secured.

### Types of Site Control

There are several types of site control available to sponsors—principally sponsor-owned or leased. *Sponsored-owned* is where the sponsor purchases the property outright, develops it, and owns and operates the housing over the long term. In this case, the sponsor/owner usually obtains an option to purchase the property until funding is available to close on the sale.

Sponsors may also lease properties from private owners, either short-term or long-term. *Short-term leases* (which can last several years or longer) generally only makes sense when the property requires limited repairs or renovation. This is because public agencies will not want to invest significant funds in a building if it only serves the targeted population for a short period of time. These leases, which are also sometimes referred to as *master leases*, may involve an entire building or simply a cluster of apartments within a larger complex.



Some sponsors pursue *long-term leases* (typically 30 years or more) when an owner is not willing to sell or if the funding sources do not support acquisition costs (but will cover lease costs). With long-term leases, public funders are better able to justify the investment since it will benefit the homeless families for an extended period. These leases are usually net leases, where the sponsor is responsible for all maintenance, operating and carrying costs (including property taxes). Long-term leases usually involve entire buildings rather than clusters of units. (Note: While this approach seems to save up-front costs, it is not typically cost-effective over the long term because you often lose benefits for which the non profit is eligible [e.g., subsidized financing and property tax abatements or “PILOTs”—Payment In Lieu Of Taxes, which is just an alternative lower payment]. The lease payment often includes a pass through of market rate financing costs and full property taxes.)

While not considered a development approach, sponsors may also facilitate a lease directly between a landlord and the client family, with the lease held by the family. Here the sponsor is really playing a brokering role, and probably acting as the supportive services provider, but is not involved in direct development. *Chapter Five* outlines leasing strategies in more detail.

### Types of Sites

A number of types of sites may be appropriate for family supportive housing:

- Vacant land for new construction;
- Single-family houses;
- Two- and three-family houses;
- Multi-family apartments;
- Commercial hotels or single-room-occupancy buildings that can be converted to multi-bedroom units;
- Nonresidential buildings that can be reconfigured, such as factory or warehouse buildings.

### Site Requirements

In finalizing the project concept, you began to establish a number of criteria for an appropriate housing site. At this stage, you should create a more detailed set of requirements to help you identify an appropriate neighborhood and individual site for your project.

Key criteria to consider in searching for a site include:

- Location;
- Scale;
- Housing type and construction approach;
- Cost;
- Community support; and
- Zoning.



## Location

Supportive housing must be convenient and safe for families. You should choose a location that meets as many of the following criteria as possible:

**Public Transportation.** The site should be convenient to transit lines serving important destinations for families, such as health care, shopping and recreation. Many tenants will not be able to afford private transportation. (Note: when considering what is “convenient” remember that tenants will probably have work schedules that require walking to and waiting for a bus in the dark. Consider the safety issues associated with the distances you are willing to accept.) In addition to safety considerations, remember that tenants will often have small children in tow and may be unable to negotiate more than a block or two, especially in harsh winter climates.

**Employment.** The site should have reasonable access to employment opportunities and job training. While these opportunities may not be available in the immediate neighborhood, they should be accessible through public transportation within reasonable commuting times.

**Amenities.** Neighborhoods should have key amenities such as supermarkets or other affordable shopping, public libraries, post offices, banks, safe parks and open space, and recreational facilities. This usually means siting housing in traditional residential neighborhoods rather than in isolated locations such as commercial, manufacturing or warehousing districts.

**Services.** The site must be convenient to supportive services such as outpatient drug treatment, parenting programs and health clinics, especially if your program has established formal links with these services. Once again, if not located in the immediate neighborhood, the services should be easily accessible by public transportation.

**Child Care.** Child care services must be available on-site, in the immediate neighborhood or near employment sites.

**Schools.** The site should be close to public schools and other education resources such as preschools or headstart programs, school readiness programs, and after-school enrichment and recreation programs.

**Safety.** If possible, the site should not be in an area that has a high crime rate, since tenants may be vulnerable. Sites should also abide by the principles of *defensible space*, or the use of design to make housing less vulnerable to crime. Defensible space measures include creating a low-rise building and avoiding hidden spaces such as playgrounds or courtyards that are screened from public view.

## Scale

During the program concept stage, you identified the appropriate size for your development. In addition to searching for an individual site that can accommodate that number of units, you should also be focusing your site search in particular neighborhoods that can accommodate your project’s size. Your development must be consistent with the height and density of surrounding buildings; a large-scale project in a low-density neighborhood almost invites opposition from neighbors.

The project architect can help you determine the maximum building size that can be developed on a particular site and whether your project is of appropriate scale for a particular neighborhood.



## Housing Type and Construction Approach

The type of housing you prefer for your development will help dictate the neighborhood where it will be located. For example, if your concept plan calls for the use of scattered-site single- and two-family houses, you should search for sites in low-density neighborhoods with similar properties. On the other hand, larger congregate projects use multifamily buildings or commercial hotels that generally are available only in downtown locations.

You may find that you will need to modify your choice of housing type based on the sites that are available in your community. For example, if you cannot find a large site that can accommodate a multifamily development, you may have to purchase several scattered sites, even though the ideal housing for your target family profile would be multifamily housing.

Your choice of new construction versus rehabilitation will also help guide the site search. New construction would be limited to neighborhoods with vacant land or substandard buildings that can be demolished. Note that demolishing existing housing adds to the costs of developing a site and may sabotage local housing preservation policies. Choosing rehabilitation limits the site search to areas with vacant or partially occupied buildings. We advise that you avoid acquiring an occupied building, since relocating tenants adds costs and delays and can be detrimental to existing tenants.

## Cost

The cost of acquiring or leasing a property may be the overriding consideration for selecting a site. Most public funding programs set a maximum cost per unit or per project for acquisition. This usually limits the search to communities with lower real estate prices, often located in lower-income neighborhoods. Be sure to determine limits set by your likely funders to avoid choosing a site that is too expensive. (Note: You will need to be aware of areas identified by HUD as concentrated areas of poverty. Some forms of financing and local approvals limit additional affordable housing development in high-concentration areas.)

In addition, all private lenders and most public funders will require that the purchase price not exceed the *appraised value*. An appraisal is a professional estimate of a property's worth. In almost all cases, the lenders will conduct their own appraisals; in addition, the sponsor will sometimes also be required to obtain an appraisal.

You should also determine whether the funders prefer that the sponsor lease or own the housing before initiating a site search. Some agencies will not provide funding for purchases but are able to fund lease payments through annual contracts with the sponsor.

## Community Support

Seek out sites in neighborhoods where community members are likely to support your project, or at least not offer active opposition. Other local nonprofit housing developers and service providers can provide insight into the likelihood of receiving support in various neighborhoods. Because many public agencies require community support as a condition for funding, it will be very important to target those neighborhoods that are expected to be supportive of your plans. (Note: Don't forget to keep your local



governmental officials informed. While some political leaders in some locales may not be supportive enough to actively promote your project, it never pays to antagonize them with surprise.)

The “not in my backyard” (NIMBY) syndrome can be a serious impediment to siting your project. On the one hand, homeless families generally elicit more sympathy than single homeless adults. On the other, serving the chronically homeless may raise neighbors’ concerns about substance abuse and other negative behaviors. A detailed discussion of strategies to build community support can be found in Chapter Eight of this manual.

## Zoning

Zoning laws are municipal regulations that govern the uses that are allowed on a particular site, such as residential, commercial or industrial, and the scale of development, such as single-family or multifamily housing. If your proposed use of a property fits within the existing zoning, you can develop the project *as-of-right*. Otherwise, you must seek a variance from the existing zoning designation, which usually requires a public hearing.

Your project architect can assist you in analyzing the zoning designation that your project would require and identifying sites that do not require a variance. Where possible, you should limit the search to sites that allow you to develop the project as-of-right, thus avoiding the time-consuming and uncertain process of gaining a zoning variance. However, as sites become more scarce, it is possible that the ideal site for your project may require a variance. If you decide to go for a variance it is important to understand the process for obtaining approval, the length of time required and how this can impact your overall project development timeline.

## Assigning Site Search Responsibilities

You have two options for conducting the site search: working with a real estate broker or conducting the search yourself.

### Use of a Broker

You may want to use a real estate broker to help you with your site search, since they are often knowledgeable about the housing market. If possible, seek out a *buyer’s broker* who will represent your organization’s interest rather than those of the seller. If your organization does not have staff available to conduct the site search, working with a broker can speed the search considerably.

However, using a broker can present several disadvantages, including the following:

- The broker may not understand your particular market. The broker’s experience may lie in higher-cost real estate, different neighborhoods, or commercial properties;
- Brokers can only show you properties that are on the market, whereas your own research might locate better sites that are not yet formally available;
- Brokers charge a fee that will add cost to the acquisition; and



- A broker may not understand your site requirements and may refer sites that are not appropriate, thereby wasting time and resources.

If you decide to work with a broker, make sure that he/she meets the following criteria:

- Has recent multifamily residential experience;
- Is willing to act as a buyer's broker;
- Has access to all local multifamily real estate listings, either through a comprehensive service called the *Multiple Listing Service* or through relationships with other brokers;
- Asks a competitive commission;
- Can provide references that indicate the broker is responsive and thorough;
- Has experience handling properties in your target areas;
- Has good relations with leading property owners; and
- Knows current housing values.

### Conducting Your Own Search

If your organization has sufficient staff, you may wish to conduct your own site search rather than depending on a broker. You might want to consider first talking with city or county staff and your local political representative. They often know about available land before the public. Talking to them can save some time by them not looking at projects that are “out of play” or by directing you to ones the city and politicians would support for development.

The most common way to identify a site is through a “windshield survey.” Drive or walk around the target neighborhoods, noting any sites that meet your requirements. Once you have identified a list of potential properties, you can find out who owns the properties in the deeds office of your local government. You can then contact the owners to determine whether they would be willing to sell the property, and if so at what terms.

You may also identify sites that are available from entities other than private owners. These include:

- HUD and FHA-foreclosed property;
- Bank foreclosures;
- Properties seized for unpaid taxes;
- Urban renewal sites;
- Underutilized public housing; and
- Brown-field sites.<sup>1</sup>



**HUD and FHA—Foreclosed Property.** Both HUD and the Federal Housing Authority (FHA) offer mortgages to property owners. At times, they must foreclose on these mortgages and sell the properties to new owners. Contact your regional HUD or FHA office and request a list of available properties in your target area. HUD sells multifamily and single-family properties at below-market prices to nonprofit organizations, while FHA generally offers single-family houses.

**Bank Foreclosures.** Most private banks maintain lists of real estate owned (REO) properties on which they have foreclosed the mortgage. Banks sell these properties to try to recover their costs. While they usually sell these properties at market prices, they may be willing to offer discounts to nonprofit organizations to help the bank meet the community lending requirements of the federal Community Reinvestment Act.

**Properties Seized for Unpaid Taxes.** Most cities foreclose on properties that have extensive unpaid taxes and then offer them for sale. State and local development agencies may also have properties available. Support from a local city councilperson can help you gain access to these properties.

**Urban Renewal Sites.** Many cities acquired sites from private owners for urban renewal activities, but now lack plans or funding to develop them. Contact your local development agency to find out if surplus sites are available.

**Underutilized Public Housing.** Increasingly, public housing authorities are having difficulty renting out their housing projects built for seniors, and they may be willing to consider reuse as supportive housing for families. Your local housing authority also may own vacant land that could be used by your organization.

Discussions with experienced nonprofit developers and local housing agency staff should yield the most promising sources and contacts for either publicly or privately owned development sites.

### Completing the Site Search

Once you have identified a likely site for your development, you will undertake a number of steps to finalize your selection:

#### Appraisal

Obtain an appraisal to determine the value of the site.

#### Due Diligence

Perform *due diligence* activities. Due diligence activities are associated with researching risks and obligations inherent in the project. There are a number of different categories of due diligence activities among these are:

- analyzing the zoning of the site;
- commissioning a report on the site's environmental quality; and
- searching through title records for outstanding liens, or debts levied on the property.



## Design Feasibility

Due diligence continues as the architect prepares a *feasibility report* that responds to the information gathered above and includes the structural condition of any buildings on the site. If the report identifies structural problems, consider engaging an engineer to recommend corrections.

## Financial Feasibility

Once the architect has determined the size of the project and the number of units that can be built on the site, conduct a financial feasibility analysis to ensure that you can garner sufficient financing to cover the costs of the project. While the financial feasibility analysis is presented as a separate step, Step 5 below, it should occur before you make the owner an offer for the property.

## The Offer

If the above activities indicate that the site is suitable for development and cost-effective, you may now negotiate with the owner to purchase or lease the property. The price you offer should be based on the appraisal and your analysis of the financial feasibility of developing the project on this site. Your attorney should monitor all negotiations.

## Secure Site Control

As a next step, you will negotiate some type of arrangement with the owner of the property that formalizes your agreement and demonstrates your control of the site. The type of site control depends on the owner's interests, the timing and stage of financing and the lenders' requirements.

You may choose from a number of types of site control arrangements that entail varying degrees of commitment on your part and that of the owner. In order of increasing commitment, these include:

- Offer letter;
- Letter of intent to sell;
- Option agreement; or
- Contract of sale.

**Offer Letter from Owner.** An offer letter simply states that the owner is willing to sell the property for a specified amount of money.

**Letter of Intent to Sell.** This letter states the owner's intent to sell to your organization at specific terms, usually including a time frame to complete the sale.

**Option Agreement.** An option legally binds the owner to sell you the property within a certain period if you exercise your right to buy. While you will usually be required to secure the option with a payment, you are not obligated to buy the property unless you exercise the option.



**Contract of Sale.** This is a form of site control which binds the seller and buyer to the specific terms of sale. The contract should be prepared by your attorney and reviewed by your board of directors so that it incorporates all of your organization's requirements. Be sure that the time allocated to complete the sale is long enough to allow you to secure acquisition financing.

## **Step 5: Financial Feasibility Analysis**

Before you commit to purchasing or leasing a site, you will conduct a *financial feasibility analysis*. This will indicate whether the costs to develop and operate the housing can be funded sufficiently with proposed financing sources, and your proposed purchase price for the site is viable. The financial feasibility analysis also will lay the groundwork for a later step, packaging the capital financing, when you will confirm the various sources of funding for your housing development.

The feasibility analysis must be prepared carefully, since you and the project's funders must be convinced that the development is financially feasible before you proceed with the development process. Therefore, the feasibility analysis should be conducted by a person with expertise in housing finance or by an experienced housing development consultant.

Elements of the feasibility analysis include the following:

- Design and construction cost estimate;
- Investigation of funding sources;
- Development budget; and
- Operating pro forma.

### **Design and Construction Cost Estimate**

In order to determine the cost to develop the project, the architect will need to provide at least the following information:

- Number of units;
- Size and number of bedrooms of individual units;
- Amount and layout of common areas;
- Overall square footage of building; and
- Site plan which specifies the layout of the building on the site, site circulation, program and recreational spaces, and access.

You also will need a preliminary estimate of construction costs. While the architect may also prepare the estimate, a local general contractor who is experienced in this type of construction will likely provide a more accurate estimate.



## Investigation of Funding Sources

To know whether you will be able to support the costs of developing and operating the housing, you will need an idea of the sources of financing for your development, the amounts that you can realistically request from each source, and the terms of the various types of financing.

Your development will likely combine grants and loans from a number of sources for different activities. While you will need to speak with other developers, your local development agency, and your state housing agency to determine the specific sources of funding in your area, the typical types of financing include the following:

- Loans;
- Grants;
- Equity; and
- In-kind contributions.

**Loans.** Supportive housing projects may be financed with three types of loans. *Predevelopment loans* are short-term loans that cover the costs of preparation during the early development stages, such as feasibility analyses and the site search. *Construction loans* are short-term loans for construction costs that are repaid once the work is complete. *Permanent loans* are larger mortgages that cover a wide variety of development costs. They are secured once construction is completed and repaid over time, usually 15 or 30 years.

Many affordable and supportive housing projects include construction or permanent loans from conventional mortgage sources, such as commercial banks or credit unions. These loans typically are made at the market interest rate.

Because most supportive housing projects cannot charge rents that would allow the owner to repay a market-rate loan that covers the total development cost, your project may also include a number of loans with interest rates below the market rate. Sources of lower-interest loans include nonprofit lenders, city development agencies, state housing finance agencies, and state or local housing trust funds. These loans may have interest rates as low as zero or one percent, and some do not need to be repaid until the end of the loan term.

**Grants.** Public or private grants may be available to help meet predevelopment expenses. Larger grants may also be available to cover some development costs so that the project can remain financially feasible while charging lower rents.

Additional sources of grant funds might be distributed by local and county governments; local tax levies; and private charitable funders. One specific source that is available nationwide is the Federal Home Loan Bank's Affordable Housing Program, which provides grants to help sponsors develop affordable housing for lower-income households.

**Equity.** In addition to loans and grants, you will probably seek equity contributions to your project's financing. The federal Low Income Housing Tax Credit Program is a major source of equity for permanent supportive housing. Under the tax credit program, local and state governments allocate tax



credits to specific projects that will house low-income tenants. The developer, in turn, sells the tax credits to corporate investors and uses the proceeds to cover development costs, perhaps up to 40% of total costs. Tax credit sales proceeds are very flexible and can be used for ongoing reserves to meet operating costs, rent subsidies for tenants, and a developer's fee for the sponsor. Note that the tax credit program is complicated. Failure to meet tenant income reporting and other requirements of the program can lead to severe implications. You should seek experienced technical support before pursuing this form of financing.

Although less common among supportive housing projects financed with tax credits, some sponsors also will provide their own equity for a project in order to meet project costs or meet affordable rent goals. The sponsor might contribute real estate, cash or a forgivable loan, or the sponsor might forgo all or part of its developer's fee.

**In-Kind Contributions.** The sponsor or other donors may contribute in-kind contributions for services or materials that otherwise would generate costs. Thus, these contributions have cash value. Examples include contributions of materials such as land, buildings or furnishings, and donations of professional services by an attorney, architect, development consultant or accountant. While you should not rely on these types of contributions to achieve basic project feasibility, you may want to pursue them to augment the development budget.

### Development Budget

With the information you have gathered about estimated construction costs, you should now be able to prepare a development budget. The budget should include the purchase price of the site; the *hard costs*, or direct costs of the physical development such as construction and site preparation; and *soft costs*, or indirect development costs such as professional fees, closing costs (costs associated with security title clearance and financing), insurance, the developer's fee, and reserves (operating, lease-up and replacement). *Exhibit 4-J* is an example of a development budget.

As a next step, assign dollar amounts to each funding source that you plan to approach for financing. While you will not need to have commitments from these sources, you should know enough about their available funding to assign plausible amounts to each. Because the development budget compares these sources of funding to the development costs for which they will be used, it is sometimes known as a *sources and uses budget*. If the uses exceed the sources, then the project is not feasible and must be modified or discontinued.

Funders will have very specific standards for *underwriting*, the process by which they evaluate the feasibility of your development. The underwriting standards may require that you apply specific assumptions in creating your development budget. Be sure to obtain copies of the underwriting standards from all potential funders, as your budget must meet their requirements.

### Operating Pro Forma

The *operating pro forma* acts as a cashflow projection which estimates income (all forms of revenue) and operating expense over the life of the financing term (15-30 years). The pro forma relies on an operating budget which is predicated on many assumptions associated with projections of tenant rent,



availability and types of operating subsidies, tenant turnover, vacancy, and operating expenses associated with the type of housing, size of project, and any special occupancy characteristics.

It is not uncommon for a supportive housing pro forma to identify “planned deficits” (expenses in excess of projected revenue) which are funded from reserves which are capitalized at the time of permanent financing.

We recommend that you ask the property manager to provide an estimate of the operating budget, since the manager will oversee the day-to-day housing operations. *Chapter Six* on property management contains detailed information about the pro forma. *Exhibit 4-K* is an example of an operating pro forma.

## **Step 6: Building Community Support**

Consider the best strategies for building support for your project in the early stages of development. You should explore the level of support or opposition before you secure site control, and you should implement your strategy for gaining support before you actually purchase the site.

At this point, you can present your plans for the site to the community, based on the project concept and feasibility analyses. This is also a good time to begin to identify members for a community advisory committee that could help shape the project and build support. See *Chapter Eight* for specific methods to build community support for your development.

## **Step 7: Architectural Design Process**

The steps of the architectural design process begin before the site is chosen and continue until construction or rehabilitation work begins. The sponsor and project architect will need to create the following:

- Architectural program;
- Scope-of-work;
- Schematic drawings;
- Final design; and
- Construction documents.

**Architectural Program.** An architectural program is a document prepared by the sponsor that gives the architect basic requirements for the proposed project. The program should be based on the design and location considerations outlined in the project concept phase. Program requirements may include items such as common area needs, apartment sizes and layout, security considerations, open spaces and gardens, and site planning considerations. Your architect can help you create this program.

**Scope-of-Work.** Often, funding agencies will employ architects to help them determine the viability of a project. Once a site has been chosen, your architect and funders’ architects should visit the site and agree on the scope of construction or rehabilitation work to be performed. They may document this understanding in a formal *joint work write-up*. This understanding is particularly important if the



work will consist of rehabilitation of existing buildings, since the sponsor's and funders' architects may project different long-term rehabilitation needs. For example, the funders' architects may require more extensive work than your architect, since they are concerned with preserving the buildings over the terms of their loans.

**Schematic Drawings.** Once the site is secured and the architectural program is in hand, the project architect should begin preparing *schematic*, or preliminary plans. Generally, schematic drawings include floor plans for the cellar, first floor and a typical upper floor. The sponsor and project funders should review these plans. This is also a good time to invite input into the design from others involved with the project, such as prospective tenants, other service providers, neighborhood residents and property management.

**Final Design.** After the sponsor and others review the schematic drawings, the architect will refine the design and address any comments. The outcome of this *design development phase* is a final design that will be forwarded to the local buildings department and funders for review. The buildings department will note any problems in compliance with local building codes. The architect must then address any concerns raised.

**Construction Documents.** Once the architect has responded adequately to the concerns of the buildings department and funders, the preparation of *construction documents* can begin. These are the detailed drawings and technical specifications that describe exactly how the project will be built. The contractor will rely on these plans during construction. The architect contracts with engineers to prepare drawings related to foundations, mechanical systems and other structural issues.

Since construction documents are very detailed, they generally take several months to complete. Also, since this is a costly phase, you should not authorize the architect to begin until all of the funders are committed to the project.

## **Step 8: Packaging the Capital Financing**

Once you have outlined the design and financial aspects of your project, you are ready to approach funders for commitments of financing. Most public agencies, foundations and intermediaries that provide grants and loans for housing development do so on a competitive basis. You must submit an application for funding or proposal that includes information about the project's purpose, design and projected financing. After the funders' underwriters analyze the feasibility of your project, they will decide whether to fund it based on its viability, its accordance with the priorities of the agency or foundation, and the availability of funds.

### **Sequences of Uses of Financing**

The various phases of the development process each require different types of financing. While some funders may provide grants and loans on an ongoing basis, others with competitive processes may provide funding only once or twice per year. Therefore, you must outline the different types and sources of financing needed for your project well before you acquire a site or begin construction, and you must compare the time frames for each source of funding against your project timeline. (Note: It is important to involve your attorney in the review of funding options and their restrictions. Some types



of financing can affect each other when used to finance the same project. For example, grants impact on tax credit amounts. Having legal and technical expertise early on can avoid costly miscalculations and assumptions later, when they can't be fixed.)

Securing financing proceeds is involved throughout the development process, usually including the following:

- Working capital;
- Predevelopment funds;
- Acquisition loan;
- Construction loan; and
- Permanent financing.

**Working Capital.** These funds are used during the early, speculative stage of development. They may be used to pay for costs such as operating and/or organizational expenses of the project sponsor. Working capital almost always comes from a grant or in-kind contribution, since most lenders will not support this early phase. CSH provides *recoverable grants or forgivable loans* for this phase.

**Predevelopment Funds.** Once it is likely that the development will proceed, you will need *predevelopment* funds for activities that precede the actual construction or rehabilitation. Examples of these activities include payment to an owner in exchange for an option to buy a site; initial work by an architect, development consultant, or attorney; due diligence activities such as environmental reports; and insurance and carrying costs.

A number of housing funders offer predevelopment grants or loans. One common source is a grant or loan from an *intermediary* organization, a nonprofit organization that provides financial and technical assistance to developers of affordable housing. National intermediaries include CSH, the Local Initiatives Support Corporation (LISC), The Enterprise Foundation and community loan funds. Other potential sources of predevelopment funding include public agencies and community foundations. You may also secure a *bridge loan*, generally from public funding sources, which is a short-term loan that you will repay when you receive a construction loan later in the development process. (Note: Some public agencies that provide permanent financing have predevelopment loan products and make them available for projects that they anticipate funding permanently.)

If predevelopment funds are not available, your organization will need to cover these costs from its own resources; again, traditional mortgagors such as banks will generally not lend funds at this risky stage.

**Acquisition Loan.** If your agreement with a property owner requires you to purchase a building before construction or permanent loans are available, you will need to secure a bridge loan for acquisition. This loan is sometimes combined with a loan for predevelopment activities. Sources for these expenses are generally public funding entities and intermediaries. Again, this loan would be repaid when the construction or permanent loan is available.

**Construction Loan.** You may pay for construction costs from your permanent financing, or you may receive a shorter-term loan just for construction. These construction loans often come from private



mortgagors, such as banks. Typically, you would secure a construction loan once permanent funders have committed their resources to the project. Whether through a construction loan or permanent loan, all financing for construction must be available before you can begin any actual construction or rehabilitation work.

**Permanent Financing.** The permanent financing for your project will likely consist of a series of long-term loans from different public and private sources and with different interest rates. These loans allow you to repay the costs of developing the housing over a number of years, as rent and other income becomes available.

Permanent financing must be committed before you can start construction, but it is often not disbursed until construction is complete and the project has secured a certificate of occupancy from the local jurisdiction (city/county). Some forms of private financing (typically foundations) may agree to release their permanent financing at the time of construction. In some cases, permanent lenders or funders will require that all units be rented to tenants before they will release funds.

### **The Underwriting Process**

Once you submit your applications for loans, the lenders will launch the underwriting process, applying their financial standards to your proposed project. Both public and private lenders will use very specific underwriting standards to evaluate all development costs and income and expense assumptions in your budgets.

Invariably, the lenders will raise questions and concerns, and you likely will make changes to your development budget and pro forma to address them. For example, they may feel that you have not budgeted enough money for the operating costs, or that the project should retain larger reserves of funds for ongoing costs. The underwriters may be concerned that you are projecting higher annual rent increases than supportive housing tenants will be able to pay. You may have left out important development costs from your budget, and the underwriters will point these out. In general, the lenders will be fairly conservative in reviewing your budgets, since they need to be certain that the project will operate successfully and thus generate sufficient funds to repay the loans.

If your project will be using the Low Income Housing Tax Credit Program, you will go through a separate underwriting process conducted by the investors. These investors also will be very conservative in their evaluation of your budgets, because they risk losing part of their return if the project fails within the first 15 years of operation. They will examine your assumptions for projecting income and expenses closely, and their standards may exceed those of the lenders. Again, since the tax credit process is highly technical, it is important to seek professional assistance from a development consultant or other expert in the field.

### **Risks to Sponsors Posed by Financing**

Accepting loans and investments for your project exposes your organization to a number of risks. It is essential that you retain an experienced real estate attorney to explain these risks to you and your board of directors.



Loans can generally be divided into two types, each carrying different levels of risk. Recourse loans allow the lender to foreclose on the project real estate, your organization's assets, or both if your organization defaults on its loan by violating any of the mortgage terms. *Nonrecourse* loans do not allow this direct seizure of property. Recourse loans may place the project and even the organization's financial or capital assets at risk. Therefore, you must consider the implications of accepting such a loan closely.

Lenders may also require that the sponsor set aside funds to guarantee the loan. This would prevent your organization from using the funds until the guarantee expires.

Accepting Low Income Housing Tax Credit also exposes your organization to risk. Tax credit investors will require that the sponsor make guarantees against losses to the investors if the project does not proceed as planned: if construction is delayed, the sponsor does not comply with income restrictions when renting to tenants, rents initially do not meet operating costs, and so forth. Sometimes these guarantees are limited to the amount of the sponsor's developer's fee, but in other cases the liability is unlimited.

## **Step 9: Operating and Supportive Services Funding**

At the same time that you assemble the financing to develop your supportive housing project, you will need to identify sources of funding for costs to be incurred after the development is complete. These include *operating costs*—day-to-day costs such as maintenance and property management staff—and the costs of providing supportive services.

Tenant rents are a source of income to pay for operating costs, but because supportive housing tenants can afford only modest rents, you will need to obtain additional operating subsidies. In general, supportive housing requires rental subsidies to fund the difference between tenant rents and the cost of operating and maintaining the housing. The two most common ways of funding rent subsidies are: securing government resources such as Section 8, and/or capitalizing rent subsidy reserves.

Section 8 resources are provided through the U.S. Department of Housing and Urban Development (HUD) through project-based HAP (Housing Assistance Payment) contracts with the housing provider or to the tenant through the local issuing agencies (e.g., Housing Authorities). Subsidies are calculated based on local fair market rents which are determined annually by HUD. Supportive housing programs which often rely on Section 8 programs are the Shelter Plus Care (S+C) and the Supportive Housing Program (SHP). Under the SHP program, assistance for operating subsidy is available for up to 75% of approved annual operating costs for two years and up to 50% for three additional years. The S+C program provides five- to ten-year rental subsidies in a variety of formats, including tenant-based, project-based and sponsor-based. These funds must be matched by an equal amount of supportive service funding from other sources. Although the funding rounds have become quite competitive and are subject to local government priorities, these operating subsidy programs have become the cornerstone of financing strategies, in most states, for homeless individuals with disabilities, such as mental illness.<sup>2</sup>

Capitalizing rental subsidy reserves involves establishing a reserve funded by sources like the investment proceeds from Low Income Housing Tax Credit program, housing trust fund contributions, and other sources which are not legally restricted from contributing to long-term reserves. These funds are typically "owned" by the project, managed by a legal agreement specifying the funding and disbursement of the reserves, including the required review and approvals by some or all of the project funders.



You may also use a portion of tax credit equity to subsidize operations. In either case, you must secure commitments for operating support before construction begins, since lenders of development financing will likely condition their loans on your securing adequate funds for ongoing housing operations.

Supportive service funding commitments should also be in place before construction begins. By this time, you should also have reached formal agreements with any outside service providers who will be linked to your program. You should seek funding both for services you will provide directly and services that will be provided by other community agencies and the funds will cover case management as well as specific services for parents and children. Service funding is typically secured through a complexity of local, county, state and federal/national sources, both public and private. Service providers tap into a variety of community-based service funding systems, generally tied to the characteristics of those they serve, such as federal pass-through funds to state chemical dependency services, mental health services funding, and a variety of sources tied to family services. Some service providers are working with their state and county administrators to identify ways to access TANF reserve and general funding resources, especially through direct-service contracts with the county. As supportive housing builds its capacity to serve chronically homeless families (a constituency that represents significant cost burdens to be assumed locally when TANF eligibility expires), more opportunity for funding partnerships may evolve.

## **Step 10: The Pre-Construction Phase**

The following is a summary of all the tasks and decisions that should be completed before construction:

- Architectural design process, with construction documents completed and approved by funders and the local buildings department;
- Finalization of financing and equity commitments;
- Site acquisition, including closing;
- Closing on construction funding and tax credit investments; and
- Establishment of a community advisory committee, which can help maintain community support as your project enters the more visible construction phase.

### **Engaging a General Contractor**

In addition, during this phase you will engage a qualified general contractor who can build the project within your budget needs. As described above, engaging a contractor usually involves either a negotiated bid, in which case you have selected them at the concept development phase based on their experience and references, or through a competitive bidding process once the architectural documents have been completed.

**Negotiated Bid:** Some funders will allow you to negotiate a bid from one contractor without undergoing a competitive process. However, the negotiated price must fall within limits set by lenders. A negotiated bid takes less time than a competitive process, and may be useful if only one contractor



is truly qualified. However, competitive bids generally yield lower prices. (Note: for complex projects—like substantial rehabilitation—you may want to select an experienced general contractor early on. They can help the architect determine the scope of the work and develop cost estimates.)

**Competitive Bid:** This is a selection process of the general contractor, which generally follows the process outlined below:

- **Prequalification of contractors.** Prepare a list of qualified contractors, relying on the experience of other nonprofit developers, public agencies and lenders.
- **Bidding.** In most cases, you will allow a number of contractors to submit bids for the construction work for your project. The architect will prepare a *bid package* that you can distribute to your list of contractors with a due date for proposals. In some cases, you may be required by the lender or funder to advertise the bid publicly and send the package to all interested contractors.

The bid package should indicate whether your agreement with the contractor will include a *guaranteed fixed price*, under which the price paid to the contractor cannot exceed the original bid, with a contingency provision, under which funds will be identified and set aside for changes to the design or specifications. (Note: A fixed price is preferential. If there is a contingency, the sponsor should control its use and distribution.)

You will then select the most reasonable, lowest responsible bid, although you may need to negotiate further with the contractor to bring the price within your project's budget. Your architect, the lenders' architects and the selected contractor may be able to identify cost savings that would not affect the project's quality.

- **Performance bond or letter of credit.** Contractors are generally required to post a *performance bond* or provide a *letter of credit* from their insurer or banker as insurance against a construction default. That is, if the contractor does not complete the project, the sponsor will receive funds from the bond or creditor to cover the costs of transferring the project to another contractor.
- **Contract.** Your contract with the contractor will include the price that the firm will be paid, the length of time allowed for construction, and penalties if the work is not performed correctly. The contract should be prepared by your attorney and may involve representation by public agencies involved in financing.

## Step II: Construction Phase

During the construction phase, the sponsor's major responsibility will be to monitor the progress of construction or rehabilitation work. Generally, the project architect will act as the owner's representative. The architect will participate in monthly *requisition meetings* with the contractor and lenders' representatives, where the contractor will request payment for work performed to date. The architect should approve all requisitions from the contractor before they are paid. The architect also will represent and advise you when either you or the contractor makes changes in construction plans because of unanticipated conditions. There should always be a healthy tension between the architect and contractor



during construction. It is the architect's job to insist on compliance with the plans, even though the contractor may want to build the project differently or substitute different materials.

In addition to the architect, you may wish to have a member of your organization's staff monitor construction progress and participate in requisition meetings, particularly if you can identify a staff person with construction or architectural experience. Moreover, on particularly complicated projects, you may want to consider engaging a *clerk-of-the-works*. This professional acts as your construction representative, gives you additional oversight and control, and can help mediate the inevitable disputes between the architect and contractor. Consult with other nonprofit developers or local public agencies to see whether they can recommend a good clerk-of-the-works.

At the completion of construction, the project will receive a *certificate of occupancy* from the local jurisdiction charged with building inspections (and maybe additional public offices if there are licenses and/or certifications involved). The certificate of occupancy will allow tenants to begin moving into the new units. If you are under pressure to fill units quickly, you may be able to receive a temporary certificate even if minor construction items are still pending.

## **Step 12: Tenant Selection and Lease-Up**

As the project is in the later stages of construction (approximately three months prior to construction completion), the sponsor and property management should begin to screen and select tenants actively. This will allow units to be leased quickly when construction is complete. This is of particular concern if the project involves tax credits, which require that units be leased within a specific time frame (generally 90 to 120 days depending on the size of the project). Moreover, if you will be receiving tenant rent subsidies, leasing units immediately allows you to begin receiving subsidies in the early months of operation.

A detailed discussion of tenant selection, lease-up and rent subsidies can be found in *Chapter Six* of this manual.

## **Asset Management**

During the development feasibility stage, the development team needs to consider the ongoing activities associated with asset management. Asset management involves activities associated with preserving the real estate value of the property, and managing the compliance obligations associated with the housing's financing.

Earlier we discussed the variety of options for providing property management services. Asset management functions present the same possibilities. The housing sponsor can contract out the functions, or assume them in-house. (Obviously, if the project is being leased, there would be no asset management obligations.)

In essence, the asset manager provides an oversight role to the property management functions. It may be important to separate these functions among different firms, or ensure that the property management firm has capacity in both areas, and has segregated the functions sufficiently to assure proper oversight.



If you have decided to contract for asset management functions, the firm you select should have certified public accounting credentials and experience with:

- budgeting operating expenses for supportive housing for families, especially with regard to your target audience;
- HUD, state and federal reporting requirements;
- the various lenders financing your project, and their requirements;
- Low Income Tax Credit compliance requirements;
- managing property management functions; and
- representing owner interests in short- and long-term financial planning.

In addition, the asset manager must be willing to address the following questions:

- Do they have a commitment to assigning experienced and properly supported staff to the contract functions?
- Do they have a commitment to continuing staff development as needed?
- Will the asset management skills/function rest with a single staff person, or will the function be spread among management staff in general? If spread among staff, how will functions be monitored for quality? How is information shared and integrated?
- How does asset management fit into the daily functions of property management (if performed by the same staff)? How is it prioritized?
- How do they maintain their project/portfolio files and general record-keeping?
- Are they willing to assume responsibility for meeting the financial benchmarks you have set for your project? If not, why? What could be done to accommodate the benchmarks?

Housing sponsors, whether they are managing the property or contracting for property management services, may be tempted to address the asset management functions in-house. If you make this decision you should be sure you understand the functions and the potential costs of staff and expert time involved to fully respond to the expectations of your funders/lenders. Some housing providers have taken on this function only to be surprised by its demands and the costs they have assumed. It is for this reason we recommend that you include an asset management fee in the operating pro forma. While it will be difficult to argue for more costs in the operating budget, it is an expense that will aid in establishing financial stability for your project in the long term. You may need to find additional resources to help fund the cost of asset management functions.

Often, projects in occupancy do not perform as precisely envisioned in the operating pro forma. Utility, insurance and staffing costs increase. Unforeseen events increase costs, such as an increase in crime necessitating 24-hour security. As the housing sponsor you should anticipate these “surprises” and develop strategies to mitigate their impact on your project’s financial stability. Mary Anne Hayes at NEF calls this developing “coping strategies.” We recommend:



- you spend time in the development design phase, interviewing other housing providers and their property management staff—find out what surprises they encountered, how they are coping, and what they would recommend to you early on to avoid unnecessary difficulty;
- when researching costs that you ask your vendors to project annual increases and inflation for 2-3 years and ask for trend information about past costs;
- once you have completed your operating pro forma that you share it with other housing providers of similar projects and get their review comments; and
- you talk to lenders and funders and find out what are the most common cost overruns.

