



# CITY OF SAN JOSÉ

## FY 2012-13 Consolidated Annual Performance Evaluation Report (CAPER)



Prepared by:  
City of San José  
Department of Housing  
200 E. Santa Clara Street, 12<sup>th</sup> Floor  
San José CA 95113  
408-535-3860

*Adopted by City Council on September 17, 2013*

# Table of Contents

---

<b>Section 1: Executive Summary .....</b>	<b>6</b>
<b>Section 2: Introduction .....</b>	<b>9</b>
<b>Section 3: Program Summary .....</b>	<b>12</b>
Program Narratives.....	13
Leveraging of Resources .....	29
Outreach and marketing .....	30
<b>Section 4: Geographic Areas Served .....</b>	<b>33</b>
<b>Section 5: Assessment of Strategic Plan Goals and Objectives .....</b>	<b>36</b>
Goal 1: Assist in the creation and preservation of affordable housing for lower-income and special needs households.....	37
Goal 2: Support activities to end homelessness in San José and Santa Clara County (Continuum of Care) .....	50
Goal 3: Support activities that provide basic services, eliminate blight, and/or strengthen neighborhoods.....	58
Goal 4: Expand economic opportunities for low-income households.....	69
Goal 5: Promote fair housing choice – Affirmatively Further Fair Housing.....	71
Goal 6: Promote environmental sustainability .....	77
<b>Section 6: Housing Support Activities / Removing Barriers to Affordable Housing.....</b>	<b>81</b>
<b>Section 7: Monitoring and Compliance .....</b>	<b>89</b>
<b>Section 8: HUD Tables.....</b>	<b>92</b>
<b>Section 9: Appendices.....</b>	<b>101</b>

# Table of Figures

---

<b>Table 1: Citizen Participation Process Schedule of Events</b> .....	11
<b>Table 2: CDBG FY 2012-13 Allocations</b> .....	13
<b>Table 3: CDBG FY 2012-13 Accomplishments</b> .....	14
<b>Table 4: CDBG FY 2012-13 Grants Management Accomplishments</b> .....	15
<b>Table 5: HOME FY 2012-13 Allocations and Expenditures</b> .....	16
<b>Table 6: HOPWA FY 2012-13 Allocations</b> .....	19
<b>Table 7: HOPWA FY 2012-13 Accomplishments</b> .....	20
<b>Table 8: ESG FY 2012-13 Allocations</b> .....	21
<b>Table 9: HMIS Accomplishments</b> .....	22
<b>Table 10: HPRP Allocations</b> .....	23
<b>Table 11: HPRP Accomplishments</b> .....	24
<b>Table 12: Households Receiving Section 8 Rental Assistance in San José</b> .....	27
<b>Table 13: Households Receiving Section 8 Rental Assistance in Santa Clara County</b> .....	28
<b>Table 14: Section 8 Wait List for San José</b> .....	28
<b>Table 156: Action 1.A.1 Financial &amp; Technical Assistance for Affordable Rental Housing - Production Goal</b> .....	37
<b>Table 16: Fiscal Year 2012-13 New Commitments for Rental Housing</b> .....	38
<b>Table 17: Fiscal Year 2012-13 Completions for Rental Housing</b> .....	38
<b>Table 18: Action 1.A.1 Financial &amp; Technical Assistance for Affordable Rental Housing - Inclusionary Goal</b> .....	38
<b>Table 19: Fiscal Year 2012-13 Projects with Recorded Affordability Restrictions for Inclusionary Housing</b> .....	39
<b>Table 20: FY 2012-13 Housing Production - Leveraging of Resources</b> .....	39
<b>Table 21: Action 1.B.1 Direct Financial Assistance to Help Lower-Income Households Purchase Homes</b> .....	41
<b>Table 22: Action 1.B.2 Financial Literacy and Homebuyer Education Programs</b> .....	41
<b>Table 23: Fiscal Year 2012-13 New Commitments for Ownership Housing</b> .....	42
<b>Table 24: Fiscal Year 2012-13 Completions for Ownership Housing</b> .....	42
<b>Table 25: Fiscal Year 2012-13 New Inclusionary and Negotiated Affordable Ownership Housing</b> ..	43
<b>Table 26: Action 1.C.1 Rehabilitation Assistance to Lower-Income Homeowners (Inclusive of All Funding Sources)</b> .....	44
<b>Table 27: FY 2012-13 Rehabilitation Program Households Served</b> .....	45
<b>Table 28: Action 1.C.2 Rehabilitation Assistance for Lower-Income Homeowners through the CDBG Program only (Subset of 1.C.1 above)</b> .....	45
<b>Table 29: Action 1.C.3 Pursue Funding Opportunities for Infrastructure Improvements in Lower- Income Mobilehome Parks</b> .....	46

<b>Table 30: Action 1.D.1 Production Goal for Seniors, Disabled and Special Needs Individuals (Subset of Production Goal 1.A.1)</b>	48
<b>Table 31: Action 1.D.1 Rehabilitation Goal for Seniors, Disabled and Special Needs Individuals (Subset of Rehab Goal 1.C.1)</b>	48
<b>Table 32: Action 1.D.2 Pursue Funding Opportunities to Improve Condition of Housing Stock for Lower-Income Renters</b>	49
<b>Table 33: Action 2.A.1 TBRA Assistance to Chronically Homeless</b>	50
<b>Table 34: Action 2.A.2 Short-term Emergency Shelter Program</b>	51
<b>Table 35: Action 2.A.3 Emergency Rental Assistance Program</b>	52
<b>Table 36: Action 2.A.4 Programs that Provide Vital Services- Homeless Outreach / Services for Families and Youth (Including Victims of Domestic Violence)</b>	52
<b>Table 37: Action 2.A.4 Programs that Provide Vital Services to Homeless Individuals - CDBG</b>	53
<b>Table 38: Action 2.A.5 Support Destination:Home</b>	53
<b>Table 39: Action 2.A.6 Seek Additional Resources for County-wide Efforts to End Homelessness</b>	54
<b>Table 40: Action 2.A.7 Seek Additional Resources for Housing and Services for Recently Emancipated Youth</b>	54
<b>Table 41: Action 3.A.1,2 Assist Low-Income Residents with Basic/Essential Services and Maintain Self-Sufficiency - Homeless Services</b>	58
<b>Table 42: Action 3.A.1,2 Assist Low-Income Residents with Basic/Essential Services and Maintain Self-Sufficiency - CDBG</b>	59
<b>Table 43: Action 3.A.3 Assist Lower-Income Residents Access Healthcare Services / Senior Services</b>	59
<b>Table 44: Action 3.A.4 Assist Lower-Income Residents Access Legal Services</b>	60
<b>Table 45: Action 3.B.1 Remove Public Accessibility Barriers</b>	61
<b>Table 46: Action 3.B.2 Physical Improvement and Rehabilitation of Public Facilities</b>	61
<b>Table 47: Action 3.B.3 Code Enforcement Activities that Eliminate Blight and Strengthen Neighborhoods</b>	62
<b>Table 48: Action 3.C.1 Inspect Affordable Housing for Lead-Based Paint</b>	64
<b>Table 49: Action 3.C.2 Seek Funding Opportunities to Mitigate Lead Hazards</b>	64
<b>Table 50: Action 3.D.1 Purchase and Rehabilitate Foreclosed Properties and Resell as Affordable Housing Units</b>	66
<b>Table 51: NSP2 Programs Funding Status</b>	67
<b>Table 52: Action 3.D.2 Provide Support to the City's ForeclosureHelp Initiative</b>	68
<b>Table 53: Action 3.D.3 Provide Support to the City's Don't Borrow Trouble Initiative</b>	68
<b>Table 54: Action 3.D.4 Research Best Practices and Policies to Respond to the Foreclosure Crisis</b>	69
<b>Table 55: Action 4.A.1 Funding for Local Employment Development and Workforce Training</b>	70
<b>Table 56: Action 4.A.2 Funding for Small Business Development and Training</b>	70
<b>Table 57: Action 5.A.1 Ongoing Education and Outreach Regarding Fair Housing</b>	71
<b>Table 58: Action 5.A.2 Fair Housing Testing in Rental Units</b>	72

**Table 59: Action 5.B.1 Ensure Local Ordinances are in Compliance with State and Federal Fair Housing Laws.....72**

**Table 60: Action 5.B.2 Ensure Zoning Ordinances have Procedures for Reasonable Accommodation Requests .....73**

**Table 61: Action 5.B.3 Language Assistance for Limited-English Speaking Residents .....73**

**Table 62: Action 5.B.4 Update Local Analysis of Impediments.....74**

**Table 63: Action 5.C.1 Plan for and Facilitate the Development of Complete Mixed-Use and Mixed-Income Communities .....75**