In a separate document, identify the areas of cost control and staffing functioning you are most concerned about. Develop ideas for changing your management response, or plan for the possibility of needing to fund for additional operating resources.

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1 Brown-field sites are commonly found in urban areas. They are often polluted, vacant, available and less controversial. They may represent reduced or no acquisition cost, but their development can be costly to clean up. You will need additional expertise on your development team, and will have to demonstrate environmental clearances.

2 From Financing Supportive Housing 101, Corporation for Supportive Housing, April, 1999





## Exhibit 4-A: Assessing the Role for Your Organization

### Owner:

Do you represent a formal nonprofit or for-profit corporation organized in the state?

If not, what are your plans to incorporate your organization? \_\_\_\_\_

What is the timing of this activity? \_\_\_\_\_

Does your organization currently own real estate?

yes

no

If yes, how long have you owned the property? \_\_\_\_\_

What type of property is it?

residential

commercial

office

mixed use

other (describe: \_\_\_\_\_)

What is the current condition and/or status of your property?

owned, debt-free

mortgaged and in compliance with financing obligations

mortgaged and in default

mortgage, currently in compliance but have had times when unable to maintain mortgage appropriately

well maintained, no outstanding regular and/or deferred maintenance needs

well maintained, but in need of one or more new systems within the next one to three years

generally in good condition, but has some deferred maintenance needs

in poor condition and lack access to funding to maintain it

currently engaged in capital campaign to restore property's condition



If you are engaged in a capital campaign with existing property or own a property with deferred maintenance and/or needed rehabilitation, how will owning additional property effect resolving these issues? \_\_\_\_\_

---

Does your organization have expertise on staff with regard to:

\_\_\_ evaluating, negotiating and purchasing property

\_\_\_ property management responsibilities

\_\_\_ asset management responsibilities

If the expertise is not available on staff, does your organization have access to this expertise via contract consultants? \_\_\_\_\_

**Analysis:** If your group is not currently incorporated, you may want to think about joint venturing with an organization that shares your mission and interest and is formally organized to own and manage real estate.

If your group is incorporated and does not own property, and you do not have expertise available on staff to own and manage real estate, you may want to consider joint venturing with an organization that shares your mission and interest and is willing to own and manage the property either with you (co-ownership) or on your behalf.

If your group currently owns property and that property is in need of rehabilitation, and if it has been difficult for you to maintain the facility due to lack of expertise or funding, you may want to reconsider adding additional real estate responsibilities. Funders may want to see existing real estate stabilized before supporting the addition of new projects. Again, you may want to consider working with another entity to own and manage the project either jointly or on your behalf.

Finally, if you currently own and manage property that is stabilized, will owning and managing additional property jeopardize the existing property's current stability, require additional staff, or impact the organization's financial health? Again, a joint venture with a compatible partner may be an option to ensure the continued health and stability of your organization.

## **Developer:**

Does your organization have experience in developing rental housing for families?

\_\_\_ Yes. If yes, \_\_\_ number of projects/units.

Is this experience recent? \_\_\_\_\_

Is the internal staff experience still available? \_\_\_\_\_

Do the mission and vision statements governing your organization include a provision to be a housing developer? \_\_\_\_\_

Will your organization be able to devote the staff and supervision time to this effort? \_\_\_\_\_



Will your organization need to secure consulting services? \_\_\_\_\_

If yes, what kind? \_\_\_\_\_

**Analysis:** If your organization has not had recent or extensive experience in developing rental housing for families, or your current organizational mission limits the dedication of your staffing and other resources to direct service activities, you may wish to consider working through others to develop your housing program. The section in this manual Housing Development describes a variety of scenarios for how you might contract for the development of supportive housing.

If your organization does have the capacity to develop housing, you will need to consider the questions associated with ownership to determine if you should consider owning the project after its development.

### **Primary Service Provider:**

Does your organization currently serve homeless families? \_\_\_\_\_

If not, how will you secure supportive services? How will you ensure the services are effective and provide families with what they need to achieve and maintain stability? \_\_\_\_\_

\_\_\_\_\_

If you are currently serving homeless families, to what extent are the services core to assisting families in achieving and maintaining stability? \_\_\_\_\_

\_\_\_\_\_

Does your organization provide case management or service brokering services? \_\_\_\_\_

Does your organization have experience in engaging homeless families successfully in programs/services in which participation is strictly voluntary? \_\_\_\_\_

Does your organization have experience in contracting and/or collaborating with local resources in a coordinated service delivery strategy? \_\_\_\_\_

Does your organization have experience in evaluating and negotiating for service effectiveness with other community resources/organizations? \_\_\_\_\_

To what extent will your organization have to limit or reduce its response to other program areas in order to accommodate the increased demand of a supportive housing project? \_\_\_\_\_

\_\_\_\_\_

Does your organization have the capacity to address the home-based needs of tenants who may living in scattered housing? \_\_\_\_\_

Does your organization have the capacity to address the needs of children as well as adults? \_\_\_\_\_

Will serving supportive housing enhance or jeopardize existing service funding for your organization? \_\_\_\_\_



**Analysis:** If your organization is currently engaged in providing coordinated service strategies with other organizations, has experience in case management or service brokering services, and can absorb the added demands and funding requirements of a supportive housing program, it may make sense to consider the role of the primary service provider. It is important to realize that your organization would be the key resource coordinating the delivery and funding of services provided by other organizations, and evaluating the outcomes of those services to ensure tenants are receiving what they need to achieve and maintain stability.





## **Exhibit 4-B:** **Selecting a Developer/Development Consultant**

*The following may help you identify and select a development consultant:*

Has the developer/consultant developed low-income rental housing for families? \_\_\_\_

- Number of units? \_\_\_\_
- Number of projects? \_\_\_\_
- Location of projects? \_\_\_\_

Of these projects, how many were completed within the:

- projected development timeline? \_\_\_\_
- contract budget? \_\_\_\_
- original design intent? \_\_\_\_

Did any of these projects later incur operating deficits? \_\_\_\_

Did any of these projects later result in default? \_\_\_\_

Is the developer/consultant familiar with the underwriting processes associated with:

- low-income housing tax credit financing? \_\_\_\_
- financing through the local housing finance agency? \_\_\_\_
- projects assisted by the Corporation for Supportive Housing? \_\_\_\_

Has the developer/consultant been associated with any projects that were terminated in the development process due to:

- lack of community/political support? (Explain: \_\_\_\_\_)
- lack of feasibility as determined by a funder? (Explain: \_\_\_\_\_)

Has the developer/consultant been associated with any project which has resulted in default?

- What was their role in the development process? \_\_\_\_\_
- What was the reason for the default? \_\_\_\_\_
- Is the default recorded with:
  - HUD/FHA? (Explain: \_\_\_\_\_)
  - local housing finance agency? (Explain: \_\_\_\_\_)
  - local private lender and/or funder? (Who: \_\_\_\_\_)

Does the developer have experience with the tenant constituency identified by this project vision? \_\_\_\_

- In what capacity? \_\_\_\_\_
- What has been the experience? \_\_\_\_\_



Ask the developer/consultant for a complete list of clients. Call three to five of them and ask:

- Did the client work with the developer/consultant? \_\_\_\_
- Describe the project—Was it subsidized family housing? \_\_\_\_
- Was the project tenant population similar, i.e., homeless? \_\_\_\_
- Was the developer/consultant the only developer on the project? \_\_\_\_
  - Did they replace a previous developer/consultant? (Explain: \_\_\_\_\_)
  - Were they later replaced by another developer/consultant? (Explain: \_\_\_\_\_)
- How did the developer/consultant design the development process? \_\_\_\_\_
- Who was involved on the development team? \_\_\_\_\_
- How did development team members participate in the development process?  
\_\_\_\_ collaboratively with developer/consultant coordinating  
\_\_\_\_ independently with developer/consultant coordinating
- How would you rate the quality of information sharing and general communication within the team and during the development process? \_\_\_\_\_
- Did the development process encounter unforeseen challenges or problems? \_\_\_\_  
How were they resolved? \_\_\_\_\_
- Did any team members prematurely end their involvement in the development process? \_\_\_\_ If yes, why? \_\_\_\_\_
- How would you rate the developer/consultant's role during the underwriting process?  
\_\_\_\_ always anticipated the underwriter's requirements, process was smooth, financing approvals were gained with minimum of difficulty;  
\_\_\_\_ usually anticipated and met the underwriter's requirements, when encountered unforeseen difficulties—resolved them swiftly;  
\_\_\_\_ encountered numerous difficulties in meeting the underwriter's expectations, there were repeated delays in the development process, but the project was successfully completed;  
\_\_\_\_ encountered numerous difficulties in meeting the underwriter's expectations, and there were repeated delays, which resulted in the unsuccessful completion of the project.
- Would the client hire the developer/consultant again for another project?  
\_\_\_\_ yes. (Explain: \_\_\_\_\_)  
\_\_\_\_ no. (Explain: \_\_\_\_\_)





## **Exhibit 4-C: Sample Consulting Agreement for Development Services**

(Reprinted with permission from *Not a Solo Act: Creating Successful Partnership to Develop and Operate Supportive Housing*, by the Corporation for Supportive Housing.)

This consulting agreement is made and entered into this \_\_\_\_ day of \_\_\_\_\_, 20\_\_ by and between \_\_\_\_\_(Owner) and \_\_\_\_\_(Consultant).

The parties hereto agree as follows:

### **Article I: Statement of Work**

As Development Consultant, Consultant hereby agrees to perform and accept the following tasks and responsibilities in the development of a (#) - unit project in (location) (“The Project”), as permanent supportive housing for low-income individuals who are homeless and have a variety of special needs.

1. As necessary, develop site/building criteria, evaluate and recommend alternate sites/buildings.
2. Assist Owner in preparation of a Project development scheme and a program/ services vision statement and plan.
3. Coordinate the acquisition of the property site.
4. Prepare preliminary feasibility analysis.
5. Structure debt financing, subsidies and grants, and prepare and update development capital and management/operating budgets in accordance with current Project information to meet affordable housing goals.
6. Prepare financing packages/applications, prepare progress/final reports, prepare and coordinate documents and conduct other tasks as required by local, federal, state and private lenders (including the Corporation for Supportive Housing) and other sources in connection with the Project’s financing, including predevelopment, land acquisition, construction, and permanent and rental subsidies.
7. Apply for and obtain required government permits and approvals, including, without limitation, planning department approval of use, zoning variances and building department approvals. Owner acknowledges building permits shall be the primary responsibility of the general contractor.



8. Identify the need for Project consultants, oversee the selection of consultants, make selection recommendations to Owner, and negotiate contracts, at owner's direction, with all needed consultants. Consultants are likely to include but are not limited to appraisers, soil and boundary surveyors, architects, engineers, attorneys, construction/manager administrator, and others whose services are necessary to complete the Project ("Project Consultants").
9. Coordinate and supervise the work of all Project Consultants. Owner acknowledges that a construction manager/administrator, not Consultant, will be directly responsible for representing Owner before the general contractor.
10. Promptly inform the Owner of any problems observed in any aspect of the Project covered by the services to be performed hereunder.
11. Assist in developing an accounting and monitoring system for all expenditures relating to the Project.
12. Attend capital campaign meetings as appropriate.
13. Assist Owner in the selection of a property management agent and in the negotiation of a property management plan.
14. Coordinate management and marketing requirements with property management agent.

## **Article II: Consultant Responsibilities as Independent Contractor**

### **A. Independent Contractor**

Consultant affirms that it is an independent contractor and is solely responsible for the compensation of its employees and subcontractors. Consultant will retain or assign, without Owner's approval, the necessary technical staff to fulfill its contract with Owner. All approval decisions, including hiring, terminations and other employee matters, are the sole responsibility of Consultant.

### **B. Assignment of Principal**

Consultant agrees to assign for the conduct of the contract one Principal, \_\_\_\_\_  
\_\_\_\_\_. Consultant shall vary the proportion of time or number of other staff members as is necessary and adequate to fulfill its obligations under this agreement with Owner.



## **Article III: Exclusions and Reimbursements**

### **A. Direct Project Expenses**

Direct Project expenses related to the development of the Project are Project ones and are not included within the scope of this contract, but in no event shall such expenses include any allocation of Consultant's office overhead. Owner will reimburse Consultant for all extraordinary costs that are above and beyond those costs normally associated with services provided under contracts of this type.

### **B. Special Project Consulting Services**

Project Consultant services, such as legal, auditing, design, construction manager/administrator and special development costs, which are required by the Project, are Project costs and are not included within the scope of this contract.

### **C. Independent Audits**

The cost of periodic audits of Owner's books and records by an independent CPA firm will be borne by Owner and is not included within the scope of this contract.

## **Article IV: Liaison**

The Owner Executive Director is liaison to Consultant and will act as Consultant contact.

## **Article V: Term of Contract**

The services herein described are to be performed during the period \_\_\_\_\_, 20\_\_\_\_ through the point when the Project has attained 90% occupancy, which is estimated to be no more than one year after property acquisition. The term of this contract can be extended through mutual consent by Consultant and Owner.

## **Article VI: Cancellation**

This contract may be unilaterally canceled by either party upon 60 days' written notice. Upon cancellation, Owner agrees to pay Consultant for all fees earned pursuant to Article VII hereof performed to termination date. In such event, Owner shall have the option to require Consultant to continue to render services until the effective date of cancellation.



## **Article VII: Payment of Fees**

For performance of the services specified in Article I above, and within the time period described in Article V, Owner agrees to pay Consultant as more fully described in the Schedule of Fees on Attachment A.

## **Article VIII: Nondiscrimination**

Consultant agrees that it will not discriminate in hiring and employment practices against any person regardless of race, creed, color, gender, sexual orientation, national origin, age, or physical or mental handicap for any position for which the applicant or employee is qualified. In hiring employees and contracting for services, Consultant will, when possible, utilize Owner referrals.

## **Article IX: Assignment**

The rights and obligations under this contract are based upon the special skills and abilities of Consultant and there shall be no assignment of such rigors and obligations without prior written consent of Owner.

## **Article X: Arbitration**

If a claim or dispute is not resolved after exhausting applicable administrative reviews, the parties agree to use private arbitration by a mutually agreed upon arbitrator. If the parties are unable to agree upon an arbitrator, each party shall choose a selector, and the selectors shall select an arbitrator. The selector's decision will be binding on both parties.

## **Article XI: Identity of Interest**

Consultant agrees that it will identify ownership, employment, public and private affiliations and any other relationship held by it, its subcontractors or assigns, which may involve any contract, sale, purchase or service involving Owner. Consultant further agrees that should any interests change, it will notify Owner of the change in a timely fashion.

IN WITNESS WHEREOF, the parties have executed their contract intending it to be effective as of the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_. It is understood that the signatures bind both parties to this contract, and that without both signatures, this contract shall be void.

By: \_\_\_\_\_  
(Owner Name)

By: \_\_\_\_\_  
(Consultant Name)

Title: \_\_\_\_\_

Title: \_\_\_\_\_



# Attachment A

## Schedule of Fees

In consideration of the services being provided to Owner by Consultant as specified in Article I and within the time period described in Article V, Consultant shall be compensated as follows:

Time shall be billed at the following rate:

Principal \_\_\_\_\_ at \$ \_\_\_\_\_ per hour.

Project Manager \_\_\_\_\_ at \$ \_\_\_\_\_ per hour.

Notwithstanding the above, the maximum fee paid to Consultant for services shall not exceed the following:

Preconstruction services until close of escrow	60%	\$ _____
Close of escrow through close of construction	30%	\$ _____
Permanent loan closing or 90% occupancy	10%	\$ _____
<hr/>		
Total	100%	\$ _____

Consultant will submit monthly invoice which will be due and payable within 30 days of receipt by Owner. Late payments will be billed at 100% per month. Reimbursables shall be billed at 105% of costs.

Any modifications to this attachment shall require the written approval of both parties.





## **Exhibit 4-D:** **List of Development Costs**

**Acquisition:** Sometimes property is made available through a public donation or subsidy which results in either a pro bono contribution or a significantly reduced cost. Privately owned property acquisition costs vary widely, and are generally negotiated prices based on market value appraisals. This cost should be backed up by an offer letter from the owner, or better still, an option, or contract of sale. You may encounter some holding costs associated with the site's transfer to your control depending upon the timing of the transfer or acquisition. These costs (e.g., insurance, security and taxes) may be included here, but should be broken out separately.

**Basic Construction:** This is an estimate provided by a general contractor who has demonstrated experience with this type of construction, not an architect's estimate. An actual accepted bid is the most reliable cost estimate. The costs should be comparable on a per unit and/or per square foot basis to other, similar projects. The cost should be based on a "guaranteed, fixed-price contract with no exclusions or allowances." These costs should also include any additional costs associated with Davis-Bacon Act prevailing wage rates, if they apply.

**Construction Contingency:** Depending on the underwriting standards of the funding agencies, a separate construction contingency may be allowed, or it may be folded into the guaranteed fixed price. Typically, this allowance is 5% for new construction and 10% for rehabilitation (since conditions are less predictable). However, if demolition is complete before rehabilitation has been specified, the lower 5% contingency may be used because the condition of the building has been more fully exposed.

**Engineering/Survey and Borings:** These costs generally apply only to new construction where soil borings and analysis are required to determine subsurface conditions. These tests are generally conducted by civil engineers and are usually in the \$5,000 to \$10,000 range. Unusual conditions may require higher costs to be budgeted.

If the project involves rehabilitation, a structural engineer may be needed to determine the structural integrity of the building. The evaluation and report is usually not more than approximately \$2,000 for a typical site.

**Architect's and Consultant's Fee:** The architect's fee is generally based on a percentage of the construction cost, not including contingency. It ranges from about 5% to 12%, with the average cost between 5% and 8% for publicly funded projects. The fee may be set by the underwriting standards of the funding source, or may be negotiated between the sponsor and the project architect. Check with the funding sources to determine their approach and limitations. In principle, the fee should be based on a sliding scale, where the larger the scale, the lower the percentage fee. Some agencies will provide charts with the scale thresholds and percentages.

**Construction Management Fee:** Some sponsors prefer to use a "construction manager" to monitor construction rather than the architect. This cost is usually negotiated on a flat fee basis. Rates will vary widely from region to region, so it is best to check with local funding



agencies to compare costs. If a construction manager is used, the architect's construction period fee should be adjusted accordingly.

**Construction Period Insurance:** Builder's risk and liability insurance rates vary significantly based on such factors as:

- the location of the project (fire and crime rates);
- building type and condition; and
- the extent of rehabilitation.

Typical rates in urban areas are about \$9 per \$1,000 of replacement value (or total development cost). Since this is a particularly volatile cost, as industry rates and underwriting are always changing, it is recommended that the cost be based on an experienced broker's quote or estimate. Note that the contractor should have their own insurance policy that is included in their contract, not funded from this budget line.

**Construction Period Water/Sewer:** While there is typically no water or sewer use during construction, many municipalities will charge a flat fee anyhow. This is often determined by the size of the building's frontage and can generally be found at the municipal finance department, since this charge is usually included in the real estate tax bill. Other localities may have public works departments or water bureaus that are responsible for billing. Some municipalities will waive this charge during construction, so try to determine what their policy will be.

**Construction Loan Interest and Fees:** Private bank construction lenders, and some public lenders, will charge interest on their construction loan for the projected term of construction (typically 12 to 18 months). Ask the lender what their assumptions are on the interest rate, loan term, loan drawdown schedule and whether an interest reserve is included in the calculation. Interest rates are typically the prime rate plus 2% (or 2 "basis points").

A simple way to evaluate this cost is to assume level drawdowns, and factor the annual interest cost (rate X loan amount) by 50% and prorate for the construction term. This will give a ballpark interest cost which will help gauge the amount budgeted. An interest reserve may be separately budgeted and is available to pay interest in the event of construction delays.

**Private Lender's Fees:** Private lender's fees generally include:

- Commitment Fee (usually 1% to 2% of the mortgage amount, though negotiable);
- Bank Architect/Engineer (to review plans and costs and monitor construction, usually ranging between \$10,000 to \$15,000, including construction site visits);
- Bank Legal (to review documents and close loan for bank, \$5,000 to \$25,000, depending on the complexity of the transaction, and whether there is a construction and permanent closing);
- Mortgage Insurance Fee (usually only applies to permanent loan where loan is being sold on the secondary mortgage market);
- Appraisal (see below—try to use same appraisal for bank purposes and any others requiring appraisal); and



- Environmental Report (see below—try to use same Phase I report for bank purposes and any others requiring report, e.g., NEF).

Check with the lender to determine whether these costs have been properly estimated. Lenders may be reluctant to estimate the legal fees, since this is the one area that is difficult to project. Some of these fees can be reduced or waived, particularly the commitment fee. See whether the sponsor has asked for Community Reinvestment Act (CRA) consideration in setting the fees.

**Public Lender Commitment Fee, Legal Fee, Review Fee:** Public lenders may charge commitment fees, legal fee, review and processing fees and other charges that need to be included in the development budget. These fees are quite variable, so check with the funding agencies to determine the applicable costs.

**Personal Property:** This is largely for the furnishings for the residential rooms (e.g., bed, dresser, chair, dining table and reading lamp), and is typically budgeted between \$1,500 and \$2,500 per unit. Look to recent comparably furnished units to gauge these costs. Alternatively, the project architect may be willing to specify and price these items. Make sure that this cost is budgeted, as many funding agencies that have not financed supportive housing are not familiar with furnishings costs.

Unless provided in operating or services contract, this budget line should also include the cost of office equipment, office furnishings (for on-site staff), recreational equipment, outdoor furniture, dining room furniture (if congregate dining) and kitchen equipment (if common kitchen). Compare these costs to comparable projects or ask the project architect to evaluate. Some of these items may be donated, but make sure that this is realistic and reliable before accepting this assumption.

**Title and Recording:** This refers to the cost of a title search, title insurance and mortgage recording tax. It is best to verify this cost with the project attorney, who can estimate the cost or contact their title company for an estimate. Typical costs are around .6% of the project's mortgage amount.

**Appraisal and Market Study:** Real estate appraisals are really only needed if the lender requires one (all banks will, but many public agencies won't, especially if the site is publicly owned). The cost of full appraisals will vary depending on the complexity of the task, and generally range from \$2,000 to \$5,000. Private lenders should be able to provide reliable estimates on the local cost of an appraisal. Limited appraisals, which conduct the same analysis as full appraisals, but limit their narrative description, may be acceptable to the lender and can usually be obtained for between \$1,000 and \$2,000.

Market studies are also only necessary if the lender requires one. Public funders are increasingly requiring market studies since they will not necessarily assume a market for all projects, particularly those with little or no rental subsidy. Banks generally do not request formal market studies, unless the project is an untested model (which may be the case for supportive housing in some cities or neighborhoods). The cost of a professional market study is around \$7,000.

**Property Surveys:** Surveys are conducted by professional surveyors to establish the exact boundaries of the site (through terminal points and degrees of latitude and longitude). The



“metes and bounds” description is the narrative form surveyors use for legal descriptions (e.g., deed document) and the survey map is provided for legal and architectural uses. The cost of the survey can be verified with the project attorney, lender or directly with the surveyor. Typical costs range from \$1,000 to \$1,500 per site.

**Real Estate Taxes (During Construction):** Real estate taxes during construction should be assessed at the pre-construction levels (not the completed assessed value), and may be waived by some municipalities entirely. If the project will be receiving a tax abatement or exemption, there may be taxes charged for an initial period (e.g., six months) before the filing takes effect. Check with the local department of finance or housing development agency to determine the amount of taxes and the policies for abatement or exemption programs. Consult the project attorney if there is any question regarding the project’s eligibility for tax abatement or exemption programs.

**Environmental Study:** Most projects will be required by their lenders to have “Phase I” environmental reports prepared. This preliminary report examines public records and conducts limited on-site analysis to determine whether there is any indication of environmental concerns (e.g., prior use as a gas station or dry cleaner). The cost of this report typically ranges from \$1,200 to \$2,400 per building. Make sure that the sponsor has solicited several bids since the prices can vary widely. Volume pricing may be obtained by local equity funds or lenders if the program coordinates a series of projects.

If the Phase I report indicates serious concerns, a Phase II report may be required which investigates conditions more fully (e.g., more extensive asbestos or soil testing). This report should not be budgeted unless the need for one is fairly certain (i.e., the sponsor knows up front that the prior use caused contamination). The cost of this report can range from \$5,000 to \$10,000. In the event that a Phase II report indicates the need for addressing environmental conditions (e.g., removal of storage tanks), the additional costs should be included in the construction budget under “site preparation costs.”

**Accounting/Post-Construction Audit/Cost Certification:** This generally applies to tax credit projects, where the development costs must be initially reviewed by an accountant (to confirm basis assumptions) and where all development costs must be audited and certified at the end of construction. These accounting services typically cost about \$10,000 to \$12,000. If the project is not being syndicated, the sponsor may have more limited accountant costs in the range of \$5,000 to \$8,000. Sponsors may include this accounting cost in their own agency’s operating budget rather than charging to the project, so it may not show up as a development cost. Check with local lenders or equity investor for what is a reasonable fee.

**Legal (Transactional and Organizational):** This refers to the legal work for the real estate transaction (acquisition of property), project financing and organizational issues (e.g., creating new a corporation). These are the traditional legal services related to housing development and should cost about \$10,000. Pro bono legal assistance may be available to the project and should be reflected in the budget if this is the case. This fee, if not pro bono, should be capped, since the legal costs could easily exceed the projected cost if legal issues are encountered. Local lenders will generally provide maximum fees for this item, and they should be consulted when verifying costs.



**Syndication:** Legal services related to the syndication of the project under the Low Income Housing Tax Credit Program are covered in this budget line. The scope of services can be gleaned from the NEF closing checklist. The allowable cost for these services is typically \$15,000 or a maximum of \$25,000 for all legal services, including transaction and organizational. Again, fees should be capped, as the syndication closing can incur substantially more time than originally projected. NEF can advise on typical fees in your locality.

**Consulting Fees:** Housing development consultants may be part of the development team or the sponsor may develop the project entirely with in-house staff. This cost varies widely depending upon the scope of services, complexity of project (e.g., number of funding sources, use of tax credits) and scale of project. Typical fees range from \$20,000 to \$40,000. Check with local lenders, especially city and state housing development agencies to determine expected costs.

**Marketing and Leasing:** This budget covers such costs as advertising in local newspapers, outreach to prospective tenants, staff costs for interviewing, screening and selecting tenants, and the costs of leasing the units. There is no universal standard here, though tax credit projects generally allow \$9,000 per project plus \$300 per unit. This cost should be backed up by a budget from the sponsor detailing expected marketing/leasing expenses.

**Operating Reserve:** On non-syndicate projects, an operating reserve is typically an operating cost rather than a development cost. It is generally between 3% and 5% of the gross rental income, and is sometimes capped at 50% of annual gross rent. Make certain that an operating reserve is budgeted in the maintenance and operating budget if it is not in the development budget.

The operating reserve is capitalized in the development budget on syndicated projects, since the investors want to know that the reserve will be available, and not subject to operating performance. The amount of the reserve is typically sized based on projections prepared by NEF which usually assume the following trending:

- public assistance/Section 8 rents increase 2 to 3% per year;
- unsubsidized rents increase at 2% per year;
- commercial rents increase at 2% per year;
- expenses increase at 4% per year; and
- Section 8 (or Shelter Plus Care) expires at the end of its term, and rents drop to publicly supported or market levels.

The deficit resulting from this projection over 15 years (the investment period), less interest earned, is capitalized in the development budget. However, even if a project does not have sizable cash-flow losses, NEF requires a minimal reserve which, in the past, has been set at the lesser of \$2,000 times the number of units or six months' rent (i.e., six times the number of units times subsidized rent). The amount of reserve varies widely among projects, depending on the availability and terms of rental subsidies and the project's operating expenses. Rely on the NEF projections rather than those presented by sponsors since NEF assumptions (e.g., interest rate and pay-in schedule) must be used. Review NEF's assumptions with CSH's Underwriting Department to make sure they are correct.



**Soft Cost Contingency:** a soft cost contingency covers unanticipated soft costs or higher than projected costs (e.g., construction period insurance—one of the more volatile costs). All projects should have this budgeted, even if the funding source's underwriting doesn't include it (assure the lender that its loan will be reduced by any unspent soft cost contingency). The amount of this contingency is a function of how confident you are that the projections are reliable. Try to include at least \$10,000 to \$20,000 for a typical project.

**Developer's Fee:** The developer's fee compensates the nonprofit sponsor for its cost of developing the project (e.g., executive director, project management and fiscal staff) and, in theory, the risk of sponsorship. These funds are unrestricted and can be used by the organization for project-related costs (e.g., owner upgrades) or for other organizational purposes. Some localities do not recognize that nonprofit organizations are entitled to these fees and it may be a struggle to convince them of their legitimacy. But convince them you must, as they are an important resource and can further stabilize the organization. The fee is usually based on a per unit (completed) allowance, with unsyndicated projects generally at a minimum of \$500 to \$1,000 per unit.

Projects syndicated under the Low Income Housing Tax Credit program are allowed to receive a developer's fee of up to 15% of total development costs less reserves and the developer's fee. However, state credit agencies generally have their own developer's fee policy for nonprofit sponsors which sets maximum fees (per unit or as a percent of TDC). NEF's national standard allows up to \$10,000 per unit; local underwriting standards may be lower.

**Lease-Up Reserve:** This reserve funds losses due to vacancies during the rent-up period and delays in the phase-in of rental subsidies. This is a real cost, unless an operating contract covers these losses, and should be adequately budgeted. Typical reserve levels are based on one months' net rental income.

**Low Income Housing Tax Credit Projects:** There are several development costs which apply only to these projects.

**Application Fee/Reservation Compliance:** State credit agencies may charge an application fee for the tax credit allocation request. The agencies may also charge a fee for reserving credits for the project, usually based on a percent of the annual allocation amount. Since state credit agencies are now responsible for monitoring compliance with IRS standards (i.e., use as housing for persons under 60% of Area Median Income [AMI]), they may also charge a fee for monitoring. This fee can be charged up front in the development budget or, more typically, as an annual operating cost. Check with the state credit agency to verify these costs, which are usually not significant.

**Partnership Publication:** This refers to the cost of publishing the announcement of the limited partnership formation in the required publications (e.g., law journals). This is typically about \$1,500 and can be verified by the project attorney, who is responsible for this publication requirement.

**Partnership Management Fee:** This fee compensates the general partner (subsidiary of the nonprofit sponsor) for the required reporting to the limited partners. NEF generally allows \$5,000 for this cost.



**Social Services Reserve:** This reserve is intended to cushion the potential loss of social services funding over the 15-year partnership term. There is no universal rule for sizing this reserve, and it is often set at the amount of “surplus” tax credit proceeds after other required costs are funded. Some local housing agencies have underwriting standards based on an amount per unit. This cost needs to be carefully considered based on the reliability of the services funding source, the fiscal environment (generally not good as of this writing), and the amount of cushioning already in the services budget. Don't accept assurances from services funders that they are committed to services funding long-term since they are always subject to annual appropriations.

**Tax Opinion:** An attorney qualified by NEF must render an opinion that the project meets the IRS code requirements under the Low Income Housing Tax Credit program. This opinion ranges in cost from about \$5,000 to \$10,000, depending on the complexity of the tax issues and whether a volume discount has been provided by the firm. This legal fee is rarely offered on a pro bono basis since most law firms insist on being compensated for the liability incurred in issuing an opinion.

**Interest on CSH Loan:** If a predevelopment or construction loan is being provided by CSH, make certain that the interest cost is budgeted, based on the applicable rate and term. Check with CSH's national office for an interest cost projection. If pre-construction or construction delays are likely, be sure to budget an interest reserve based on anticipated delays.

**FnMa/Pension Fund Fees:** If the project is being financed through the Pension Fund Program and/or being sold to Fannie Mae, include the appropriate fees. CSH's Underwriting Department has a manual that includes these fees.

**Tax Abatement Filing Fees:** This may apply if your locality has a tax abatement program that charges a filing fee. Check with the local housing or finance department to determine this fee.

**Tax Abatement Consultant:** Some local tax abatement programs are complex and require the use of a tax abatement consultant. This fee is variable and can be verified with the local housing agency or other nonprofit housing developers.





## **Exhibit 4-E: Selecting the Architect**

*The following are questions and actions which may assist you in seeking and selecting an architect for your project.*

Has the architect previously designed supportive housing for families? \_\_\_\_\_

- Number of projects: \_\_\_\_\_
- Number of units: \_\_\_\_\_

Does the architect have experience designing for the tenant constituency identified by this project vision? (Explain: \_\_\_\_\_)

- How does this experience translate into their understanding of the key design issues facing this project? \_\_\_\_\_

What is the architect's experience in designing within a development team which may include consumers? \_\_\_\_\_

What is the architect's knowledge of the surrounding architectural elements and style within the community of the proposed project? \_\_\_\_\_

How will that influence the design? \_\_\_\_\_

What is the architect's experience in working on politically controversial projects?

\_\_\_\_\_

- What was the result? \_\_\_\_\_
- Did the project get built? \_\_\_\_\_
- Was it successful? \_\_\_\_\_
- What was the architect's role in resolving the controversy? \_\_\_\_\_  
\_\_\_\_\_

What is the architect's experience in completing projects on time and within the budget?

\_\_\_\_\_



What is the architect's experience in monitoring construction and quality? \_\_\_\_\_  
\_\_\_\_\_

Has the architect ever been associated with a project which was financed for construction, but never completed? (Explain: \_\_\_\_\_.)

Has the architect ever been sued for faulty design or other professional liability reasons? (Explain: \_\_\_\_\_.)

Ask the architect for a complete list of clients. Chose three to five and call them with the following questions:

- Was the architect's performance of consistently high quality? \_\_\_\_\_
- Was the architect responsive to the client's design needs? \_\_\_\_\_
- How did the architect respond to problems during the design and construction period? \_\_\_\_\_
- How was the development team assembled, and how did the architect work with members of the development team? \_\_\_\_\_
- Did the architect complete the project within the budgeted contract amount? \_\_\_\_\_
- Was the project completed within the contract construction period? \_\_\_\_\_





## **Exhibit 4-F: Choosing and Working with a Lawyer in Operating Supportive Housing**

*(This exhibit is reprinted with permission from Between the Lines: A Question and Answer Guide on Legal Issues in Supportive Housing, prepared for CSH by the Law Offices of Goldfarb & Lipman)*

*Note 1:* While this information is focused on the legal services projects may need during the operation of the development, much of this advice will serve well to secure legal services during development.

*Note 2:* Legal work associated the development period is typically focused on real estate transactions (acquisition of property), project financing and organizational issues (creating new corporation). They should cost about \$10,000. Pro bono legal assistance may be available to the project. The fee, if not pro bono, should be capped, since the legal costs could easily exceed the projected cost if legal issues are encountered. Local lenders will generally provide maximum fees for this item, and they should be consulted when verifying costs.<sup>1</sup>

### **I. Choosing a lawyer.**

- A. You may already work with a lawyer with whom you want to continue to work. However, you may need to seek a different lawyer if your problem is outside your existing lawyer's areas of expertise. For example, it is common for different lawyers to handle corporate operations issues, personnel matters and evictions.
- B. Determine what is most important to you in a lawyer.
  - 1. Expertise in the relevant areas of law?
  - 2. Experience with the same or similar problems?
  - 3. Experience with you or your organization?
  - 4. Experience with organizations like your organization?
  - 5. Accessibility and responsiveness?
  - 6. Clarity and plain English?
  - 7. The fee arrangement?
- C. Obtain referrals from colleagues in your field (or from your existing lawyer, if appropriate under the circumstances).

### **II. Working with your chosen lawyer.**

- A. Determine what you want your lawyer to do, and then tell your lawyer.
  - 1. Do you want an explanation of risks, or help in reducing or shifting risks, in a planned course of action?



2. Do you want a description of possible courses of action given a particular problem situation?
  3. Do you want to know whether you lawfully can take certain steps?
  4. Do you want help negotiating or documenting a particular arrangement or relationship?
  5. Do you want help communicating with a government agency with jurisdiction over your issues?
- B. Understand and manage the costs of your lawyer's participation in a particular issue.
1. The main costs are:
    - (a) indirect costs of delay while you involve your lawyer, and
    - (b) direct costs associated with paying your lawyer.
  2. Tell your lawyer your budget and deadline for each request or activity. If your lawyer cannot accommodate the requested budget and deadline, then do at least one of the following:
    - (a) Reduce the request to what you need (as opposed to what you want), which may allow your lawyer to accommodate the budget and deadline. Make a conscious choice about how carefully you want documents edited or legal issues researched, for example.
    - (b) Increase your budget and/or extend your deadline.
    - (c) Find an alternate lawyer who can both:
      - i. provide what is most important to you in a lawyer, and
      - ii. accommodate your budget and deadline.
    - (d) Accept the risks associated with the reduced scope of services that can be provided within your original budget and deadline.
  3. Understand the extent to which increased legal costs translate into lower total costs. Optimally, you will pay your lawyer as much as necessary to lower your total costs (including lawyer costs) to the greatest degree. Unfortunately, it is not always easy to do the calculation.
- C. Involve your lawyer earlier rather than later: an ounce of prevention is worth a pound of cure.
- D. Share information with your lawyer: a legal analysis is only as good as the facts being analyzed.
- E. Understand what your lawyer tells you. If you don't understand, ask for a better explanation until you understand.
- F. Provide constructive feedback when your lawyer does things that you particularly like or don't like.

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1 Provided by the *Underwriting Manual*, produced by CSH.





## **Exhibit 4-G: Selecting the General Contractor**

The following are suggested questions and actions to use when seeking and selecting a general contractor. Please note: some housing providers secure general contracting services through a competitive bidding process, which may first screen potential contractors based on their proposed cost for the project (based on the architect's plans and specifications). In that case the following may augment the bidding process and should be noted in the bid announcement documents.

Some housing providers work with general contractors on a negotiated bid, which involves a selected contractor as a member of the development team from throughout the concept development phase.

- Has the general contractor successfully constructed developments of this size and type? \_\_\_\_\_
  - Number of projects? \_\_\_\_\_
  - Number of units? \_\_\_\_\_
  - Location of projects? \_\_\_\_\_
  - Capacity of involvement? As general or as subcontractor? \_\_\_\_\_
- What has been their experience in meeting construction timelines and budgets?  
\_\_\_\_\_
- What percentage of projects are completed within the original bid negotiated for construction? \_\_\_\_\_ (Explain: \_\_\_\_\_.)
- Has the general contractor been associated with any projects which defaulted during the construction period? \_\_\_\_\_ (Explain: \_\_\_\_\_.)
- Has the general contractor been associated with any projects which were cited by HUD/FHA or the local housing finance agency for wage/labor compliance issues? \_\_\_\_\_
- Can the general contractor arrange the necessary bonding and insurance? \_\_\_\_\_



- What other projects will the general contractor be involved in during the anticipated construction period? \_\_\_\_\_  
Would other projects compete for supervision and construction management attention? \_\_\_\_\_
- Is there any litigation currently pending against the contractor? \_\_\_\_\_

Ask the general contractor for a list of clients. Call three to five clients at random and ask them the following questions:

- Was the contractor's performance of consistently high quality? \_\_\_\_\_
- Did the contractor respond to problems effectively? \_\_\_\_\_
- Did the contractor participate as part of the development team prior to construction? \_\_\_\_\_ If yes, how would you characterize the quality of the participation with other members of the team? \_\_\_\_\_
- Did the contractor complete the project within the budgeted contracted amount? \_\_\_\_\_
- Was the project completed within the contract construction period? \_\_\_\_\_
- How did the contractor respond to problems during the design and construction period? \_\_\_\_\_
- What is their record in subcontracting with minority and women-owned businesses? \_\_\_\_\_





## **Exhibit 4-H: Considerations When Selecting or Staffing the Asset Management Function**

If you have decided to contract for asset management functions, the firm you select should have certified public accounting (CPA) credentials and experience with:

- budgeting operating expenses for supportive housing for families, especially with regard to your target audience;
- HUD, state and federal reporting requirements;
- the various lenders financing your project, and their requirements;
- Low Income Tax Credit compliance requirements;
- managing property management functions; and
- representing owner interests in short- and long-term financial planning.

In addition, the asset manager must be willing to address the following questions:

- Do they have a commitment to assigning experienced and properly supported staff to the contract functions?
- Do they have a commitment to continuing staff development as needed?
- Will the asset management skills/functions rest with a single staff person, or will the function be spread among management staff in general? If spread among staff, how will functions be monitored for quality? How is information shared and integrated?
- How does asset management fit into the daily functions of property management (if performed by the same staff)? How is it prioritized?
- How do they maintain their project/portfolio files and general record-keeping?
- Are they willing to assume responsibility for meeting the financial benchmarks you have set for your project? If not, why? What could be done to accommodate the benchmarks?

Housing sponsors, whether they are managing the property or contracting for property management services, may be tempted to address the asset management functions in-house. If you make this decision, you should be sure you understand the functions and the potential costs of staff and expert time involved to fully respond to the expectations of your funders/lenders. Some housing providers have taken on this function only to be surprised by its demands and the costs they have assumed. It is for this reason we recommend that you include an asset management fee in the operating pro forma. While it will be difficult to argue for more costs in the operating budget, it is an expense that will aid in establishing financial stability for your project in the long term. You may need to find additional resources to help fund the cost of asset management functions.





## **Exhibit 4-I: Selecting the Management Agent**

The following are some suggested questions for reviewing the qualifications and selecting a property management company for your project.

- Does the management agent have previous management experience with subsidized or assisted housing? (Explain)
- What experience has the management agent had in participating in the designing and development process of housing?
- Does the management agent have experience in working with formerly homeless families? (Explain)
- What is the management agent's philosophy of property management with regard to:
  - asset management issues?
  - tenant relations?
  - community relations?
- What is the management agent's experience working with a social services team in conjunction with property management staff?
- What is the management agent's experience working with tenant councils and leadership groups?
- Does the management agent understand and have experience complying with the regulatory expectations associated with tenant leasing and occupancy requirements associated with the project's financing?
- What is the current size of the management agent's portfolio? Will this project receive sufficient attention? (Explain)
- Do they have a locally based office?
- What is their staff turnover experience?
- Do recent audits and financial statements for properties they manage indicate management competence?

Ask the management agent for a complete list of clients. Call three to five and ask the following questions:

- How long has the management agent been engaged?



- Has the management agent's property financial statements been independently audited?
  - If yes, do these audits document demonstrated competence?
  - Have there been findings that would suggest a weakness within property management's capacity?
- Has the management agent consistently operated the property within the annual operating budget?
  - Has this been at the expense of any housing and/or programming philosophy and/or priorities?
- Has the management agent supplied sufficient staff to assume the expectations of the management contract?
- Was the management agent involved in initial occupancy and lease-up activities?
  - Did they meet initial time projections for total lease-up?
- Did management agent develop occupancy policies and practices?
  - If yes, were these policies developed within a development team?
  - Have these policies been revised? If yes, explain.
- Have you found the management agent responsive to the mission and vision of your housing development? (Explain)





## Exhibit 4-J:

### Example of a Development Pro Forma and Budget

Appleberry Apartments  
40 Units of Family Supportive Housing

#### Project Development Budget

Acquisition	<i>vacant land</i>	\$100,000
<b>Construction Costs:</b>		
New Construction	40,000 s.f.	\$4,400,000
Construction Contingency	10%	440,000
Architect	5%	220,000
<b>Development Costs:</b>		
Construction Period RE Taxes	<i>project received abatement</i>	\$ –
Construction Period Insurance		30,000
Construction Period Interest		15,000
Title and Recording		12,000
Furnishings and Equipment		150,000
Appraisal		5,000
Survey		5,000
<b>Professional Services:</b>		
Legal:		
-Financing		\$10,000
-Transaction		30,000
-Syndication		5,000
-Tax Opinion		10,000
Tax Credit Application Fee		1,000
Accounting		7,500
Soil Borings		4,000
Environmental Report		5,000
Marketing and Leasing		20,000
Developer Fee		610,000
Consultant Fee		\$40,000
<b>Reserves:</b>		
Operating Reserve		250,000
Tax and Insurance Escrow		20,000
<b>Total Development Costs</b>		<b>\$6,389,500</b>
<b>Costs per Unit (excluding reserves)</b>		<b>\$152,988</b>





## Exhibit 4-K: Example of an Operating Pro Forma and Budget

Appleberry Apartments  
40 Units of Family Supportive Housing

### Annual Maintenance and Operating Budget

#### General and Admin:

Property Management Fee	<i>6% net rental income</i>	\$19,867
Accounting		7,500
Legal		5,000
Asset Management Fee		5,000

#### Payroll:

Maintenance Payroll	<i>1 full time</i>	31,250
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#### Utilities:

Electric		\$15,000
Gas		35,000
Water/Sewer		18,000

#### Maintenance and Repairs:

Trash Removal		\$5,750
Landscaping		5,500
Exterminating		1,400
Painting and Decorating		8,250
Repairs		8,000

#### Taxes and Insurance:

Real Estate Taxes	<i>project received abatement</i>	\$ —
Insurance		12,500

#### Other:

Marketing and Leasing		\$1,000
Tax Credit Monitoring Fee		1,100
Replacement Reserve		8,000

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Total Annual M & O Costs	\$188,117
Costs per Unit	\$4,703





## Chapter Five: Sponsor- Or Tenant- Leased Housing

There are two types of leased housing scenarios and variations within:

- sponsor-leased housing; and
- tenant-leased housing.

Sponsor-leased housing is where the sponsor of the supportive housing project seeks out units either on the open market or via relationships with nonprofit housing providers (such as a housing authority or a CDC) and secures access to the units for tenants selected for the supportive housing project. The sponsor secures access to these units using a master lease. The master lease can be designed as a short-term (year-to-year) lease or a longer-term lease covering extended periods (sometimes as long as 30 years). Short-term leases are often negotiated with the property owner assuming property management responsibility with the exception of tenant selection. Often the long-term lease is a net lease which means the sponsor is responsible for all maintenance, operating and carrying costs (including property taxes). Long-term leases usually involve entire buildings rather than clusters of units.

Tenant-leased housing is where the tenant is responsible for negotiating a lease with a private or nonprofit housing provider. The sponsor may help the tenant in finding a unit, negotiating with the property owner, and maybe even backing up the leasing arrangement with special incentives or guarantees to minimize the property owner's risk. The primary relationship, however, is between the property owner and the tenant, with the sponsor supporting the relationship.

If you decided on tenant- or sponsor-leased housing rather than owning the housing yourself, then your major housing task will be lining up one or several landlords who will rent to your program. By the time you begin seeking landlords, you will have decided whether scattered-site or single-site housing is best for your program. If you have chosen single-site housing, be aware that you may have difficulty finding a single site with enough vacant units to house your program, particularly if available rental housing is scarce in your area. You may need to compromise by having your organization or tenants lease scattered-site units that are located near each other.

Many of the techniques for arranging tenant-leased and sponsor-leased housing are the same. Here we list those tasks that the two types of models have in common and then list some additional tasks that are specific to tenant-leased housing.



## **Finding landlords who will participate in your program**

If your organization will be leasing the housing, then clearly you will need to find landlords with whom to contract. While tenants are responsible for locating landlords themselves in some tenant-leased supportive housing programs, most programs recruit a pool of landlords for tenants to approach.

Whether your housing will be sponsor-leased or tenant-leased, there are a number of places you can look for potential properties or landlords for your development.

- Contact nonprofit housing development corporations, CDCs—(organizations such as, CSH, LISC and The Enterprise Foundation can help you with this strategy).
- Is there a rental location service that produces a directory of the major rental complexes in your area? If yes, identify the complexes in the geographic area you have chosen. Contact the rental offices of these complexes and ask about vacancies. Try to obtain the names of the owners, and contact them to see if they have other properties.
- Is there a local rental housing or landlord association? If yes, attend their meetings, announce your program and solicit interested property owners.
- Contact the local building inspections division and ask if they can produce a listing of properties of a specific size that are either vacant, condemned or identified as needing code compliance work. Drive by the properties. If they fit the geographic and program needs, seek out the landlord and describe the program. Conduct a building assessment to determine what must be addressed before occupancy. The property may be eligible for rehabilitation with public funds if your program is strategically located.
- Contact religious congregations. Some own clergy residences that they no longer use, and they may want to support your mission by leasing the buildings to you. Some may even be able to give you a discount on lease payments as an in-kind donation to the program. Even if the congregation does not own property, it may have members who own rental property. Ask to be invited to speak to a social group, such as a coffee hour or the religious education program.
- Identify distressed assisted housing through local community development agencies, housing authorities or state housing finance agencies.
- Contact the local tax assessor's department and ask for a list of properties that have been forfeited because their owners failed to pay property taxes. Investigate if any of the properties are within your area and if zoned for multifamily rental. Conduct a physical assessment to determine the buildings' renovation needs. You may be able to buy a building for a substantial discount and negotiate with a housing developer to purchase the building from you, rehabilitate it and lease it back to you for the program. Again, there may be local funds available to assist you.
- Contact the local HUD office. HUD often takes over properties if the owner has defaulted on a loan from HUD. As with tax-forfeited properties, you may be able to obtain a



building at a low price, sell it to a developer and then lease it back with the assistance of public funds.

- Contact local sobriety support groups such as Alcoholics Anonymous, Al-Anon and Narcotics Anonymous. Sometimes landlords who themselves are recovering from chemical dependency are willing to help others in a similar situation by offering to rent their properties to supportive housing programs. Ask the organizations if you can attend a meeting and present your program to the group. During your presentation, ask if there are any rental property owners present who are interested in supporting your project. If it is not possible to address the group, ask if you can distribute flyers or post a program announcement.

Before you begin contacting potential landlords, prepare a packet of written information about your program to distribute. This packet should include:

- a one-page statement about homelessness in your community, inviting the landlord to help prevent family homelessness;
- a one-page statement introducing your organization, including its history, board members, programs and accomplishments, and funders;
- your supportive housing program's mission and vision statement;
- a list of supporters of the program, such as neighborhood residents, local leaders, religious leaders, businesses and educators;
- a list of services available to the landlord, including names and phone numbers of responsible staff;
- a list of services and amenities available to tenants; and
- for tenant-leased housing, a sample lease that clearly spells out tenant and landlord responsibilities and a statement of your program's philosophy on landlord/tenant relationships.

Once you have found landlords who are interested in your program, you will need to reassure them that housing tenants from your program—many of whom have poor rental histories and difficulties in their pasts—will not pose a high risk to their property. This is particularly important if the tenants themselves will be the leaseholders, but is also necessary if the sponsor will be leasing the housing.

Be absolutely honest with landlords when you discuss the risks they may face if they lease housing to your program or its tenants. You may be tempted to make too many assurances and promises, to soften the description of tenants' past struggles, or to portray your program as favoring the landlords' interests over the tenants'. While you may win over more landlords in the short term this way, you will be setting up unrealistic expectations that could result in the loss of the housing later.

Instead of minimizing potential difficulties, show landlords that you have thought about how you will deal with them when they arise. Show the landlords that you will not be simply sending tenants into



their buildings without preparation or support, and that your program has measures in place that will protect the housing and the landlords' financial interests. If the housing is leased directly by tenants, these measures may include offering financial guarantees to landlords so that they can accept the high-risk of renting to tenants with low incomes and poor rental histories.

The following chart lists common expectations of landlords and shows the responses a supportive housing program can put in place to ensure that landlord expectations are met.

**Chart 5-1: Meeting Landlords' Expectations**

Landlord Expectations	Relevant To:	Program Response
1. Rents will be paid in full and on time.	Tenant-leased housing only.	<ul style="list-style-type: none"> <li>• The program insures first and last month rent and a deposit if the tenant cannot pay it.</li> <li>• The program has a rent fund that will lend rent money to tenants in an emergency.</li> <li>• The tenant rent is kept to just 30 percent of the tenant's income, with the balance paid by the program.</li> </ul>
2. The owner wants quiet tenants, not parties, long-term guests or unsupervised children.	Tenant-leased or sponsor-leased housing.  The lease should govern—program should support tenants in understanding and complying.	<ul style="list-style-type: none"> <li>• The program requires the tenant to list all occupants of the unit on the lease.</li> <li>• The program will support the owner in enforcing laws limiting the number of people per apartment.</li> <li>• The program will prevent parents from leaving children unsupervised by helping them find child care and after-school programs. Tenants will receive help from staff members if they need to be away from their children.</li> </ul>
3. The owner does not want illegal drug activity.	Tenant-leased or sponsor-leased housing.	<ul style="list-style-type: none"> <li>• The program supports sobriety. Tenants will be encouraged to participate in a number of sobriety support activities. If a tenant relapses, the program will provide a number of intervention and support services to the tenant and family members. In tenant-leased housing, the program will continue to pay rent if the tenant is incapacitated.</li> </ul>
4. The owner is concerned about the number and ages of the children. There is concern the children will bring problems to the property, such as drugs, violence, gang activity or vandalism.	Tenant-leased or sponsor-leased housing.	<ul style="list-style-type: none"> <li>• The program is designed to address the needs of the whole family. The program provides supportive services for children of all ages, including adolescents. A children's outreach staff member will conduct home visits periodically to ensure the children are taking advantage of the full range of programming and support available to them.</li> <li>• The program has supportive services staff who can be reached if there are any problems.</li> </ul>



Landlord Expectations	Relevant To:	Program Response
5. The owner is concerned that the men in the parents' lives will visit and will bring domestic violence and illegal drug activity to the housing.	Tenant-leased or sponsor-leased housing.	<ul style="list-style-type: none"> <li>• The program encourages tenants to seek safety and make decisions that result in family stability. The program has a family nonviolence support component, and women have access to an advocate who can assist them in taking legal action to prevent domestic violence.</li> <li>• The landlord is encouraged to call the police if someone who is violent comes on-site or engages in illegal behavior of any kind.</li> <li>• The program has a 24-hour on-call service that is available to both tenants and landlords if problems arise.</li> </ul>
6. The owner is concerned the tenant will not take care of the unit and the property.	Tenant-leased housing only.	<ul style="list-style-type: none"> <li>• The program offers a comprehensive tenant education program that includes understanding the expectations of the lease, effective tenant/owner communications, good housekeeping, how to avoid the need for pest control, fire safety, security and safety training, family nonviolence, and how to use appliances.</li> <li>• The program offers periodic home visits to assist tenants in meeting housekeeping expectations as needed.</li> <li>• The program conducts an initial unit inspection with instructions to tenants on how to maintain proper condition.</li> </ul>

The following case study illustrates one approach to seeking landlord participation.

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#### Example: A Landlord Recruitment Fact Sheet

*The Holmstead Family Housing Program passed out this flyer to landlords to recruit them into their pool for tenant-leased housing:*

**ALERT – Holmstead Family Housing Program** is pleased to announce implementation of their new supportive housing program for families. The Holmstead Family Housing Program is seeking landlords who want to help give homeless families a new chance. Along with housing, Holmstead Family Housing will provide a variety of services to help families build a stable home and become good, reliable tenants.

The city of Holmstead is experiencing a housing crisis. Families, especially those needing three- and four-bedroom units, are finding it difficult to locate apartments that are decent, safe and affordable. As a result, families are becoming homeless. Their children suffer the most from their experiences in shelters and the streets. Help us respond to this crisis by helping families find housing.



*Our Landlord Support Program includes:*

- *Tenant selection services*
  - *Tenant education, which includes:*
    - *Maintaining lease expectations*
    - *Housekeeping*
    - *Community crime prevention and safety training*
    - *How to respond to emergencies*
    - *Maintaining good landlord/tenant relations*
  - *Rent Assistance, which includes*
    - *Assistance with first and last months' rent*
    - *Assistance with security (damage) deposit*
    - *Rental subsidies (tenant pays 30% of income for rent, HFHP pays the balance)*
    - *Emergency assistance to avoid late rental payments*
  - *Tenant Supportive Services*
    - *Access to full-time, supportive services staff*
    - *Access to a 24-hour on-call assistance request line*
    - *Access to mediation and conflict resolution services*
    - *Access to employment support*
    - *Access to child care, after-school enrichment and recreational programs for children of all ages*
    - *Home visitor program*
    - *Sobriety support, intervention and relapse service*
- 

## **Maintaining Effective Relationships with Landlords**

Your relationship with landlords begins with your first encounter. Landlords may be inclined at first to reject your program, but because they sense that you are sincere, prepared, professional and dependable, they may be willing to take a risk. You will need to sustain that sense of trust throughout your relationship through frequent contact. Conversation and feedback from landlords can help you make necessary changes to the program before a small problem with a tenant becomes an insolvable breach or a landlord leaves the program.

Note that in tenant-leased housing, your trusting relationship with the landlord should not come at the expense of the tenant's relationship with the landlord or with you. Don't encourage the landlord to



come to you with a problem without first trying to resolve it with the tenant, and don't make the tenant feel that you are favoring the landlord's interests over theirs.

The key to any landlord support program is to keep in contact. Share program updates, prepare them for changes and avoid surprises. The following are some suggestions of ways to continue your contact with landlords:

**Newsletter:** Create a simple quarterly or monthly newsletter geared toward the interests of landlords. Include tips on resolving problems with tenants, information about new aspects of the program and profiles of program staff. If tenants feel comfortable with this, include invitations to community functions such as a summer picnic or softball game.

**Postcard:** Send an occasional postcard to landlords asking how the program is working and announcing new information such as new staff or an address change.

**Web site for Landlords:** Develop a web site that offers program information, staff names and phone numbers, a suggestion box, a chat-line, testimonials and a problem-solving bulletin-board. You could also feature a landlord each month, with a picture of the landlord and the property and information about community activities.

**Regularly Scheduled Meetings:** Establish a standing meeting with the landlord monthly or at the beginning of each quarter to see how the supportive housing program is working. If you are leasing, find out if rent checks have been arriving on time. If tenants are leasing, find out how their relationships with tenants are working and ask for suggestions about how you could help improve tenant/landlord interactions.

**Annual Landlord Banquet:** If your program includes scattered-site, tenant-leased housing involving several landlords, work with tenants to create an annual event to recognize landlords. A banquet could include a potluck meal, an art show, a play put on by the children, music, and opportunities for tenants to introduce their landlords. In addition to building the relationship with landlords, the event could help build a community among scattered tenants in your supportive housing program.

**Simple Kindnesses:** Simple, informal gestures can express your appreciation for landlords' involvement in your program. Is the landlord a gardener? Send a packet of seeds or a gift certificate to a local nursery along with an update on your program. Better yet, encourage tenants to take responsibility for passing along information and the occasional treat or gift.

## **Tenant-Leased Housing - Special Tasks**

If tenants will be leasing the housing directly, your program will need to assist them with their housing search. Whether or not your program has jump-started their housing search by creating a pool of landlords who may be willing to rent to them, the tenant ultimately will be responsible for finding the housing and setting up a lease with the landlord.

Chronically homeless families often have had bad experiences with rental housing and landlords in the past. They may only have lived in apartments that were substandard and expensive, where repairs were ignored yet rent was collected, and where other tenants abused the property. Supportive housing can



give a family its first positive experience with rental housing and replace antagonism with respect based on responsible behavior from both the landlord and the tenant.

To prepare tenants for this new kind of relationship with a landlord, you will need to develop an education program that teaches families how to find and maintain their housing as well as their rights and responsibilities as tenants.<sup>1</sup>

Find the right apartment for their family:

- Avoid paying more than 30 percent of their income for rent (this will likely require some sort of rent subsidy from your program or the government);
- Use rental housing listings and curbside searches to find available apartments, if your program does not have a pool of landlords with available units;
- Manage their time well and arrive for appointments on time;
- Understand the different types of lease arrangements that landlords may offer;
- Give clear, honest answers about previous blemishes on their credit records, evictions and criminal records;
- Understand the questions that a landlord asks on an apartment application;
- Ask questions about a unit;
- Accept rejections without becoming too discouraged; and
- Complete a lease, inspect a unit and fulfill rent and security deposit requirements if they are offered an apartment.

Once tenants have found an apartment, you should continue the education program to help them understand their landlord's and their own responsibilities. The landlord's responsibilities, or "covenants," include:

- Keeping the unit fit for its intended use;
- Maintaining the unit in reasonable repair;
- Maintaining the unit according to local health and safety codes; and
- Allowing the tenant "quiet enjoyment" of the unit and privacy.

Tenant responsibilities include:

- Paying rent when due;
- Not possessing illegal drugs or firearms or engaging in prostitution or other illegal activities;



- Abiding by the lease, including not having more tenants in the unit than are included on the lease;
- Taking responsibility for guests;
- Keeping pets only if they are allowed and taking responsibility for their behavior;
- Making changes to the unit only if allowed;
- Taking responsibility for utilities, including setting up the account, establishing the deposit and controlling consumption;
- Reporting problems with the unit, making maintenance requests and maintaining receipts for tenant-paid repairs; and
- Housekeeping tasks such as maintaining floor coverings and wall surfaces, using appliances appropriately, avoiding pest infestations and preparing for pest control interventions, and leaving the apartment clean and in good repair.

## **Resolving Landlord/Tenant Difficulties**

A conflict between a tenant and a landlord in tenant-leased housing places you in an especially ticklish situation. Several tenants in your program may be renting units from that landlord, so you don't want to damage that relationship. At the same time, you have an obligation to represent and support the tenant.

The following is an adaptation (specific to tenant-leased housing) of the conflict-resolution principles proposed by Professor Weeks, at the American University School of International Studies:

**Create an Effective Atmosphere:** Call a meeting between the two parties and prepare beforehand so that you understand both parties' points of view. Set the meeting for a time and place where both parties will not feel rushed and distractions such as children running in and out, the telephone ringing or employees stopping by will be minimized. Make an opening statement that sets the tone for resolution, encourages mutual respect and acknowledges both perspectives.

**Clarify Perceptions:** Often conflicts come to a head when the two sides misunderstand the other's point of view or when other, underlying conflicts have not been resolved. Make sure that each party understands the other's objections and try to uncover any other disagreements that might lie under the surface.

**Focus on Individual and Shared Needs:** Discover what each party must have in order to continue this relationship. What does the landlord need in order to sustain the housing? What does the tenant need to support his/her family?

**Build Shared Positive Power:** Always try to find the common interests between the two parties. Tenants need landlords in order to keep their housing. Landlords need tenants to keep their business running and prefer to avoid the hassle and expense of finding new tenants. Explore the ways that tenants and landlords help each other.



**Look to the Future and Learn from the Past:** Help tenants understand that they will need to “unlearn” some of the responses to housing problems that they developed in the past. For example, many chronically homeless families have left apartments owing rent in the past, sometimes secretly. Work with the tenant to examine old rental patterns in a way that helps him or her to learn from it rather than making him or her feel ashamed of it.

**Generate Options:** Encourage each party to identify ways to resolve the other’s concerns. If they are reluctant, begin with questions suggesting possible compromises.

**Develop “Doables” – Stepping-Stones to Action:** This involves taking the options you generated in the previous step and translating them into concrete actions that the landlord and the tenant will perform.

**Make Mutual Benefit Agreements:** Once the tenant and the landlord have agreed on concrete actions to resolve their disagreement, document this understanding. For example, you may make changes to the tenant’s lease to encompass new rules. Check back with the landlord and tenant to make sure the agreement is working.

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### Example: Resolving Landlord-Tenant Conflicts

*Tonya participates in a scattered-site supportive housing program in which she rents an apartment in a duplex upstairs from the landlord. The first three months that she lived in the apartment, Tonya paid her rent late. The first two times the landlord took the rent without problem, but the third time the landlord blew up and suggested that Tonya start looking for another place. When Tonya told the supportive service staff about her conflict with the landlord, a staff member decided to help resolve the conflict by using the steps listed below:*

**Create an Effective Atmosphere:** *The staff person set up a meeting between Tonya and the landlord. Before the meeting, she spoke with both parties. Tonya told her that her biweekly paycheck did not cover the whole rent unless she cut back on groceries or didn’t buy a bus pass. Since the landlord hadn’t seemed to mind, she assumed she could pay her rent when she received her second check of the month. The landlord told the staff person that he had been promised that he would be paid rent at the beginning of the month, and he was beginning to feel that he had been tricked. He had been reluctant to confront Tonya at first because she seemed to be under so much pressure.*

*To get the meeting under way, the staff person outlined the problem and each party’s perspective. She acknowledged that there might be a misunderstanding about when the rent was due, that Tonya was working hard to pay rent consistently but had difficulty because of the timing of her paychecks, and that the landlord was concerned about Tonya’s ability to fulfill her responsibility to pay rent on time.*

**Clarify Perceptions:** *The staff person tried to find out more about how Tonya and the landlord felt about each other. She asked Tonya how she thought she was doing as a tenant. Tonya said that she didn’t know how the landlord felt about her, but she thought that the landlord was really angry over the damage her son created when he accidentally knocked over a can of paint in the hallway. The staff person then asked the landlord if he was satisfied with Tonya’s residence, other than the rent payment problems. He said that he had been upset with Tonya’s boy at the time of the accident, but he didn’t harbor any ill will about it. He thought that Tonya didn’t like living in the duplex because*



he overheard her telling the neighbors that she planned to leave because she felt that it was too hard to keep her sons out of the gardens and their handprints off the downstairs wall. The landlord told Tonya that her kids were fine; he and his wife were glad to have little boys around them again. However, he was becoming concerned because other program tenants living in another building he owned were paying rents late, and he wondered if the program wasn't clear about the rent expectation. This was the first time the staff person had heard about other late rent payments.

**Focus on Individual and Shared Needs:** The staff person asked both parties what they needed from a rent arrangement. The landlord said that he needed to receive the rent no later than the first of the month because his mortgage payment was due on the seventh. He prided himself on his spotless credit record, and he was worried that he would not be able to meet his mortgage obligation. Tonya said that with a low-paying job and three young boys to feed, she could not afford to put food on the table and pay her rent in full at the same time. She had been thinking about getting another part-time job, but did not feel comfortable leaving the boys alone and was not making enough to afford additional child care.

**Build Shared Positive Power:** The staff person found that despite the conflict, the landlord did not want to go through the hassle of evicting Tonya and finding a new tenant, and he felt bad about evicting a tenant who was also a neighbor. It was in both Tonya's and the landlord's best interests to keep Tonya in the building.

**Look to the Future and Learn from the Past:** At one point, the staff member pulled Tonya aside and encouraged her not to jump to conclusions about the landlord based on her past experiences. Rather than leave the housing and run from the problem as she had done in the past, the staff member encouraged her to stay and work it out. That way, Tonya would win doubly, both keeping her housing and learning about her own capacity to solve problems. The staff person also talked to the landlord privately, urging him to see Tonya's strengths: her ability to keep her family together despite limited resources and her commitment to pay her bills, even if she had to pay them late.

**Generate Options:** The staff person began to make suggestions and ask some clarifying questions. What if Tonya paid a portion of the rent at the beginning of the month rather than withholding all of the rent until later in the month? If this was possible, how much would the landlord need in order to cover his mortgage payment? How soon would the remainder of the rent need to be paid? How many other tenants who participate in the supportive housing program were not paying their rent on time? The staff person offered to work with the other tenants to resolve their late rent payments.

**Develop "Doables":** The staff person suggested that Tonya pay 50 percent of the rent by the fifth of the month and the balance by the twentieth of the month. Tonya said that she could make payments in that way and still meet her other needs, and the landlord said he could accept that arrangement and still make his mortgage payments.

**Make Mutual Benefit Agreements:** Tonya and the landlord agreed to amend the lease to reflect the change in the timing of the rent payment. The landlord also received assurance that problems with other tenants' rent payments would be resolved. The staff person agreed to call him by the end of the week with more information.

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<sup>1</sup> The following lists of tenant rights and landlord/tenant responsibilities are adapted from materials developed by George Stone, with the Minnesota Office of CSH and the Rental Housing Alliance of Minnesota.





## Chapter Six: Supportive Housing Property Management

Property management begins well before the first tenant moves in. The steps involved in designing your supportive housing community began with your effort to better define the profile of homeless families in your community, their needs and how to most effectively serve them with housing and support services. From that point on, you were actually beginning to design your property management strategy. This carried through to the decisions you made in choosing the development type, the site, the design of the facility and your supportive service planning.

There are four property management scenarios tied to the development method you choose:

- owning and managing a project that you either newly constructed, or acquired and rehabilitated;
- owning, but contracting for property management services of a project that you either newly constructed, or acquired and rehabilitated;
- leasing units from a private property owner who will continue to manage the units; and
- leasing and managing units from a private property owner.

### **If you own and manage the project:**

Many nonprofit housing sponsors initially consider owning and managing the project. They may have other housing facilities they own and manage and assume the supportive housing project should be a part of their portfolio. Some housing providers feel they should own and manage even when they have no experience, because they feel it would be difficult to find a property manager who would implement their supportive housing philosophy. In either scenario, irrespective of your experience—or lack of it—you may want to consider the combination of roles you want to assume, especially if you also intend to be the primary service provider (PSP). Each role may have conflicting interests. As owner/manager you will need to be mindful of the financial implications of operating your building(s). You may also have additional obligations to the investors who contributed to the financial capital required to build the housing (Low Income Housing Tax Credit). It may be difficult to balance the role of asset manager and PSP, especially when it comes to tenants who may have difficulty managing their leasing obligations. Unless you have a large enough organization that has the capacity to separate out these functions, we suggest you consider contracting for property management services.



## **If you own and contract out property management services:**

Traditional property management practices may come into conflict with the principles of supportive housing, especially if the primary goal of supportive housing is to serve chronically homeless families through access to permanent housing. Traditional property management practices may require screening out the tenants you have targeted to serve. In addition, traditional property management may have more stringent enforcement practices when it comes to lease violations.

You will need to identify how property management functions as a key member of the supportive housing team. You will need to find a property management company or agent who is willing to reconsider traditional practices, and is willing to balance fiscal responsibility to the project with supportive responsibilities to the tenant and PSP. In short, you will need to identify a property manager who can support mission-driven housing, while at the same time effectively manage the physical asset of the housing.

Some areas find it difficult to secure property management services unless there is a frank discussion about how the operating budget will be supported if rent collections are down, or if operating costs are higher than expected. In order to access quality property management expertise, you may need to consider how you will indemnify the project operating costs, either through special grants or operating subsidies.

## **If you lease from a property owner who manages the units:**

There are two possible scenarios involved in leasing: sponsor-leased housing, and tenant-leased housing. Sponsor-leased housing is when the sponsor has arranged to lease all or a portion of the units in a building or complex, and assumes responsibility for tenant selection, but the property owner continues to manage and maintain the housing. This is a complex business arrangement. You and the property owner must agree on the tenant selection intent (your targeted population), as well as the lease enforcement and property maintenance practices. A landlord unsympathetic with the principles of supportive housing may require more stringent interpretation of the lease, may be less tolerant of tenant behavior, and may have a different property maintenance ethic than you or your tenants might expect. However, it may be that in your area, leasing housing is the only option available for implementing your supportive housing concept.

The other scenario involves tenants leasing directly from landlords. This can be on a scattered-site basis, with tenants locating housing within a wide geographic area. Or you may engage a private-market property owner or a public housing authority to reserve units within their portfolio (scattered-site or within a larger complex) who are willing to rent directly to tenants selected for your supportive housing project. A number of sponsors are using this approach, especially when there is very limited housing stock available or local opposition has limited housing production.

In this scenario, the tenant has the primary relationship with the property owner. Your role as supportive housing sponsor may be limited to identifying landlords willing to participate in your project, and negotiating incentives for participation, such as indemnifying for property loss, providing support services which better ensure lease compliance, etc. (*Chapter Five* offers more information on sponsor- and tenant-leased housing practices.)



## **If you lease from a property owner and you are responsible for property management:**

This is becoming a more common alternative approach to developing new housing production for supportive housing. In this scenario, as sponsor, you would negotiate a lease which gives you authority to control the housing—you can select the tenants and operate the units as property manager or through a contract property manager. There are examples of sponsors who negotiate to take over a multifamily building that has been vacant. Sometimes the sponsor secures funding for rehabilitation. When this happens, there is usually a long-term lease (five or more years). Sometimes the sponsor assumes control for a year at a time. This would more likely be the case when the building owner wants to contribute to your program and is mission-driven in their support (e.g., a church or nonprofit housing operator).

This chapter assumes that as sponsor/owner, you have decided to contract for property management services. Property management is a dynamic and complex discipline and requires more space than is available in this manual. However, this chapter will discuss the key components of property management in supportive housing and hopefully assist you as you work with your property management agent to develop your initial property management plan.

## **Supportive Housing Property Management:**

As we have noted above, you will not be seeking a traditional property management approach. Instead you are seeking a property management approach that is more mission-driven and concerned about balancing the management of the housing asset with the needs of your targeted tenants.

Lakefront SRO, of Chicago, has responded to this challenge with an approach they call “Blended Management,” which they define as follows: “Every aspect of development and management makes an important contribution to the whole. Property and asset management, housing development and supportive service staff work together as a team to satisfy a ‘double bottom line’: to give tenants the support they need to reach their highest potential and to keep the building in good shape, physically and fiscally.”

Lakefront illustrates the importance of redefining property management to include the welfare of the tenants in the equation of managing the costs of the project and also building and maintaining the value of the asset—the building.

*Exhibit 6-A* offers questions that might help you find the property management firm that has the capacity to respond to a “blended management” approach. (Note: An outside property management firm may also offer asset management services. Because the asset manager oversees the financial aspects of the property manager’s work, you should ensure that the firm segregates the functions sufficiently among staff to ensure proper oversight. You may wish to separate these functions among two different firms.)

Another property management company, Community Housing Management Services, in Los Angeles, California, has developed a portfolio of supportive housing communities which they serve. They have identified that staff training is key to their success. They focus their mission-driven philosophy on several principles:



- Provide clean, decent and safe affordable housing to very low-income, chronically homeless families in a humane and caring manner;
- Treat tenants at all times with dignity and respect;
- Operate properties in the most businesslike, effective manner using the most current management techniques and systems to manage cash flow, maintain occupancy and manage information;
- While the bottom line is always important, property management has a social contract to provide the best possible environment for tenants and quality services to the owners; and
- Design property management response to preserve the integrity of the building while allowing tenants the greatest degree of privacy and independence possible.

*Exhibit 6-B* offers additional insight into how CHMS further explores its form of effective supportive housing management.

## **Components of the Property Management Plan**

During the period when your project is undergoing predevelopment through construction, you and your property manager will need to develop:

- A project operations pro forma;
- An affirmative fair housing marketing plan;
- A tenant selection plan and process;
- A tenant move-in plan/tenant education program;
- House rules and occupancy standards; and
- A property maintenance program.

### **Project Operations Pro Forma:**

During project feasibility, you must demonstrate to the underwriters and funders that you have fully conceptualized both the operating revenues and expenses associated with managing your project. The principal tool for demonstrating these calculations is called an operating pro forma. The pro forma has three main objectives:

- establish performance objectives;
- measure management performance; and
- provide a tool for controlling expenses.



The pro forma details several performance assumptions, such as:

- the total number of units to be occupied by rent-paying tenants (one or more units may be occupied by a service, such as an on-site security guard or a caretaker, in exchange for free or reduced rent);
- the projected rents averaged by bedroom size—this calculation would take into consideration the projected income sources of tenants, and an assumption of income consistency;
- a projection of rent subsidies, either public or private, and either project-based or tenant-based;
- a vacancy loss calculation—which documents an assumption of unit turnover (when one tenant leaves and the unit remains vacant for a period of time until the next tenant moves in); and
- estimates of projected non-rental revenue—such as income from vending machines, laundry and commercial and/or community service space rentals.

During the project feasibility phase you will be making decisions about the size of your project and bedroom distribution. It will be responsive to the information you gathered in the profile of homelessness among families. The size of the project will be based on a number of variables: the housing model you chose—scattered or single site; the size of a site or building that you have optioned; and the size project which best suits both the profile of the tenant and your capacity to manage (e.g., you want to serve large families and have decided that it is not feasible to accommodate more than ten large families on a single site).

Bedroom distribution of your project will be responsive to two main issues: the profile of need among homeless families, and the constraints of the housing stock available. Sponsors often like to mix bedroom sizes within a project so that they have the flexibility they need to respond to different family needs and changes in family needs (e.g., a family that later unites with additional children).

Projecting rents within a project will be a challenge. Rents are calculated at a percentage of family income, usually 30%. Chronically homeless families have histories of very unpredictable incomes and sources of income. Welfare reform has added a new wrinkle. In many states, families have already or are soon to exhaust access to public income subsidies. If the head of the household has had little or no work experience, they may actually find themselves with no cash income against which to project rent payments. We advise that you project a community profile, based on the work you accomplished in designing your supportive service plan. The community profile should project assumptions based on the following:

- number of adults per household who will be expected to have incomes<sup>1</sup>;
- number of children per household and income sources/amounts tied to them<sup>2</sup>;
- a projection of families receiving welfare benefits which are expected to terminate; and
- a projection of heads of household who have disabilities.