**Table 64: Action 5.C.2 Plan for and Facilitate Transit-Oriented Developments.....76**

**Table 65: Action 6.A.1 Energy Efficiency in Multi-Family New Homes.....77**

**Table 66: Action 6.A.2 Direct Investment in Energy-Efficiency in Owner-Occupied Housing - Rehabilitated Homes .....78**

**Table 67: Action 6.A.2 Direct Investment in Energy-Efficiency in Owner-Occupied Housing - Homebuyer Assistance Programs .....79**

**Table 68: Action 6.A.3 CDBG Sponsored Energy Efficiency Improvements.....79**

# **Section 1:**

## **Executive Summary**

## Section 1: Executive Summary

### **EXECUTIVE SUMMARY**

The City of San José's Fiscal Year 2012-2013 *Consolidated Annual Performance Evaluation Report (CAPER)* reports on the progress made towards achieving the housing and community development goals identified in the City's *Five-Year Consolidated Plan (2010-2015)* and the *FY 2012-2013 Annual Action Plan*. These reports guide the funding priorities for San José's federal housing grant programs, which are administered by the City's Housing Department and overseen by the U.S. Department of Housing and Urban Development (HUD). These programs include: Community Development Block Grant (CDBG); Home Investment Partnerships (HOME); Housing Opportunities for Persons with AIDS (HOPWA); and, Emergency Solutions Grant (ESG). In addition, the City is part of a consortium awarded competitive Neighborhood Stabilization Program (NSP) funds, which this CAPER also covers.

The last several years have represented a "perfect storm" of significant events faced by local jurisdictions that have made it extremely challenging to provide the public goods and services tasked to governments. This has been certainly true for local affordable housing agencies in California, where the economic recession and the housing crash hit especially hard. Combined with the elimination of redevelopment agencies in California in 2011 – which once provided the largest source of affordable housing dollars – the depletion of State sources of funding, and the annual reductions in federal housing dollars as well as from the federal sequestration, the development of affordable units in the California has essentially been brought to a halt. These many changes in the past few years in California have truly underscored the importance of ongoing adequate federal funding for the many vital housing and community development activities that local governments perform, and of maintaining the latitude to use these resources flexibly in order to meet changing local needs.

The City received a total allocation of just under \$12 million between the CDBG, HOME, HOPWA, and ESG programs for FY 2012-13, representing a 35 percent decline in recent years. The City combined the FY 2012-13 allocation with other funds and program resources in order to provide vital resources for activities in the following areas:

- Assist in the creation and preservation of affordable housing for lower-income and special needs populations
- Support activities to end homelessness in San José and Santa Clara County
- Support activities that provide basic services, eliminate blight, and/or strengthen neighborhoods
- Expand economic opportunities for low-income households
- Promote fair housing choice – affirmatively further fair housing
- Promote environmental sustainability

### **FY 2012-2013 HIGHLIGHTS**

In the past year, the City invested its federal and leveraged resources to accomplish the following housing and community development goals:

- Provided 240 chronically homeless clients, including those with severe mental illness, access to temporary housing subsidies and case management services through a Tenant-Based Rental Assistance (TBRA) Program funded by HOME, Housing Opportunities for People with AIDS (HOPWA) and HOPWA Special Programs of National Significance programs.
- Provided vital service assistance (including outreach, housing placement and case management services) to an additional 1,682 homeless individuals, youth and families including victims of domestic violence through funds from the CDBG and Emergency Solutions Grant (ESG) programs.
- Supported kindergarten readiness and third grade literacy skills for 1,360 students in three place-based neighborhoods

## Section 1: Executive Summary

- Provided senior services to 577 seniors including hot meals, adult day care and escorted transportation services.
- Committed to the construction of 36 new affordable apartments (Third Street Residential)., With assistance from NSP funds, the City also completed an acquisition/rehabilitation project – Taylor Oaks – which created 58 rental apartments newly affordable to extremely low-income and low-income families.
- Using Community Development Block Grant (CDBG), CalHome and Federal Emergency Management Agency (FEMA) funds, the City provided housing rehabilitation assistance to 543 lower-income households including 200 seniors and special needs households.
- Provided 3,081 households and businesses with code-enforcement services that helped eliminate blight and strengthen neighborhoods with the help of funds from the CDBG program.

## **Section 2:**

# **Introduction**

## Section 2: Introduction

### **REPORT DESCRIPTION**

The City of San José's Fiscal Year 2012-2013 *Consolidated Annual Performance Evaluation Report (CAPER)* reports on the progress made towards achieving the housing and community development goals identified in the City's *Five-Year Consolidated Plan (2010-2015)* and the *FY 2012-2013 Annual Action Plan*. These reports guide the funding priorities for San José's federal housing grant programs, which are administered by the City's Housing Department and overseen by the U.S. Department of Housing and Urban Development (HUD). These programs include: Community Development Block Grant (CDBG); Home Investment Partnerships (HOME); Housing Opportunities for Persons with AIDS (HOPWA); and, Emergency Solutions Grant (ESG). In addition, the City is part of a consortium awarded competitive Neighborhood Stabilization Program (NSP) funds, which this CAPER also covers.

### **OPERATING CONTEXT**

The last several years have represented a "perfect storm" of significant events faced by local jurisdictions that have made it extremely challenging to provide the public goods and services tasked to governments. This has been certainly true for local affordable housing agencies in California, where the economic recession and the housing crash hit especially hard. Combined with the elimination of redevelopment agencies in California in 2011 – which once provided the largest source of affordable housing dollars – the depletion of State sources of funding, and the annual reductions in federal housing dollars as well as from the federal sequestration, the development of affordable units in the California has essentially been brought to a halt. As a Statewide leader in the provision of affordable housing opportunities, these impacts have hit the City of San José especially hard.

In spite of these challenges, FY 2012-13 represented a year of regrouping and energized efforts to fill the significant resource gap created. A variety of legislative efforts in California are moving through the Senate and the Assembly that would provide either new sources of affordable housing revenue (such as SB 391- California Homes and Jobs Act of 2013) or would repurpose existing appropriations for more effective use (such as AB 532 – Local Housing Trust Fund or AB 639 - Veterans Housing and Homeless Prevention Act of 2014). Additionally, there are both Statewide and Bay Area regional efforts to further the creation of sustainable communities to achieve the greenhouse reduction and land use goals required by AB 32 (Global Warming Solutions Act) and SB 375 (Sustainable Communities and Climate Protection Act), which includes the creation of affordable housing in transit- and amenities-rich areas. To that end, affordable housing and sustainable planning professionals are seeking to link revenues from the State's Cap and Trade program to fund affordable housing. Locally, San José is exploring a variety of new revenue sources, including a housing impact fee. Finally, conversations in the South Bay Area have been initiated with Silicon Valley's stakeholders to explore opportunities for a more regional approach to addressing the region's significant housing needs.

From an operations perspective, given the City's sizable loan portfolio, program income is projected to be substantial enough in the near- to mid-term that the City can continue to operate the range of housing programs needed to help the residents of San José. From a strategic and policy perspective, staff is continually reexamining how best to accomplish the City's housing and community development goals and how best to partner with outside organizations for service delivery. Staff is also in the process of updating its local Housing Investment Plan, which guides the City's housing strategy.

These many changes in the past few years in California have truly underscored the importance of ongoing adequate federal funding for the many housing and community development activities that local governments perform, and of maintaining the latitude to use resources flexibly in order to meet changing local needs. Despite the setbacks in recent years, a variety of efforts are underway to rebuild the financial resources and infrastructure needed to meet the significant and growing affordable housing needs of California, of the Bay Area, and of San José.

### **CITIZEN PARTICIPATION PROCESS AND COMMENTS**

## Section 2: Introduction

As part of the Consolidated Plan/CAPER process, jurisdictions are required to hold public review of the documents for comment. The Consolidated Plan is required to be open for a 30-day review period, while the CAPER is required to be made available for a 15-day public review period. The public review period for the FY 2012-2013 CAPER was held from August 26, 2013 to September 12, 2013. A notice regarding the 15-day public comment period was electronically distributed to approximately 460 agencies, nonprofits, and individuals concerned about housing and community development issues. Additionally, the notice was also printed in the *San José Mercury News* and translated and printed in *La Oferta*, *Thoi Bao*, *China Press*, and *Phillipine News* on August 23, in order to outreach to residents with limited English proficiency. Copies of the draft CAPER were made available at the City of San José Department of Housing, and sent to citizens via e-mail or regular mail upon request. Below is a schedule of events and hearings held during the FY 2012-2013 CAPER preparation process.