Exhibit 6-C illustrates an example of a community profile useful for operating and service planning.

Once you have made assumptions for your community profile, you will need to project how the family profiles will impact incomes upon which you will base your estimates of rental income. The following case story illustrates this point:

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*The Becker family is headed by Emily, who has no record of employment. She is currently enrolled in the county's welfare reform program and receiving employment services with the goal of having her employed a minimum of 30 hours a week earning at least \$7.00 per hour, with a projected monthly income of \$903. Emily will lose lifetime access to welfare benefits within six months if she has not gained full employment. Her welfare income is \$637 per month. Emily lives in a supportive housing community that offers access to affordable on-site child care and transportation services. In addition to the employment search support she receives from the county, Emily also has access to employment support services provided through her housing community to help her maintain employment. Rather than count on the higher of the income projections for Emily's family, the property manager, together with the PSP, decides to project potential rent based on the lower income. In addition, they decide to project only ten months' income, assuming Emily may lose her job and have a period of time between employment with no income.*

*The supportive housing community where Emily lives has a total of 20 units. They project that at least 75% of the tenants will have similar earning profiles to Emily. The remaining tenants are assumed to have the higher earning projection.*

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Some supportive housing projects will have access to operating subsidies to help supplement the tenant rents. Section 8 vouchers and certificates are the most common operating subsidies; however, some states have created unique subsidy programs for supportive housing projects. Check with your state housing finance agency or the CSH office nearest you about locally available subsidy programs.

There are two ways to access Section 8 subsidies. One is a project-based allocation. The subsidies stay with the unit. The property manager must ensure the tenant remains Section 8-income-eligible in order for the project to receive HUD HAP (Housing Assistance Payments) contract. The HAP pays the difference between the tenant rent (based on 30% of tenant income) and the unit rent. Typically, these subsidies are sufficient to meet the operating expenses of the project.

Another way to access Section 8 subsidies is when tenants who have Section 8 certificates or vouchers elect to rent from you. Again, there is a HAP that provides you, as property owner, with the difference between tenant rent and the full rent of the unit. In this case, the subsidy follows the tenant. This means that if the tenant moves out of the project, the rent subsidies either revert back to the issuing authority (e.g., housing authority or the state) or continue with the tenant in another location.

The Section 8 program has undergone tremendous cutbacks. It must be reauthorized by Congress each year. There is some concern that eventually Congress will eliminate the Section 8 program. For this reason, some funders and underwriters are nervous about project reliance on Section 8. However, unless your area has a locally financed alternative, there is little available to take the place of Section 8.



Some geographic areas are finding that due to a tight housing market, private market landlords are not willing to take tenants with Section 8. Also, homeless families might be issued a special Section 8 certificate while in the shelter, only to find that their rental histories discourage landlords from renting to them. Therefore, you might find there are more Section 8 resources available, as these certificates come back unused. You might want to talk with the local issuing authority (public housing authority or housing and redevelopment authority) and see if they would be willing to work with your project through the issuing of certificates to eligible homeless families.

Vacancy loss is typically calculated based on rent loss due to tenant turnover or under-occupancy. The standard vacancy loss calculation is between 7-10% of rental income. This means that you have a performance projection that requires nearly immediate turnover as tenants leave your project.

What may be standard in the industry may be overly optimistic in supportive housing. Because you will be targeting a tenant population with poor rental histories, it is logical to assume that many of these families may place greater stress on their apartment, and possibly leave units more damaged than the average tenant. That would translate into more time needed to clean up the unit for the next tenant. Therefore, instead of a 10% vacancy loss, you may be looking at three times that calculation. Seek advice from local experts. Make sure they understand the tenant population that you will be serving. Also, remember that you will be supporting tenants with services which will hopefully mitigate the exposure to increased wear and tear and damage.

In addition to vacancy loss, you may also encounter rent loss for other reasons. The family may be in transition, awaiting reunification. The parent may be in a larger unit, anticipating the increase in the household. You may decide it is less disruptive for the family and the project to place them in a larger unit for a period of months, until the reunification is complete. The rental subsidy is tied to the family and only authorizes subsidy based on the current size of the family at the small-unit fair market rent. Your decision may result in a loss of income as a result.

You might encounter other rental losses. For example, you may decide to let an apartment out to a local policewoman, in an effort to increase on-site security. You may offer the unit at a significantly reduced rate or for free in exchange for services. You may also have a caretaker who is living on-site for free as part of their compensation package. Also, the target tenant population may represent tenants who periodically fall behind on rent because of relapse, hospitalizations and other reasons, which disrupt their occupancy. There are instances of zero incomes equaling zero tenant rents. You will need to anticipate this the best way you can. Thinking through the community profile may help you.

We recommend that you calculate projected income conservatively. Once you identify a gap between rental income and operating expenses, you may need to seek local funding support to assist you in mitigating the financial challenges of serving homeless families.

Finally, you will be expected to project other sources of income, which may include vending receipts, rental of commercial and/or community space, and grants restricted to operating expenses.

Once you have determined the income projections, the pro forma then requires you to anticipate the expenses of operating the facility. (Please note: this does not include your supportive service budget.) *Exhibit 6-D* provides you with a more detailed list of line items to be include in the expense budget, but in general the categories of expenses are:



- Advertising and Marketing
  - Management fee
  - Legal
  - Audit
  - Telephone
  - On-site management payroll
  - Other on-site administrative
- Maintenance
  - Elevator maintenance
  - Exterminating
  - Garbage and rubbish removal
  - Other contract services
  - Insurance
  - Janitorial supplies
  - Maintenance supplies
  - Grounds maintenance
  - Snow removal
  - Heating and air-conditioning repair services
  - General repair services
  - Painting/Decorating materials and/or services
  - Payroll
  - Other maintenance and operating expenses
- Utilities
  - Oil
  - Electric
  - Gas
  - Sewer and water
  - Other

These expenses are totaled and then projected as an average per unit/per year.



## Reviewing Pro Forma Assumptions

The underwriters reviewing your project for funding will review the pro forma and may challenge its assumptions. While you may be tempted to argue for a less conservative approach to estimating income and costs, many housing providers find that underestimating costs and overestimating income leads to financial deficits years later.

Often projects do not perform precisely as envisioned in the operating pro forma once they are actually occupied. Utility, insurance and staffing costs increase. Unforeseen events increase costs. For example, an increase in crime might necessitate hiring 24-hour security. As the housing sponsor you should anticipate these “surprises” and develop strategies to mitigate their impact on your project’s financial stability. Staff experienced in underwriting recommend these strategies to anticipate costs while generating the pro forma:

- Interview other housing providers and their property management staff. What surprises have they encountered? How have they met these challenges? What actions would they recommend for property and asset managers to avoid unnecessary difficulties?
- When researching costs, ask vendors such as maintenance suppliers or landscaping services to project annual increases in their costs for the next two to three years, and ask for information about past cost increases;
- Share the completed pro forma with providers of similar housing projects, and ask for their review and comment; and
- Ask lenders and funders which line items most commonly generate cost overruns. Budget extra funds in these areas.

It is in your best interest to anticipate high costs up front and then identify sources of additional income, such as grants and rent subsidies, to meet those costs.

## An Affirmative Fair Housing Marketing Plan

Together with your primary service provider, you will be creating a fair housing marketing plan that seeks to identify and encourage applications from the target population of homeless families you have previously identified.

Before you begin to seek potential applicants for your housing community, it will be important to understand the Fair Housing issues which may impact your efforts. If you receive HUD and other forms of federal funding, you may be required to submit an Affirmative Fair Housing Marketing Plan, the components of which include:

- name of project;
- name of sponsor/owner;
- name of managing agent;



- type of funding involved;
- range of rents;
- type of project (elderly, subsidized, special needs housing, etc.);
- direction of the marketing activity—to show how you are informing and attracting interest from persons represented in protected classes;
- specific racial and minority groups you are targeting for affirmative marketing practices;
- the marketing program: what community resources, media and other strategies you will utilize to implement your program;
- types of written materials you will develop in your marketing efforts;
- samples of written materials (when available);
- community contacts you will be using to promote information about your project;
- future marketing plans once full occupancy is achieved;
- anticipated occupancy results by protected class;
- list of staff and experts involved in the project and their racial representation; and
- staff instructions—your method of educating, instructing and supervising the marketing activities they implement.

Depending on the sources of funding used, there may be significant restrictions on how you market your housing community to the public and how you select potential tenants. The issues of Fair Housing are so numerous and complex that it is impossible to fully explore them in this manual. The Corporation for Supportive Housing sponsored a guide prepared by the law offices of Goldfarb & Lipman, *Between the Lines: a Question and Answer Guide on Legal Issues in Supportive Housing*. We suggest you obtain a copy and seek the services of an attorney familiar with local housing law to assist you.

The following are some basic points made by the *Guide*:

- If you receive HUD funding, you may be required to create an Affirmative Fair Housing Marketing Plan. (Please refer to federal regulation 24 CFR Part 200 and/or the U.S. Department of Housing and Urban Development Handbook 8025.1—Implementing Affirmative Fair Housing Marketing Requirements for guidance.)
- The federal Fair Housing Act prohibits discriminatory advertising and makes it illegal to make, print or publish any notice, statement or advertisement with respect to the sale or rental of a dwelling that indicates any preference, limitations or discrimination based on race, color, religion or national origin. Subsequent amendments to the Fair Housing Act have included sex, familial status and disability. Some states further broaden the scope of fair housing to include marital status, ancestry, sexual orientation and source of income.



- The guide notes that although federal and state antidiscrimination laws contain a prohibition on restricting occupancy to certain groups, case law supports an interpretation which “allows housing providers to establish reasonable criteria for occupancy, as long as the criteria are rationally related to the services performed and the facilities provided.”
- It may be possible to limit occupancy to people with a particular disability.
- It may be possible to limit occupancy to tenants who are recovering alcoholics or drug users.
- If the project does not receive public funds, it may restrict tenant selection to those who have a minimum income. Most federal housing programs prohibit minimum income limits for tenant selection.
- A project may limit tenant selection to those who are homeless at the time of application.
- Housing may be reserved for households with children, but housing for single parents with children may violate state and local fair housing laws that prohibit discrimination on the basis of marital status. It is important to check out local requirements.
- Generally, you cannot restrict housing to a single gender. Gender is a protected classification and any restriction would most likely be found to be unlawful. There may be a way to establish gender restriction if the housing provider can demonstrate that there is a business necessity for its occupancy screening rules. We recommend, however, that you check this out carefully with professionals in your area.
- Selecting tenants with a geographic preference may be legal, unless it purposely excludes people with protective class distinctions. It is important to ensure that funding for your housing does not include a prohibition against geographic preferences.
- Housing funded by Low Income Housing Tax Credit may give preference to targeted populations, but cannot violate HUD nondiscrimination policies.
- Generally, social service agencies are prohibited from favoring its own clients unless there is no intentional exclusion of members of a protected class and there is no disparate impact on members of a protected class, unless the disparate impact is a result of a legitimate business necessity. Because state and local laws may have additional requirements and because the issue of legitimate business necessity may be difficult to demonstrate, we recommend you check with a local professional before assuming you can reserve units for clients coming from your programs.

While the Fair Housing Act and other antidiscrimination laws declare what is unlawful, most of these regulations provide limited direction as to how the housing provider is to verify the information. You are advised to check with your project’s funders to determine what they will accept in the way of verification of tenant information.



Sometimes, a housing provider will receive funding from a number of different sources with conflicting income and rent requirements. In that case, we recommend that you pursue the most restrictive of the requirements, thereby satisfying the minimum requirements of all.

## **Marketing Your Supportive Housing Project**

Marketing activities began when you sought information from your community in determining the extent of need for supportive housing. As you interviewed local service agencies, public resources and others in your effort to document the profile of homelessness among families in your community, you were engaged in building community support and awareness of your project. As you begin to conduct your marketing efforts in earnest, it may be helpful to seek out these same resources as you promote opportunities for occupancy in your community.

Once again, CSH's guide, *Between the Lines*, provides some helpful information regarding marketing your project:

- You can advertise for a specific population as long as your admission criteria does not violate fair housing laws. However, there are a number of caveats that make complying with the law complicated. As a result, many providers choose to advertise their projects through describing their facility and the program rather than advertising for a specific tenant profile.
- When affirmatively advertising your project, be sure to note that you will not discriminate based on the protected class distinctions. You can still select tenants based on your program intent, just do not ask questions or select based on protected class distinctions.

## **Implementation of Your Marketing Plan**

By the time you are ready to implement your marketing plan, you will have spent at least a year identifying, cultivating and refining relationships within your community among service providers, public agencies, the faith community, and especially among the public who will hopefully come to identify your project as a community asset. Some supportive housing providers report that they try to achieve and maintain a low profile within the community. With the common NIMBY reaction to affordable housing in general, and special needs affordable housing in particular, it is no wonder housing providers are busy “ducking their heads” amidst the turmoil they perceive. We speak more to the problem of NIMBY in *Chapter Eight*, but in this section we would like to encourage you to have a plan and carry it out. The purpose of the marketing plan is twofold: to build community support and identify homeless families for tenancy. The following may be helpful:

- Create a community advisory committee made up of influential community leaders who are willing to lead the charge for your supportive housing project.
  - Make sure they have all the information they need to support their defense.
  - Make sure the committee is operating with a stated marketing plan and not off doing its own thing, which could complicate your efforts.



- Appoint a staff person to work with the committee leadership so that communication between staff and volunteers is open and effective.
- Create benchmark goals with respect to the number of applicants for interviews and timelines for tenant selection.
- Be sure your project is not over-marketed, resulting in significant numbers of people frustrated by their inability to access one of your units.
- Evaluate your efforts continuously. Change what isn't working. Adapt to the needs of your community resources as they work to assist you in identifying potential applicants.
- Be sure to spread your relationships around. It may be important for your project to appear responsive to a wide service audience, rather than a select few sources who can refer applicants. This may be different if you are working through a single referral source, such as a local shelter board or the local county shelter.

### **A Tenant Selection Plan and Process:**

There are six main functions associated with a tenant selection plan:

1. The applicant referral process
2. The tenant application
3. The tenant interview
4. Verifying tenant information
5. Making the decision—selecting the tenant
6. Tracking the tenant selection process

### **The Applicant Referral Process:**

You will need to decide how you are going to manage interest among potential applicants. This begins with your marketing plan and making sure the community has the correct understanding about your supportive housing project—who it is geared to, eligibility and philosophy. Next, you need to decide if you are going to take applicants as walk-ins, or from community sources as referrals, or both.

**Walk-In Applicants:** Homeless families may hear about this new opportunity and seek out information and the chance to apply independent of a community source referral. You will need to anticipate this and have a process that guarantees clarity about the project and how they can apply. The following might assist you in thinking through this process:

- Assign a phone number for supportive housing inquiries. Publish this information to community sources openly.



- Train staff assigned to the phone number to promote supportive housing according to your plan for targeting families. Be sure that staff understand the legal Fair Housing issues and know how to promote and ask questions in ways that are in compliance.
- Create a sample script for staff to use when they receive inquiries, whether via telephone or a walk-in.
- Create a simple brochure which describes your supportive housing program, its philosophy, eligibility for occupancy and information about the support services available. Secure community translation services if you have homeless families who have language difficulties.
- Decide if you are going to create a waiting list and assign date/time to applications for first-in consideration.
- Train staff on how to assist someone who may not have the language or literacy skills to complete the application.
- Secure community translation services.
- Establish a process of application-taking that ensures the most completed applications and secures applications received.
- Consider locating application-taking in locations where homeless families find easy access.

**Community Referrals:** There may be a number of community resources that are interested in supporting your housing project with referrals from among their constituents. As discussed in the section on marketing, these resources may be key to your ability to quickly establish project occupancy. The key will be the quality of the referral in terms of ensuring that the referral involves eligible families who are well informed on what supportive housing is. *Exhibit 6-E* is a sample referral form that may assist you in tracking families referred to your program. The following are suggestions for developing a community referral process:

- Identify community resources that most typically serve the profile of homeless families you have targeted.
- Create a brochure or fact-sheet that anticipates their questions and answers them. Some of the questions might be:
  - Are there income limits to supportive housing?
  - How large a family can be served?
  - How quickly can a family move in?
  - How long can a family stay?



- Must a head of household demonstrate sobriety at the time of application? Are there minimum sobriety requirements?
- Are there age limits for children?
- What kinds of support services are available?
- Clarify if the referring agency will be taking applications or only referring to your organizations.
- Assign a contact person to agencies as they refer and have questions.

### **The Application:**

The application for supportive housing is the formal tool you will be using to process applications. It must also comply with Fair Housing standards and limit its questions to issues relating to determining eligibility and ability to meet the lease expectations.

It is important to keep the application as simple as possible to address the literacy needs of applicants. (*Exhibit 6-F* is an example of an application form.) As noted earlier, you may need to have applications translated into the language of applicants who could be recent immigrants.

You will need to plan for how you will take applications. Will you assign a staff person to interview the applicant and assist in filling out the application? Will you permit applicants to fill out the application outside of the office or without the involvement of staff? Will you permit referring agencies to assist families in completing the application?

You will need to create a process for verifying information on the application. The applicant can assist you in carrying out the verifying process if you can prepare them and the referring agencies in advance. For example, applicants should bring evidence of ID (birth certificate, driver's license, state ID, etc.), evidence of legal immigrant status (tenant alien card and information), pay stubs of current employment, social security card, etc.

A standard release of information form should accompany, which the applicant can sign, authorizing your organization to verify additional information found on the application form.

### **The Tenant Interview:**

The tenant interview is the most critical aspect of the tenant selection process. There are four essential components to a good tenant interview:

- Be sure the tenant knows what supportive housing is and wants it;
- The environment of the interview should encourage safety and honesty;
- The interviewing process should be well choreographed with legal questions that are consistently asked of all applicants; and



- The interviewing process encourages the applicant to ask questions and fully explore the opportunity of supportive housing.

The tenant interview should begin before the actual interview. It is important that tenants come with some understanding of what supportive housing is and isn't. If the tenant is referred by a community resource, it is important that you have properly informed the referring organization so that referrals are appropriate and actually help the tenant to make an informed decision as to whether supportive housing is appropriate for them. Tenants can be aided in this respect through:

- an advance informational forum conducted by you at referral sites;
- a video tape which describes what supportive housing is and shares a picture of the surroundings and people involved in your supportive housing project. Note: you may need to be sensitive to the translation needs of the homeless families in your area—this is information you determined when you were gathering information on the family profile of homelessness in your area;
- flyers and short brochures which describe your supportive housing project. Note: you will need to be sensitive to the literacy needs of the targeted population of homelessness you have researched;
- sponsoring tours of the supportive housing facilities and the supportive services available on-site in advance of the applicant interview; and
- working with prospective tenants as they complete an application for housing—assist them in answering the application fully so that the interview is focused on the information they have given.

The environment of the interview will be important to the quality of information you are able to gain from the applicant. Keep the interview limited to just a few interviewers, preferably one or two. Offer the applicant refreshments. Introduce yourself and the project by describing the goals and principles of your supportive housing project. Help the applicant understand that this is not housing that screens out those with poor credit and rental histories, but rather an opportunity for tenants to build up their credit and rental history within a supportive community. The questions you ask and how they are asked will help you to learn about the applicant in ways, that together, you can discern if this is an appropriate housing opportunity.

Because applicants are often desperately seeking housing, they may want to avoid answering questions which highlight their past failures. You will have to convince them it is in their best interest to disclose information they have been practiced in not revealing. You should also have a strategy which will assist applicants who are not chosen for residency to help them find solutions to their immediate housing needs.

You must be sure that the questions you ask tenants are legal and are actually designed to get you the information you need to make good tenant selection decisions. The Fair Housing Act provides a list of questions that you are allowed to ask. CSH's guide, *Between the Lines*, offers guidance in the type of questions you can ask to determine if an applicant is representative of the tenant population you have targeted:



- Create and then review questions to be sure that the question is related to the tenancy, such as credit and rental history. If you ask about things other than the tenant's ability to pay rent and comply with the leasing obligations, you may be seeking information illegally and held accountable.
- Providing supportive services does not entitle you to ask questions related to needs for services, for instance asking questions about the applicant's psychosocial history. Reserve that interview for after the applicant has been selected for occupancy.
- You may ask questions about an applicant's ability to fulfill the requirements of tenancy, such as inquiring about their income if the housing is income-restricted.
- You may ask whether an applicant is qualified for a unit available only to those with handicaps, or a particular type of handicap (e.g., chemically dependent, or HIV-AIDS).
- You may ask questions to determine if an applicant is currently abusing or addicted to controlled substances.
- You may ask if an applicant has been convicted of the illegal manufacture or distribution of a controlled substance.

*Exhibit 6-G* offers additional information about the tenant interviewing process.

Housing providers often find issues associated with prior drug use and current sobriety status difficult to sift through. Some providers have a strong sobriety requirement for tenants; others feel strongly about "harm-reduction" philosophies when responding to substance abuse issues. CSH's guide, *Between the Lines*, offers some important information to consider:

- If a project is financially assisted by the following federal programs, whether it is publicly or privately owned, it is covered by HUD's "zero tolerance" or "one-strike" policy: public housing (important if you are using public housing stock for a leased housing arrangement), tenant- and project-based Section 8 (all forms), Section 202 and Section 811, Section 221(d)(3), Section 236 mortgage insurance, and Section 514 and 515 rural housing.
- Zero Tolerance/One-Strike policy is a set of federal statutory requirements that requires pre-occupancy screening and rejection of applicants for drug and alcohol abuse and certain criminal activity, and also requires tenant lease provisions that facilitate eviction of tenants in some circumstances related to drugs, alcohol and crime. Please be aware that at the time this guide went to press, there were pending lawsuits related to the interpretation and enforcement of the "one strike" policy. Please consult an attorney familiar with housing laws for the most recent information about how these federal requirements may impact your project.
- The McKinney Act programs are not included in this policy with the exception of:
  - McKinney Act Section 8 Moderate Rehabilitation for SRO dwellings



- the component of Shelter Plus Care that provides for rental assistance under the provision McKinney SRO program.
- These laws require owners to prohibit admission to:
  - households with a member the owner determines is illegally using a controlled substance;
  - households in which the owner determines it has reasonable cause to believe a household member's illegal use of a controlled substance or abuse of alcohol may interfere with the health, safety or right to peaceful enjoyment of the premises by other tenants; and
  - persons evicted (not necessarily convicted) from federally assisted housing because of drug-related criminal activity, for three years following the eviction.
- The Act permits owners to waive the requirements described above (and admit tenants) in certain circumstances where the household member demonstrates he or she has successfully completed or is enrolled in a rehabilitation program and is no longer using illegal drugs or abusing alcohol.
- The requirement may not be waived if the household member is currently using a controlled substance.
- Owners of covered projects are also required to prohibit admission of any individual who is subject to a lifetime registration requirement under a state sex offender registration program.
- The law provides authority (does not require) to housing providers to deny admission to households with a member that, during a reasonable time preceding the date of application, engaged in drug-related or violent criminal activity or other criminal activity that would adversely affect the health, safety or right to peaceful enjoyment of the premises by other tenants, the owner or project employees.
  - Note: the law provides discretion to the housing provider to reject applicants with criminal activity, not convictions.
  - The law does not offer guidance on the type of evidence on which an owner should base their decision; however, it cautions against relying strictly on arrest information due to racial and ethnic bias.
- Persons who are currently using illegal drugs may be excluded from a project.
  - You can ask a tenant if they are a current illegal user or addicted to a controlled substance.
  - If the applicant answers yes, you could exclude them from the housing. (However, you might want to assess this practice, given the principles and intent of supportive housing.)



- If the applicant answers no, you will have to assess if the answer is truthful and what additional information you may need to make a decision.
- The Act does not give guidance on how to determine whether someone is a current drug user. We suggest you refer to CSH's guide, *Between the Lines*, and other resources to define how you will consistently determine the status of drug and alcohol use in your tenant screening process.<sup>3</sup>
- Preadmission drug testing is permissible if it is required of all applicants, but it is not recommended.
  - It must be applied to all applicants.
  - It might not be legal if it is used in some types of housing programs and not in others, and HUD has issued no official guidance.
  - It can be expensive.
  - Results are not infallible.
  - It may leave the project open to legal challenges that are expensive to defend.

#### **Verifying Tenant Information:**

There are few guidelines for verifying tenant information. There are some areas where the verification process is fairly standard:

- verify identity with picture identification, social security cards or DMV documentation;
- verify income through direct contact with employers and income sources; and
- verify criminal history through a check with the local office of the Criminal Bureau of Apprehension, etc.

For these types of verifications, it is important to obtain a signed, written release of information form that authorizes you to seek the information, and the information source to release the information. Applicants should be asked to sign the release in your presence and together you should note on the release the various parties authorized to release information to you for the purposes of tenant selection. This release should be separate from any information releases signed for the purpose of accessing supportive services.

#### **Tracking the Tenant Selection Process:**

You will be under pressure to screen and select tenants quickly so that the timing of tenant move-ins begins as soon as possible with the certificate of occupancy. You will be engaged in a number of different activities simultaneously: marketing and promoting the project to community resources and homeless families; receiving referrals; scheduling and conducting interviews; verifying information;



and responding to calls about the status of applications. It will be important to develop a system that tracks the status of these activities and keeps you up to date on activities yet to be accomplished before selecting and preparing tenants for move-in. As noted earlier, *Exhibit 6-E* is an example of a referral form which you may want to adapt for use in your program. This would be useful in managing referrals coming into your organization. *Exhibit 6-H* is a monthly leasing report form (provided by Lakefront SRO) which may assist you in keeping track of the status of interviews. *Exhibit 6-I* is a sample tracking form that may assist you in charting the progress of your activities in tenant selection. *Exhibit 6-J* is a sample listing of documentation that may be important to have in the tenant file (provided by Lakefront SRO).

### **Making the Decision – Selecting the Tenant:**

Each provider has their way of conducting the interview and making decisions for tenant selection. It will be important to develop a process that you can rely on to ensure consistency with each applicant and one which will build good decisions. *Exhibit 5-K* is a sample tenant selection process that may help you build your approach.

You will need to design the decision-making process. Who will make the decisions when selecting tenants? What are the essential criteria for tenant selection? The following are some suggestions to consider:

- Assign tenant selection to a team comprised of both property management and PSP (primary service provider) staff.
- Identify who will assist the team if there is a problem arriving at consensus. (Will it be the owner? The executive director? The board of the owning organizations?)
- Establish guidelines for making the decision, such as:
  - applicant's ability to pay rent (based on income);
  - applicant's ability to live independently;
  - applicant's interest in achieving stability;
  - applicant's ability to achieve custody of children (if placed in foster care);
  - the size of the family given the size of the unit available;
  - the family's history of homelessness (if the project is for chronically homeless versus a family that has not been homeless but is vulnerable);
  - applicant's demonstrated willingness to accommodate the terms of the lease;
  - applicant's demonstrated willingness to achieve sobriety, given the project's requirement to comply with the One-Strike policy; and
  - applicant's ability to demonstrate eligibility regarding income and/or disability status (if applicable).



It is important to organize the selection process so that you can quickly assess and select tenants. The initial occupancy period may be limited depending upon the financing involved. Typically for small- to medium-size projects you will need to achieve full occupancy within 90 to 120 days (maybe sooner in smaller projects).

Once you have made your decision to select a family, you must be able to inform them of your decision. Your application form should have a contact telephone or some way to notify the applicant. If not, it should be impressed upon the applicant that they need to check back with you. You may want to establish a policy that you will hold open a unit for a maximum period of time during the time frame between decision and lease execution. Otherwise, you may find that you are holding open units that could go to other families. Selected applicants need to be informed of their obligation for rent payment (based on income verification). They should understand that they will next be invited to a preoccupancy conference and at that time must be able to pay the first month's rent and deposit. Some tenants may not have access to it immediately, so you may have to assist them in applying to initial rental assistance either through your program or through other resources for which they are eligible.

Sometimes you will decide not to offer a unit to an applicant. You should have a process for informing the applicant about that decision and identifying what they can do to either resolve outstanding issues (inability to verify income, for example) or be prepared to help them connect with other community resources for their most immediate needs. Sometimes applicants will want to confront a rejection. You should have a process that allows them to be heard and, if possible, helps them pursue other options. A constituent (applicant) grievance process should detail:

- who is entitled to complain (grieve) a decision;
- what decisions are open to grievance;
- how a complaint will be registered;
- the organization's process for reviewing the complaint; and
- who will make the final determination in response to the complaint.

It is recommended that you seek legal advice as you develop your grievance policy and procedures to ensure the policy does not make the decisions of the organization more vulnerable to litigation and that the process is compliant with regulations imposed by funders.

### **A Tenant Move-In Plan and Tenant Education Program:**

The tenant's first impressions about the supportive housing community can be lasting and establish a level of expectation and participation that can help advance the goals of your project. It's important to note that most of the tenants you are selecting for your housing have in all probability had very negative rental experiences. These experiences may have been punctuated by little or no understanding of the legal obligations of a tenant versus the responsibilities of a property owner. Tenants may not be used to caring for high-quality housing. They may be unaware of how their use of the apartment may add to its deterioration.



The move-in process is your opportunity to help the tenant and property management get off on the right foot, with clear understanding of the responsibilities inherent in the lease. *Exhibit 6-L* offers an outline for a preoccupancy conference to discuss the components of the lease and prepare for move-in.

Prior to move-in, you may discover that tenants have little or no furnishings, other than the limited belongings they have managed to carry with them. Some tenants may have furniture that is in storage with family or friends, secured in paid storage or held by prior landlords. They may need assistance in accessing these furnishings (transportation and delivery), the cost of getting their belongings released to them, or legal assistance in negotiating their rightful access to belongings. You might consider seeking pro bono support from churches, professional organizations and civic groups who would be willing on a case-by-case basis to fund these needs, or even to set up a special fund tenants can access for these needs. A note of caution: Sometimes tenant furnishings have been stored in locations infested with vermin and pests. You would be wise to establish policy and procedures for how you will guard against contaminating your building with pests that are hard to eliminate.

*Exhibit 6-M* is a sample of a move-in questionnaire that might assist you in discerning what tenants may need to move in successfully. A number of housing providers have shared that they seek out sponsors to assist them in furnishing apartments for the initial move-in. It is common for tenants to have no belongings other than the clothes they can carry.

The move-in process includes educating the tenant on the expectations of the leaseholder. The lease is a complicated document for most people. Tenants may need an introductory course on what a lease is, how it is managed, the responsibilities of the tenant and landlord, the relationship of supportive services to assist tenants in meeting lease obligations, and property management's role in enforcing the lease. We recommend that you create a simple, easy-to-understand (and reference) tool documenting the information you are sharing. This can be included in a move-in packet left with the tenant.

Another tool you may want to consider developing is a move-in inspection form. This is a training tool which you can use with the tenant as you go through the unit, documenting the condition of the apartment and appliances. *Exhibit 6-N* offers a sample of a move-in inspection form that you can modify for your use. Once completed, a copy of the inspection form is left with the tenant; the other is filed, to be used at the time of move-out to determine tenant responsibility for damages.

A number of housing providers gather important information together in the form of a tenant handbook, which might include:

- Location map
- Bus route information
- Emergency numbers: project
- Emergency numbers: community
- Fire escape and evacuation information
- Information about adjacent community amenities: parks, schools, stores, playgrounds, etc.



- Information about on-site activities (adults, children, family)
- Information about on-site services (adults, children, family)
- Introduction to property management staff (pictures and bios)
- Introduction to supportive services staff (pictures and bios)
- Sample community newsletter

Finally, you will need to determine what information should belong in the tenant file. *Exhibit 6-O* is a checklist which can help you create policies about what needs to be maintained as documentation of the tenant's occupancy.

### **House Rules and Occupancy Standards:**

These decisions and policies help to document how decisions are going to be made about occupancy issues, when property management will engage support services staff in an issue with a tenant, and how the community will define the behaviors associated with good tenancy and community. Sometimes housing providers are tempted to create house rules which are legally unenforceable and which are vulnerable to legal disputes. In general, these rules fall into categories more often associated with institutional or program housing. For example:

- no overnight guests
- no male family members over the age of 12
- housing is tied to performance or participation in some form of program or service, etc.

House rules in supportive housing are tied to conditions of the lease. In general, there are three categories of behaviors governed by house rules:

- compliance with rental and other payments;
- compliance with the legal expectations of maintaining the unit and the property; and
- tenancy behaviors which could interfere with the rights of others to health, safety or the right to peaceful enjoyment of the premises.

Examples of rules for “compliance with rental and other payments”:

- The rent is due on the first of the month.
- Payment received after the fifth of the month will initiate a financial penalty of \$\_\_\_ payable within \_\_\_ days.
- Late payments generate an automatic notice to support services staff.



- Two or more late payments require a workout plan with property management, involving supportive services staff.
- First month's rent and deposit are due in full before keys are issued.

Examples of rules for legal lease compliance issues:

- All members of the family will be noted on the lease.
- Visitors are welcome for up to three consecutive nights, and then must have both property management and supportive service staff approval and be included in the lease, with income calculated for rent.
- Household income must be verified at least annually.

Examples of rules for behavioral expectations for the health, safety and peaceful enjoyment of others:

- Children are not allowed to play in the halls unsupervised.
- Children under the age of 7 must be accompanied by an adult at all times.
- Tenants must respect the needs of others and not play loud music or television after 9:00 pm.
- Tenants must not prop the security door open and leave it unattended.
- Tenants must not admit strangers into the building, but instead refer them to the office.

Property management staff should work closely with support services staff to create the house rules so that they mirror the philosophy and intent of the supportive housing community, create expectations that can reasonably be met by tenants, and aid in building a supportive community of neighbors engaged and invested in the welfare of each other.

### **A Property Maintenance Program:**

**Development of a Property Maintenance Program:** Your project will need to have an established property maintenance system that accommodates both routine and responsive maintenance needs. Routine maintenance involves tasks that can be prescheduled and planned for because they are predictable with regard to equipment needs and property demands. Responsive maintenance refers to tasks performed in response to requests for service from tenants and staff, or equipment breakdowns.

**Routine Maintenance:** There are three types of routine maintenance:

- janitorial—tasks done regularly to maintain the appearance of the property
- inspection—maintenance duties that should be performed daily to uncover problems before there is a crisis
- preventive—involves the regular checking and servicing of equipment and systems



**Responsive Maintenance:** An essential part of any maintenance system is to plan for requests coming from tenants and equipment emergencies in a way that is timely and effective. This plan should focus on the procedures involved in the response, such as: how requests are to be made; who should respond; the scheduling of staff; and the record-keeping involved. Most responsive maintenance requests come from within the dwelling units, but systems such as elevators, heating and ventilating systems are also demands on maintenance resources.

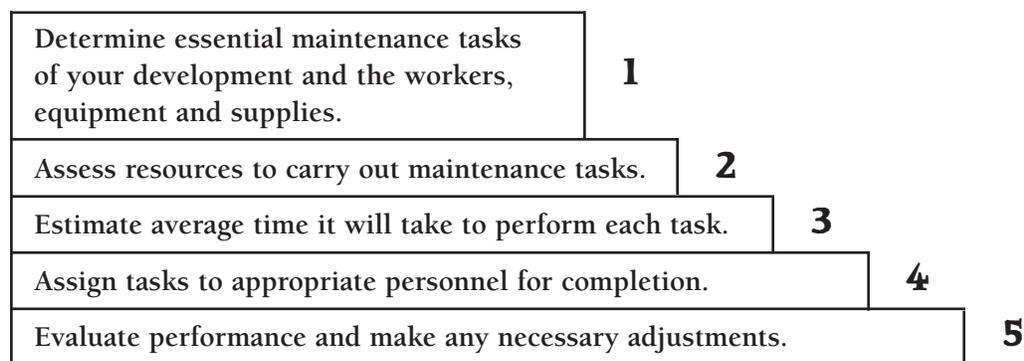
The maintenance plan should respond by developing procedures and staff competency so that the cost of maintenance and utilities, by far the largest percentage of the operating budget (sometimes as much as 70-90%) can be controlled. As illustrated in the *Housing Manager's Resource Book*, published by the National Center for Housing Management, Inc.:

*“Sound Maintenance Service...promotes...Tenant Satisfaction...which results in...Fewer Vacancies And Lower Turn Over Rate...which makes it possible...For More Money to be Spent on Debt Service and Operating Expenses: A healthy continuous cycle.”*

Conversely:

*“Poor Maintenance Service...leads to...Tenant Dissatisfaction...which results in...More Vacancies and Greater Turnover Rate and sometimes Rent Strikes...which ensures there will be...Less Money For Debt Service and Operating Expenses.”*

In general, a sound maintenance plan involves what the National Center for Housing Management describes as five essential elements:



### **Initial Occupancy:**

**Initial Lease-Up:** Once your project has been certified for occupancy, you begin what is called the “initial occupancy period.” This is a phase of the project you have been preparing for during construction by developing a marketing plan, designing a tenant selection process, creating an initial move-in process for tenants, and staging the move-in of tenants until the project is 100% occupied.

This is an exciting yet stressful time for your project. People will still be working on the building, finishing up the punch list items, staff will be learning about the building, systems will be initiated, past



plans inevitably will need adjusting, and new tenants/families will be moving in. There will be a lot of commotion and it will be easy to get lost in the complexity of details.

Yet, this is the best of times as well. This will be a time of building relationships and trust. In short, this is the time when community begins. The following are suggestions for this initial phase of your project.

#### **Management:**

- Need to be integrally involved with the last of the construction work to ensure that the punch list and responses to it covers as many of the last-minute details of construction as possible.
- Systems need to be up and running, complete with administrative systems, purchasing and vendor systems, computerized record-keeping systems, financial management systems (especially those that monitor family eligibility compliance for funders), security and staff training.
- The relationship with the PSP needs to be clear and well established. Both management staff and the PSP should establish scheduled meetings to maintain and build their relationship, as well as resolve inevitable inconsistencies and problems with policies and procedures developed prior to implementation.
- Management should provide the support and organization needed to effectively and efficiently schedule move-ins, including handling furnishings needs, equipment and furniture handling, distribution of keys, security and tenant communications.

#### **Support Services Staff:**

- Work closely with management to assist tenants in their move-in activities and needs.
- Schedule initial family needs assessment and support plans.
- Establish computerized record-keeping systems.
- Finalize initial policies and procedures with regard to support of property management functions.
- Finalize initial policies, procedures, and relationships with regard to community referrals and services.
- Create a plan for introducing the tenant community to the staff and each other.

It will be important to remember that the families are bringing a great deal of distress with them when they move in. The children may experience anxieties around all the activity. Parents may become overwhelmed, especially if they have been in shelters for a long time and had meals and other accommodations provided to them. You may want to plan for community meals during the first few weeks of move-in. Nothing elaborate, maybe even sponsored by a different community group each night. You may need to plan for increased on-site children's activities, so that parents can have the time to work



on their apartments, make appointments with on-site staff, and continue to maintain their other obligations (service and/or employment).

Security needs are heightened during the time of initial move-in. The doors are often propped open for moving in furniture, children haven't learned about the security system and policies yet, and in general there may be a relaxed attitude regarding security. You may want to hire additional security during this period. It may be a couple of people who simply watch the doors and the parking lot to lessen the possibility of theft.

### **Building Community:**

Initial occupancy is the perfect time to begin building community. Everyone is in the same boat. No one has more seniority over anyone else. Yet, families may have come from environments where it was not to their advantage to create friendships or alliances with other tenants.

This is also the perfect time for support services and property management staff to demonstrate their strong relationship.

You may want to plan for a series of events, activities and other opportunities to make introductions and build trusting relationships among tenants and among staff and tenants. Some ideas are:

- Sponsoring a parent's night out with on-site movies and card games while children are involved in a structured play and recreational event;
- Sponsoring a field trip to a local park, swimming pool or recreational area;
- Sponsoring nightly chat time: inviting tenants to come and share ideas for community activities and leadership;
- Sponsoring children's events, such as field games, parlor games, or dance/exercise competitions for parents to support and enjoy;
- Sponsoring community information venues—invite program, services and community leaders to come talk about what's available in the community;
- Sponsoring community celebrations such as birthday parties, sobriety recognition and move-in parties.

It really doesn't matter what ideas you come up with; the key is to recognize that this is an opportunity to capitalize on everyone's newness, to celebrate an extraordinary occurrence in the families' lives (housing!), and to build relationships and appreciation for the possibilities inherent in supportive housing.

### **Ongoing Occupancy**

Again, the topic of ongoing occupancy could in itself fill a book. However, there are some issues associated with occupancy that can be identified:



- Tenant involvement in asset management
- Lease compliance issues and evictions
- Welcoming new tenants into the community
- Safety and security issues

### **Tenant Involvement in Asset Management:**

Rental tenants often see themselves as having little involvement in preserving the physical asset of the property, yet they are key to any management and maintenance plan. A tenant population who respects and protects the property helps management in keeping down the costs of operating. In subsidized housing, tenants often don't see a correlation between lowered operating costs and rent. Their rent is a function of their income rather than the project's expenses. It can be challenging to convince tenants that it is in their best interests to help care for their apartments, the common areas, the site and the general stability of the buildings. Homeless families may have little or no experience living in quality housing. There may be even less appreciation for their contribution to the health of the project. It therefore may be important to create an intentional program of tenant education and involvement. This begins in the preoccupancy conference when you explain about the leasing obligations of the tenant. But it is important to broaden exposure to this concept in ongoing communications with tenants, leadership opportunities and incentives for tenant involvement. The following ideas have been offered by a number of housing providers:

- Identify up to five areas that tenant behavior impacts the most expensive items in the budget. Create community awareness for these expenses with flyers, wall signs and inclusion in tenant communications (newsletters, etc.).
- Sponsor a tenant campaign to reduce costs by awarding incentives tied to cost savings. For example, the operating pro forma identified a dollar amount in common hall and grounds maintenance costs (based on an estimate of hours for a specific staff person to perform each week). Break down the estimate into a monthly cost: offer to transfer savings into a fund controlled by tenants for community activities and/or purchases. One project was able to buy new play equipment when tenants helped reduce the trash collection bills in one project through a recycling program.
- Sponsor a children's art campaign featuring ideas for reducing costs that are captured in the art of community children. Offer incentives to children for ideas that keep the project clean and reduce costs.

A number of supportive housing communities have tenant councils which offer leadership on management/maintenance and support service issues. It is important to honor this group with consistent and timely information and encourage their questions and education on the principles of management and maintenance. One community created a tenant council that was charged with the responsibility of conducting tenant satisfaction surveys, tenant training for new tenants, and training new management/maintenance and security staff on consumer relations. This group funded its work, which



included the development of a video and a career support network, in part through funding received from property management due to reduced security and on-site maintenance costs.

Some housing providers report that it is difficult to work with tenant councils because tenants are so busy, or lack follow-through, or because unproductive conflicts arise within the group and with staff. While this may be true, it shouldn't discourage the development of capacity and leadership among tenants as partners in helping to maintain the stability of supportive housing.

### **Evictions and Lease Compliance Issues:**

Supportive housing's primary purpose is to reduce housing instability among homeless families. Supportive housing's greatest strength is the strong relationship between housing and support services. An effective relationship between property management and supportive services may help in avoiding lease violations and ultimately evictions.

The process begins again with the preoccupancy conference. At that time the tenant needs to fully understand their obligations as leaseholder. At the same time, the tenant needs to understand that while lease violations will not be tolerated, the community will support the tenant in being responsible. There should be a process in place that quickly alerts the tenant that their behavior is jeopardizing their occupancy. Just as quickly, the supportive service staff should also be aware. This means that the tenant has agreed at the start of their occupancy to have support service staff informed of property management and maintenance issues. (This may require a formal written agreement prior to move-in.)

Property management and support services need to develop consensus on interpreting tenant behavior and the responses that both will support. It is important that the tenant and their situation not disrupt the relationship between manager and service provider. It is also important to recognize what is possible with service intervention. At what point will you hold the tenant accountable? At what point, and to what lengths, will staff intervene? You may want to think through policies on the following:

- How many notices will be provided on tenant behavior issues?
- What behavior will generate a notice from property management versus from a tenant council?
- How will the project hold parents accountable for the behavior of their children?
- What behavior/issues will not be tolerated and will require immediate, nonnegotiable eviction?
- What will be the policy on late rent? Repeated late rent? What will be the involvement of support service staff regarding late rent?
- Will there be a pool of financial resources available to tenants to mitigate loss of income or other financial hardships? Who will manage the distribution of these resources? Who will determine when and how a rental payment plan will be negotiated with the tenant?



- Who will confront issues like long-term guests not on the lease? Or the appearance of an abuser at the invitation of a tenant?
- Who will deal with sobriety issues? How?
- How will tenants be engaged in community behavior that needs to change?

The key is not to attempt to anticipate every challenge or problem, but to generally establish the relationship between management and service staff before the issues stress and jeopardize the relationship and confuse the tenants.

### **Welcoming New Tenants:**

After initial occupancy, new tenants will potentially find it more difficult to enter a new established community, unless there is a commitment to engaging them and smoothing their entry.

Begin the process early in the tenant's experience with your project. At the preoccupancy conference plan to have a tenant or two join you afterward and give the new tenant a tour. It helps if the new tenants live close to the newcomer's unit. Sponsor a housewarming party, or host a welcoming event for the entire family—remember to include the children.

### **Safety Planning**

Safety is a key management responsibility. Your safety plan should safeguard tenants and staff against accidents and prevent injuries and death. Your project assumes a certain responsibility for maintaining a safe environment. While you may have insurance that indemnifies you against financial liability and loss, your insurance company will expect you to anticipate safety concerns and have a safety plan in place. A good safety plan may make it possible to access competitive insurance rates.

The safety plan should focus on the causes and effective responses to issues leading to accidents. There are essentially two ways to avoid accidents:

- avoid unsafe behavior
- remove physical hazards

Before designing your plan, inventory as many hazards as you can:

- Conduct an inspection of the building and grounds and look for conditions that could result in problems. For example, note how water is draining from downspouts. Where is it draining? If you live in a locale with cold winters, will this water thaw and freeze and become a slipping hazard as people navigate the walkway?
- Collect information from tenant interviews about key safety issues that concern them. For example, who may have physical limitations in the event of evacuation (disabled, small children, pregnant women, elderly, etc.)? What are their needs; how would their particular disability require different responses from management (e.g., a sign on the door if the tenant is deaf or in a wheelchair)?



- Create a record-keeping system that encourages staff and tenants to note when there are potential hazards or tripping/slipping problems. (It is important to take any comment about a potential tripping or slipping condition very seriously. Note it and seek out information about the problem. It could be simply corrected by removing an area rug or nailing down a threshold strip.)
- Conduct a fire drill and watch tenant response. Did everyone know what to do? How did the kids do? How did the disabled tenants navigate an escape? Was there apathy, panic, confusion? Note reactions and identify possible solutions.
- Plan to conduct a staff review of incident reports. Discuss ways that problems can be avoided in the future, and create policies which may be important to changing unsafe behaviors.
- Talk over your ideas with tenants. Get their reactions. Your solutions may not be practical for them and therefore may not be realistic for implementation.
- Talk to your insurance agent and see if they have a list of the most common accidents for housing communities designed like yours. Ask them if they would assist in a facility tour to identify possible hazards. (Most companies will insist on this before writing a policy.)

Develop a safety plan that includes the information you have gathered. Your plan should include:

- a tenant safety education program
- policies and responses to ensure safe tenant behaviors
- policies and responses to ensure safe physical conditions
- an evaluation component that periodically analyzes the program and makes changes when necessary

**Tenant Safety Education Program:** This is a program component to help tenants understand that house rules and policies associated with maintaining a safe housing community are in their best interest. The education program might include:

- how to use the security system
  - warnings about not allowing strangers entry for any reason
  - protocols to involve management/service staff if there is a stranger unescorted in the building
  - how to help children use the system and rules about what to do if children come home to an unsupervised apartment
  - prioritized maintenance response to security system maintenance problems



- personal safety tips
  - entering the building/site at night
  - moving about the building at night
  - children's safety
  - self-defense training
- information about what are physical hazards
  - how to spot them
  - reporting protocols
  - how to avoid contributing to physical hazards
- safe community behaviors
  - common safety hazards in the home
  - children supervision issues
  - lease violations
- building information
  - a map of the building noting alarm boxes, emergency exits, fire escapes, etc.
  - the system for safely evacuating a building
  - personal safety tips: what to do in the case of a fire especially with young children
  - emergency telephone numbers for fire department, police, ambulance, nearest hospital, tenant manager, etc.

Your program can include written materials, but make sure you augment it with open discussion. Be mindful of literacy and translation needs. Your tenant education program could include periodic discussions on safety at tenant council meetings and group discussions. You might consider hosting a safety weekend that celebrates the safety measures of your program, invites art competitions among the children around safety issues, and hosts a fire and police department display of their equipment and safety programs.

**Policies Regarding On-Site Behavior:** Create a planning team made up of property management staff, service staff and tenants and brainstorm on issues of daily behavior that may contribute to safety issues. The discussion should involve the behavior of anyone on-site, not just tenants. From this information, create house rules, personnel policies, general response protocols and other ideas that will monitor the results.



**Policies and Responses to Physical Conditions:** Create a schedule that includes activities which will ensure a routine assessment of the condition of the property.

- Conduct a building and site tour quarterly, or semiannually. Note problems and assign staff responsibility and timelines for resolving problems.
- Periodically (at least semiannually) invite tenants to conduct inspections and report conditions in their apartment, building or on the grounds that meet a definition of the hazards you are trying to avoid.
- You might consider an “amnesty” day once a year that encourages tenants to report a condition that needs to be created without holding them personally responsible for the cost of reporting. Or, establish a policy that notes certain problems as so important that the tenant will not be held responsible if they report it themselves immediately.
- Conduct apartment inspections periodically to ensure the tenant is maintaining the apartment as clean and sanitary.
- Establish a protocol that includes a safety check on specific issues whenever a tenant requests a maintenance call within their apartment.
- Establish a staff training program that ensures that every staff person (both property management and service staff) knows what to do in an emergency, the internal protocols for contacting other staff and recording the incident, and essential phone numbers. In addition, you might want to:
  - conduct annual first aid and CPR training;
  - conduct training on the locations of critical building components such as water, utility, shut-off valves, emergency and fire equipment, exits, use of the elevators, etc.; and
  - conduct period drills to ensure staff remember their roles and the required responses.
- Create a schedule of tenant communications on specific safety issues. For example, in the winter post advice, warnings and information about winter safety which includes on-site as well as travel safety tips. (Darkness comes earlier.) *Exhibit 6-P* is a list of safety tips for both staff and tenants as provided by the National Center for Housing Management.

**Evaluation Program:** With the group you initiated when brainstorming your safety program, convene periodically scheduled meetings and talk about how the program is working. What’s missing? What needs to be changed? What are tenants ignoring and why? What new concerns do tenants have that need to be addressed?



## Security in Supportive Housing for Families

As with safety, security issues are the primary responsibility of property management. Again, the courts have generally recognized that a special relationship exists between property management and tenants (especially the disabled or vulnerable), translating into a higher expectation that property management should take “reasonable care” to protect tenants. (Check with your attorney for more guidance on how the courts have acted.)

Security has a variety of definitions. Most tenants associate “home” with a sense of safety and security from harm. Although most violent crimes occur between family and friends, most people associate security with protecting them from stranger-violence. Usually, security’s scope includes protection from:

- violent crimes, such as murder, rape and assault
- robbery and theft
- vandalism
- arson
- drug abuse

Tenants often expand the definition to include protection from loud, aggressive behavior of other tenants. When interviewed in focus groups, families in supportive housing overwhelmingly stated that they defined security as protection from the behaviors of others that might undermine their sobriety and recovery. They were adamant that property management should intercede if others were violating their safety when it came to drug and alcohol use.

While housing sponsors see security in terms of activities related to the property site, tenants often expand property management’s responsibility to provide security in the adjacent neighborhood.

Some tenants have a heightened sense of fear—they may perceive threats to themselves when there is really no reason to fear. Other tenants have higher thresholds for danger, and don’t perceive threats when there is very real danger. Both perspectives can create difficulties for the community and require property management’s attention. Those who have random, ill-defined fears can elevate the sense of fear among the entire community, eroding trust in property management. Those who deny evident danger create risk for other tenants by accepting conditions that could undermine the safety of others.

Property management’s job is to help the community define what impacts on their security needs and how the community should respond. It will be property management’s responsibility to:

- ensure there is a security plan;
- document the plan’s elements, policies, procedures and protocols;
- staff;
- coordinate the plan’s implementation; and
- monitor its results.



## Security Planning

Planning for security begins during the project concept development stage, when design elements are planned and approved. Property management should be available to help identify design, equipment and layout issues that can later impact on their ability to maintain security and safety during occupancy.

Security is augmented by the systems and staff training that is focused on managing appropriate access to the building, site security, key management, tenant education, policies and procedures regarding on-site guests and intruders, and ongoing communication with tenants as issues and incidents are reported.

The systems associated with security include:

- equipment
- house rules and occupancy standards
- staff training and development
- monitoring and evaluation

Security equipment most often involves limiting access to the entrances and egresses into and out of the building. The equipment can include cameras and closed-circuit TV monitors in the apartments. Doors primarily used as exits have special automatic locking mechanisms and limit reentry.

The most sophisticated security is only good when it is used correctly. A common complaint by property management is that tenants undermine the systems by propping the door open, letting strangers in the building, and giving friends access to their keys. Good tenant communication and peer pressure are essential. Your program should include how you are going to convince tenants of their duty to partner in this joint effort as well as how to use the equipment effectively.

House rules and occupancy standards often involve expectations that are placed on the tenant as part of their leasing obligations. Tenants are responsible for managing their behavior in a manner that ensures the health, safety and peaceful enjoyment of the building by other tenants. House rules document what behaviors will not be tolerated. It will be important for property management and service staff to work closely on the development of the house rules, along with tenants to ensure tenant buy-in. However, there are some behaviors that should not be tolerated at the expense of the security of others. You must identify those behaviors and be prepared to confront them.

Staff training and development would involve both property management staff and any on-site supportive service staff. Training should include:

- management's security standards and protocols
- procedures for responding to emergencies
- how to protect themselves and others from danger
- how to access police and fire
- how to confront situations and de-escalate trouble
- how to encourage community responsibility



Sometimes tenants take an active part in managing security. Some communities have tenants staffing the front desk, walking the site, and training others on how to maintain security. There should be a backup system to support tenants. Property management's responsibility cannot be delegated away.

Monitoring and evaluating security is a daily process. Keeping updated records of incidents, managing communication with tenants, and maintaining a good working relationship with supportive service staff, police and others is critical to any plan. Property management should periodically report to tenants the results of their efforts. Tenants should be surveyed routinely on their perspective on security's effectiveness and ideas for bolstering it.

Sometimes projects choose to hire independent security firms. This is an expensive service, one which is difficult to afford in small projects with limited revenue. However, sometimes a community's crime profile requires an aggressive response. Hiring a security firm can provide some sense of well-being but present other difficulties. Housing providers report experiences involving inappropriate and intrusive behavior by security guards, aggressive confrontations with tenants and visitors, and poorly trained and inexperienced guards. The tenant's perception of security guards is often carried over to their perception of property management. It is important that the function of security doesn't undermine tenant trust in property management. Some security firms are better (and more costly) than others. The following list of questions may help you in selecting a firm that can support your mission:

- What is their experience in serving supportive housing communities? Your size project? Your location?
- What is their response to your project's vision and philosophy? Do they see potential conflicts with how they conduct their business? Why/How?
- What is their experience with staff turnover?
- What is their commitment to staff training and development?
- What is their staff diversity? Is it compatible with the diversity among tenants in your community?
- How do they screen prospective staff?
- Do they use off-duty police officers? If yes, is there a difference in response among staff?
- What are their protocols and procedures when confronting a security problem?
- What is their relationship/experience with the local police precinct? Have they had any problems?
- Have any of their staff been cited for excessive violence or aggressiveness while on the job?
- Has the firm been sued for actions while providing security? If yes, what was the incident?
- Will they be sharing staff from other assignments or assigning dedicated staff to your site?
- How do they evaluate their services? Among clients? Among tenants? Others?



## Additional Resources:

*Between the Lines: A Question and Answer Guide on Legal Issues in Supportive Housing*  
(Prepared by the Law Offices of Goldfarb & Lipman for the Corporation for Supportive Housing [CSH], 2000)

*A Guide to Effective Property Management in Affordable Housing*  
(National Association for County Community Economic Development and Association of Local Housing Finance Agencies, 1999)

*The Housing Manager's Resource Book*  
(Nancy Libson, National Center for Housing Management, Inc., 1976)

*Managing Housing for Low-Income Persons with AIDS*  
(West Hollywood Community Housing Corporation, 1994. Obtain by calling 323-650-8771)

*Local Officials Guide to Public Real Estate Asset Management*  
(ISBN#0-933729-59-6, National League of Cities, 888-571-2939)

*Managing Affordable Housing: A Practical Guide to Creating Stable Communities*  
(National Association of Housing and Redevelopment Officials, 202-289-3500, ext. 260)

*Reasonable Accommodation in Housing for People with Disabilities*  
(Compiled by Michael Allen, Senior Staff Attorney, Bazelon Center for Mental Health Law, July 1997)

*Supportive Housing Technical Assistance Manual*  
(Community Housing Partnership, 1010 Market Street, San Francisco, CA 94102, 415-241-9015, 1996)

Michigan Supportive Housing Consortia  
c/o Corporation for Supportive Housing  
10327 E. Grand River Avenue - Suite 409  
Brighton, MI 48116

Lakefront SRO  
4946 North Sheridan Road  
Chicago, IL 60640  
Telephone: 773-561-0900  
Fax: 773-561-4693

Community Housing Management Services  
Suite D  
3275 S. Hoover Street  
Los Angeles, CA 90007  
Telephone: 213-765-9612

National Center for Housing Management  
Suite 160  
1010 North Globe Road  
Arlington, VA 22201  
Telephone: 703-516-4070  
Fax: 703-516-4069  
E-mail: [www.nchm.org](http://www.nchm.org)

The Enterprise Foundation  
Suite 500  
10227 Wincopin Circle  
Columbia, MD 21044  
Telephone: 410-964-1230  
E-mail: [www.enterprisefoundation.org](http://www.enterprisefoundation.org)

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1 Income can be based on SS, SSI, welfare, pension, disability, earned income (employment), workers' compensation, etc.

2 Some children produce income for the family, such as SS, SSI, etc.

3 Refer to The Americans with Disabilities Act (28 CFR 36.104, Federal Register V.64 No.141, July 3, 1999, HUD Handbook No. 4350.3).





## **Exhibit 6-A: Selecting the Management Agent**

The process of selecting a property management firm involves a number of different steps.

**First:** Ask around. Identify housing developments in your community which you consider well-run. Ask them who does their property management. Contact the local office of HUD or your state housing finance agency and ask them if they can give you the names of several property management firms that have experience serving your target tenant population and who have reputations for complying with the administrative requirements of subsidized housing.

**Second:** Create a list of firms gathered in your research. Contact them for property locations they are currently managing, then visit the sites, taking the following steps:

- Note the condition of the site:
  - Is it well-maintained?
  - Are the grounds neat and maintained with healthy plantings and landscaping?
  - Is the parking lot well-maintained?
  - Is garbage picked up and is the collection area well-screened from view?
  - Does it have curb appeal in the way the buildings, window coverings and entryways seem to be maintained?
- Stop in and visit property management (you should probably schedule this in advance to avoid distracting them from their constituents). Ask about:
  - The history of police calls and how staff respond;
  - The average turnover among units per month;
  - The length of time (on average) to turn a unit around for the next family; and
  - How the site is maintained after hours:
    - on-site caretaker or staff?
    - security?
    - on-call and served by off-site staff?
    - a combination?
  - Ask if it is possible to interview tenants about their perspective on how well the project is managed and maintained.



- Stop by contiguous neighbors. Ask them about:
  - Their experience with the current property management company;
  - Their perception on the property manager and the project as a neighbor; and
  - How problems have been addressed.
- Ask if you can contact funders (if subsidized) to determine the property management firm's experience with managing tax credit projects or the occupancy requirements for other publicly financed funding.

**Third:** Interview the prospective management firm. In addition to the qualifications that are required by funders, ask:

- Does the management agent have previous management experience with subsidized or assisted housing? (Explain)
- What experience has the management agent had in participating in the designing and development process of housing?
- Does the management agent have experience in working with formerly homeless families? (Explain)
- What is the management agent's philosophy of property management with regard to:
  - asset management issues
  - tenant relations
  - community relations
- What is the management agent's experience working with a social services team in conjunction with property management staff?
- What is the management agent's experience working with tenant councils and leadership groups?
- Does the management agent understand and have experience complying with the regulatory expectations associated with tenant leasing and occupancy requirements associated with the project's financing?
- What is the current size of the management agent's portfolio? Will this project receive sufficient attention? (Explain)
- Do they have a locally based office?
- What is their staff turnover experience?



- Do recent audits and financial statements for properties they manage indicate management competence?

Ask the management agent for a complete list of clients. Call three to five and ask the following questions:

- How long has the management agent been engaged?
- Has the management agent's property financial statements been independently audited?
  - If yes, do these audits document demonstrated competence?
  - Have there been findings that would suggest a weakness within property management's capacity?
- Has the management agent consistently operated the property within the annual operating budget?
  - Has this been at the expense of any housing and/or programming philosophy and/or priorities?
- Has the management agent supplied sufficient staff to assume the expectations of the management contract?
- Was the management agent involved in initial occupancy and lease-up activities?
  - Did they meet initial time projections for total lease-up?
- Did management agent develop occupancy policies and practices?
  - If yes, were these policies developed within a development team?
  - Have these policies been revised? If yes, explain.
- Have you found the management agent responsive to the mission and vision of your housing development? (Explain)





## **Exhibit 6-B:** **Mission-Driven Property Management Practices**

In addition to its supportive housing management philosophy, Community Housing Management Services has identified a number of key practices that continue its commitment to mission-driven management.

- Property management should work closely with the project owner to ensure it can carry out its policies and objectives.
- Prior to lease-up, property management should work with owners and the supportive service staff to tailor the lease, house rules and operations to fulfill the owner's objectives.
- The lease prohibits criminal activity (including the use and sale of illegal drugs) but management does not interfere with a tenant's activities in the confines of their apartment as long as it does not impinge upon the other tenants' peaceful enjoyment of the premises or does physical harm to the property.
- While maintenance, rent collections and financial management of the building is largely property management's responsibility, certain tasks are taken on more collaboratively with the owner, such as tenant selection and screening, move-in and orientation and crisis management.
- Property management will provide support if tenants wish to establish a council as a means of addressing issues of house rules, access to common areas and safety concerns.
- Property management staff are committed to providing support to tenants as they establish independence and achieve a level of economic self-sufficiency by considering them as potential candidates for site-related jobs.
- Tenant hospitalizations will be permitted up to 90 days (contingent upon continuing rental subsidies and rent payments) without termination of the lease agreement. After consultation with the tenant's physician, the 90-day time period may be extended so long as provisions are made to ensure timely rent payments.
- Tenant screening follows a specific procedure and is conducted jointly with the primary service provider.
- Tenant selection is decided jointly by property management and the primary service provider in accordance with written tenant selection criteria.
- Crisis management regarding property issues requires immediate response from the managing agent with notification to the owners.



- If the crisis involves a tenant, the supportive services staff take the lead and work with other supportive service providers to address the issue with the tenant.
- Occupancy record-keeping is the responsibility of the property manager—the supportive service staff maintain other records relating to tenant’s use of supportive services;
- Staff agree to a philosophy of quality control that includes the following tenets:
  - Recognition that all staff are responsible;
  - Quality comes from proper staff supervision;
  - Clarity regarding procedures is accomplished with well-established protocols and staff supervision.
  - Audits are conducted to maintain proper oversight.
  - House rules are structured to:
    - preserve the physical integrity of the building;
    - ensure the peaceful enjoyment of the premises for all tenants;
  - House rules are reviewed by all tenants;
  - House rules may be adjusted with adequate notice;
  - House rules are reviewed periodically with tenants and the supportive service staff;
- Evictions are reserved for:
  - nonpayment of rent
  - causing serious physical harm to self, staff or others
  - pursuing a criminal activity on the premises.
- For other repeated infractions, sanctions other than eviction will be tried first. Options include:
  - arbitration
  - pressure from tenants
  - crisis intervention
  - referral to alternative housing





## **Exhibit 6-C:** **Example of a Projected Community Housing Profile**

The Phillips Community Housing Corporation is cosponsoring a 20-unit development to serve chronically homeless families and their children. PCHC staff created a projected community housing profile based on assumptions of potential residency among families currently being served in their emergency shelter. The community profile is projected as:

- 18 families that are headed by a single female parent
- One family headed by two parents
- One family headed by a single male parent
- Family sizes range from three (one parent and two children) to eight (two parents and six children)
- Total tenant population is 92
  - 21 adults
  - 11 infants/toddlers (birth to 11 months [infants]; 12 months to 23 months [toddlers])
  - 20 preschoolers (23 months to 60 months)
  - 23 school-agers (ages 5 to 12 years)
  - 17 youth (ages 13 to 18 years)
- Racial makeup of the community:
  - 70% African American
  - 20% European American
  - 5% Native American
  - 4% Hispanic American
  - 1% Asian American
- Ten families are in the process of reuniting with their children under the auspices of Child Protective Services
- All families have had more than two unlawful detainers (UDs)



- 15 families have at least one member who has chemical dependency issues (which may or may not be diagnosed at time of move-in)
- 10 families have at least one member who has a significant mental health issue (which may or may not be diagnosed at time of move-in)
- 15 families are not MFIP compliant (sanctioned either at the 10 or 30% level)
- Five families are on MFIP and currently working 30 hours a week at \$8.00 per hour, but periodically lose employment and need assistance reconnecting with employment, child care and transportation services
- All families need child care assistance (costs associated with the ages of children)
- 15 children have diagnosed special needs (associated with child care)
- All school-age children/youth are not performing at age-appropriate grade level
- Ten school-agers (children/youth) have not been linked with special educational needs
- 15 adults do not have their GED
- 15 adults do not have prior work experience
- Five youth have prior juvenile justice experiences
- 50% of all children have chronic health issues (asthma, diabetes, etc.)
- Five families have documented domestic abuse experience
- Ten families are coming directly from emergency shelters and have been rejected by transitional housing programs

The community profile suggests the following for housing design and property management response:

- A site layout that promotes defensible space principles and personal security.
- The project should have a mix of two-, three- and four-bedroom apartments.
- The project should be located on a single site which allows for the maximum use of on-site common spaces and commercial spaces for service delivery.
- The site should accommodate different play spaces for different child age groups: tot lots, playground and recreational areas for basketball and other sports.



- The site should accommodate on-site child care if at all possible; if not must be strategically placed close to affordable child care that has the capacity to accommodate needs.
- The project should have common spaces adequate to sponsor community-building, culture-sharing activities for both adults and children.
- Property management will work closely with the PSP to determine rental policies regarding occupancy of larger units when families are reuniting with children.
- The project should have common spaces sufficient to accommodate case management work that incorporates a number of different organizations coming together routinely to serve families.
- The site will not be located in a neighborhood that has a high profile of drug and alcohol activity.
- Property management is committed to considering on-site tenants for job openings within its organization.
- The PSP will work to secure on-site sheltered employment opportunities for tenants who have disabilities and no or limited work experience.
- The site and project will accommodate space for after-school programming for school-age children.
- The site will not be located on a busy thoroughfare, to protect children from heavy traffic.
- The project will have space that will accommodate a weekly health clinic on-site.
- The project will have state-of-the-art security, with cameras at each of the entrances and backup security systems to protect families fleeing abuse.
- The project will fund a move-in program which will provide families with furnishings as they move in to the community.





## **Exhibit 6-D: Operating Pro Forma - The Basics About an Operating Expense Budget**

### **I. Administrative Expenses:**

- **Advertising and Marketing:** Initially, this amount will represent the estimated costs to be incurred for initial rent-up. These include:
  - Logo and signs: This is typically the fair housing logo and signs which help potential tenants to understand the project's commitment to fair housing;
  - Media advertising: This tends to be less evident in supportive housing, because the marketing efforts tend to be more direct.
  - Other methods that may be needed to publicize the project: This might include staff time involved in working with community groups, providing food and meeting space when holding community information forums, etc.
- **Management Fee:** This is the fee the property management company charges you to operate the building(s). It is usually expressed in a dollar amount per unit/per month. Some factors to be considered in establishing the management fee are:
  - the size, type and area where the development is located;
  - the targeted population and the assumptions of impact on service/staffing;
  - proximity of the development to the central office of the management company; and
  - the management fee for nonhousing income, which is usually included and is expressed as a percentage of nonhousing income.
- **Legal:** This projection is based on the size, type of development and expected makeup of the tenant population. This cost must cover all the legal expenses associated with tenant issues, such as evictions.
- **Audit:** You may want to check with your underwriter or funding sources to determine if there is a limit to cover audit expenses.
- **Telephone:** This includes only on-site telephone expenses. This would include hardwired telephone service as well as cell phone and 24-hour security hookup.



- **On-Site Management Payroll:** This is the subtotal of the costs associated with the property management staffing plan, exclusive of maintenance personnel. This cost projection includes benefits, withholdings and other calculations, such as unemployment, pension and workers' compensation.
- **Other Administrative (On-Site):** This category would include bank charges, credit reports, project newsletters, special notices to tenants and similar administrative expenses.

## **II. Maintenance:**

- **Elevator Maintenance:** The cost estimated for elevator maintenance and/or contracts will be affected by the following:
  - Type of development
  - Number and type of elevators needed
  - Location of development
  - Type of contract required:
    - full maintenance
    - POG (parts, oil, grease) 24-hour callback
    - POG Regular
- **Exterminating:** The projected cost estimate for exterminating may be affected by the following factors:
  - location of development
  - type of construction—masonry/woodframe
  - type of service and call back provisions.
- **Garbage and Rubbish Removal:** The projected cost estimate for garbage and rubbish removal depends on the following:
  - type of development
  - type of structure—low-rise, high-rise, walk-up
  - loose pack or compaction
  - proximity of development to service contractor



- **Other Contract Services:** This would include any services which are provided on a contract basis, such as security, cleaning, window washing, janitorial or maintenance and which do not fit into another expense category.
- **Insurance:** The types of coverages are typically identified by the underwriter/funder.
- **Janitorial Supplies:** The projected cost estimate for janitorial supplies depends on the following:
  - type of development
  - type of building(s)—high-rise, walk-up, townhouses
  - all supplies related to regular janitorial services, including strippers, sealers, waxes, window cleaners, rags, general purpose cleaners and other needed supplies
  - bids on janitorial services are given in dollars per unit/per month
- **Maintenance Supplies:** This includes all maintenance supplies bought and installed by on-site building maintenance personnel, including, but not limited to, the following: valve stems, zone control motors, faucet washers and seats, commode seats, timers, seals, elements, tile, glass, light fixtures, exit signs, circulation pumps and motors, lightbulbs, garbage disposals, switches, lock cylinders and AC filters.
- **Grounds Maintenance:** Includes lawn maintenance contracts, finishing and relandscaping of the grounds, lawn fertilizing and all related items for grounds maintenance, plus grounds equipment maintenance for the year.
- **Snow Removal:** The projected cost estimate for snow removal includes:
  - projected number of snow removals that will be needed
  - average time required for removal of snow
  - rate per hour for equipment and operator
  - equipment costs for lend-outs to tenants, if applicable
- **Heating and Air Conditioning Repair Service:** The projected cost estimate includes all costs for repairing and servicing the heating system and air conditioners for both labor and materials provided by outside contractor.
- **General Repair Services:** Includes all costs for labor and materials for services such as glass replacement, antenna services, carpentry work, locksmiths, appliance repair, etc., that are not done by on-site maintenance personnel.



- **Painting/Decorating Materials and/or Services:** The amount of money needed for painting and decorating materials, labor and other services will be affected by:
  - tenant turnover ratio (estimated)
  - cost of materials, labor and supplies to redecorate the average unit
  - type of development
  - projection of annual carpet cost replacement
  - contracted services for painting and carpet cleaning
  - Please note: this does not include payments to the painting and decorating reserve escrow account
- **Payroll:** The projected cost estimate includes, but is not limited to:
  - number and job classification of on-site maintenance employees that will provide services
  - wage and hour laws
  - workers' compensation regulations
  - holidays, vacation, sick leave and other benefits
- **Other Maintenance and Operating Expenses:** This includes any maintenance and/or operating costs which do not appropriately fit into another expense category.
- **Utilities:** This cost projection is based on how the building will be heated (firm gas, gas/oil interruptible, oil, electric, steam)
  - oil: if oil is used it is usually secured with a bid, with cost and volume estimated
  - electric: this requires an analysis of the current rates for providing electricity to comparable developments in the area, with a letter from the utility company attesting to availability and whether a rate increase is expected to go into effect prior to the first year of operation. The analysis should also include:
    - a detailed description of all common area lighting, number and wattage of light fixtures and number of hours per day the fixtures will be in use;



- the total KW hours of consumption of all common area lighting, heating and air conditioning;
- the total number (estimated) of KW hours consumption for the individual dwelling units per month and per year; and
- the consumption for hot water heating.
- water and sewer: The cost estimate is based on an estimate of water consumption. Rate cards of existing rates are available. Some cities collect a tax on water and sewer bills.
- gas (if paid by the owner): If gas is to be used, funders generally want to see a letter from the company providing gas in the area attesting to its availability, present cost per cubic foot, and whether a rate increase is expected prior to the first year of operation. Cost analysis for estimated total consumption must be provided, broken down cost-wise by specific uses.
- other: This will include any utility usages and costs that are not included in any of the above.

**Total Operating Expenses:** This amount represents the best possible estimated amount of money needed for operating expenses for the first year of operation. This is further expressed as an average cost per unit/per year.





## **Exhibit 6-E: Sample Referral Form**

This form is for the purposes of referring potential candidates interested in residing in ABC, a supportive housing community. ABC is an affordable housing community dedicated to serving families who have experienced chronic homelessness and who would like to receive supportive services to assist them in stabilizing their family and resolve the issues that have led to repeated homelessness. Families will be considered irrespective of whether they have some or all of their children in out-of-home placement (either foster care or kinship care). Families must have a desire to reunite with some or all of their children in order to reside in ABC. Because ABC seeks to serve families with limited incomes and who have experienced chronic homelessness, it is presumed that families may have histories which may include incarceration, repeated evictions, disabilities related to mental illness, chemical dependency, and/or other disabilities. Please do not presume the family you wish to refer is ineligible due to these challenges.

### **Referral Information**

Referring Agency: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Facsimile Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

### **Family Information**

Name of Head of Household: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Sex: \_\_\_\_\_

Marital Status: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Current Residence or Contact Information: \_\_\_\_\_

\_\_\_\_\_

Telephone Number: \_\_\_\_\_

Hours When Can Be Reached: \_\_\_\_\_



**Type of Current Residence:**

\_\_\_\_\_ 24-hour shelter (name): \_\_\_\_\_

\_\_\_\_\_ 7-7 or evening shelter (name): \_\_\_\_\_

\_\_\_\_\_ hotel/motel (name): \_\_\_\_\_

\_\_\_\_\_ vouchered by (county/city/state/other): \_\_\_\_\_

\_\_\_\_\_ with family

\_\_\_\_\_ with friends

\_\_\_\_\_ living in car

\_\_\_\_\_ living on streets

\_\_\_\_\_ currently hospitalized (name of hospital): \_\_\_\_\_

\_\_\_\_\_ location/address: \_\_\_\_\_

\_\_\_\_\_ reason for hospitalization: \_\_\_\_\_

\_\_\_\_\_ length of stay: \_\_\_\_\_

\_\_\_\_\_ release date: \_\_\_\_\_

\_\_\_\_\_ currently incarcerated (name of facility): \_\_\_\_\_

\_\_\_\_\_ location/address: \_\_\_\_\_

\_\_\_\_\_ reason for incarceration: \_\_\_\_\_

\_\_\_\_\_ length of stay: \_\_\_\_\_

\_\_\_\_\_ release date: \_\_\_\_\_

\_\_\_\_\_ other (please describe): \_\_\_\_\_

**Other Adults in Family:**

Name	Relationship	Date of Birth	SSN
1.			
2.			
3.			