**Table 1: Citizen Participation Process Schedule of Events**

Action	Date
Notices e-mailed and mailed to over 460 organizations and individuals announcing the public review process	August 26, 2013
Start of the 15-day public review – Draft copies available at the Housing Department, 200 E. Santa Clara, 12 <sup>th</sup> Floor, San José, CA 95113	August 26, 2013
End of 15-day public comment period	September 12, 2013
Housing Advisory Commission public hearing	September 12, 2013
City Council Public Hearing	September 17, 2013
CAPER due to HUD	September 30, 2013

**Section 3:**  
**Program Summary**

## Section 3: Program Summary

In FY 2012-2013, the City of San José received approximately \$12 million of entitlement funds through the CDBG, HOME, ESG, HOPWA programs. The City invested these funds and additional program income and savings from prior years, in the following areas

- Assist in the creation and preservation of affordable housing for lower-income and special needs populations
- Support activities to end homelessness in San José and Santa Clara County
- Support activities that provide basic services, eliminate blight, and/or strengthen neighborhoods
- Expand economic opportunities for low-income households
- Promote fair housing choice – affirmatively further fair housing
- Promote environmental sustainability

Specific actions taken in FY 2012-2013 towards the accomplishments of the five-year goals are summarized in the *Outcome Performance Measurement* table in Section 8 – HUD Tables. Some actions will indicate *N/A* as a performance indicator target because they have no numerical goal attached to them and are generally actions that broadly further the goal, such as seeking additional funding or continuing to support countywide efforts.

The Outcome Performance Measurement table mentioned above summarizes the progress of each goal. The goals and the related need, accomplishments, impact and leveraged resources are described in Section 5: *Assessment of Strategic Plan Goals and Objectives* section.

As evidenced by the results of the 2010-2015 Consolidated Plan's first three years of performance, the City continues to effectively manage its federal funds for the greatest impact and benefit for its community.

## PROGRAM NARRATIVES

### 1. Community Development Block Grant (CDBG) Program

#### FY 2012 - 2013 Allocations

During FY 2012-2013, CDBG funds were used for a variety of public services and community development improvements. Allocations of CDBG funds were as follows:

**Table 2: CDBG FY 2012-13 Allocations**

Category	Funds	% of CDBG Funds Allocated
General Administration, Planning and Fair Housing	\$1,688,056	16%
Public Service	\$1,259,249	12%
Community Development Improvements		
<i>Neighborhood Cleanups</i>	\$200,000	2%
<i>Housing Rehabilitation</i>	\$2,125,000	23%
<i>Facility Improvements</i>	\$297,350	3%
<i>Code Enforcement</i>	\$1,297,507	12%
<i>Street Improvements</i>	\$1,205,500	11%
Section 108 Debt Service	\$2,300,000	21%
<b>TOTAL</b>	<b>\$10,372,662</b>	<b>100%</b>

## Section 3: Program Summary

The goal of the City of San José's CDBG program is "to implement housing and community development projects throughout the City." The City's CDBG program objectives are principally for the benefit of low- and moderate-income persons, and for the elimination and prevention of slums and blight. San José's CDBG program has sought to respond to challenges faced by the City's low-income residents by developing funding priorities that meet the needs of our residents.

During the FY 2012-2013 planning phase, staff aligned the CDBG program with other city priorities and implemented a place-based initiative aimed at providing resources and implementing capital improvements within three target neighborhoods. This effort sought to identify key public service needs of communities located within San José and within the three place-based initiative areas. The four funding categories were as follows:

- Foreclosure Prevention Assistance Services (citywide)
- Senior Services (citywide)
- Homeless Services (citywide)
- Kindergarten Readiness/Third Grade Literacy Services (place-based)

The Housing Department also identified community development projects both citywide and within the three place-based neighborhoods, that would create the most impact. These included neighborhood cleanups, facility improvements, street improvements, housing rehabilitation, and code enforcement activities.

In addition, CDBG continues to participate in a citywide effort to review the financial health of all nonprofit sub-recipients receiving grant funds totaling \$250,000 or more. The City continues to use the Financial Statement Dashboard, developed and implemented with other County funders, which enables both nonprofits and the City to assess the agencies' financial health at a glance. The City requires an updated Dashboard at a minimum of once a year, but within 150 days of the close of an agency's fiscal year.

During the FY 2012-2013 reporting period, the Housing Department kept CDBG sub-recipients informed about all proposed changes in policies, procedures, and program administration. Information workshops/presentations continue to be provided on all phases of the CDBG cycle.

### FY 2012- 2013 Goals and Accomplishments

The City works with each CDBG-funded agency to establish annual performance evaluation measures and methodologies. Each agency's performance is measured quarterly and at the end of the year to ensure projects are on target. City CDBG staff provides the agencies with technical assistance and program guidance as needed. The City's sub-recipients were deemed successful, as recipients in five out of six categories met or exceeded 90% of the goals for 2012-2013. The one activity (housing counseling) that did not meet its goal was the result of less than anticipated need for foreclosure assistance services. As the foreclosure crisis continues to wane, the need for such services is expected to decline. The Housing Department will evaluate the need for such services and make future funding adjustments if necessary.

**Table 3: CDBG FY 2012-13 Accomplishments**

CDBG-funded Category	Measure	Goal (Low/Mod Persons, Jobs or Housing Units)	Actual (Low/Mod Persons, Jobs or Housing Units)	% of Goal*
Services for Seniors	People	455	577	127%
Youth Services	People	556	783	141%
Fair Housing	People	268	437	163%

### Section 3: Program Summary

CDBG-funded Category	Measure	Goal (Low/Mod Persons, Jobs or Housing Units)	Actual (Low/Mod Persons, Jobs or Housing Units)	% of Goal*
Public Services	People	300	319	106%
Housing Counseling	People	200	142	71%
Housing Improvement	Units	116	205	177%

*\*Note: Per internal standards, to qualify as substantially meeting its project goals, a program must meet approximately 90% of its targeted outcome goals*

With a commitment to continuously improve the service to San Jose's partnering nonprofits, the City's Grants Management staff set out to meet critical performance goals. These measures included timely completion of the grant agreements prior to the start of the fiscal year, and dedicated monitoring of agency performance. Fiscal measures included timely reimbursements to the agencies and overall program expenditure efficiency. The table below demonstrates the City's commitment to improve relationships with its nonprofit partners.

**Table 4: CDBG FY 2012-13 Grants Management Accomplishments**

Measure	Goal	Actual
% Community Based Organization (CBO) Contracts Completed by June 30 <sup>th</sup>	100%	0%*
% Invoices Processed and Paid Within 30 Days of Receipt of Complete Documentation	90%	97%
April 30 <sup>th</sup> Expenditure Ratio	<150%	103%

*\* Due the complexities of the contracts funded in FY 2012-2013, the department did not meet its stated goal. Most of the contracts were for consortia that consisted of multiple agencies. This required both negotiations amongst consortium members in addition to negotiations with Housing Department staff.*

#### Self-Evaluation

As a whole, the CDBG program met or exceeded anticipated goals and outcomes as set forth in sub-recipient contracts.

As a condition of funding, the City requires each CDBG-funded project to measure performance in terms of output (activities) and outcomes (program impact). Subrecipients measure and report efficiency goals on a quarterly basis, and outcomes on a semi-annual basis.

In fiscal year 2012-2013, CDBG funded eight public service programs (including fair housing which was funded through administrative funds) that served 258 low- and moderate-income participants. Eighty six percent of public service programs met their participation goals. This success is especially laudable as FY 12-13 was the first year that CDBG funds were allocated to targeted activities versus a wide variety of activities in years past. This required sub-recipients to partner with other similar service providers and create consortiums in order to meet the goals and objectives that the City was striving to accomplish. While this effort did pose its challenges both administratively for the Housing Department and operationally for the funded agencies, it did provide for more impactful outcomes and helped address key service needs within the City. Even with the delay in executing the CBO contracts, the agencies were still able to implement their programs in a timely manner.

In FY 2012-2013, CDBG funded twelve community development projects - including two housing rehabilitation programs, one code enforcement, one neighborhood facility improvement, one interim assistance project and seven street/sidewalk improvement projects. The two housing rehabilitation programs were successful in meeting the needs of low-income individuals who could not otherwise fund

## Section 3: Program Summary

home improvements necessary to make their homes decent, safe, and sanitary. The funds also went to support smaller scale projects that were necessary to address emergent needs of a client such as roof repairs, water heater replacements or accessibility improvements that would go unrepaired but for the availability of CDBG-funded services.

The Code Enforcement program provided proactive services to identify and address blighted conditions within the three place-based neighborhoods. CDBG also funded a neighborhood clean-up program within the three place-based neighborhoods. This program not only cleaned up the neighborhoods but also engaged the community so as to create an ongoing solution to the litter that often plagues their neighborhoods. Unfortunately, none of the physical improvements were able to commence in FY 12-13, due to implementation delays. The Housing department fully anticipates that these projects will start and end in FY 13-14

Fourteen of the fifteen construction projects either currently funded or funded in prior years have been completed, while one street improvement project was cancelled in FY 2010-2011 due to project delays. Table 46 in Section 5 – Assessment of Strategic Plan Goals and Objectives Goal 3.B.2 - details the community development construction projects funded in prior years (with either CDBG or CDBG-R funds) and notes whether they have been completed.