Number of Children in Current Custody by Head of Household:

Name	Sex	Date of Birth	SSN
1.			
2.			
3.			
4.			
5.			
6.			

(continue on separate sheet if necessary)

Number of Children Not in Head of Household's Current Custody:

Name	Sex	DOB	SSN	Location of Child	Length of Time Out of Home	Expectation of Reuniting? (when)
1.						
2.						
3.						
4.						
5.						
6.						





## EXHIBIT 6-F:

### Sample Application for Supportive Housing

Received:

Time: \_\_\_\_\_ Date: \_\_\_\_\_

#### Referral Information

Referring Agency: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Facsimile Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

#### Family Information

Name of Head of Household: \_\_\_\_\_

Head of Household's Social Security Number: \_\_\_\_\_

Current Residence or Contact Information: \_\_\_\_\_

\_\_\_\_\_

Telephone Number: \_\_\_\_\_

Hours When Can Be Reached: \_\_\_\_\_

#### Type of Current Residence:

24-hour shelter (name): \_\_\_\_\_

\_\_\_\_\_ 7-7 or evening shelter (name): \_\_\_\_\_

\_\_\_\_\_ hotel/motel (name): \_\_\_\_\_

\_\_\_\_\_ vouchered by (county/city/state/other): \_\_\_\_\_

\_\_\_\_\_ with family

\_\_\_\_\_ with friends



\_\_\_\_\_ living in car  
 \_\_\_\_\_ living on streets  
 \_\_\_\_\_ currently hospitalized (name of hospital): \_\_\_\_\_  
 location/address: \_\_\_\_\_  
 reason for hospitalization: \_\_\_\_\_  
 length of stay: \_\_\_\_\_  
 release date: \_\_\_\_\_  
 \_\_\_\_\_ currently incarcerated (name of facility): \_\_\_\_\_  
 location/address: \_\_\_\_\_  
 reason for incarceration: \_\_\_\_\_  
 length of stay: \_\_\_\_\_  
 release date: \_\_\_\_\_  
 \_\_\_\_\_ other (please describe): \_\_\_\_\_

**Other Adults in Family:**

Name	Relationship	Date of Birth	SSN
1.			
2.			
3.			

**Number of Children in Current Custody by Head of Household:**

Name	Sex	Date of Birth	SSN
1.			
2.			
3.			
4.			
5.			
6.			

(continue on separate sheet if necessary)



**Number of Children Not in Head of Household's Current Custody:**

Name	Sex	DOB	SSN	Location of Child	Length of Time Out of Home	Expectation of Reuniting? (when)
1.						
2.						
3.						
4.						
5.						
6.						

**Previous Rental History**

Number of prior evictions from housing when listed on the lease: \_\_\_\_\_

Number of prior evictions from housing when not listed on the lease: \_\_\_\_\_

Number of court-ordered Unlawful-Detainers (forcibly removed from housing): \_\_\_\_\_

Number of times has executed lease agreements for housing: \_\_\_\_\_

Reasons for prior evictions: Nonpayment of rent \_\_\_\_\_

Person in household not on lease \_\_\_\_\_

Illegal activity—drugs-related \_\_\_\_\_

Illegal activity—non-drug-related \_\_\_\_\_

Domestic violence \_\_\_\_\_

Property damage \_\_\_\_\_

Other (explain) \_\_\_\_\_

Number of times applicant went to court to contest evictions: \_\_\_\_\_

Date of last eviction: \_\_\_\_\_

Does applicant have a Section 8 certificate or voucher in good standing? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, length of time remaining on certificate/voucher? \_\_\_\_\_

Issuing authority and/or program? \_\_\_\_\_

Does applicant have other rental assistance available? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, describe: \_\_\_\_\_

Housing eligibility requirements? \_\_\_\_\_



## Income/Employment History (All Adults in Household)

Is applicant currently employed? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, where? \_\_\_\_\_

Hourly rate: \_\_\_\_\_ Number of hours per week: \_\_\_\_\_

Employment status: \_\_\_\_\_ permanent  
\_\_\_\_\_ temporary  
\_\_\_\_\_ seasonal  
\_\_\_\_\_ sheltered or program-related employment

Length of current employment (dates): \_\_\_\_\_

Other sources of income:

\_\_\_ TANF (welfare) \$ \_\_\_\_\_ per month

Recipient's name: \_\_\_\_\_

\_\_\_ State SSI \$ \_\_\_\_\_ per month

Recipient's name: \_\_\_\_\_

\_\_\_ Social Security \$ \_\_\_\_\_ per month

Recipient's name: \_\_\_\_\_

\_\_\_ Food stamps \$ \_\_\_\_\_ per month

Recipient's name: \_\_\_\_\_

\_\_\_ General relief \$ \_\_\_\_\_ per month

Recipient's name: \_\_\_\_\_

\_\_\_ Disability \$ \_\_\_\_\_ per month

Type of coverage (permanent/temporary): \_\_\_\_\_

Recipient's name: \_\_\_\_\_

\_\_\_ Worker's Compensation \$ \_\_\_\_\_ per month

Length of benefits to date: \_\_\_\_\_

Expected duration (date): \_\_\_\_\_

\_\_\_ Retirement/Pension \$ \_\_\_\_\_ per month

Recipient's name: \_\_\_\_\_

\_\_\_ Child support \$ \_\_\_\_\_ per month

\_\_\_ Other (explain): \_\_\_\_\_ \$ \_\_\_\_\_ per month

\_\_\_ Other (explain): \_\_\_\_\_ \$ \_\_\_\_\_ per month



## Determination of Disability:

Do you consider yourself, or another member of the family, as having a disability?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, who has this disability? \_\_\_\_\_

What is the disability?

\_\_\_\_\_ permanent

\_\_\_\_\_ physical (please note type of physical limitations and if any accommodation is required within the housing \_\_\_\_\_)

\_\_\_\_\_ mental

\_\_\_\_\_ developmental

\_\_\_\_\_ chemical dependency: \_\_\_\_\_ alcohol \_\_\_\_\_ drugs

\_\_\_\_\_ Other (explain): \_\_\_\_\_

\_\_\_\_\_ currently receiving treatment

date treatment to end: \_\_\_\_\_

place of treatment: \_\_\_\_\_

inpatient \_\_\_\_\_ outpatient \_\_\_\_\_

\_\_\_\_\_ have received treatment and in recovery

date when finished last treatment: \_\_\_\_\_

place of treatment: \_\_\_\_\_

inpatient \_\_\_\_\_ outpatient \_\_\_\_\_

\_\_\_\_\_ have received treatment and not in recovery

date when finished last treatment: \_\_\_\_\_

place of treatment: \_\_\_\_\_

inpatient \_\_\_\_\_ outpatient \_\_\_\_\_

\_\_\_\_\_ have not received treatment

How long have you been sober or clean? \_\_\_\_\_

Has this disability been diagnosed?

\_\_\_\_\_ yes, by whom? \_\_\_\_\_

(attach written diagnoses, certification, other evidence)

\_\_\_\_\_ no, why?

\_\_\_\_\_ have not pursued a diagnosis

\_\_\_\_\_ have pursued, but not able to have it diagnosed



Have you ever been arrested and convicted of the following:

- \_\_\_\_\_ domestic assault
- \_\_\_\_\_ assault
- \_\_\_\_\_ robbery
- \_\_\_\_\_ property damage
- \_\_\_\_\_ any violent crime (explain): \_\_\_\_\_
- \_\_\_\_\_ drug
  - \_\_\_\_\_ possession
  - \_\_\_\_\_ distribution/trafficking
  - \_\_\_\_\_ other (explain): \_\_\_\_\_

Do you currently have any outstanding criminal justice issues:

- \_\_\_\_\_ outstanding warrants (explain): \_\_\_\_\_
- \_\_\_\_\_ bail violations (explain): \_\_\_\_\_
- \_\_\_\_\_ outstanding bail conditions (explain): \_\_\_\_\_
- \_\_\_\_\_ current convictions, awaiting sentencing
- \_\_\_\_\_ sentencing obligations

Are there any legal and/or personal matters which could interfere with your taking possession and maintaining occupancy in this housing community? Explain: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I certify the information in this application is true and correct.

I authorize \_\_\_\_\_  
(name of supportive housing project/agency)

to contact the sources listed in this application for the purposes of verifying the accuracy of the information.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Name of Applicant)

Witnessed by: \_\_\_\_\_ Date: \_\_\_\_\_





## **Exhibit 6-G: The Tenant Interview**

The following are suggestions offered by a number of service providers regarding the type of questions to ask and avoid in the tenant interview. This is not an exhaustive list, nor is it meant to be used in lieu of gaining legal or expert opinion on your tenant interview design. Please be sure to check with your local HUD office or local expert regarding the legality of your interviewing process.

Note: When asking these questions, it is important to impress upon the applicant the fact that, if there have been difficulties in the past, it will not necessarily impact on their access to supportive housing. They should understand that supportive housing is designed to serve families whose rental and life histories are typically cause for rejection by other housing providers.

It is important to ask the same questions of everyone interviewed as applicants. However, you can ask follow-up or clarifying questions when someone responds. For example, a tenant responds that they have been evicted for nonpayment of rent. You can follow up with questions regarding why they got behind in the rent, what remedies they tried to resolve the problem, have they attempted or completed restitution of the back rent, etc.

You can ask...

- questions about the applicant:
  - name
  - social security number
  - evidence of identity
  - evidence of homeless status (letter from county, shelter, other as determined by organizational or funder policy)
- questions about the applicant's income:
  - amount
  - timing of receipt of income
  - source(s) of income
  - history of income sources
  - expectation of loss of income
    - is eligibility soon to terminate (e.g., welfare, unemployment, worker's compensation)
    - when income is expected to terminate



- work history
  - places worked
  - income derived
  - why left employment
- questions about the applicant's rental history:
  - number of times rented
    - as primary leaseholder
      - history as leaseholder
    - as secondary party on the lease
  - list of most recent landlords
    - occupancy secured by a lease
    - relationship of landlord to the applicant
    - amount of rent paid
    - number of times left at end of lease and received full deposit back
  - reasons for leaving housing
    - evictions
      - reasons for evictions
        - nonpayment of rent
        - legal issues
        - people residing not on the lease
        - domestic violence
        - drug/alcohol use
        - disturbance to neighbors
        - property damage
    - left to avoid an eviction
      - reason for leaving (see above for evictions)
- questions about credit history:
  - status of current and outstanding financial judgments which could impact on ability to pay rent
  - credit reference



- questions about criminal history<sup>1</sup>:
  - previous convictions/incarcerations
    - conviction charge
    - sentence
    - when served
    - where served
    - outstanding conditions of sentencing
  - current and/or outstanding warrants/judgments
- questions about disability status:
  - has the applicant received disability status from either social security or the state?
  - does the applicant have a doctor's declaration of disability?
- questions about chemical use history (to determine eligibility status for disability):
  - have they been diagnosed with a chemical dependency?
  - have they been treated for chemical dependency?
    - when
    - description of chemical dependency
  - current status of drug/alcohol use:
    - continue to use
    - in recovery
      - has recovery plan
      - number of days clean/sober
    - wants to be in recovery, not yet clean/sober
    - eviction from a federally assisted housing program<sup>2</sup> because of drug-related criminal activity
      - was it within the last 36 months?
- questions about the household to be included on the lease:
  - additional adults to be included on the lease
    - name
    - social security number and verification of identity



- relationship to head of household
  - income information (see above)
  - rental information (see above)
  - credit history (see above)
  - criminal history (see above)
  - disability status
- questions about children to be included on the lease<sup>3</sup>:
    - date of birth
    - relationship to head of household
    - sex
    - currently living with head of household (evidence of legal custody)
    - not living with head of household, expected to reunite
      - when expected to reunite
      - what conditions must be met for reunification (specific to apartment size, location, security, etc.)

---

<sup>1</sup> According to CSH's guide, *Between the Lines*, a housing provider can ask questions about criminal convictions if the information has a bearing on the terms and conditions of tenancy. Generally, these questions focus on issues concerning the use and distribution of controlled substances (see HUD's One-Strike rule). While the Fair Housing Act does not specifically state that you can ask questions about criminal convictions in general, it may be reasonable to ask questions about convictions which could adversely affect the health and safety of other tenants (e.g., conviction for sexual assaults, etc). Note: when it comes to controlled substances, a criminal conviction is not required in order to ask for information.

<sup>2</sup> If your program is financed by federal program (see manual or CSH's guide, *Between the Lines*, page 48), you may be required to comply with HUD's Zero Tolerance/One-Strike policy.

<sup>3</sup> Most of these questions relate to occupancy accommodations (number of bedrooms).





## Exhibit 6-H: Sample Monthly Leasing Report Form<sup>1</sup>

**Report for the Month of \_\_\_\_\_, \_\_\_\_\_**

**Waiting List:**

Building #1: \_\_\_\_\_

Building #2: \_\_\_\_\_

**Monthly Leasing Activity:**

Applications received for the current month:		Original file reviews completed:	
Total applications awaiting interviews:		Applicants approved for the current month:	
Interviews scheduled for the current month:		Applicants rejected for the current month:	
Interviews completed for the current month:		Appeals requests received:	
Interviews/no-shows for the current month:		Approved on appeal:	
		Rejected on appeal:	

**Files Out:**

Reasons:

Unable to contact: \_\_\_\_\_

Refer back to initial waiting list: \_\_\_\_\_

Hospital: \_\_\_\_\_

Live elsewhere, not interested: \_\_\_\_\_

Not enough "clean" time: \_\_\_\_\_

Other (explain): \_\_\_\_\_

**Files Waiting to Be Reviewed: \_\_\_\_\_**

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<sup>1</sup> Created by Lakefront SRO, Chicago, Illinois.





## Exhibit 6-I: Sample Applicant Tracking Form

Name of Applicant: \_\_\_\_\_

Referred by: \_\_\_\_\_  
(Name of Agency)

Contact Name: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Facsimile Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Date of Referral: \_\_\_\_\_

Date of Initial Contact with Applicant: \_\_\_\_\_

Size of Unit Needed (number of bedrooms): \_\_\_\_\_

\_\_\_\_ prereunification with family members

\_\_\_\_ post-reunification with family members

Name of Staff Person Making Contact: \_\_\_\_\_

Applicant Has:

\_\_\_\_ received information about supportive housing

\_\_\_\_ received information about leasing expectations

\_\_\_\_ completed application

\_\_\_\_ signed release of information and information verification forms

\_\_\_\_ received a tour of the building (if possible)

Information on Applicant's Application Has Been Verified:

\_\_\_\_ identify verified

\_\_\_\_ income and sources verified for all members of household

\_\_\_\_ criminal check completed

\_\_\_\_ credit check completed

\_\_\_\_ rental history check completed

Interview Scheduled for (date): \_\_\_\_\_



Applicant Showed for Interview:

yes

no, reason:

no show, reason unknown

decided against living in supportive housing

hospitalized

other (describe): \_\_\_\_\_

Result of applicant interview:

approved, pending verification of additional information

pending, due to new information (Remedy: \_\_\_\_\_)

rejected, reason: \_\_\_\_\_

Tenant informed of interview results (date): \_\_\_\_\_

Tenant accepts unit

Expected move-in date: \_\_\_\_\_

Tenant Education seminar scheduled

If rejected:

Tenant accepts decision

Tenant requests appeal of decision

Repeal Date: \_\_\_\_\_

Outcome:

rejected

accepted for occupancy

Tenant accepts unit

Expected move-in date: \_\_\_\_\_

Tenant education seminar scheduled





## **Exhibit 6-J: Sample Content of an Applicant File During Tenant Selection Process<sup>1</sup>**

1. Application
  - Residence history
  - Income reported
  - Evictions reported
  - Was it signed?
2. Identification (one of the following)
  - State ID or driver's license
  - Social Security card
  - Birth certificate
  - Medical card
3. Homeless Letter/Referral Letter from Agency
  - To qualify for McKinney units, the applicant must provide a letter that specifically states that they are homeless or stay in a shelter or program
4. Credit Report
  - Evictions
  - Judgments
  - Addresses
  - Social Security numbers
  - Bad debt
  - Current and past credit and payment history
5. Income Verification
  - Current (within 90 days)
  - Employer verification
  - Under income limits?
  - Consistent with application and interviews?
6. Interview/Tenant Screening Sheet
  - Is it complete?
  - Did the interviewer sign it?
  - Six months to two years' tenential history?
  - Eviction reports



- Income
  - Drug use reports
  - Consistency with application, verification, credit report?
7. Tenant Services Sheet
- Is it complete?
  - All questions answered?
  - Is residence history consistent with tenant screening sheet, verifications and application?
  - Are reports of illegal activity consistent with tenant screening sheet, references?
8. Landlord Verifications
- Put them in order with current on top, working backwards
  - Check for consistency with application, tenant screening sheet
  - Check history of rent payments
  - Check for any gaps: can only count months backwards until you hit a gap
9. Leasing Review Sheet
- Check that you have all landlord verifications listed by leasing
  - Do you agree with the months counted?
  - Do you agree with the reports of nonpayment, etc.?
  - Confirm income verification
  - Confirm income, ID, completed forms in file
  - Confirm special needs for apartment
10. File Review Worksheet
- This is the worksheet you use to track the reasons you make the decision to accept or reject the applicant
  - Consolidates all of the above information
  - Critical for appeals—if someone is rejected and appeals, someone else must be able to understand the original decision
  - Be specific; list all reasons for rejection if applicant is rejected
  - Indicate all buildings they qualify for if applicant is approved
  - Initial the worksheet





## **Exhibit 6-K: Sample Tenant Selection Process**

Choreograph the tenant selection process step by step. Determine in advance and document in writing:

- The process of notifying the community about your project (marketing)
  - Who will conduct the activities?
  - How will information be controlled for accuracy?
  - How you will track requests for information?
- The process of accepting and tracking referrals
  - Will there be a standard referral form?
  - Will time and date be written down, for use as a waiting list?
  - How much information must be received in advance before scheduling the tenant interview?
- The process of tenant application:
  - What information will be required on the application form?
  - Who will review the form for legal accuracy?
  - How will tenants be encouraged to make application?
    - as part of the interview?
    - through referring agencies?
    - prior to the interview?
      - with or without staff assistance?
  - Will the application include a release of information form?
  - Will the information on the application be verified before the interview or subsequent to the interview?
  - Will you require a credit check of all applicants?
  - Will you require a formal rental history check of all applicants?
  - Will you require a formal criminal background check of all applicants?
  - Have you reserved funding for the costs of these checks?
  - Will the tenant be expected to cover a portion or all of these expenses?
- How will the tenant interview be conducted?
  - Who will be involved in creating the interview questions and process? (We recommend that both the PSP and the Property Manager are involved.)



- Who will conduct the interviews?
- Who will be included in the interviews?
- What information will be given to the prospective tenant regarding supportive housing and the expectations of tenants?
  - who will create this information?
  - in what form (video, written, verbal, tour, etc.)?
- On what basis will tenants be selected?
  - Will there be a disability preference?
    - will the disability preference be specific or general?
    - how will the disability be verified?
  - Will there be a maximum family size, given the bedroom distribution within the project?
  - Will there be a sobriety requirement? (We recommend you seek guidance on how you structure, word and implement this decision.)
  - Will the project be required to comply with the One-Strike policy?
    - what questions will you ask for compliance?
    - how will you verify information?
    - how will you screen out tenants who do not conform?
      - how will you notify tenants?
        - process and format
      - will there be any follow-up advocacy or outreach to tenants who cannot be admitted due to this policy
    - what will be your appeals process if applicant wants to contest the decision?
- How will tenants be notified as selected?
  - Personally, in a follow-up interview?
  - By mail? How will it be controlled?
- How will tenants be prepared for move-in?
  - Move-in date notification
  - Process to sign lease
  - Advance information about how to gain access to the unit





## **Exhibit 6-L:** **Sample Preoccupancy Conference Agenda**

**Step One:** Set up a pre-occupancy conference with the new tenant prior to the date of move-in. Make sure you have at least an hour of uninterrupted time to talk about the lease, the move-in process and next steps in terms of developing a family assessment and support plan. There will be four main tasks that are accomplished at this conference:

1. Execute the lease.
2. Collect the rent.
3. Collect the security deposit.
4. Confirm the move-in date.

**Step Two:** Prepare the preoccupancy file, which will include:

- lease
- verified income
- tenant rent calculation form
- directions for move-in
- furnishings form
- move-in form
- tenant move-in packet

**Step Three:** Present the lease. Leases can be formidable documents, especially to someone with language or literacy limitations. (If the tenant has limited English proficiency, you might suggest they bring an interpreter, or consider translating leases for the purpose of discussion.) Try to ensure the lease documents you use are written as much as possible in “lay” language. It is your responsibility to make sure that the tenant has a clear understanding of each provision in the lease before it is executed. This requires you to be well-versed on your lease and have a thorough understanding of its terms and interpretation. You may want to secure additional services from your attorney to create a script for you to use in going through the lease with prospective tenants. In general there are four main points to the lease:

1. Management permissions
2. Tenant Responsibilities
3. House Rules
4. Rent Collection



**Management Permissions:** These are clauses and references to the need for tenants to gain permission from property management (owner) when making changes or modifications to the unit. This could include painting, decorating or any alterations (especially like changing the locks on the doors). It is important to define this expectation carefully. The lease could refer to a supplement form that spells out what requires management permission. It will be helpful to include a process that documents the permissions requested and granted. Be sure to fully inform the tenant of the requirements of this section and the procedures they must go through.

**Tenant Responsibilities:** This section of the lease may be also further expanded (if referenced) in a tenant handbook, which should be given to the tenant at this time. It is especially important to help tenants understand what is appropriate tenant behavior and what could possibly jeopardize their tenancy. This section can also be further defined in the next section, on House Rules.

**House Rules:** If your project has house rules, you will want them noted in the lease (either in full, or as referenced). House rules must be clearly stated with consequences stipulated when necessary. House rules would govern the collective behavior of the community, such as: no-pet policies, security policies, policies and procedures regarding maintenance requests, expectations of respectful residency behavior, etc. House rules may include the actions of the children as well as adults.

**Rent Collection:** Before the tenant moves in, the preoccupancy conference is the perfect time to inform and establish the rent collection policy and process. Tenants should learn how their rent is calculated; what to do when there are changes in income; expectations for when rent is due; and the consequences for late payments.

**Step Four:** Execute the lease. Both the tenant and the owner (or representative) sign the lease. The tenant should get a copy and a copy should go into the tenant's file.

**Step Five:** Prepare for move-in. The tenant should learn where and how to gain access to the apartment's keys. They should be told if there is a required deposit before picking up keys. Tenant should be informed on the prohibition of duplicating keys or distributing keys to non-lease members. In addition, the tenant should receive their initial move-in packet, which can include:

- copy of lease and any supplemental information associated with the lease;
- copy of the house rules;
- copy of the rent calculation form;
- copy of key policy;
- information on how to move furniture into the building (if it requires access to a special elevator or entrance);
- unit move-in inspection form;



- appointment date for move-in inspection with staff; and
- Tenant handbook or general supportive housing information.

The tenant should schedule the date for move-in and when to meet staff for the move-in inspection. In addition, an appointment should be scheduled to complete the family's needs assessment and supportive service plan. Tenant should be introduced to the supportive service staff assigned to them at this meeting.

The tenant may have immediate move-in assistance needs. They may need furnishings, food and supplies. (See exhibit 6-M: Initial Move-In Tenant Questionnaire.) These needs should be identified at this time, with a plan for ensuring resolution by move-in.





## Exhibit 6-M: Initial Move-In Tenant Questionnaire

Name of Tenant: \_\_\_\_\_

Address: \_\_\_\_\_

Unit to Be Occupied: \_\_\_\_\_

Number of Bedrooms: \_\_\_\_\_

Number of Occupants:

\_\_\_\_\_ adults

\_\_\_\_\_ children (note ages)

Furniture Needs: \_\_\_\_\_

Living Room:

\_\_\_\_\_ couch

\_\_\_\_\_ living room chairs (2)

\_\_\_\_\_ end tables (2)

\_\_\_\_\_ coffee table

\_\_\_\_\_ bookcase

\_\_\_\_\_ lamps (2)

Dining Room:

\_\_\_\_\_ table

\_\_\_\_\_ chairs (# \_\_\_\_\_)

Kitchen:

\_\_\_\_\_ dishes (place settings for # \_\_\_\_\_ people)

\_\_\_\_\_ silverware (place settings for # \_\_\_\_\_ people)

\_\_\_\_\_ one large pot and lid

\_\_\_\_\_ set of drinking glasses (# \_\_\_\_\_)

\_\_\_\_\_ three smaller soup and saucepans and lids

\_\_\_\_\_ set of baking dishes

\_\_\_\_\_ set of six storage containers

\_\_\_\_\_ cooking utensils

\_\_\_\_\_ set of general kitchen utensils



- \_\_\_\_\_ water/juice pitchers (2)
- \_\_\_\_\_ kitchen garbage can and lid

Bedroom One:

- \_\_\_\_\_ bed (full-size)
- \_\_\_\_\_ dresser
- \_\_\_\_\_ end table
- \_\_\_\_\_ lamps
- \_\_\_\_\_ chair
- \_\_\_\_\_ small trash can

Bedroom Two:

- \_\_\_\_\_ beds (tied to occupancy)
- \_\_\_\_\_ end table per bed
- \_\_\_\_\_ lamps
- \_\_\_\_\_ chair
- \_\_\_\_\_ dressers for each bed
- \_\_\_\_\_ small trash can

Bedroom Three:

- \_\_\_\_\_ beds (tied to occupancy)
- \_\_\_\_\_ end table per bed
- \_\_\_\_\_ lamps
- \_\_\_\_\_ chair
- \_\_\_\_\_ dressers for each bed
- \_\_\_\_\_ small trash can

Bedroom Four:

- \_\_\_\_\_ beds (tied to occupancy)
- \_\_\_\_\_ end table per bed
- \_\_\_\_\_ lamps
- \_\_\_\_\_ chair
- \_\_\_\_\_ dressers for each bed
- \_\_\_\_\_ small trash can



Bathroom:

- \_\_\_\_\_ shower curtain and rod
- \_\_\_\_\_ hand soap
- \_\_\_\_\_ shampoo
- \_\_\_\_\_ toothpaste and brushes (#\_\_\_\_\_ people)
- \_\_\_\_\_ small trash can

Household Supplies:

- \_\_\_\_\_ extension cord (1)
- \_\_\_\_\_ starter kit of kitchen supplies:
  - dish cloths
  - dish towels
  - dish scrubber
  - box trash bags
  - dish detergent (hand and machine)
  - bucket
  - mop
  - dust mop
  - broom and dustpan
  - all purpose cleaning agent
  - recycling kit
- \_\_\_\_\_ window coverings for unit, including hardware
- \_\_\_\_\_ childproof electrical socket covers
- \_\_\_\_\_ pantry starter-kit:
  - flour
  - salt
  - pepper
  - cooking oil
  - beans/lentils
  - pasta
  - tomato sauces
  - pancake mix
  - pancake syrup
  - peanut butter
  - jelly
  - condiments
  - spices



Experience with Residential Equipment:

- \_\_\_\_\_ has used and is familiar with garbage disposal systems
- \_\_\_\_\_ knows how to clean and defrost refrigerator/freezer
- \_\_\_\_\_ knows how to clean stove burners, oven and broiler pan
- \_\_\_\_\_ knows how to clean bathroom fixtures (if special)
- \_\_\_\_\_ knows where the water turn-off valve is and how to turn it off
- \_\_\_\_\_ knows how to operate washer and dryer in laundry room
- \_\_\_\_\_ knows how to adjust thermostat (if accessible)
- \_\_\_\_\_ is familiar with and agrees to the policies associated with the security system
- \_\_\_\_\_ is familiar with and agrees to the policies associated with the smoke detector
- \_\_\_\_\_ understands and knows how to use the GFI outlet, if triggered

Experience/Knowledge of Energy Conservation/Recycling Issues:

- \_\_\_\_\_ understands and agrees to implement project recycling standards
- \_\_\_\_\_ agrees to contact maintenance if heating is not adequately controlled; agrees not to open windows to offset heat
- \_\_\_\_\_ understands and agrees to water-saving standards





# Exhibit 6-N: Apartment Condition Checklist<sup>1</sup>

Tenant's Name: \_\_\_\_\_

Apartment Number: \_\_\_\_\_

Apartment Size: \_\_\_\_\_

Date of Move-In: \_\_\_\_\_ Inspector: \_\_\_\_\_

Date of Move-Out: \_\_\_\_\_

Item	Move-In Condition	Move-Out Condition	Cost of Repair/Replacement
Entry Area/Door			
Front Door Lock			
<i>Demonstrate lock. Have tenant lock and unlock the door.</i>			
Smoke Detectors			
<i>Show the tenant the detector. Make sure they understand it only detects smoke and that the unit should not be tampered with for any reason.</i>			
Heat Detector			
<i>Detects heat and flames and will activate at 135 degrees Fahrenheit.</i>			
Sprinkler			
Walls			
Lights/Globe			
Phone/Intercom			
<i>If applicable. Demonstrate the use of the phone service at their own expense. The phone is the property of the project. Tenants can request phone service at their own expense.</i>			
Windows			
<i>Open and close the windows. Lock and unlock the windows. If appropriate: Washing the windows is the tenant's responsibility.</i>			
Screens			
<i>Screens should not be removed.</i>			
Blinds			
<i>Demonstrate how to brighten and darken room and raise and lower blinds. Windows should not be left open when blinds are down.</i>			
Kitchen Sink			
<i>Demonstrate how to use hot and cold water and explain energy-efficient faucets (if applicable). Food and garbage should not be disposed of in the sink. Clean sink with detergent and water and use Comet on stains.</i>			
Cabinets Stove/Cook Top			
<i>Turn the oven on and off, turn each burner on and off.</i>			
Refrigerator			
<i>Make sure it is working. Show tenant the different compartments. Temperature dial should be set at "normal." Energy efficiency dial should be "off" in the winter and "on" in the summer.</i>			
Countertops			
<i>Clean with Soft Scrub or another gentle cleanser—do not use Comet or Ajax.</i>			



Item	Move-In Condition	Move-Out Condition	Cost of Repair/Replacement
Backsplash			
<i>Clean the surface with a cleanser like Fantastic</i>			
GFI Outlet			
<i>These help protect against electrical shock. Demonstrate how to reset the outlet.</i>			
Regular Outlets			
Unit Floor			
<i>Remind tenant to vacuum carpet or to clean vinyl tile floors with a regular floor cleaner.</i>			
Closets/Wardrobe			
<i>Discuss whether there is access to additional storage in the building.</i>			
Furnishings			
<i>See attached list.</i>			
Bathroom Door			
Bathroom Door Lock			
<i>Demonstrate the locking mechanism.</i>			
Bathroom Floor			
<i>Discuss surface material and cleaning instructions.</i>			
Tub/Shower			
<i>Turn the water on/off and demonstrate the use of the hot and cold water. The tub stopper is not removable.</i>			
Sink			
<i>Explain the energy-efficient faucets.</i>			
Toilet			
<i>Flush the toilet. If appropriate, explain the low water level in the toilet.</i>			
Medicine Cabinet			
Shelves			
TP Dispenser			
Bathroom Walls			
Bathroom Windows			
Bathroom Screen			
Exhaust Fan			
<i>The fan is hooked up to the light switch — remind tenant to leave it on for approximately 15 minutes after bathing but not for several hours.</i>			
Bedroom One			
Door			
Door Lock			
Walls			
Window			
Window Lock			
Screens			
Ceiling			
Ceiling Light			
Floor			
Closet			
Bedroom Two			
Door Lock			
Walls			
Window			



Item	Move-In Condition	Move-Out Condition	Cost of Repair/Replacement
Window Lock			
Screens			
Ceiling			
Ceiling Light			
Floor			
Closet			
Bedroom Three			
Door Lock			
Walls			
Window			
Window Lock			
Screens			
Ceiling			
Ceiling Light			
Floor			
Closet			
Bedroom Four			
Door Lock			
Walls			
Window			
Window Lock			
Screens			
Ceiling			
Ceiling Light			
Floor			
Closet			
Other: (Describe)			
Other: (Describe)			
Other: (Describe)			

I understand that the above-listed items are supplied for my use by \_\_\_\_\_ (project name) during my tenancy at their properties. These items remain the property of \_\_\_\_\_ (project name) upon termination of my lease. I agree to be responsible for any damages to these items beyond normal wear and tear. I acknowledge that I have received an orientation to the areas/items above. I also understand that all costs are estimates and I will be charged the actual replacement cost to the owner.

Agree: \_\_\_\_\_  
(Tenant Signature)

Date: \_\_\_\_\_

Apartment Number: \_\_\_\_\_

I Modified from a sample format used by Lakefront SRO, Chicago Illinois





## **Exhibit 6-O: Sample File Maintenance System<sup>1</sup>**

### **Side 1: Current Year and Current Lease**

- Current Lease
- Lease Addendum (where applicable)
- Release of Information (HUD forms)
- Subsidy Rider (where applicable)
- 50059 (current annual and all current interim)
- Income Verification
- Medical Expense Documentation
- Banking Statements
- Low-Income Lease Rider
- Zero Income Verification (where applicable)
- Tenant Certification
- Capital Assets/Students
- Lease Addendum for Drug-Free Housing
- Family Responsibility Lease Addendum (where applicable)
- Moderate Rehab Lease Addendum (where applicable)

### **Side 2: One-Time Documents (move-in documents)**

- Tenant Profile Form
- Air Conditioner Rider
- Telephone Rider
- Unit Inspection Form
- Furnishings Form
- Initial Notice of Annual Recertification
- Building Rules
- Audit Checklist
- Section 8 Housing Assistance Payments Form

### **Sides 3 and 4: Old Recertifications and Leases**

Oldest on bottom, most recent on top  
Staple each year's information together, separate from the other years.



## **Side 5: Internal Property Management Papers**

Billing Notices  
Adjustments to File  
Security Interest Forms

## **Side 6: Applicant Information (application documents)**

Tenant Application  
Picture ID  
Birth Certificate  
Social Security Card  
Tenant Alien Card and Information (where applicable)  
Declaration of Citizenship (where applicable)  
Marriage License/Divorce Papers (where applicable)  
Medical Card  
Homelessness Verification  
Things You Should Know Form  
Income Verifications (employers, etc.)  
Previous Landlord Verifications  
HUD 9887A form  
Credit Check  
Tenant Screening Sheet

## **Suggestions for Organizing Tenant Files**

1. Staple lease packets together for old recerts before putting into the middle of the folder. This way we know which forms go together.
2. If the tenant's copy of the forms come to Occupancy, return them to the tenant.
3. Don't put duplicates of forms in the files.
4. Fold up long forms so nothing sticks out over the end of the file. Not only does this look better but the forms last longer and are more legible, and the unit numbers are visible.

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<sup>1</sup> Adapted from the file maintenance system used by Lakefront SRO.





## **Exhibit 6-P: Safety Tips for Management Staff and Tenants**

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### **Safety Tips for Management Staff**

- |   |  |
|---|--|
| Bathroom  | <ul style="list-style-type: none"><li>■ Install well-anchored grab-rails for toilets, bathtubs and showers (for disabled tenants).</li><li>■ Insulate electric pull chains.</li><li>■ Ensure electrical outlets are ground default.</li></ul>  |
| Stairways, Halls and Entrances, Doors and Windows | <ul style="list-style-type: none"><li>■ Light all stairways and halls adequately.</li><li>■ Provide railings and banisters (not too broad or close to the wall) and keep them in good repair.</li><li>■ Fasten rugs and carpeting securely.</li><li>■ Use non-skid tread on stairs.</li><li>■ Keep stairways and halls free of toys, brooms, pails and all other loose articles.</li><li>■ Paint top and bottom steps in easily seen colors, or put brightly colored tap on their edges.</li><li>■ Remove raised doorsills (or, if removal isn't practical, treat them like top and bottom steps in a stairway and use bright colors to make them highly visible).</li><li>■ Replace window, door and other glass with plastic or safety glass (even if not required by building and housing codes).</li></ul> |
| Outside the Building                              | <ul style="list-style-type: none"><li>■ Keep all walks and stairs free of ice, snow and wet leaves.</li><li>■ Keep walks, stairs and yards free of broken glass, rusty wire and other dangerous litter.</li><li>■ In all areas where people walk—both lawns and walkways—keep shrubs and trees trimmed to avoid cuts, scratches, and head and eye injuries.</li><li>■ Fill lawn holes.</li></ul>   |



Attic, Utility Room,  
Basement and Garage

- If you use clotheslines, either keep them folded up when they're not in use or keep the lines above people's heads.
- Throw trash out regularly—don't let rubbish and inflammable litter accumulate.
- Provide adequate lighting.
- Provide metal containers for ashes.
- Store all sharp tools out of the reach of children.
- Open garage doors whenever running a gasoline motor inside.
- Keep all ladders in good repair.
- Install regulator on central water heater.
- Protect all electric circuits with proper-size fuses.
- Keep flashlight handy to inspect gas meter, fuse box or oil heater.
- Keep all power tools lubricated and free of dust, sawdust, etc.
- Store paints, oil cleaners and wash and polish cloths in tightly capped metal cases, away from heat.
- Don't keep paint or oily rags after use—they can ignite spontaneously.

Throughout the Home  
and the Development

- Keep a good first-aid kit available.
- Make sure fire extinguishers are readily available, properly charged and ready to use.
- Mark poisons and keep them out of children's reach.
- If any windows are less than 30 inches from the floor, put guardrails in front of them to keep things and people from falling out.
- Put nonskid pads under all rugs (except wall-to-wall carpeting), especially small ones, such as runners and throw rugs.
- Keep electric cords clear of passageways.
- When unplugging an electrical cord, always hold the plug itself; never pull the wire.
- Unplug lamps before changing bulbs.
- Don't overload wiring with too many appliances on one outlet.



- When a fuse or circuit breaker blows, correct the cause of the overload; never just bypass the system.
- Inspect all flues, pipes and chimneys regularly.
- Use nonflammable, flame-resistant or flame-retardant fabrics in rugs, draperies and furniture coverings.

## Safety Tips for Tenants

### Kitchen

- Keep the floors clean and dry at all times.
- Keep handles of cooking utensils turned inward on the stove.
- Use a sturdy ladder when reaching into high cabinets.
- Keep matches in a metal container and away from children.
- Keep curtains secure to prevent them from blowing near the stove.
- Keep electrical appliances away from sinks.
- Keep knives and scissors sheathed and away from small children.
- Store cleaning fluids and strong washing compounds out of the reach of children.
- When grease spills on stoves and floors, clean it up immediately.

### Bathroom

- Use nonskid mats in shower and tub and on floor.
- Store and dispose of razor blades in closed containers.
- Provide a sturdy stool for small children using the sink.
- Avoid using electrical appliances near anything wet.
- Clean out medicine cabinets regularly. Label all medicines clearly.

### Stairways, Halls and Entrances, Doors and Windows

- Light all stairways and halls adequately.
- Fasten rugs and carpeting securely.
- Use nonskid tread on stairs.
- Keep stairways and halls free of toys, brooms, pails and all other loose articles.



- Use gates at the head and foot of stairways to protect small children (in houses or apartments with more than one floor).
  - Paint top and bottom steps in easily seen colors, or put brightly colored tape on their edges.
- Outside the Building
- If you have clotheslines, either keep them folded up when they're not in use, or keep the lines above people's heads.
- Bedroom
- Use side guards on children's beds to keep them from falling out.
  - Turn off or properly adjust heating pads and other electrical appliances before going to bed.
  - Don't leave shoes and clothing where someone might trip over them.
  - Never smoke in bed.
  - Put lamps or light switches near beds to be reached safely in the dark.
  - Keep flashlight handy for emergencies.
  - Wear nonflammable nightclothes.
- Living Room
- Arrange furniture to allow for passage in the dark.
  - Keep all chairs and other furniture in good repair.
  - Provide ashtrays for cigarettes.
- Attic, Utility Room,  
Basement and Garage
- Throw trash out regularly—don't let rubbish and inflammable litter accumulate.
  - Store all sharp tools out of the reach of children.
  - Open garage doors whenever running a gasoline motor inside.
  - Keep all ladders in good repair.
  - Keep all power tools lubricated and free of dust, sawdust, etc.
  - Store paints, oil cleaners, and wash and polish cloths in tightly capped metal cases, away from heat.
  - Don't keep paint or oily rags after use—they can ignite spontaneously.



## Throughout the Home

- Keep a good first-aid kit available.
- Make sure home fire extinguishers are readily available, properly charged and ready to use.
- Make sure smoke detectors are properly operating.
- Mark poisons and keep them out of the reach of children.
- Put nonskid pads under all area rugs, especially small ones, like runners or throw rugs.
- Keep electrical cords clear of passageways.
- Keep electrical outlets covered if small children are present in the home.
- When unplugging an electrical cord, always hold the plug itself; never pull the wire.
- Unplug lamps before changing a bulb.
- Do not overload wiring with too many appliances on one outlet.
- When a fuse or circuit breaker blows, correct the cause of the overload; never just bypass the system.
- Leave room for air to circulate around TVs and radios.
- Never leave an iron unattended or put it away while still warm.
- Use nonflammable, flame-resistant or flame-retardant fabrics in rugs, draperies and furniture coverings.





## Chapter Seven: Implementing Your Supportive Services Plan

By this time, you will have designed your supportive services program, found staff and community agencies to provide services, arranged to develop or lease housing for program participants and selected tenants. This chapter will guide you in providing services for each family through the *family support plan*. It also discusses ways to maintain strong relationships with the agencies that will help implement the supportive services plan.

### Creating the Family Support Plan

#### Conducting a Needs Assessment

Once a family has been selected for residency, the primary service provider should meet with the parent or parents (prior to or just after move-in) to assess the family's supportive service needs. The PSP and the tenant will use this information to create the family support plan.

The assessment process is a formal process of discussing with the tenant the services they would like to support their housing and stability. The initial meeting, because it is also part of the rapport and relationship-building effort, should be in a comfortable, private setting which encourages safety and honesty. The assessment process could also be a series of meetings with the family tied to the various categories of needs.

This is not a psychological assessment of the parent or parents, nor should it take the place of more specific assessments for services, such as health examinations or children's educational assessments. Rather, the initial needs assessment allows tenants to examine their housing and family histories and identify circumstances that they would like to change.

Some tenants may feel that their experiences are not out of the ordinary and may not see a connection between homelessness and issues such as chemical dependency. Others may identify an enormous number of crises and needs that they find too overwhelming to address. The assessment will allow you and the tenant to find a middle ground: a set of needs that are directly related to the family's homelessness and can be addressed manageably through supportive services.

The assessment should cover the following areas:

- Occupancy and the family's capacity to fulfill the lease obligations;
- Employment and income stability;



- Adult education and job training needs;
- Parenting and child custody;
- Children's educational and psychological support services;
- Physical health;
- Mental health;
- Chemical health; and
- Community life within your supportive housing project.

These categories should be compatible with your service plan as outlined in Chapter Three. In Chapter Three, we discuss the process of designing an assessment. *Exhibit 3-C* offers you a sample format.

### **Creating an Effective Atmosphere**

It can be difficult for families to share their experiences of homelessness. Most homeless families must explain their situation repeatedly to service providers, often without knowing why the information is being sought and how it will be used. To make the assessment process meaningful and comfortable for the parent, the PSP should explain the assessment process and receive the tenant's consent before proceeding. Tenants should be encouraged to speak out when a request for information makes them uncomfortable or they do not understand why the information is necessary. The PSP must assure the tenant that the information is confidential and will not be shared with others without the tenant's permission.

Families who are desperate for housing often say only what they think the questioner wants to hear. The PSP will need to create a rapport with tenants that encourages them to be realistic and honest. Housing providers report that no matter what they do to convince a tenant that information requested about sobriety will not affect the family's access to housing, tenants often will deny a chemical or alcohol addiction until their behavior jeopardizes their occupancy. Therefore, the PSP may not gain all the information needed at this first meeting, and should make continual efforts during the family's initial occupancy to clarify the family's needs.

### **Identify Immediate Needs and Responses**

After the needs assessment is complete, the PSP will work with the tenant to determine which needs require immediate responses, particularly those that are necessary in order for the family to remain together and meet their lease obligations in their new home. While these immediate needs will be included the family support plan, the PSP also can work with the family to begin to address the needs before the plan is complete.

If a number of immediate needs must be addressed simultaneously, more than one service provider should be involved in developing responses.



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### Example: Involving Service Providers in Meeting Immediate Needs

Jeannine lives in Community Housing, a family supportive housing development. She has three children, including twins in foster care. Jeannine moved into supportive housing after her release from a correctional facility.

Jeannine's assessment revealed a number of immediate needs. She is under pressure from the county to reunify with her children to avoid termination of her parental rights. Because of her previous incarceration, she is required to fulfill community service and probation requirements. She has filed for welfare benefits and must complete an employment readiness program, but she has limited literacy skills. She has no possessions of her own and needs furniture and other supplies. Her teenage daughter is unhappy and considering dropping out of school; her younger children are about to begin kindergarten and have never attended preschool. One of the twins has asthma and food allergies.

While all of these needs are critical, Jeannine and the PSP identified four as immediate priorities:

- Reuniting with children;
- Enrolling in the employment readiness program;
- Fulfilling community service and probation obligations; and
- Acquiring necessary furniture and supplies.

To address these needs, the PSP and Jeannine convened a meeting with the case manager from Children's Protective Services, the probation officer and the intake worker from the county welfare office—the three parties with the most power to impose consequences for Jeannine's family if circumstances did not change. The meeting also included Community Housing's on-site children's services coordinator.

The meeting yielded the following results:

- Children's Protective Services agreed to reunite Jeannine with her children in ten days and to provide child care subsidies if Community Housing would guarantee a spot for the children in the on-site child care center;
- Protective Services also agreed to send a home-visitor aide to Jeannine's apartment for the first four weeks as she settled into the housing;
- The probation officer mentioned that Jeannine had been assessed and treated for crack addiction, information that Jeannine had not revealed to Community Housing. Jeannine acknowledged that she struggled with the addiction, but seemed to have it under control at present. Jeannine and Community Housing agreed to develop a recovery support plan that would be supplemented with services from a team service provider, Park House Center for Women.
- The probation officer agreed to allow Jeannine to work at Community Housing's children's center as part of her community service requirement, provided that she begin the service within the next two weeks.



- *The county intake worker agreed to waive the employment readiness requirement until the following month.*

*In addition, the needs assessment and meeting helped the case manager from Community Housing to clarify her next steps:*

- *Follow up with Jeannine on her needs for chemical health support and arrange for her to meet with the service provider at Park Center;*
- *Arrange transportation and child care so that Jeannine could meet with Park Center staff daily during the first month of occupancy;*
- *Work with the on-site children's service coordinator to arrange for Jeannine's community service at the child care center;*
- *Follow up with Children's Protective Services to ensure that child care subsidies flow on time;*
- *Help Jeannine to secure furnishings;*
- *Meet Jeannine's new home visitor; and*
- *Help Jeannine to meet her neighbors and attend some evening social functions to give her some respite from her obligations.*

*Later, when she completed her family support plan, Jeannine also requested counseling and academic support for her older daughter to encourage her to stay in school, assistance in meeting her younger daughter's special diet related to her asthma and food allergies, assistance with clothes for all three children, literacy training for herself, and help enrolling her children in school.*

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## **Completing the Family Support Plan**

Once the tenant and PSP have identified the family's needs, they will create a family support plan to meet those needs. The plan will include the following:

- Family's immediate needs and responses to those needs;
- Family's longer-term goals in areas such as parenting or employment that were identified during the needs assessment;
- Services needed to reach those goals, including the names of service providers and a timeline for their implementation; and
- Actions that family members will take to meet each goal.

*Exhibit 7-A is an example of a completed family support plan.*



The tenant should be responsible for authoring as much of the plan as possible, particularly the family's goals and actions. The PSP's role is to provide guidance while the family creates its own plan for support, especially by suggesting appropriate services.

The plan should meet the entire family's needs and should note where goals relate to a particular family member. The plan can be organized by individual family member. Whenever possible, other family members besides the parent should participate in the development of the family plan. In particular, teenagers should be involved in identifying their own goals, services and service providers.

Note that the family support plan is a tool to help families achieve stability, not a leasing obligation. While the activities outlined in the plan will encourage behaviors that will help the family meet its lease terms, the family will not lose housing solely because it did not fulfill one of the expectations of the plan.

## Setting Goals

Tenants' goals should be clear, realistic and able to be achieved in a reasonable amount of time. For example, a tenant may decide that he or she wants to become a registered nurse as part of his or her employment goal, but he or she may currently have limited literacy skills and have yet to complete his or her GED. If the PSP and tenant outline each step necessary for him or her to become a nurse, the process could appear so overwhelming that the tenant will become discouraged about reaching any goals. Instead, the plan's objectives might be set out for the next year. The plan can note the larger goal but should focus on immediate steps to reach it; in this example, the plan might focus on improving the tenant's literacy over the following months.

The plan may consolidate actions related to several needs into a single goal statement. For example, a tenant may need transportation to reach health care services, employment and local shops. Rather than setting transportation goals in each area, he or she might set a single transportation goal as follows:

My Goal...	What service(s) I Need...	Provider	Timeline	What I Will Do...	Timeline
To be able to reach a number of areas of the community through reliable transportation	Bus schedule and map	PSP	7 days	Study the materials and ask questions if necessary	10 days
	Access to emergency transportation if my child has an asthma attack after office hours	HMO and PSP	Immediately	Call HMO and pursue resources recommended by PSP	Immediately
	Transportation for groceries	Tenant council	7 days and ongoing	Barter child care support for access to car pool	Immediate and ongoing
	Carpool to work	PSP and employer	45 days	Make request to employer and seek other employees. Pay toward gas	30 days



## **Setting Timelines**

Both the PSP and the tenant may be tempted to set overambitious timelines for accomplishing goals. However, it will be easier on the tenant and the PSP to set liberal timelines wherever possible. Outside of the needs identified as immediate priorities, much of the services will involve changing long-standing circumstances and behavior. Chronically homeless families in particular often have an avalanche of needs, each overwhelming the other. It will take time to unravel these needs and determine the responses required.

If each of the goals contains a number of activities with different timelines, such as in the example above, the plan quickly can become unwieldy for the tenant to use. Transferring the activities to a monthly calendar for each family can help the family and service providers keep track of their responsibilities.

The calendar should inspire family members, not overwhelm them. The PSP might think of creative ways to produce the calendar, such as including children's artwork and quotes to inspire and comfort tenants. In addition to services, the calendar can note community activities and on-site activities and events.

## **Identifying Service Providers**

Wherever possible, the tenant should be involved in choosing service providers for each service identified in the family support plan. If the family already works with a provider and is satisfied, the service plan should include that provider, even if it is outside of the service team you have developed. The PSP may need to meet with any outside service providers identified by the tenant to discuss the tenants' needs and the housing program. These discussions should include the tenant and require tenant approval. On the other hand, some tenants may be dissatisfied with their current service providers. The PSP may need to help renegotiate the service relationship so that the tenant is satisfied, augment the current provider's services if it delivers a mandated service such as family reunification, or help the tenant identify other providers and negotiate for services.

Initially, the tenant may be unable to identify other resources and/or providers they would like to work with on specific issues. That's where your service team comes in. As PSP you will be introducing tenants to the resources you have tapped into and included in your service plan. You will need to help tenants ease into relationships with these providers, periodically checking in with them to see if the relationship is complementary and productive. If not, it will be your function to help identify other resources for tenants, if possible.

The family support plan is a blueprint for service providers as well as families. It specifies each service provider's responsibility to the family and shows how their services interact with those of other providers. The PSP should involve outside service providers early in the family plan's development. By the time the plan is complete, each service provider identified should have spoken with the tenant, the PSP or both and agreed to the service expectations and timelines.

During the planning process, some PSPs convene case management sessions with staff from all of the various resources that will be involved in the life of the family. From that session, the group of service



providers identifies the family's needs and develops an inter-departmental plan of intervention and service. If your program conducts such meetings, we strongly advise that the family be involved to voice its opinion and acceptance of the plan.

## **Ongoing Monitoring of the Plan**

The plan will help guide the ongoing relationship between the family and the supportive housing program. The PSP should use the plan to establish a respectful relationship with the family, not to chastise the family when specific goals are not met within the timetable. The tenants should understand that while there may be real consequences to their not fulfilling the plan's intent, the PSP will continue to hold them in good esteem and will be willing to work with them to adjust the plan's expectations.

The PSP and family should revisit the plan frequently to review the family calendar and ensure that the plan continues to meet the family's needs. *Exhibit 7-B* is a progress report that the tenant and the PSP can fill out to update the plan and to determine whether the service providers and family are able to meet their responsibilities. Completing the progress form can be a helpful way of encouraging the tenant's commitment to the work involved. How often you chart the form depends on the complexity of the goals and how often you feel the tenant needs the support of a concrete experience marking and celebrating accomplishments. If the support plan is complicated, regular referral to it in the program format can help to unravel the complexity.

Examples of times the plan must be adjusted include the following:

- A tenant is avoiding contact with the PSP. The PSP learns that the family is not completing the actions called for in the plan. The plan may seem less important now that the family has housing, or the parent(s) may be overwhelmed by responsibilities and ashamed that he or she cannot meet the plan's obligations. The PSP and tenant should reevaluate the plan, perhaps reducing the number of obligations that are not immediately related to the family's retaining housing.
- The plan meets the needs of the parent(s), but other family members have unmet needs. The plan may need to be adjusted to include more support for other family members. At times, these new actions may come into conflict with the case manager's relationship with the parent(s). At these times, the PSP may need to assign separate staff to the children and arrange for collective meetings which include the affected family members and their support staff contact to ensure coordination of services.

## **Using the Plan to Evaluate Services**

In addition to providing benchmarks for the tenants' progress, the family plan is useful in evaluating the quality of services provided by supportive housing staff and outside agencies. The progress report provided in *Exhibit 7-B* will help determine the effectiveness of services received by each family.

Tenants can provide enormously helpful information about the quality of services. They can indicate whether the service provider treated them respectfully and what resulted from the service: they met their goals, they accomplished more than expected, and so forth.



The PSP may wish to create a database that tracks the results of services based on progress reported by families. This database should show the number of referrals to service team members, the number of referrals to community resources, summary of tenant accomplishments, information regarding barriers to service, timing of the service delivery, tenant satisfaction feedback, etc. The database can assist the PSP in identifying common service needs across the tenant population, service gaps and needs for additional staff training or personnel. Combining information from a number of tenants' progress reports also can help staff determine the type of progress that is realistic to expect of families.

The family plan creates expectations for service providers as well as the family. The family will watch the service providers closely and may dismiss its own responsibilities if it sees that the service providers do not follow through on obligations. The PSP and other service providers must think carefully about what they can promise realistically, and they must take responsibility when services need to change.

## **Maintaining Relationships with Service Providers**

In *Chapter Three*, we discussed in depth the importance of building a team of service providers that share your philosophy of supportive housing. The supportive housing provider and other service providers must agree on protocols of service response to tenants, means of communicating results, case management philosophy, and standards of conduct and treatment of tenants. This agreement should be reflected in a formal document that includes measures for resolving conflicts and training and supervising staff to fulfill the agreement.

### **Communication with Service Staff**

Ongoing communication will be essential to maintaining your relationship with outside service providers. We recommend that the PSP schedule regular meetings with all staff involved in the program to discuss the following:

- Referral protocols;
- Staff relationships;
- Program information;
- General trends among tenants that could affect service delivery;
- Barriers tenants experience as they attempt to access services, and barriers to tenant success, as well as ideas for resolving them; and
- Ideas for improving service delivery.

The PSP must also maintain regular contact with supervisors from outside service agencies regarding their staffs' development and training needs. While the PSP will not be supervising these staff members, it should notify agencies of the quality of staff interaction with tenants and other members of the team.



In addition to meetings, the PSP should request service providers' feedback to ensure that they are satisfied with their relationships with the program and its tenants. *Exhibit 7-C* provides a sample survey to be sent to providers.

## **Ending a Service Relationship**

At times, the services provided by a team member will not be adequate. The PSP may receive several complaints from tenants that remain unresolved. The agency may have difficulty working in collaboration with other service team members, or they may not have the capacity to accommodate service requests in a timely manner. Because the PSP is ultimately responsible for ensuring the quality of services, it may be forced to limit or end the participation of a service team member.

The decision to end a relationship with a service provider should not be made lightly. Terminating a relationship may present a number of difficulties for the supportive housing program:

- The service may not be available from another local agency;
- Ending the relationship with one service provider may cause the loss of another if they are from the same organization or closely linked;
- The funding for the service may have been linked to the use of that particular service provider;
- The supportive housing program may lose community support from those who are closely linked with the other agency; and
- While some of your tenants may have had poor relationships with that service provider, others may feel strongly that they would like to continue working with the provider.

If you decide that it is necessary to end a relationship with a service team member, be sure to identify ways to replace any services, funding and community support that might be lost.





## Exhibit 7-A: Family Support Plan

(Please note: The examples below reflect the various types of responses to needs for services and do not necessarily reflect an example of a single family.)

Tenants' Names: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Date at Move-In: \_\_\_\_\_

Case Manager: \_\_\_\_\_

### Special Needs:

\_\_\_\_\_ Literacy Support

\_\_\_\_\_ Translation Services—specify language: \_\_\_\_\_

\_\_\_\_\_ Special accommodation due to disability—specify: \_\_\_\_\_

\_\_\_\_\_ Other—specify: \_\_\_\_\_

### Immediate/Emergency Response:

Need	Response	Provider	Timeline	On-/ Off- Site	Special Issues
Furnishing	Fill out furnishings form. Send to Access Open Door store. Arrange trip to AOD. Identify what AOD doesn't have. Send to United Faith Community. Arrange for a meeting with director	PSP	Aug 1 Aug 1 Aug 3 Aug 3 Aug 3 Aug 3	On On On Off On On	Does not have transportation or pickup capacity
Welfare compliance issues	Arrange for meeting with intake supervisor. Offer access to on-site work readiness program. Arrange for a special needs assessment	PSP PSP PSP	Aug 1 Aug 7 Aug 7	On Off Off	Would like CM to attend meeting and advocate
Access mental health services for Beth	Contact county MH services intake. Arrange for mental health assessment. Provide transportation. Provide child care. Provide support and advocacy	MH Com Service Adv.	Aug 1 ASAP  tied to apt.	Off Off  On On Off	
Other...					



My Goals For:

### Leasing and Occupancy:

My Goal...	What Service(s) I Need...	Provider	Timeline	What I Will Do...	Timeline
To avoid late rent payments	Personal budgeting	PSP	15 days	Attend budgeting sessions. Practice what I learn. Show ___ my work	15 days. Ongoing. End of each week
	An escrowing account so I can build up my rent savings	PSP	30 days	Bring in 50% of rent 2 weeks before due and place in acct.	15th of each month
	A reminder	PM	Ongoing	I will follow through and, by sixth month, not need a reminder	Ongoing and, in 180 days, reevaluate

### Employment and Income Stability:

My Goal...	What Service(s) I Need...	Provider	Timeline	What I Will Do...	Timeline
Comply with welfare requirements	Employment assessment	Work Readiness Center	7 days	Attend session, complete assessment honestly	7 days
	Apply for a work waiver to attend literacy class	PSP	10 days	Attend literacy classes held M-Th on-site	10 days
	Develop work readiness plan	PSP	30 days	Actively participate and follow through on plan	30 days



## Parenting and Child Custody Issues:

My Goal...	What Service(s) I Need...	Provider	Timeline	What I Will Do...	Timeline
Reunite with Thomas and Cerina	Assistance working with CPS	PSP	30 days	Meet with CPS staff, identify what I must do to comply with their requirements	
	Assistance with sobriety	Park Center	Immediately	Attend intro class. Create a sobriety plan. Ask for and meet with mentor. Attend on-site support meetings	Immediate. 10 days. 10 days. 15 days
	Assistance with becoming the mom I want to be	Women's Support Team	Immediately	Attend parent classes for reunited families. Attend weekend class on special issues of parents in recovery. Get involved in their family activities	August 25-27 September Ongoing, beginning in September

## Children's Support Services:

My Goal...	What Service(s) I Need...	Provider	Timeline	What I Will Do...	Timeline
Enroll children in school.	Assistance in getting records from past school	Children's Center staff	60 days	Fill out paperwork and authorize request	15 days
	Assistance in evaluating the different programs and schools available	Children Center staff	30 days	Work with Children's Center staff and ask questions about what doesn't make sense to me	30 days
	Assistance in touring the schools	PSP transportation Children's Center staff	30 days	Attend tours, prepare my questions with Children's Center staff	30 days
	Meet with school administrators about children's special needs	Children's Center staff	45 days	Attend meetings. Ask questions. Make decision about which schools. Request IEP and other assessments	45 days 45 days 45 days
	Assistance with preparing children for school: academically, clothes, etc.	PSP: Clothes and supplies. Children's Center staff: classroom prep	45 days 15 days	Prepare a list of clothing needs. Pursue referrals from PSP. Enroll children in school prep classes during the summer	30 days 45 days 15 days



## Children's Support Services (continued):

My Goal...	What Service(s) I Need...	Provider	Timeline	What I Will Do...	Timeline
Missy would like to join Girl Scouts and attend summer camp	Missy needs help finding a program. Mom needs help filling out the paperwork. Missy needs to find a uniform and manual.	PSP: Center's Center staff.	30 days	Missy will work with Center's staff and Mom to choose the program she wants. Mom will follow through with the paperwork.  Missy will be ready for the bus after school	15-30 days
		Mom will assist. Clark Methodist Church: clothes closet.	45 days 30 days		45 days
	Missy needs scholarship for camping costs.	PSP	45 days		45 days
	Missy needs transportation to and from	PSP	Ongoing		Ongoing
Jason needs assistance with resolving his community service requirements	Needs to find eligible community service opportunity close to home.	PSP will design a community service project with the local parks program. Children's Center staff will work with Jason to negotiate with his probation officer	7 days	Jason will take a lead role in pursuing a meeting with probation office. Jason will have perfect, on-time attendance for a minimum of 15 days of community service work	5 days
	Needs his probation officer to agree		10 days		10 days and ongoing

## Physical Health:

My Goal...	What Service(s) I Need...	Provider	Timeline	What I Will Do...	Timeline
Assure myself that the children are healthy	Health care clinic visit for each child	Assigned HMO PSP for transportation	30 days	Call the clinic and make appointments. Attend appointments	5 days 30 days
	Update children's immunizations	HMO	30 days	Make sure the children make the appointments	30 days
	Have children screened for lead	County lead project. PSP for transportation	45 days	Call for the appointments. Make sure the children make the appointments. Attend the parent information session on effects of lead	45 days
	Get advice on meal planning for obesity	Children's Center on-site	15 days	Attend Monday night parent session on meal planning	3rd Monday in August
	Get advice on managing asthma	HMO and Children's Center (on-site)	15 days	Schedule meeting with pediatrician and asthma specialist (HMO). Attend meeting on respiratory illness at C. Center	7 days 2nd Wednesday in September



## Mental Health:

My Goal...	What Service(s) I Need...	Provider	Timeline	What I Will Do...	Timeline
Follow up on Beth's assessment	Support for navigating services available	MH Com Services	Immediate	Pursue the resources identified. Encourage Beth's follow through. Attend sessions with Beth as requested	Immediate and ongoing
	Assistance in demonstrating eligibility	MH Com Services	Immediate	Fill out paperwork, pursue county authorizations, if needed	Immediate and ongoing as required
	Transportation assistance to make sure Beth gets to appointments	PSP	Ongoing	Make sure Beth is ready on time. Accompany her as requested	Immediate and ongoing

## Chemical Health:

My Goal...	What Service(s) I Need...	Provider	Timeline	What I Will Do...	Timeline
Pursue and maintain my recovery	Access to on-site and weekly support group	PSP	Immediate and ongoing	Attend sessions. Seek advice if sessions are not supportive	Immediate and ongoing
Assess Thomas for chemical dependency	Work with CPS on accessing an assessment before we are reunited	CPS and PSP	30 days	Meet with assessor	30 days
	Pursue recommendations of the assessment	PSP will help find resources based on assessment	45 days	Work with PSP to select resources per the assessment	45 days
	Reassess family support plan post-assessment	PSP case manager	45 days	Work with case manager and redesign family support plan, if necessary	45 days



## Community Life:

My Goal...	What Service(s) I Need...	Provider	Timeline	What I Will Do...	Timeline
I want to be a part of a community on-site where the tenants become a special network of friends	Encouragement to take the steps to meet tenants. Opportunities to meet tenants socially	PSP Children's Center	Ongoing	Attend PSP planned functions.  Join parents night out group	ongoing
I am interested in being on the Children's Center parent board	Assistance with the process of getting involved with the Children's Center	Children's Center staff	Beginning fall session	Attend parent night. Sign up for volunteer activities.  Attend class aid instruction	1st Tuesday, Sept., within 15 days of parent night. Last Saturday of the month
	Work at the Children's Center as part of my employment plan	Children's Center staff	Fall 2000	Volunteer for 6 months. Meet with CC director for an interview. Identify what I need to work on and seek support and experience	6 months 3-6 months 3-6 months
Make sure my children are accepted into the community	Assistance with helping my children create friendships	Children's Center	30 days and ongoing	Meet regularly with CC staff	30 days and ongoing
Make sure my children build friendships among kids at school	Assistance with onsite activities that my children can invite others to. Assistance with transportation and fees so children can attend extracurricular activities	Children's Center staff  PSP for transportation	30 days and ongoing	Volunteer in center when they have events. Support requests for sleep-overs. Complete paper work for extracurricular events at school. Attend when possible	30 days and ongoing

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Tenant)

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Case Manager)

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Service Provider)





# Exhibit 7-B:

## Family Support Plan - Progress Form

Name: \_\_\_\_\_

Case Manager: \_\_\_\_\_

Meeting Date: \_\_\_\_\_

### Special Needs:

Issue	Response	Resolved/ in Progress	Difficulties to be Addressed
1.			
2.			
3.			
4.			

Ideas for better support: \_\_\_\_\_  
\_\_\_\_\_

### Ideas for better follow-through (tenant/service provider):

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

### As I worked on my plan I felt:

- \_\_\_\_\_ satisfied and clear about my goals and activities
- \_\_\_\_\_ confused about what I was supposed to do
- \_\_\_\_\_ I knew what I was supposed to do, but didn't know how to do it
- \_\_\_\_\_ distracted by other things in my life and didn't get to it
- \_\_\_\_\_ the service provider was responsive and helped me to accomplish my goal



\_\_\_\_\_ the service provider was unresponsive and I felt:

\_\_\_\_\_ confused

\_\_\_\_\_ ignored

\_\_\_\_\_ disrespected (explain): \_\_\_\_\_

\_\_\_\_\_ other (describe): \_\_\_\_\_

I have new emergency needs that have not been identified in my plan and need to be included:

**Immediate/Emergency Response:**

Need	Response	Provider	Timeline	On/ Off-Site	Special Issues

The following is the progress I've made on my plan:

**Leasing and Occupancy:**

The services I received:

\_\_\_\_\_ met my needs and the time frame

\_\_\_\_\_ did not meet my needs but fit the time frame

\_\_\_\_\_ did not meet my needs and did not fit the time frame

\_\_\_\_\_ other (describe): \_\_\_\_\_

The service provider could better serve me by:

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_



**My actions:**

- \_\_\_\_\_ fulfilled my plan's expectations and met the time frame
- \_\_\_\_\_ fulfilled my plan's expectations but did not fit the time frame. Why? \_\_\_\_\_  
\_\_\_\_\_
- \_\_\_\_\_ did not fulfill my plan's expectations. Why? \_\_\_\_\_
- \_\_\_\_\_ other (describe): \_\_\_\_\_

**I need help with the following:**

*(identify how you could be assisted in meeting your obligations in the plan)*

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**Employment and Income Stability:**

**The services I received:**

- \_\_\_\_\_ met my needs and the time frame
- \_\_\_\_\_ did not meet my needs but fit the time frame
- \_\_\_\_\_ did not meet my needs and did not fit the time frame
- \_\_\_\_\_ other (describe): \_\_\_\_\_

**The service provider could better serve me by:**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**My actions:**

- \_\_\_\_\_ fulfilled my plan's expectations and met the time frame
- \_\_\_\_\_ fulfilled my plan's expectations but did not fit the time frame. Why? \_\_\_\_\_  
\_\_\_\_\_
- \_\_\_\_\_ did not fulfill my plan's expectations. Why? \_\_\_\_\_
- \_\_\_\_\_ other (describe): \_\_\_\_\_



**I need help with the following:**

*(identify how you could be assisted in meeting your obligations in the plan)*

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**Parenting and Child Custody Issues:**

**The services I received:**

- \_\_\_\_\_ met my needs and the time frame
- \_\_\_\_\_ did not meet my needs but fit the time frame
- \_\_\_\_\_ did not meet my needs and did not fit the time frame
- \_\_\_\_\_ other (describe): \_\_\_\_\_

**The service provider could better serve me by:**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**My actions:**

- \_\_\_\_\_ fulfilled my plan's expectations and met the time frame
- \_\_\_\_\_ fulfilled my plan's expectations but did not fit the time frame.. Why? \_\_\_\_\_  
\_\_\_\_\_
- \_\_\_\_\_ did not fulfill my plan's expectations. Why? \_\_\_\_\_
- \_\_\_\_\_ other (describe): \_\_\_\_\_

**I need help with the following:**

*(identify how you could be assisted in meeting your obligations in the plan)*

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_



**Children’s Support Services:**

The services I received:

- \_\_\_\_\_ met my needs and the time frame
- \_\_\_\_\_ did not meet my needs but fit the time frame
- \_\_\_\_\_ did not meet my needs and did not fit the time frame
- \_\_\_\_\_ other (describe): \_\_\_\_\_

The service provider could better serve me by:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

My actions:

- \_\_\_\_\_ fulfilled my plan’s expectations and met the time frame
- \_\_\_\_\_ fulfilled my plan’s expectations but did not fit the time frame. Why? \_\_\_\_\_  
\_\_\_\_\_
- \_\_\_\_\_ did not fulfill my plan’s expectations. Why? \_\_\_\_\_
- \_\_\_\_\_ other (describe): \_\_\_\_\_

I need help with the following:

*(identify how you could be assisted in meeting your obligations in the plan)*

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**Physical Health:**

The services I received:

- \_\_\_\_\_ met my needs and the time frame
- \_\_\_\_\_ did not meet my needs but fit the time frame
- \_\_\_\_\_ did not meet my needs and did not fit the time frame
- \_\_\_\_\_ other (describe): \_\_\_\_\_



The service provider could better serve me by:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

My actions:

- \_\_\_\_\_ fulfilled my plan's expectations and met the time frame
- \_\_\_\_\_ fulfilled my plan's expectations but did not fit the time frame. Why? \_\_\_\_\_
- \_\_\_\_\_ did not fulfill my plan's expectations. Why? \_\_\_\_\_
- \_\_\_\_\_ other (describe): \_\_\_\_\_

I need help with the following:

(identify how you could be assisted in meeting your obligations in the plan)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

### **Mental Health:**

The services I received:

- \_\_\_\_\_ met my needs and the time frame
- \_\_\_\_\_ did not meet my needs but fit the time frame
- \_\_\_\_\_ did not meet my needs and did not fit the time frame
- \_\_\_\_\_ other (describe): \_\_\_\_\_

The service provider could better serve me by:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

My actions:

- \_\_\_\_\_ fulfilled my plan's expectations and met the time frame
- \_\_\_\_\_ fulfilled my plan's expectations but did not fit the time frame. Why? \_\_\_\_\_
- \_\_\_\_\_



\_\_\_\_\_ did not fulfill my plan's expectations. Why? \_\_\_\_\_  
\_\_\_\_\_ other (describe): \_\_\_\_\_

**I need help with the following:**  
(*identify how you could be assisted in meeting your obligations in the plan*)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**Chemical Health:**

**The services I received:**

\_\_\_\_\_ met my needs and the time frame  
\_\_\_\_\_ did not meet my needs but fit the time frame  
\_\_\_\_\_ did not meet my needs and did not fit the time frame  
\_\_\_\_\_ other (describe): \_\_\_\_\_

**The service provider could better serve me by:**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**My actions:**

\_\_\_\_\_ fulfilled my plan's expectations and met the time frame  
\_\_\_\_\_ fulfilled my plan's expectations but did not fit the time frame. Why? \_\_\_\_\_  
\_\_\_\_\_ did not fulfill my plan's expectations. Why? \_\_\_\_\_  
\_\_\_\_\_ other (describe): \_\_\_\_\_

**I need help with the following:**  
(*identify how you could be assisted in meeting your obligations in the plan*)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_



**Community Life:**

The services I received:

- \_\_\_\_\_ met my needs and the time frame
- \_\_\_\_\_ did not meet my needs but fit the time frame
- \_\_\_\_\_ did not meet my needs and did not fit the time frame
- \_\_\_\_\_ other (describe): \_\_\_\_\_

The service provider could better serve me by:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

My actions:

- \_\_\_\_\_ fulfilled my plan's expectations and met the time frame
- \_\_\_\_\_ fulfilled my plan's expectations but did not fit the time frame. Why? \_\_\_\_\_  
\_\_\_\_\_
- \_\_\_\_\_ did not fulfill my plan's expectations. Why? \_\_\_\_\_
- \_\_\_\_\_ other (describe): \_\_\_\_\_

I need help with the following:

*(identify how you could be assisted in meeting your obligations in the plan)*

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Tenant)

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Case Manager)





## Exhibit 7-C: Service Partnership Survey

Name of Organization: \_\_\_\_\_ Date: \_\_\_\_\_

Have you received referrals to your organization in the past three months?

\_\_\_\_\_ yes

\_\_\_\_\_ no

If yes, how would you rate these referrals?

\_\_\_\_\_ expectations were clearly articulated at the time of the referral

\_\_\_\_\_ tenant was well prepared and understood why they were referred

\_\_\_\_\_ tenant did not encounter barriers to accessing our service

\_\_\_\_\_ tenant encountered barriers to accessing our service:

\_\_\_\_\_ confusion about our location

\_\_\_\_\_ lack of transportation

\_\_\_\_\_ lack of child care

\_\_\_\_\_ did not have the required eligibility for service

\_\_\_\_\_ PSP staff were available as requested to support the delivery of service (describe):

\_\_\_\_\_

Are you currently serving tenants?

\_\_\_\_\_ yes

\_\_\_\_\_ no

If yes, how would you rate your involvement in the family support plan?

\_\_\_\_\_ satisfactory, would not change the process or experience

\_\_\_\_\_ did not participate

\_\_\_\_\_ participated, but would have wanted to be involved earlier because (explain):

\_\_\_\_\_

\_\_\_\_\_ participated but was confused about what was expected, because:

\_\_\_\_\_ dates were not clear

\_\_\_\_\_ access to services was not adequately determined



\_\_\_\_\_ was unable to provide services per the plan because:

\_\_\_\_\_ tenant did not show

\_\_\_\_\_ tenant did show but did not follow through on (describe):

\_\_\_\_\_

\_\_\_\_\_ tenant had barriers to access service:

\_\_\_\_\_ language difficulties—needed translation services

\_\_\_\_\_ literacy difficulties

\_\_\_\_\_ did not have transportation

\_\_\_\_\_ did not have child care

\_\_\_\_\_ did not have the proper eligibility or documentation of eligibility

\_\_\_\_\_ other (describe): \_\_\_\_\_

How would you rate the communication between your organization and the PSP?

\_\_\_\_\_ excellent—it serves us well

\_\_\_\_\_ good—could be more consistent

\_\_\_\_\_ poor—I'm often confused or information takes too long to exchange

\_\_\_\_\_ poor—I'm very dissatisfied and suggest the following:

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

Please offer suggestions for how we can improve our service partnership:

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_





## Chapter Eight: Thinking Beyond “NIMBY”- Building Community Support for Supportive Housing

You begin to build public support for your supportive housing project as soon as you begin talking to others about your program. While you gather information from other agencies, while you build a team to deliver housing and supportive services, while you approach potential funders, you are already teaching others about the value of supportive housing. When you are talking to others, you should be sure to keep an eye out for politicians, service providers and clergy who can provide support for your housing program.

These, however, are probably the easy audiences. It can be much tougher to build needed support for your program from its new neighbors. This is particularly true if your housing will be a single congregate development, since that concentrates the tenants in one place. It is also particularly true of sponsor-owned housing, since a new building or renovation often requires a series of city or neighborhood approvals.

It may be tempting to surround yourself with those you know will support your ideas but, if you do, you will miss opportunities to address legitimate neighborhood concerns in ways that will improve your supportive housing program. This chapter will help you understand the underlying concerns behind neighborhood opposition to supportive housing and suggest techniques to build support for your supportive housing program. While some of these concerns and responses refer specifically to siting sponsor-owned housing, you can use many of the techniques to build support for any type of supportive housing.