## 2. HOME Investment Partnership Program (HOME)

During FY 2012-2013, HOME funds were used for the acquisition and/or construction of multifamily rental housing, tenant-based rental assistance, administrative expenses, and downpayment assistance for lower-income homebuyers. Allocations (i.e., funds that were allocated to specific activities in FY 2012-2013) and Expenditures (i.e., amount of funds spent on specific activities) of the City HOME funds were as follows:

**Table 5: HOME FY 2012-13 Allocations and Expenditures**

Category	Allocations	Expenditures	% of Allocation
<b>Homeownership Programs:</b>	<b>\$2,250,000</b>	<b>\$409,200</b>	<b>23%</b>
Homebuyer Assistance (Welcome HOME)	\$1,000,000	\$ 25,000	10%
Homebuyer Assistance (NSP2 Downpayment Assistance)	\$1,250,000	\$ 384,200	13%
<b>Rental Housing Assistance Programs:</b>	<b>\$4,180,000</b>	<b>\$2,782,095</b>	<b>42%</b>
Bill Wilson	N/A	\$186,127	0%
Fourth Street	N/A	\$2,595,968	0%
<b>NSP2 HOME Acquisition Assistance</b>	<b>\$1,000,000</b>	<b>\$0</b>	<b>10%</b>
<b>Tenant Based Rental Assistance</b>	<b>\$1,296,910</b>	<b>\$ 184,867</b>	<b>13%</b>
<b>Administrative Expenses</b>	<b>\$1,060,804</b>	<b>\$ 381,703</b>	<b>11%</b>
<b>CHDO Operations</b>	<b>\$120,000</b>	<b>\$145,422</b>	<b>1%</b>
<b>TOTAL</b>	<b>\$9,907,714</b>	<b>\$3,903,287</b>	<b>100%</b>

### Use of Funds

- *Homeownership Program*

## Section 3: Program Summary

In the FY 2012-13 Annual Action Plan, the City allocated \$2,250,000 for its WelcomeHOME homeownership program. The program assisted one household in FY 2012-2013 with \$25,000 down payment assistance.

In the FY 2012-2013 Annual Action Plan, the City allocated \$1,000,000 for its HOME-funded Down Payment Assistance Program for NSP2 properties. The program assisted 6 homebuyers in FY 2012-2013. The average assistance per household was \$64,033 for a total of \$384,200 in homebuyer assistance.

- *Rental Housing Assistance Program*

Two projects completed construction and came online in FY 2012-2013: 4<sup>th</sup> Street Studios (100 units) and Kings Crossing (94 units). These projects were funded from previous years' allocations. HOME funds paid for 53 units. Both developments are also subsidized with Low Income Housing Tax Credits thus creating units for 50% AMI residents or lower.

- *Tenant Based Rental Assistance (TBRA)*

The HOME-funded TBRA program disbursed \$184,867 in FY 2012-2013. Further, another \$391,967 was disbursed for activity completed in FY 2012-2013. Reimbursement requests for this work came in late in the fiscal year and could not be disbursed until FY 2013-2014. This amount will be reported in next year's CAPER.

Additional successes of the FY 2012-13 TBRA program are as follows:

- 46 Mental Health clients continued being served from the 85 coupons that were originally issued over the past 3 years.
- 15 coupons were reserved for St. James Park Homeless Residents ((Drug/Alcohol Addicted Homeless Individuals). Of the 15 coupons reserved for St. James Park Residents, 7 coupons were issued.
- 20 TBRA coupons were reserved for the Homeless Encampment population. Of the 20 coupons reserved for the Encampment Program, 15 coupons were issued.
- 20 coupons were reserved for the Downtown Streets Team (DST). DST specializes in working with the homeless population and addressing their special needs for job placement. The project has yet to add any clients. The Housing Department is waiting on a completed proposal from the Downtown Streets Team.

In total, the City was successful in assisting 69 low-income/ difficult to house households in its HOME-funded TBRA program during FY 2012-2013.

### Meeting HOME Commitments & Expenditures Deadlines

Even with the challenges of decreased demand for the City's Homebuyer program and delays in completing rental projects, the City's HOME program met its HUD imposed Commitment and Expenditures deadlines for FY 2012-2013. HUD requires its participating recipients to commit its HOME funds within 24 months of receipt of HOME funds.

The City continues to improve the strategic planning process for the use of future HOME allocations. The prospect of upcoming rental developments (Japantown Seniors, North San Pedro and Donner Lofts) and

## Section 3: Program Summary

the expansion of the City's TBRA programs to new and different homeless populations will facilitate the City's ability to continue meeting its deadlines in FY 2013-2014.

### Community Housing Development Organization (CHDO) Operations

One of the main goals of HUD's HOME Program is for Participating Jurisdictions to work with non-profit developers (CHDOs) to create low-income housing opportunities. HUD requires that all Participating Jurisdictions reserve 15% of their HOME funds to CHDOs for this purpose. Since San José's beginnings as a Participating Jurisdiction back in 1992, the City has reserved 39.5% of its HOME allocation for CHDOs, well above the minimum of 15%.

The City also provides operating funds to CHDOs at or just below the maximum amount allowed by HOME. This assistance towards operating costs helps the CHDO pay for the activities required to bring a project to fruition prior to any funds being committed by the City. Of the projects mentioned above, Japantown Seniors and North San Pedro will be developed by a CHDO.

### Self-Evaluation

- *Homebuyer and NSP 2 Down Payment Assistance Program*

In the FY 2012-13 Annual Action Plan, the City allocated \$2,250,000 for its Homeownership Programs. Due to the resurgence of the real estate market in 2012-13, home prices in the area have increased, reducing the inventory of housing available to our low-income clientele. The City has seen much of the affordable home inventory go to investors who have out bid HOME-eligible buyers. The tightening of underwriting guidelines from the banks has also played a role in a reduction in demand for the Homebuyer Program. As a result, the City's Welcome HOME Homebuyer program assisted only one household in FY 2012-2013 and the City's NSP 2 Down Payment Assistance program assisted 6 homebuyers.

The City saw the trend and decided to begin phasing out the Homebuyer Assistance Program. The funds were reallocated to the City's TBRA program and the Rental Project Development Program in the 2013-2014 Annual Action Plan due to the rising need to serve the homeless population, and the need to build more affordable rental units. Although the Homebuyer/Down Payment Assistance Program did not accomplish its intended goals, the City was able to identify different uses for its funds.

- *Rental Housing Assistance Programs*

*High-Cost Area Impacts* – One of the major barriers to the construction of rental housing in San José is the high cost of development. The cost of land — zoned for significant density — combined with high construction costs continue to make the feasibility of affordable housing projects difficult. The challenge is pronounced where projects target towards special needs populations and ELI households, as deep subsidies are required to produce housing for those most in need. Even though City funds are leveraged with other funds, and even though Low-Income Housing Tax Credit (LIHTC) pricing is high once again, the gap between the cost to build and the rents from restricted affordable apartments remains significant.

The 59.14% reduction in the City's annual HOME allocation for 2012-2013 from the previous year had a profound impact on the City's ability to fund rental housing production, especially due to the level of subsidy needed to meet the affordability gap for lower-income tenants. Major rental projects require a significant amount of capital. The loss of redevelopment dollars and the reduction of HOME's allocation made it a challenge to find shovel ready projects and meet HOME's requirement to commit funds within two-years.

In FY 2012-2013, the City made a final disbursement of \$3 million to close out 4<sup>th</sup> Street Studios, a 100 unit complex. HOME funds provided 19 affordable units; additionally, tax credits were used to fund the project, requiring the remaining 81 units (minus one manager's unit) to be restricted at 50% AMI or less.

### Section 3: Program Summary

Kings Crossing, a 94-unit complex with 34 HOME units (the other 60 units minus one manager's unit is restricted at less than 50% AMI due to tax credits) is completely leased. However, a final HOME disbursement of approximately \$1.5M, which was expected to be made in FY12-13, has not yet been disbursed due to cost savings calculations that still need to occur. The disbursement is expected to be made in FY 2013-14.

The HOME-funded affordable housing developments that completed construction in FY 2012-2013 were leased up within 60 days, demonstrating the significant need for more low-income housing in San José. The City also grants a small amount of its HOME funds to assist qualified Community Housing Development Organizations with operating expenses. In total, the City has brought on line this past fiscal year 54 new HOME units and a total of 187 affordable housing units for low to extremely-low income residents.

- *Tenant Based Rental Assistance (TBRA)*

As explained above, a greater proportion of HOME funds have been allocated to the City's TBRA program due to homeless encampments becoming a priority issue citywide during this fiscal year; reduction of the HOME allocation; and major rental projects not being able to acquire tax credits. The HOME funded TBRA program continued to assist the original Mental Health clients that were already in the program (no new clients; just maintaining current clients). Populations added include:

- 15 coupons for St. James Park Homeless (7 have been filled)
- 20 coupons for Homeless Encampments (15 have been filled)
- 20 coupons for Downtown Streets Team (0 have been filled, awaiting completed proposal)

The challenge in getting each of the above programs' coupons filled more quickly is due to the population being served. Most, if not all, clients have some sort of addiction that hampers their ability to follow up with their case managers (e.g., keep appointments). Also, the clients tend to be nomadic. When the case managers or outreach workers attempt to locate them to begin the process of getting them housed, the clients are nowhere to be found. What has worked well is renewing the focus towards getting off TBRA. The case managers are directed to obtain proof of clients such as applying for affordable housing wait lists, going on job interviews and other activities that lead to self-sufficiency.

In total, the City has assisted 69 households in its TBRA program in FY 2012-2013. The HOME-funded TBRA program has been successful in housing the most difficult homeless populations to house. Up to 20 new coupons will be added to the program in FY13-14 for Homeless Veterans getting job training through Goodwill.

With the above-described changes and improvements to the City's HOME program administration, a greater number of low-income households and homeless individuals will benefit from targeted investments.

### 3. Housing Opportunities for People with AIDS (HOPWA)

**Table 6: HOPWA FY 2012-13 Allocations**

Category	Funds	% of HOPWA Funds Allocated
General Administration	\$26,346	3%
The Health Trust (TBRA, Permanent	\$801,851	91%

### Section 3: Program Summary

Housing Placement, Supportive Services)		
San Benito County (STRMU and Supportive Services)	\$50,000	6%
<b>TOTAL</b>	<b>\$878,197</b>	<b>100%</b>

During FY 2012-2013, the City's HOPWA programs provided tenant-based rental subsidies, supportive services, and housing placement assistance to foster independence for people living with HIV/AIDS in the Counties of Santa Clara and San Benito. The HOPWA programs promote permanence, independence, and dignity, and improve the overall quality of these residents' lives.

The fatality rate due to HIV/AIDS has significantly declined since 1995. Many people with HIV/AIDS are living longer lives, and therefore require assistance for a longer period of time. These individuals are increasingly lower-income and homeless, have more mental health and substance abuse issues, and require basic services such as housing and food in order to ensure they adhere to the medications necessary to prolong their lives.

Using HOPWA funds, the City has contracted with the Health Trust and the San Benito County Health and Human Services Agency to provide individuals living with HIV/AIDS with the rental subsidies, case management, and other supportive services.

Below is a summary of the number of households assisted through the HOPWA program.

**Table 7: HOPWA FY 2012-13 Accomplishments**

Measure	Goal	Actual	% Goal
Tenant Based Rental Assistance	110	117	106%
Persons assisted with supportive services	120	197	164%
Persons receiving placement assistance	110	106	96%
Persons Receiving Short-Term Emergency Assistance	10	7	70%
<b>Total</b>	<b>350</b>	<b>427</b>	<b>122%</b>

Further, in FY 2010-2011, the City's renewal application for \$1.2 million for the Housing Opportunities for Persons with AIDS (HOPWA) Special Project of National Significance (SPNS) in partnership with the Health Trust was approved for an additional three years. The funds were allocated in three equal amounts for each program year. In FY 2012-2013 54 participants received TBRA and 99 participants received supportive services.

#### Self-Evaluation

As noted in the table above, HOPWA funded sub-recipients met a majority of their overall goals. The demand for these programs continues to be strong. Both the Health Trust and San Benito County continue to serve this vulnerable population and provide them with both housing services and the supportive services necessary to address the other issues many of the clients have. While the Health Trust met its goals, San Benito County fell short in meeting both its supportive services and STRMU goals. This was the result of two factors. First, San Benito County only served persons with AIDS and not those who were only HIV+. Second, San Benito County's small population (56,000 according to 2010 Census data) makes it difficult to predict how many persons with AIDS will request assistance from the program. In order to increase the number of persons served by the program in FY 2013-14, San Benito County will increase its outreach efforts, and expand its HOPWA-funded services to persons with the HIV virus but not diagnosed with AIDS. Such persons are eligible for assistance under HOPWA regulations.

## Section 3: Program Summary

### 4. Emergency Solutions Grant (ESG)

**Table 8: ESG FY 2012-13 Allocations**

Category	Funds	% of ESG Funds Allocated
General Administration	\$89,093	8%
Homeless Outreach and Engagement	\$346,820	32%
Services to Families and Youth (including victims of domestic violence)	\$541,909	51%
HMIS	\$90,000	9%
<b>TOTAL</b>	<b>\$1,067,822</b>	<b>100%</b>

In alignment with the Emergency Solutions Grants (formerly the Emergency Shelter Grant), the City redesigned its funding model away from largely supporting emergency shelters in FY 2012-2013. Funds were provided to organizations that provided outreach to individuals living in homeless encampments, homeless families and youth and victims of domestic violence, and the Homeless Management Information System (HMIS) During FY 2012-2013, five programs were awarded ESG funds for a total of \$1,067,822, as listed above. Per §576.203 (b) Code of Federal Regulations, all funds obligated in FY 2012-2013 will be expended within 24 months after the date HUD signed the City of San José's grant agreement.

#### Homeless Outreach and Engagement

Thirty-two percent (\$346,820) of the ESG funds were allocated to homeless encampment outreach services, including direct engagement of homeless clients in encampments, case management, housing placement, rental assistance and temporary shelter beds.

The City's 2013 Homeless Census and Survey identified 4,770 homeless persons of which 77% are unsheltered. The Outreach and Engagement teams are the first point of contact for unsheltered homeless individuals. Engaging with someone for long enough to gain trust can take weeks, months or years, especially for those who do not access shelter or services and most likely have multiple barriers securing permanent housing and self sufficiency. The Outreach and Engagement teams have been successful in building relationships because they are consistent and reliable, providing almost 3,000 contacts with homeless persons in FY 2012-13. While the City's primary outcome for ESG grantees is rapid re-housing and maintenance, ensuring interim housing solutions is critical. ESG funded over 6,000 personal shelter days while homeless individuals engaged with a case manager and secured permanent supportive housing (rather than remaining outdoors). Connecting with a case manager also allowed for clients to be referred and enrolled in other appropriate supportive housing programs, including the local Housing 1000 Campaign. Of the over 400 case managed individuals, 61 were able to obtain permanent housing through the programs rapid re-housing strategies, which included direct financial assistance and short-term subsidies.

#### Services to Families and Youth, including Victims of Domestic Violence

Fifty-one percent (\$541,909) of ESG funds were allocated to services for homeless families and youth. Services funded included emergency shelter beds, case management and housing placement.

Based on lessons learned from the Homeless Prevention and Rapid Re-Housing Program (HPRP), the programs for homeless families (and youth) provide services from multiple agencies; Two programs, one

### Section 3: Program Summary

servicing homeless families (and youth), and the other one focusing on victims of domestic violence, have the same goals of rapid re-housing and housing maintenance for a least six months. The Family and Youth Collaborative provided rapid re-housing for an underserved population in San José. The assisted households were referred to the program from the partnering homeless shelters and programs. Of the 469 case management sessions, 110 households (584 individuals) were able to obtain stable housing. The Domestic Violence Collaborative also assisted victims from the shelters. Seventeen individuals received rental subsidies to secure and maintain permanent housing.

#### Homeless Management Information System (HMIS)

Nine percent or \$90,000 of the ESG funds was allocated to HMIS to support the system and the Santa Clara County services providers that use it. Services included the provision of technical support to HMIS users and data quality reports.

ESG funding supports software licensing, user training, data quality monitoring, reporting, regular maintenance and upgrades to ensure optimal performance of system software and hardware. HMIS provides an accurate count of those receiving services, which allows policymakers to determine which services work best to alleviate homelessness and where the gaps may be. HMIS allows for the community to clarify the demand for services by the City’s homeless population.

Below is a summary of the accomplishments achieved through each funding category.