### **NIMBY: A Polarizing Term**

Most of us have heard the term “Not in my back yard”, or “NIMBY,” in reference to the resentment fueling neighbors’ rejection of affordable housing nearby. Among supporters of affordable housing, the term NIMBY conjures up visions of large, angry crowds of citizens jammed into local planning and zoning hearings, threatening legal action to bar the development of any housing or land use that they perceive as lowering the value of their homes or interfering with the tranquility of their community. We may depict the NIMBY crowd as narrow-minded, self-interested, sometimes violent home owners who are resistant to reason and uncaring about those less fortunate. While this may be true about some people in some struggles, more often what underlies resistance to supportive housing is fears—some legitimate, some not. You should try to understand those fears so that you can respond to them appropriately.

The term “NIMBY” immediately pegs anyone who expresses concerns about your program or resists it as an adversary. Dismissing concerns about your supportive housing development as just part of the



NIMBY phenomenon will not help you build neighborhood support that will provide a welcoming environment for supportive housing tenants. Many of the concerns may be valid and if you make changes in your development plans to address them, you may build deeper neighborhood support and improve your development as well.

## **Common Neighborhood Concerns About Supportive Housing**

The concerns of supportive housing opponents vary from community to community, and neighborhood to neighborhood. However, here are some of the most common themes and ways to address them:

**Supportive housing will lower my property values.** This is a relatively simple argument to counter with documentation. Many studies have shown that there is no connection between the presence of supportive housing and the value of properties or owners' ability to resell their homes. Take the time to gather the data, obtain copies of studies and produce a one-page handout for concerned citizens. *Exhibit 7-A* provides more information about these studies and experts you can contact for further information. You may want to work with local realtors, who have direct access to property sales data, to develop a similar study in your area. To ensure that the study is credible, the realtors should not be directly linked to your supportive housing project or receiving compensation.

**Supportive housing will destabilize the properties immediately surrounding it.** Neighbors may be concerned that your program will tolerate destructive behavior by formerly homeless tenants. Opponents may be able to cite examples of other housing communities that negatively affected their neighbors. In fact, we all could probably identify affordable housing developments that were poorly managed. We also know that supportive housing tenants occasionally will have difficulties that neighbors may perceive as threatening, such as a mental illness relapse. You should think about what these difficulties might be and ways to minimize the impact on the surrounding community.

Talk to neighbors of other supportive housing developments and gather their reactions to the presence of supportive housing in their neighborhood. If they feel that the housing is well-constructed and well-managed, what contributes to that perception? You may be able to incorporate those elements into your development.

Many neighbors may feel more comfortable if they know about the supportive service component of your program. Let them know that families who experience difficulties will have immediate access to staff who can intervene in crisis, and that neighbors will have someone to go to when they become concerned about the condition of the property or the behavior of tenants. You should also accentuate the community-building aspect of supportive housing and its emphasis on peer accountability and support.

Don't dismiss people's concerns about promoting housing for families who have been trapped in homelessness. Like anyone else, they fear the unknown, and it is true that many supportive housing tenants may have lived lives that involved drugs, crime and/or violence. However, it is also true that these same families want a different life for themselves. Show that with supportive housing, they will have the opportunity to live in a safe environment and receive support for choices that promote health and stability. You will be able to make these arguments more convincingly if, in your information-gathering stage, you have taken the time to talk to homeless families to find out why they became homeless and what they would like to change.



**Supportive housing will quickly become an eyesore.** Often these concerns are based on perceptions of older public and subsidized housing complexes. Many of these projects were built with inferior design and materials, did not include enough funds for ongoing maintenance, and have been poorly managed, turning them into deteriorated neighborhood eyesores.

It is right for citizens to be concerned about this, and you must be prepared to address their concerns. You can learn from the mistakes of these older housing complexes. Talk to your local public housing agency or HUD office to find out what was missing in older projects to ensure their ongoing maintenance. Take some time and walk around these projects. Note what is missing that you will want to include, such as good building materials, attractive design or sufficient green space. Take an architect or contractor with you to help you analyze what your development should do differently.

Finally, find ways to show neighbors that your housing will be of the same quality as the surrounding neighborhood. At any meetings about your development, show preliminary drawings illustrating the presentation of the housing from the street. Share information on the quality of the construction materials. Bring samples. Make sure the architect is available to answer questions. Encourage neighbors to critique the design and make suggestions for changes.

**Supportive housing tenants will bring crime into our area.** Once again, this is a relatively easy argument to counter with information. Studies have shown that rather than contributing to neighborhood crime, many supportive housing programs have transformed blighted buildings that previously housed high-crime hot spots in the community. In these instances, supportive housing became a neighborhood asset and mobilized a new tenant base to combat crime.

**Supportive housing will bring drugs into our community.** Many neighborhoods either are currently fighting drug activity or are fearful that the drug epidemic striking other communities will follow tenants with histories of alcohol or drug abuse. If neighbors raise this concern, use it as an opportunity to showcase your development's commitment to sobriety. To the extent that you can demonstrate your program's commitment to sobriety and a willingness to contribute to the larger community's fight against crime and drugs, neighbors may even view your supportive housing program as an ally.

**The children residing in supportive housing have such extensive needs that our schools and community services will become overwhelmed.** This is another reaction based on fear that you may be able to counter with information. In fact, many schools are currently stretched to capacity with overcrowded classrooms and overwhelmed special services, but that does not mean that your supportive housing development will worsen the situation. If children in your supportive housing development will be coming from the area and are already attending local schools, be sure to let opponents know that there will not be an increase in demand for services.

Once again, learn what you can about conditions in your community: how your schools are funded overall, how special education has been funded, and whether special levies have been passed over the past few years. You may discover that educational funding for special services actually has increased and is now supporting all children in the classroom. Alternatively, you may discover that local efforts to pass educational funding have repeatedly failed, which might offer you the opportunity to become an ally with an otherwise opponent because of your mutual commitment to public education.



Finally, let opponents know that your supportive housing program will help parents become involved in the academic achievement of their children. In the long run, this offers hope for children who might otherwise fail despite expensive educational interventions. Describe on-site supportive services that are geared to academic achievement. Demonstrate that your project will be making a positive commitment to support the efforts of the classroom teacher.

**Supportive housing will increase traffic and place greater demand on emergency services.** It is legitimate for a community to be concerned about increases in demand on its infrastructure. If the project will increase traffic, and this traffic may threaten children's safety, this should be your concern as well. Many problems with traffic can be resolved through selecting a good site for your housing. Your architect can help you conduct a study of the density (number of housing units within a certain amount of space) of your development to determine how it will affect local traffic patterns.

Often, the neighbors' concern is not the amount of traffic that the housing will attract, but the type. They assume that the tenants will attract drug activity, requiring repeated police intervention. Again, collect data on the number of police calls to similar supportive housing sites, and use this as an opportunity to share your program's crime prevention aspects.

**Supportive housing will bring people into our community who do not have the same values we hold.** This attitude is based on a stereotype of homeless families as welfare-dependent, lazy and irresponsible. There are several arguments that can counter this stereotype. First, with few exceptions, most states have very strict welfare-to-work laws, requiring anyone who receives public assistance to be engaged in work readiness activities or be fully employed. The stereotype of the welfare-dependent family may need some updating because it will be harder and harder for families to depend on welfare alone. Second, an increasing number of homeless families have at least one working parent already. Finally, most of those with a past history of receiving welfare benefits do want to become employed, but they may need help reaching that goal — help that supportive housing can provide.

Discuss your program's education and employment activities with neighborhood opponents. Also, share some of the stories about homelessness you learned during your information-gathering stage if they underscore the families' desires for the same things the neighbors want: safety, pride in their neighborhood, good schools, health, and respect in the community and workplace. You may be able to identify homeless families who would be willing to talk to neighbors about these commonly shared values. Nothing can transform opponents' views like seeing the very people they fear step forward and share their dreams of living in a community that will accept them.

**Supportive housing gives families something they haven't earned.** A growing number of people believe that providing services promotes dependence. The argument often is articulated as, "I pulled myself up by my bootstraps and these families should too." In reality, nearly all of us can point to someone who helped us at a key time in our lives. Few of us succeed solely on our own merits.

Usually, this argument masks an underlying concern about the opponents' own economic security. Find out by getting to know the supportive housing opponents. Most home owners have their primary financial security tied up in the equity in their homes, and they worry that something could threaten that security. If this is their concern, as noted earlier, you can reassure them that supportive housing will not have a negative impact on their homes' value. Also, make sure that opponents know how supportive housing promotes families' independence through measures such as prompt rent collections, tenant skills training programs and employment training programs.



## Techniques for Overcoming Community Fears

Developing relationships with neighbors of your supportive housing development is even more important than developing logical responses to their concerns. Fears of the unknown often do not respond to logic and facts. Learn more about these fears by asking neighbors to share them with you in a low-key environment. Identify the strongest opponents to your project and get close to them. Spend as much time as possible getting to know them, understanding their concerns, finding out where they get their information, and incorporating their concerns as much as possible into the project's design.

These techniques can help you get to know the neighbors of your development:

**Informal Discussions:** Identify a neighbor who is willing to host a discussion about the supportive housing program. Come to the discussion more prepared to listen than to respond. Use this time to develop an understanding of their concerns. Spend the first meeting gathering their input, and schedule a second meeting to respond to their concerns. Follow up the initial meeting with one-on-one conversations, if possible, to build more personal relationships.

**Open Forums:** Host open forums about your development and invite neighbors to come with their questions. Hold the forums as close to the proposed site as possible. If you will be renovating an abandoned or blighted building, try to hold the meeting within sight of the structure. If the building is safe, hold the meeting inside and provide tours explaining the improvements you are planning. Make sure you have an architect or contractor involved so they can answer any technical questions.

If you have already identified tenants for your program, and if they are willing to participate, include them in the presentation of the plans. Spend time beforehand preparing them for their role and the potential response from neighbors. Be sure to coach everyone on the importance of remaining polite and gracious in the face of opposition. Meeting personable tenants can go a long way toward dispelling myths about poor and homeless families.

**Ongoing Communication:** If necessary, offer to help establish a neighborhood advisory committee that will meet regularly with supportive housing tenants and staff to discuss the housing development.

In addition to developing your own relationship with potential opponents, you may want to appeal to respected community members or experts to support your program and help give it credibility with neighbors. These supporters might include:

**Community Leader:** Ask a community leader to work with you and help you present the facts about the development. This leader might be a member of the local clergy, a longtime tenant or a member of the neighborhood council or block club. Make sure that you have an established relationship with the leader, that he or she is knowledgeable about your program, and that he or she is prepared to deal with negative reaction from neighbors.

**Outside Spokesperson:** Select a spokesperson other than the sponsor or owner to represent the project who has strong presentation and interpersonal skills. The spokesperson should be able to remain calm when faced with angry, seemingly irrational neighbors and to de-escalate a situation and encourage dialogue. The spokesperson does not have to be the person with all the answers, but should



know who on the supportive housing team is best able to answer questions. If the spokesperson is also a respected member of the community, all the better.

**City Staff:** If your housing program has already received support from city staff, invite officials such as the traffic engineer, the local police captain or a city planning staff member to come to a meeting or forum and address the specific concerns the neighbors might have.

**Design Experts:** If your city or town has a university, invite the architecture department to review your plans and submit letters of support. You may even find an architecture class that will create a three-dimensional model of the development to demonstrate that its scale and design will complement the community.

Finally, know that some concerns will not be resolved until after the housing is built, and neighbors have the chance to meet tenants and observe that their fears were not realized. When you get to know the neighbors of your supportive housing program, sometimes you will be able to address valid concerns in ways that improve your project. Other times, the concerns cannot be addressed, but you can establish a relationship with the community that will give tenants of your program a sense of safety and comfort, if not a full welcome from their neighbors.

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#### **Example: Overcoming Resistance to a Supportive Service Center**

*The Irving Lake neighborhood energetically opposed the siting of a family supportive housing project. Neighbors expressed concern that the housing would invite “those people” into a neighborhood that was the last stronghold of elderly, mostly white home owners. The neighbors organized and called themselves the STOP Committee. The advance rhetoric of STOP sometimes included overt racism and bigotry, with home owners resisting any integration on the block. Home owners on other blocks in the neighborhood soon joined the resistance. They expressed fears that the project would bring drug addicts, criminals and/or gang members into a “quiet, respectable” neighborhood. One home owner’s son, an attorney, threatened legal action.*

*Home owners rejected efforts by center staff to talk one-on-one with them. The center solicited the aid of two politicians: a city council member who represented the block, and a state representative who lived close by. The center met with both politicians and explained the plans for the project. In addition to 16 units of rehabilitated housing (which at that time was substandard and in danger of demolition), the project would include a free drop-in day care center, a food shelf and an adult education center for parents seeking their GED. The services available on-site were designed to be shared with the community at large. It was true that many of those living on-site would be enrolled in a drug treatment program. It was true that many of the families included those referred by child protection and probation services.*

*The two politicians agreed to host a community forum about the project. The housing sponsor talked to a number of community leaders they thought would express support and invited them to the forum. From that group, the housing sponsor selected a local minister who was pastor to a number of the elderly home owners to represent the center to the community. The minister’s church had already donated a building to the project and pledged to support on-site services with volunteers and donations.*



Before the meeting, the minister agreed to contact each household near the proposed site. The minister gathered some critical information:

- The most vocal opponents were the last four remaining home owners on the block. They were part of what had been a close-knit group of ten families who had moved in shortly before WW II, raised their children together and gone to the same church. Now all but four were either dead or in frail condition in nursing homes. Because the neighborhood had deteriorated, these four were unable to sell their homes so that they could relocate to senior housing. With their health failing, they felt vulnerable and trapped.
- Over the past several years, three of the four homes had been burglarized at least once. One home owner living next to the proposed project had been hospitalized due to a break-in and mugging.
- Each of the home owners was located at opposite corners of the block, leaving them feeling isolated and exposed. They viewed the location of the project between them as further isolating and exposing them to more pedestrian traffic that could result in break-ins. Also, they were worried that when the supportive services offices were closed at night, there would be no one to contact if there was trouble.

The first community forum was a short meeting to discuss the neighbor's concerns and answer specific questions about what types of programs, services and clientele the center would serve. More than 100 people attended, representing home owners and their families as well as those renting the substandard units. Neighbors were surprised to learn about the types of programs that would be offered. Prospective tenants testified to the need for supportive housing. They shared individual stories of their hopes for a stable life and support as they sought to turn their lives around.

The minister and politicians polled the group to find out what services they would like to see at the center. They learned that the home owners had needs that the center could accommodate, such as including them in the food shelf program, a home-visitor program to check in on them, a community garden to beautify the block, and a crime-watch program and block club to deter crime and gang activity.

The second meeting had less than 50 in attendance. The angry group of home owners from the other end of the neighborhood was not present. The meeting started out tense, but the two politicians kept the agenda focused on the ideas that were generated at the first meeting. The center offered to accommodate those ideas and added more, such as an evening neighbor watch program to make sure the area around the project was safe after hours, opening the supportive services office for more evening and weekend hours for children, and adding a housing committee to improve the condition of all the housing on the block.

At the end of the meeting, the politicians called for a vote on the approval of the center. The results were unanimous: the center could open on the block.

Within a year of opening the center, the block club had started an evening volunteer crime-watch patrol, encouraged increased police patrols of the area, and initiated a neighborhood phone network in case of emergencies. The center generated jobs for six families and provided more than 25,000 hours of drop-in child care for 15 families.



*That year, one of the original four home owners broke a hip and had to move into a nursing home. The members of the block club and the housing committee organized a visiting team to call and visit her until she could come home. She never returned home, but when she died her family asked if her home could be converted into an expansion of the project.*

*Not all neighborhood opposition stories have such productive results, but this story shows that getting to know the opponents of supportive housing may convince them to take a chance on your program, and that you can build an even better program with their input.*

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### **Additional Literature:**

*Building Inclusive Community: Tools to Create Support for Affordable Housing* (HOME-BASE/The Center for Common Concerns, 1996)

*Neighbors, After All: Community Acceptance Strategies for Siting Housing and Services for Homeless People* (HOMEBASE/The Center for Common Concerns, January 1990)

*Managing Local Opposition to Affordable Housing: Strategies and Tools* (National Association for County Community Economic Development [NACCED] and Association of Local Housing Finance Agencies [ALHFA] 1997)

*Siting of Homeless Housing and Services: Best Practices for Community Acceptance* (Community Acceptance Strategies Consortium [CASC] and Non-Profit Housing Association of Northern California [NPH], February 1999)

“Understanding and Overcoming the NIMBY Syndrome” (Dear, Michael. *Journal of the American Planning Association*, Vol. 58, No. 3, Summer 1992)

*Community Relations Strategies: A Handbook for Sponsors of Community-Based Programs for the Homeless* (Anello, Rose and Shuster, Tillie., New York, New York: Community Service Society of New York, Shelter Development Project, 1985)

*Working with the Community: A Developer's Guide* (Urban Land Institute, Washington, DC, 1985)

*A Handbook: Building Consensus for Affordable Housing, WP #2* (Wheeler, Michael, Massachusetts Institute of Technology, Center for Real Estate Development, 1987)

*Siting Drug and Alcohol Treatment Programs, Legal Challenges to the NIMBY Syndrome* (U.S. Department of Health and Human Services, Public Health Service, Substance Abuse and Mental Health Services Administration, Center for Substance Abuse Treatment, Rockwall II, 5600 Fishers Lane, Rockville, MD 20852, Technical Assistance Publication [TAP] Series 14, 1995)



## **Additional Resources:**

HOMEBASE/The Center for Common Concerns  
Suite 1228  
870 Market Street  
San Francisco, CA 94102  
Telephone: 415-788-7961  
Fax: 415-788-7965  
E-mail: HN0124@handsnet.org

National Association for County Community and Economic Development  
Suite 300  
1200 19th Street N.W.  
Washington, DC 20036-2422  
Telephone: 202-857-1100  
Fax: 202-857-1111

Association of Local Housing Finance Agencies  
Suite 300  
1200 19th Street N.W.  
Washington, DC 20036-2422  
Telephone: 202-857-1100  
Fax: 202-857-1111

Non-Profit Housing Association of Northern California  
Suite 350  
369 Pine Street  
San Francisco, CA 94104  
Telephone: 415-989-8160  
Fax: 415-989-8166  
Web site: [www.nonprofithousing.org](http://www.nonprofithousing.org)





## **Exhibit 8-A: Sample Research on the Impact of Affordable Housing on Housing Values**

(reprinted with permission from HOMEBASE, a public interest law and social policy center on homelessness)

1. *Habitat for Humanity South Ranch 2 Community Impact Study* (Coopers and Lybrand, AZ 1994)

Study of potential impact of a proposed 196-unit owner-built and occupied home development in a previously unoccupied area of Phoenix concluded that the development would benefit the overall community by bringing in a community-committee, stable, working families, drawing commercial development to a new area and spacially linking existing developed areas of Phoenix.

2. *Relations Between Affordable Housing Development and Property Values* (Institute for Urban and Regional Development, University of California, Berkeley, CA, Working Paper 599, 1993)

Determined that proximity to affordable housing is not a significant factor in determining sales prices and, in one instance, may have had a positive impact on sales prices.

3. *Measuring the Effects of Affordable Housing on Residential Property Values* (San Francisco State University, unpublished master's thesis, Smith, B., 1992)

Analysis found that among 13 "proximity zones" the highest increases in value and the lowest turnover rates were in areas closest to an affordable housing facility.

4. "The Effect of Group Homes for the Mentally Ill on Residential Property Values" (*Hospital and Community Psychiatry*, Boydell, Katherine M., M.H.Sc., John N. Trainor, MSW, Anna M. Pierri, 1989)

Determined that property values in a suburban area with a group home increased more than a similar area without such a facility.

5. *Texas Department of Mental Health and Mental Retardation: Questions and Answers* (Johnson and Olson Associates of Austin, TX, 1988)

This summary finds no evidence of property values declining because of the location of a group home for the mentally retarded, and finds that there was less residential turnover near the group home than in other similar areas.



6. *The Effects of Subsidized and Affordable Housing on Property Values: A Survey of Research* (Department of Housing and Community Development, State of California, 1988)

Out of 15 published papers on subsidized housing, group homes for the disabled and manufactured housing, 14 concluded that this housing had no significant negative effects on the values of neighboring properties. Some reported positive property value effects.

7. *The Impact of Group Homes on Residential Property Values* (The Maryland-National Capital Park and Planning Commission, Prince George's County Planning Department, MD, 1988)

Study found that most areas around group homes appreciated more than other similar areas in the county. Determined that there is no correlation, positive or negative, between location of group homes and neighboring property values.

8. *Impact Study for Sacramento Housing and Redevelopment Agency* (Spear Street Advisors, Inc., San Francisco, CA, 1988)

Determined that proximity to affordable housing was not a statistically significant factor affecting property values.

9. *Impacts on the Surrounding Neighborhood of Group Homes for Persons with Developmental Disabilities* (Illinois Planning Council on Developmental Disabilities, Daniel Lauber, Springfield, IL, 1986)

Research ascertained that the location of group homes had no effect on property values, mean sales price or residential turnover rates.

10. *Impact of Affordable Housing on Property Values* (Lynn Sedway and Associates, 1983)

Study determined that appreciation rates near affordable housing were at least as high as the area average.

11. *Long Term Neighborhood Property Impacts of Group Homes for Mentally Retarded People* (Woodrow Wilson School of Public and International Affairs, Princeton University, NJ, 1982)

Of 32 group homes all over New York State, none had a short- or long-term impact on neighboring property values.





# CSH Publications

In advancing our mission, the Corporation for Supportive Housing publishes reports, studies and manuals aimed at helping nonprofits and government develop new and better ways to meet the health, housing and employment needs of those at the fringes of society.

## **Family Matters: A Guide to Developing Family Supportive Housing**

*Written by Ellen Hart Shegos. 2001; 346 pages.*

Price: \$15 or download PDF files for FREE at [www.csh.org](http://www.csh.org).  
This manual is designed for service providers and housing developers who want to tackle the challenge of developing permanent supportive housing for chronically homeless families. The manual will provide information on the development process from project conception through construction and rent-up. It also discusses alternatives to new construction such as leased housing. It contains practical tools to guide decision making about housing models, picking partners and service strategies.

## **A History of The New York/New York Agreement to House Homeless Mentally Ill Individuals**

*Written by Ted Houghton. 2001*

Price: \$5 or download PDF file for FREE at [www.csh.org](http://www.csh.org).  
This document provides a description and history of the New York/New York Agreement to House Homeless Mentally Ill Individuals, signed in 1990 by the City and State of New York.

## **The New York/New York Agreement Cost Study: The Impact of Supportive Housing on Services Use for Homeless Mentally Ill Individuals**

*Written by Kay E. Sherwood. 2001*  
Price: \$5 or download PDF file for FREE at [www.csh.org](http://www.csh.org).  
A Summary of: *The Impact of Supportive Housing for Homeless Persons with Severe Mental Illness on the Utilization of the Public Health, Corrections and Emergency Shelter Systems: The New York/New York Initiative.* Written by Dennis P. Culhane, Stephen Metraux and Trevor Hadley Center for Mental Health Policy and Services Research, University of Pennsylvania. This document summarizes the cost analysis of the New York/New York Agreement.

## **Between the Lines: A Question and Answer Guide on Legal Issues in Supportive Housing – National Edition**

*Commissioned by CSH. Prepared by the Law Offices of Goldfarb & Lipman. 2001; 226 pages.*  
Price: \$15 or download PDF files for FREE at [www.csh.org](http://www.csh.org).  
This manual offers some basic information about the laws that pertain to supportive housing and sets out ways to identify and think through issues so as to make better use of professional counsel. It also offers reasonable approaches to resolving common dilemmas.

## **Keeping the Door Open to People with Drug Problems — Volumes I, II and III**

*Written by Wendy Fleischer, Juliane Dressner, Nina Herzog and Alison Hong. 2001; 180 pages.*  
Price: \$5 Each or download PDF files for FREE at [www.csh.org](http://www.csh.org).  
This three-part guide offers employment program managers and staff encouragement, strategies and tips for serving people with drug problems. The guide is divided into three volumes to make it easy to read for busy practitioners. Volume I is written with managers in mind. It focuses on the systems needed to train, manage and support staff in a program serving people with drug problems. Volume II is targeted to employment program staff. It covers basic information about drug addiction and treatment, and offers tips for working with people, including sample dialogues and forms. Volume III is focused on employment programs operating in public housing. It discusses the related housing policies and regulations, and some of the challenges and opportunities provided by the public housing context.

## **The Network: Health, Housing and Integrated Services Best Practices and Lessons Learned**

*Written by Gerald Lenoir. 2000; 191 pages.* Price: \$5 or download PDF file for FREE at [www.csh.org](http://www.csh.org)

This report summarizes the principles, policies, procedures and practices used by housing and service providers that have proven to be effective in serving health, housing and integrated services tenants where they live.

## **Closer to Home: Interim Housing for Long-Term Shelter Residents: A Study of the Kelly Hotel**

*Written by Susan M. Barrow, Ph.D. and Gloria Soto Rodriguez. 2000; 65 pages.*  
Price: \$5 or download PDF file for FREE at [www.csh.org](http://www.csh.org)  
Evidence that a subgroup of homeless individuals have become long-term residents of NYC shelters has spurred a search for new approaches to engaging them in services and providing appropriate housing alternatives. The Kelly Hotel Transitional Living Community, developed by the Center for Urban Community Services with first year funding from the Corporation for Supportive Housing, is one pioneering effort to help mentally ill long-term shelter residents obtain housing.

## **Forming an Effective Supportive Housing Consortia; Providing Services in Supportive Housing; and Developing and Managing Supportive Housing**

*Written by Tony Proscio. 2000; 136 pages.*  
Price: \$5 Each or download PDF files for FREE at [www.csh.org](http://www.csh.org).  
These three manuals are designed to assist local communities and service and housing organizations to better understand the local planning consortium, service delivery and funding, and supportive housing development and financing.

## **Landlord, Service Provider...and Employer: Hiring and Promoting Tenants at Lakefront SRO**

*Written by Tony Proscio and Ted Houghton. 2000; 59 pages.*  
Price: \$5 or download PDF file for FREE at [www.csh.org](http://www.csh.org)  
This essay provides a close look at Lakefront SRO's program of in-house tenant employment, as a guide for other supportive housing programs that either hire their own tenants or might want to do so. The lessons of **Landlord, Service Provider...and Employer** are also of potential interest to affordable housing programs whose tenants could become valuable employees given sufficient encouragement, training and clear policies.

## **The Next Wave: Employing People with Multiple Barriers to Work: Policy Lessons from the Next Step: Jobs Initiative**

*Written by Wendy Fleischer and Kay E. Sherwood. 2000; 73 pages.*  
Price: \$5 or download PDF file for FREE at [www.csh.org](http://www.csh.org)  
The *Next Step: Jobs* initiative tested the premise that a range of employment services targeted to supportive housing tenants can help them access employment. It used supportive housing as the focal point for deploying a range of services to address the multiple barriers to employment that tenants face. It also capitalizes on the residential stability and sense of community that supportive housing offers.

## **Between the Lines: A Question and Answer Guide on Legal Issues in Supportive Housing – California Edition**

*Commissioned by CSH. Prepared by the Law Offices of Goldfarb & Lipman. 2000; 217 pages.*  
Price: \$15 or download PDF files for FREE at [www.csh.org](http://www.csh.org)  
This manual offers some basic information about the laws that pertain to supportive housing and sets out ways to identify and think through issues so as to make better use of professional counsel. It also offers reasonable approaches to resolving common dilemmas.

## **Supportive Housing and Its Impact on the Public Health Crisis of Homelessness**

*Written by Tony Proscio. 2000; 40 pages.*  
Price: \$5 or download PDF file for FREE at [www.csh.org](http://www.csh.org)  
This publication announces the results of research done between 1996 and 2000 on more than 200 people who have lived at the Canon Kip Community House and the Lyric Hotel in California. It also looks at pre-occupancy and post-occupancy use of emergency rooms and inpatient care.



### **Vocationalizing the Home Front: Promising Practices in Place-Based Employment**

Written by Paul Parkhill. 2000; 79 pages.

Price: \$5 or download PDF file for FREE at [www.csh.org](http://www.csh.org)

Accessibility; inclusiveness; flexibility; coordinated, integrated approach to services; high-quality, long-term employment; and linkages to private and public sectors are hallmarks of a new place-based strategy to help people with multiple barriers to work find and keep employment. The 21 place-based employment programs featured in this report represent some of the most comprehensive and innovative approaches to employing persons who are homeless, former and current substance abusers, individuals with HIV-AIDS, those with physical and psychiatric disabilities and other challenges.

### **Connecticut Supportive Housing Demonstration Program — Program Evaluation Report**

Commissioned by CSH. Prepared by Arthur Andersen LLP, University of Pennsylvania Health System, Department of Psychiatry, Center for Mental Health Policy and Services Research, Kay E. Sherwood, TWR Consulting.

1999; Executive Summary, 32 pages. Complete Report, 208 pages.

Executive Summary Price: \$5 Complete Report Price: \$15

This report evaluates the Statewide Connecticut Demonstration Program which created nearly 300 units of supportive housing in nine developments across the state in terms of tenant satisfaction and community impact—both economic and aesthetic—property values and use of services once tenants were stably housed.

### **The Next Step: Jobs Initiative Cost-Effectiveness Analysis**

Written by David A. Long with Heather Doyle and Jean M. Amendolia.

1999; 62 pages. Price: \$5

The report constitutes early findings from a cost-effectiveness evaluation by Abt Associates of the *Next Step: Jobs* initiative, which provided targeted services aimed at increasing supportive housing tenants' employment opportunities.

### **Under One Roof: Lessons Learned from Co-locating Overnight, Transitional and Permanent Housing at Deborah's Place II**

Commissioned by CSH, written by Tony Proscio. 1998; 19 pages. Price: \$5

This case study examines Deborah's Place II in Chicago, which combines three levels of care and service at one site with the aim of allowing homeless single women with mental illness and other disabilities to move towards the greatest independence possible, without losing the support they need to remain stable.

### **Work in Progress 2: An Interim Report on Next Step: Jobs**

Commissioned by CSH, written by Tony Proscio. 1998; 22 pages. Price: \$5

*Work in Progress 2* describes the early progress of the *Next Step: Jobs* initiative in helping supportive housing providers "vocalize" their residences—that is, to make working and the opportunity to work part of the daily routine and normal expectation of many, even most, residents.

### **A Time to Build Up**

Commissioned by CSH, written by Kitty Barnes. 1998; 44 pages. Price: \$5  
A *Time to Build Up* is a narrative account of the lessons learned from the first two years of the three-year CSH New York Capacity Building Program. Developed as a demonstration project, the Program's immediate aim is to help participating agencies build their organizational infrastructure so that they are better able to plan, develop and maintain housing, with services for people with special needs.

### **Next Door: A Concept Paper for Place-Based Employment Initiatives**

Written by Juliane Dressner, Wendy Fleischer and Kay E. Sherwood. 1998; 61 pages. Price: \$5

This report explores the applicability of place-based employment strategies tested in supportive housing to other buildings and neighborhoods in need of enhanced employment opportunities for local residents. Funded by the Rockefeller Foundation, the report explores transferring the lessons learned from a three-year supportive housing employment program to the neighborhoods "next door."

### **Not a Solo Act: Creating Successful Partnerships to Develop and Operate Supportive Housing**

Written by Sue Reynolds in collaboration with Lisa Hamburger of CSH. 1997; 146 pages. Price: \$15

Since the development and operation of supportive housing requires expertise in housing development, support service delivery and tenant-sensitive property management, nonprofit sponsors are rarely able to "go it alone." This how-to manual is a guide to creating successful collaborations between two or more organizations in order to effectively and efficiently fill these disparate roles.

### **Work in Progress...An Interim Report from the Next Step: Jobs Initiative**

1997; 54 pages. Price: \$5  
This report provides interim findings from CSH's *Next Step: Jobs* initiative, a three-city Rockefeller Foundation-funded demonstration program aimed at increasing tenant employment in supportive housing. It reflects insights offered by tenants and staff from 20 organizations based in Chicago, New York City and the San Francisco Bay Area who participated in a mid-program conference in October, 1996.

### **Closer to Home: An Evaluation of Interim Housing for Homeless Adults**

Commissioned by CSH, written by Susan M. Barrow, Ph.D. and Gloria Soto Rodriguez of the New York State Psychiatric Institute. 1996; 103 pages. Price: \$15

This evaluation examines low-demand interim housing programs, which were developed by nonprofits concerned about how to help homeless people living on the streets who are not yet ready to live in permanent housing. Funded by the Conrad N. Hilton Foundation, this report is a 15-month study of six New York interim housing programs.

### **In Our Back Yard**

Commissioned by CSH, directed and produced by Lucas Platt. 1996; 18 minutes. Price: \$10 nonprofits/\$15 all others.  
This educational video is aimed at helping nonprofit sponsors explain supportive housing to members of the community, government representatives, funders and the media. It features projects and tenants in New York, Chicago and San Francisco and interviews a broad spectrum of supporters, including police, neighbors, merchants, politicians, tenants and nonprofit providers.

### **Design Manual for Service Enriched Single Room Occupancy Residences**

Produced by Gran Sultan Associates in collaboration with CSH. 1994; 66 pages. Price: \$20  
This manual was developed by the architectural firm Gran Sultan Associates in collaboration with CSH and the New York State office of Mental Health to illustrate an adaptable prototype for single room occupancy residences for people with chronic mental illnesses. Included are eight prototype building designs, a layout for a central kitchen, recommendations on materials, finishes and building systems, and other information of interest to supportive housing providers, architects and funding agencies.

### **Employing the Formerly Homeless: Adding Employment to the Mix of Housing and Services**

Commissioned by CSH, written by Basil Whiting. 1994; 73 pages. Price: \$5  
Funded by the Rockefeller Foundation, this report explores the advisability of implementing a national employment demonstration program for the tenants of supportive housing. The paper is based on a series of interviews with organizations engaged in housing, social service and employment projects in New York City, the San Francisco Bay Area, Washington, DC, Chicago and Minneapolis/St. Paul, as well as a body of literature on programs aimed at alleviating the plight of homelessness.

### **Miracle on 43rd Street**

August 3, 1997 and December 26, 1999.  
60 Minutes feature on supportive housing as embodied in the Times Square and the Prince George in New York City. To purchase VHS copies, call 1-800-848-3256; for transcripts, call 1-800-777-8398.

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## NATIONAL

Corporation for Supportive Housing  
50 Broadway  
17th Floor  
New York, NY 10004  
TEL: (212) 986-2966  
FAX: (212) 986-6552  
[information@csh.org](mailto:information@csh.org)

## CALIFORNIA

Corporation for Supportive Housing  
1330 Broadway, Suite 601  
Oakland, CA 94612  
TEL: (510) 251-1910  
FAX: (510) 251-5954  
[ca@csh.org](mailto:ca@csh.org)

## CALIFORNIA SATELLITE OFFICE

**Sacramento County**  
Corporation for Supportive Housing  
c/o Portfolio Management  
630 "I" Street  
Sacramento, CA 95814  
TEL: (916) 443-5147  
FAX: (916) 443-5196  
[saca@csh.org](mailto:saca@csh.org)

## CALIFORNIA SATELLITE OFFICE

**San Diego County**  
Corporation for Supportive Housing  
1901 First Avenue, 2nd Floor  
San Diego, CA 92101  
TEL: (619) 232-3197  
FAX: (619) 232-3215  
[sdca@csh.org](mailto:sdca@csh.org)

## CALIFORNIA SATELLITE OFFICE

**San Mateo/Santa Clara Counties**  
Corporation for Supportive Housing  
795 Willow Road  
Building 323, Room E-101  
Menlo Park, CA 94025  
TEL: (650) 289-0104  
FAX: (650) 289-0105  
[mpca@csh.org](mailto:mpca@csh.org)

## CONNECTICUT

Corporation for Supportive Housing  
129 Church Street, Suite 815  
New Haven, CT 06510  
TEL: (203) 789-0826  
FAX: (203) 789-8053  
[ct@csh.org](mailto:ct@csh.org)

## ILLINOIS

Corporation for Supportive Housing  
547 West Jackson Avenue  
6th Floor  
Chicago, IL 60661  
TEL: (312) 697-6125  
FAX: (312) 360-0185  
[il@csh.org](mailto:il@csh.org)

## MICHIGAN

Corporation for Supportive Housing  
10327 E. Grand River Avenue  
Suite 409  
Brighton, MI 48116  
TEL: (810) 229-7712  
FAX: (810) 229-7743  
[mi@csh.org](mailto:mi@csh.org)

## MINNESOTA

Corporation for Supportive Housing  
2801 – 21st Avenue South  
Suite 220  
Minneapolis, MN 55407  
TEL: (612) 721-3700  
FAX: (612) 721-9903  
[mn@csh.org](mailto:mn@csh.org)

## NEW JERSEY

Corporation for Supportive Housing  
162 West State Street  
Trenton, NJ 08608  
TEL: (609) 392-7820  
FAX: (609) 392-7818  
[nj@csh.org](mailto:nj@csh.org)

## NEW YORK

Corporation for Supportive Housing  
50 Broadway  
17th Floor  
New York, NY 10004  
TEL: (212) 986-2966  
FAX: (212) 986-6552  
[ny@csh.org](mailto:ny@csh.org)

## OHIO

Corporation for Supportive Housing  
40 W. Long Street  
Columbus, OH 43215  
TEL: (614) 228-6263  
FAX: (614) 228-8997  
[oh@csh.org](mailto:oh@csh.org)

## Mission Statement

CSH supports the expansion of permanent housing opportunities linked to comprehensive services for persons who face persistent mental health, substance use, and other chronic health challenges, and are at risk of homelessness, so that they are able to live with stability, autonomy and dignity, and reach for their full potential.

We work through collaborations with private, nonprofit and government partners, and strive to address the needs of, and hold ourselves accountable to, the tenants of supportive housing.





CORPORATION *for* SUPPORTIVE HOUSING

50 BROADWAY, 17<sup>TH</sup> FLOOR, NEW YORK, NY 10004

PHONE: (212) 986-2966 FAX: (212) 986-6552

WEB: [www.csh.org](http://www.csh.org) E-MAIL: [information@csh.org](mailto:information@csh.org)