**Table 9: HMIS Accomplishments**

Measure	Goal	Actual	% Goal
Homeless Outreach (# of clients served)	135	299	221%
Services to Families and Youth, including Victims of Domestic Violence (# of clients served)	424	1,064	251%
HMIS (# of users)	450	455	101%
<b>Total</b>	<b>1,009</b>	<b>1,818</b>	<b>180%</b>

#### Self-Evaluation

As noted above, in FY 2012-2013, the Housing Department modified its ESG funding strategy to both align with other city priorities and meet the requirements set forth in the Emergency Solutions Grant program. These changes included focusing funds on three targeted areas: 1) Homeless Outreach and Engagement, 2) Services to Families and Youth, (to include services to victims of domestic violence, and 3) HMIS. For the first time, it issued a Request for Proposal that sought to procure specific services necessary to address targeted needs within the city. Unlike in years past, this new funding strategy allowed the Housing Department to more appropriately target its limited ESG funding to sub-recipients that provide key services to the most underserved homeless populations, including those living outside and not accessing services as well as homeless families and youth. As a result, agencies created consortiums to identify service delivery efficiencies that focused on addressing the needs of the City versus simply continuing to operate as usual. The consortia leveraged the expertise and unique programs of each agency. The Outreach and Engagement Programs and the Programs for Families and Youth (including victims of domestic violence) focused on the City’s underserved homeless populations. All programs had similar outcomes based on rapidly re-housing homeless persons rather than preventing homelessness. While the focus is rapid re-housing, ESG funds are also used to end someone’s homeless episode quickly through interim housing strategies, case management support and financial assistance.

### Section 3: Program Summary

Targeting the underserved and providing the means necessary to obtain permanent supportive housing quickly has proved successful. The strategy resulted in 61 individuals, mostly chronically homeless, moving from the streets to permanent housing. The strategy also worked for the family programs in which over 600 participating individuals secured permanent housing.

### 5. Homeless Prevention and Rapid Re-Housing Program (HPRP)

As part of the federal government's American Recovery and Reinvestment Act of 2009, in the Spring 2009, the City of San José was allocated a one-time appropriation of \$4,128,763 to administer activities under the newly established Homeless Prevention and Rapid Re-housing Program (HPRP). HUD's objectives for this program are two-fold: 1) prevent individuals and families from becoming homeless; and 2) help those who are experiencing homelessness to be quickly re-housed and stabilized.

The City issued a joint Request for Proposals (RFP) with Santa Clara County for the administration of both jurisdictions' HPRP funds in order to create a coordinated network of homelessness prevention and rapid re-housing services.

The awarded agencies continue to successfully implement this program that has provided additional support to families and individuals at risk of homelessness. The funding was allocated as follows:

**Table 10: HPRP Allocations**

Agency/Category	Funds	% of HPRP Funds Allocated
EHC LifeBuilders (Lead Agency)	\$2,626,994	64%
Sacred Heart Community Service (Lead Agency)	\$1,088,281	26%
Community Technology Alliance	\$307,500	7%
City Administration	\$105,988	3%
<b>TOTAL</b>	<b>\$4,128,763.00</b>	<b>100%</b>

EHC LifeBuilders was the lead of a three-agency partnership, which included Pro Bono Project Silicon Valley and Next Door Solutions to Domestic Violence. The partnership implemented a full range of HPRP services such as homeless prevention and homeless services, eviction defense legal services, and specialized case management services for victims of domestic violence to provide eligible HPRP clients with a two-tiered program geared towards attaining self-sufficiency. The majority of services were provided at the One-Stop Homelessness Prevention Center at the Boccardo Reception Center, with alternate sites for assistance as appropriate.

Sacred Heart Community Services was the lead agency of a partnership with InnVision the Way Home and the Silicon Valley Community Law Foundation to provide the full range of HPRP services. The three-agency coalition had vast experience in providing homeless prevention, homeless services, and legal defense. Using the HPRP funds, the Coalition matched financial assistance to prevent or end a client's homelessness with case management and other support to help them attain and maintain self-sufficiency.

Community Technology Alliance (CTA) has been the sole provider of HIMS in Santa Clara County since 2004. CTA provides a secure web-based system of data collection designed to increase the effectiveness and efficiency of all homeless shelter and service providers in the County. Using its allocated funding, CTA ensured that the HPRP sub-recipients met all reporting requirements by assisting them throughout their program implementation and administration, from assessment to reporting.

HPRP ended in FY 2012-2013. It was a successful program as evidenced by the number of persons and households served between FY 2010-2011 and FY 2012-2013 as detailed in the table below.

## Section 3: Program Summary

**Table 11: HPRP Accomplishments**

# of Person and Households Served	Homelessness Prevention		Homeless Assistance	
	Persons Served	Households Served	Persons Served	Households Served
<b>Unduplicated Clients</b>	993	394	227	112
<b>Rental Assistance</b>	892	357	176	91
<b>Security &amp; Utility Deposits</b>	161	59	126	57
<b>Utility Payments</b>	291	99	33	12
<b>Moving Costs</b>	12	3	15	6
<b>Motel &amp; Hotel Vouchers</b>	0	0	5	1
<b>Case Management</b>	892	358	192	95
<b>Outreach</b>	81	35	10	5
<b>Housing Search &amp; Placements</b>	12	6	5	4
<b>Credit Repair</b>	38	16	3	2
<b>Legal Services</b>	36	21	8	5

### Self-Evaluation

As seen above, the HPRP program was successful in meeting the goals of the program. The program was able to serve 1,220 unduplicated clients with either homeless prevention or homeless assistance services. As a result, it was able to provide rental assistance to 1,068 clients and provide case management to 1,084 clients. The program operated for only a month into FY 12-13 and most of the accomplishments were achieved in prior fiscal years. The Housing department no longer funds this project as it was a program of American Recovery and Reinvestment Act of 2009.

The City learned from the HPRP Program that providing rapid re-housing assistance rather than providing just homeless prevention services was far more effective in dealing with homelessness. Also, the benefit of working as consortia allowed for the agencies to leverage each other's resources and programs and assist the most appropriate clients with the HPRP Program. Prior to implementing the Program in the County, a large group of stakeholders met regularly to determine program-wide, cross agency performance measures, protocols, practices, and realistic methods of communication. While developing performance measures that captured the desired information through the data that was collected and also made sense was challenging, the proactive approach allowed for open and consistent communication and accountability. Additionally, the HPRP Program in San José (and Santa Clara County) used the Self Sufficiency Matrix to assess success, which was unique across the country. The ongoing use of the Self Sufficiency Matrix showed us that becoming permanently housed makes a positive impact on other aspects of the participating household's lives.

## 6. Neighborhood Stabilization Program (NSP 1 & NSP 2)

Since October 2009, the City of San José has overseen implementation of its award of federal Neighborhood Stabilization Program (NSP1) funds for single-family acquisition, rehabilitation, and resale program under the Housing and Economic Recovery Act, 2008 (HERA). San José was awarded approximately \$5.6 Million as an entitlement city. Under NSP guidelines, HUD required applicants to

## Section 3: Program Summary

identify the greatest areas of need based on 1) the greatest percentage of home foreclosures 2) having the highest percentage of sub-prime loans and 3) likelihood of facing a significant rise in foreclosures. Based on HUD's Foreclosure and Abandonment Risk scores, San José identified the four areas of highest risk at that time. The four areas identified in the NSP 1 application encompass the 95111, 95116, 95122 and 95127 zip codes within San José.

In early 2009, the City of San José along with the Housing Trust of Santa Clara County and Neighborhood Housing Services of Silicon Valley formed an NSP 2 Consortium to apply for a federal grant under the American Recovery and Reinvestment Act (ARRA) of 2009. Using the same ranking system in 2009 the NSP2 Consortium identified 35 census tracts within San José as areas of greatest need. In late 2009, the Consortium was awarded a \$25M grant to implement the funding strategies outlined in the Consortium's funding application. As with NSP 1, the overall objective of this grant is to restore neighborhood stability and eliminate blight in the areas severely affected by foreclosure.

The activities outlined under the Consortium's program agreement executed with the Department of Housing and Urban Development include 1) providing homeownership assistance to low and moderate income home buyers purchasing foreclosed homes in the NSP designated areas and 2) acquisition and development or rehabilitation of foreclosed properties in the designated census tracts to be either rented or resold to income eligible families. In accordance with the funding application and Consortium Agreement, the Housing Trust is responsible for implementing and managing the first activity, while the City's Housing Department is responsible for implementing and managing the second activity including the 25% set-aside requirements under this grant. The 25% set-aside requirement mandates that 25% of the overall grant funds are to be used to house households earning 50% AMI. Under the Program Agreement, the Consortium is required to meet a combined goal of 205 assisted units.

### Meeting Expenditure Deadlines

On March 22, 2013 the City of San José received official recognition from HUD that the City had met the statutory expenditure requirement for the NSP1 Program and received a letter of commendation from HUD for its performance.

As with NSP 1, the NSP 2 program celebrated many successes over this performance period. In spite of significant changes in the housing and foreclosure markets, this year the NSP 2 Consortium successfully met the statutory requirement to expend 100% of the original program amount by February 2013. The NSP 2 consortium had met the Expenditure Deadline two months ahead of schedule. By the February 2013 deadline the Consortium had expended 112% of the overall grant amount, including Program Income. This ranked the San José consortium 5<sup>th</sup> in overall spending performance in the nation.

### Self-Evaluation

The NSP 1 program celebrated many successes over this past performance period. As of the March 2013 deadline, including program income generated from the resale of NSP 1 properties, the City had expended 146% of the original grant amount. After successfully meeting the expenditure requirements a year in advance, program staff worked toward completing the rehabilitation of the two four-plex properties (located at 127 and 110 Roundtable Drive) purchased with the goal of meeting requirement to set-aside 25% of the total program funds to assist households earning 50% or less of the Area Median Income. During this performance period the City completed rehabilitation of both four-plex buildings. Additionally, program staff executed a two year lease agreement with Downtown Streets, a non-profit, which will provide job training and housing to formerly homeless individuals, within the two apartment complexes, effectively meeting the 25% set-aside grant requirement.

As a result of the rapid changes throughout the year within the Housing and Foreclosure markets both the City's Dream Home Program and the Housing Trust's Purchase Assistance Loan Program experienced

## Section 3: Program Summary

challenges gaining access to and purchasing foreclosed properties. In response to these challenges, the NSP 2 Consortium reevaluated the overall program approach and implemented the following changes:

- 1) Closing the San José Dream Home Program and the Purchase Assistance Loan Program as of July 1, 2013
- 2) Submitting a technical amendment to HUD reducing each of the programs projected budgets as well as production goals and
- 3) Increase the budgets and production goals of the programs development budget.

As a result of these changes, the Dream Home Program will close out in FY 2013-14 and anticipate completing the acquisition, rehabilitation and resale of 41 single-family homes. The Purchase Assistance Loan Program will closeout assisting 45 families.

With the expansion of the 25% set-aside program the NSP 2 Consortium will be issuing a new Notice of Funding Availability (NOFA) seeking new development or acquisition/rehabilitation opportunities with the remaining program funds. Through the end of 2012-13 the NSP 2 Consortium completed and fully leased the 58 unit Taylor Oaks apartments, began construction on the 20 unit (19 restricted units) Ford Road Supportive Housing development and finalized the NSP 2 funding commitment to the 75 (74 restricted units) unit Ford Road Family Development. Not including production from the new NOFA, the Consortium has committed just under \$11 Million to 209 very low-income units, far exceeding the targeted commitment of \$6.25 Million. The overall NSP 2 Consortium is currently on target to create 288 affordable units through the NSP2 grant, significantly exceeding the original target of 205 units.

## 7. BEDI Grants and Section 108 Loans

### FMC Purchase

Adopted in November 2003, San José's Economic Development Strategy (EDS) details the vision and outlines the strategy for San José's economic future. Identified as the number one strategic initiative in the EDS is to build and expand the Norman Y. Mineta San José International Airport (the Airport) into a world-class airport facility.

To facilitate the construction of the Airport, the City applied for and was awarded a \$25.8 million loan under the Section 108 program through the U.S. Department of Housing and Urban Development (HUD) for the acquisition of 23.23 acres of land from the FMC Corporation. The land is directly adjacent to the Airport and was used for construction staging in support of the new terminal construction. The acquisition was in conjunction with an additional City bond-financed purchase of 51.64 acres of land which was also acquired from FMC. To fund a portion of the interest on the Section 108 loan, the City applied for and received a \$2 million Brownfield Economic Development Initiative (BEDI) grant.

The approximate 75 acres of land, identified as Airport West is intended, in the long-term, to accommodate 1.5 million square feet of high-end office R&D, 300 hotel rooms and up to 95,000 square feet of retail space that will each support the Airport and the City's overall revenue position.

In July 2009, the first six gates in the new Terminal B concourse were activated. The entire Terminal B concourse and the Consolidated rental car center and the public parking garage, provided 3,000 spaces for all rental car operations based at the Airport, as well as 350 public parking spaces at street level, was completed and opened for operation in July 2010. Terminal B was integrated with the Terminal B concourse for a total of 12 aircraft gates served by new ticket counters, security checkpoint, baggage claim, an automated inline baggage screening system and new retail and restaurants. In addition, Terminal A was expanded and renovated a new shops and restaurants. The City continues to work on meeting the proposed 836 jobs creation goal. To date, 355 jobs have been created, of which 254.7 were full-time equivalent (FTE) jobs. Of those 254.7 FTE jobs, 204.6 jobs were held by low- and moderate-income persons.

### Section 3: Program Summary

The City has designated a portion of the 23.23 acres for a major league soccer-specific stadium. However, uses related to professional sports teams do not qualify as an eligible activity with HUD funds. The City worked closely with HUD to substitute the soccer stadium and recreational soccer facility acres with a former landfill site, in order to meet the necessary 1.2 loan-to-value HUD collateral requirement. This HUD Section 108 loan will be paid off in 2024.

### 8. Housing Authority Programs

The City of San José contracts with the Housing Authority of the County of Santa Clara (HACSC) to administer its Housing Choice Voucher (HCV-Section 8) Program. HACSC provides HCVs to enable low-income people to lease units in the City of San José. In addition to administering the federal rental housing voucher program, HACSC develops, controls and manages affordable rental housing properties in Santa Clara County. Since 2009, HACSC has preserved and upgraded 555 public housing units and converted 535 of them into tax credit housing units.

Table 9 shows that the Housing Authority is assisting 12,742 households under Section 8 contracts as of June 13, 2013.

**Table 12: Households Receiving Section 8 Rental Assistance in San José**

#### Number of Persons in Family

Income Category	1	2	3	4	5	6	7	8	Total Section 8
ELI (0-30%)	3,706	3,007	1,770	1,224	731	338	148	81	11,005
VLI (31-50%)	184	260	366	288	148	71	39	13	1,369
LI (51-80%)	32	72	96	74	32	22	5	2	335
MOD+ (>80%)	2	3	11	5	11	1	0	0	33
<b>TOTAL</b>	<b>3,924</b>	<b>3,342</b>	<b>2,243</b>	<b>1,591</b>	<b>922</b>	<b>432</b>	<b>192</b>	<b>96</b>	<b>12,742</b>

Ethnicity	Total	Percent
Hispanic	4,058	32%
Non-Hispanic	8,684	68%
<b>Total</b>	<b>12,742</b>	<b>100%</b>
Race	Total	Percent
Caucasian	5,399	42%
Black/African American	1,854	15%
American Indian/Alaskan Native	201	2%
Asian	5,279	41%
Native Hawaiian/Other Pacific Islander	9	0%
<b>Total*</b>	<b>12,742</b>	<b>100%</b>

In addition, the Table below indicates the number of households under Section 8 contracts in the rest of Santa Clara County, not including San José.

## Section 3: Program Summary

**Table 13: Households Receiving Section 8 Rental Assistance in Santa Clara County  
(Not including San José)**

Income Category	1	2	3	4	5	6	7	8	Total Section 8
ELI (0-30%)	1,698	1,080	523	332	226	102	48	21	4,030
VLI (31-50%)	92	122	124	103	39	19	4	3	506
LI (51-80%)	14	34	29	26	17	7	0	0	127
MOD+ (>80%)	3	1	8	3	2	0	1	0	18
<b>TOTAL</b>	<b>1,807</b>	<b>1,237</b>	<b>684</b>	<b>464</b>	<b>284</b>	<b>128</b>	<b>53</b>	<b>24</b>	<b>4,681</b>

Ethnicity	Total	Percent
Hispanic	1,568	33%
Non-Hispanic	3,113	67%
<b>Total</b>	<b>4,681</b>	<b>100%</b>
Race	Total	Percent
Caucasian	2,797	60%
Black/African American	574	12%
American Indian/Alaskan Native	54	1%
Asian	1,254	27%
Native Hawaiian/Other Pacific Islander	2	0%
<b>Total*</b>	<b>4,681</b>	<b>100%</b>

In April 2006, the Section 8 waiting list was opened for the first time in seven years and over 58,000 individuals signed up. Currently, there are 21,262 families on the Section 8 waiting list for the Housing Choice Voucher Program for Santa Clara County. This program serves low-income households, including disabled persons (Mainstream Voucher Program) and families working towards economic independence (Family Self-Sufficiency Programs).

Demographic information for registrants from the current waiting list as of August 5, 2013 for San José registrants is contained in the table below. Information in the below table is based on the current head of household.

**Table 14: Section 8 Wait List for San José**

Section 8 Wait List Sign-ups Demographic Data for San José Registrants		
Race & Ethnicity	Quantity	Percentage
Hispanic	3746	27%
Non-Hispanic	7623	55%
Unknown	2,460	18%
<b>Sub-total</b>	<b>13,829</b>	<b>100%</b>

## Section 3: Program Summary

American Indian/Alaskan Native	363	3%
Black	1,025	7%
Hawaiian/Pacific Islander	2	0%
White	3,374	24%
Asian	5,897	42%
Unknown	3,390	24%
<b>Sub-total</b>	<b>14,051</b>	<b>102%</b>
<b>Sex</b>		
Male	4,577	33%
Female	7,267	53%
Unknown	1,985	14%
<b>Sub-total</b>	<b>13,829</b>	<b>100%</b>
<b>Total Registrants from San José</b>	<b>13,829</b>	

The Chronically Homeless Direct Referral (CHDR) program, originally launched in 2011, is a partnership between the Housing Authority of the County of Santa Clara (HACSC) and Santa Clara County's Collaborative on Housing and Homeless Issues. The CHDR program sets aside Section 8 vouchers for chronically homeless individuals and families who are connected to supportive homeless programs and case management services. In 2012, HACSC committed to allocate 30% of turnover vouchers to the chronically homeless, not to exceed 100 vouchers. For these 100 vouchers, which are released on a quarterly basis, HACSC coordinated with community partners to revise and adapt the CHDR program design to address pressing local needs. Currently, three of the four quarterly allocations have been released, and HACSC continues to work in close collaboration with case management providers and community partners to lease the 100 set aside vouchers. As of June 2013, 15 people have been housed through this program.

In September 2007, the U.S. Department of Housing & Urban Development (HUD) granted approval to the HACSC for the disposition of its public housing properties, which will enable the agency to improve supportive services and rehabilitate the units using Low Income Housing Tax Credits. In FY2013, HACSC requested a modification to the previous approval and instead requested to dispose of 16 of the remaining 20 public housing units. At present, HUD approval is pending.

In January 2008, HUD designated the HACSC as a "Moving to Work" agency through June 30, 2018. MTW is a federal demonstration program which was established in 1996. The goal of the MTW program is to increase cost effectiveness, promote self-sufficiency, and expand housing options for low-income families. HACSC must also ensure that the population assisted by HACSC substantially remains the same, in terms of participant income level and family size, as prior to the MTW designation. The MTW designation will provide more flexibility in use of funding sources and will support the transition to creating more efficient programs. The Moving to Work 2014 Annual Plan and addendum was adopted by the HACSC Board of Commissioners in Summer 2013. In FY 2012-2013, the City also expressed its support for the Housing Authority's latest Self-Sufficiency MTW activity known as the Moving Forward program.

### **LEVERAGING OF RESOURCES**

All of the projects carried out during FY 2012-2013 involved the leveraging of other funding sources. The Table below shows the total amount of funds for each formula grant that was committed, expended and leveraged during FY 2012-2013:

CDBG, ESG and HOPWA projects are partially supported by sub-recipient funding, which expands the resources devoted to achieving project goals. CDBG and HOPWA subrecipients were required to show a

## Section 3: Program Summary

20% minimum leverage ratio as an eligibility requirement. Per ESG requirements, sub-recipients were required to provide 1:1 match. A project's level of leverage can be based on monetary, in-kind or staff resources, including cross-agency collaboration. However, projects with few leveraged resources may still be considered for funding if it has other strongly rated criteria, especially if the need for a particular service is identified.

All participating jurisdictions (PJs) must contribute or match 25 cents for each dollar of HOME funds spent on affordable housing. As PJs draw funds from HOME Investment Trust Funds, they incur a match liability, which must be satisfied by the end of each Federal fiscal year. The matching contribution adds to the resources available for HOME-assisted or HOME-eligible projects. The City of San José incurred a match liability of approximately \$1.7 million dollars for FY 2012-2013 and has satisfied it by forgiving annually property taxes on major rental projects that have been assisted with HOME funds.

## **OUTREACH AND MARKETING**

The City implements a Citizen Participation Plan (CPP) and a Language Access Plan (LAP) to facilitate public engagement for affordable housing related items, including development proposals, policy development, funding priorities, and public review of housing plans and reports. The CPP provides criteria and a process for federally-related housing items, while the LAP provides a framework for facilitating the inclusion of those with limited English proficiency into the public process. Through targeted outreach and the provision of language resources for Spanish, Chinese, Vietnamese, and Tagalog speakers as needed, the Department is able to address concerns by educating residents about the benefits of affordable housing. Tagalog was added as a fourth language in FY 2012-13.

Additionally, the City sponsors and participates in workshops and community events that provide forums for increasing the public's awareness of what affordable housing is, who lives in affordable housing, and why affordable housing is important to our community and economic growth. Working with the San José community, Department staff regularly participates in public events that include, but are not limited to, Santa Clara County's Affordable Housing Week, ForeclosureHelp Center, First-time Homebuyer workshops, community fairs, Project Homeless Connect events, and subsidized project ground breakings and grand openings. The Department strives to create public awareness on the many programs and services provided to residents as well as share information on topics of interest, including mobilehomes, renters insurance, fair housing, predatory lending, and foreclosures. Specific outreach initiatives are detailed in Section 6, under Housing Support Activities/ Removing Barriers to Affordable Housing.

### **Affirmative Marketing**

The City is committed to ensuring fair, equal, and open access to affordable housing in compliance with federal, State, and local housing laws. To further this goal, in September 2010, the City adopted an Affirmative Fair Housing Marketing Plan (Plan) in order to further its commitment to fair housing. The purpose of the Plan is to require sub-recipients that receive federal funding from HUD to adopt marketing procedures and requirements for both rental and homeownership programs. The Plan requires that residential units be marketed in a manner in which individuals or households of similar income levels in the same housing market area have available to them a like range of housing choices.

As required, any developer of a rental or ownership project that has 5 or more residential units funded with federal dollars must adhere to the Plan. Below is a sample of these requirements. Please refer to the City's Affirmative Fair Marketing Plan for complete information.

1. Train property management staff on all relevant Fair Housing regulations and provisions.
2. Ensure affirmative promotion of fair and equal opportunity to housing by not discriminating against an individual or family because of race, color, national origin, religion, gender, disability, familial status or presence of children in a household.

## Section 3: Program Summary

3. Provide reasonable accommodations to all disabled persons pursuant to the City's municipal ordinance for reasonable accommodations.
4. Place advertisements in a local city-wide newspaper of general circulation in order to advertise housing opportunities to the general public. Advertisements are to be placed in newspapers or periodicals that serve racial and ethnic minorities and other protected classes under housing laws. At a minimum, Spanish, Vietnamese, and Chinese language advertisements must be posted in accordance to HUD's and the City's Language Access Plan (LAP) fair housing requirements

### Homebuyer Workshops

Through funding from the City's Housing Department, Project Sentinel offers two 8-hour homebuyer education classes every month to individuals interested in purchasing homes assisted with federal funding such as NSP and HOME. Each class averages just over 21 households. In addition to English, classes are regularly held in Spanish and Vietnamese. Throughout the year Housing staff also regularly attended homebuyer workshops sponsored by the Neighborhood Housing Services of Silicon Valley and the Housing Trust of Silicon Valley. Additionally, Housing department staff held regular workshops for lenders and realtors. Housing Department staff held approximately six lender/realtor training in 2012-13 with an average attendance of ten participants.

### Language Access Plan (LAP)

In 2008, the Housing Department implemented a Language Access Plan (LAP) to facilitate outreach and communications with those who have limited English proficiency and to further the City's efforts in mitigating impediments to fair housing choice. Through the LAP, the Housing Department assesses communication needs for printed materials, public notices, and public meetings, and determines the appropriate level of language translation needs (if any) for Spanish, Chinese, Vietnamese, and Tagalog speakers.

In FY 2010-2011, all sub-recipients of grant funding passed through the City of San José to local nonprofit agencies were required to develop and implement an LAP. Housing Department staff provided training and technical assistance to the agencies in order to facilitate their LAP. All agencies provided a year-end narrative on the steps taken to outreach to their limited English proficient clients. Grant contracts were also updated in order to include a requirement that sub-recipients have a valid LAP in order to receive federal funding.

### Website Redesign

In November 2012, the Housing Department launched a new website at [www.sjhousing.org](http://www.sjhousing.org). The redesign resulted in: a better look and feel that makes the website easier to use, navigate, and search; new online tools for community engagement; and updated and relevant housing statistics and information. This was a citywide effort which included website redesigns for most City Departments. The end product is a much more user-friendly tool for our internal and external audiences.

### Online Search Tool

The City of San José and the Santa Clara County jointly launched an online housing locator tool in July 2010 called [scchousingsearch.org](http://scchousingsearch.org), that provides detailed information about rental properties in Santa Clara County. The service can be accessed at no cost online 24 hours a day or through a toll-free, bilingual call center. The tool allows prospective renters to search for apartments using a wide variety of criteria and special mapping features. Housing listings display detailed information about each unit. The service also provides links to housing resources and helpful tools for renters such as an affordability calculator, rental checklist, and information about renter rights and responsibilities. Property owners and

### **Section 3: Program Summary**

managers, including Housing Authorities and private landlords, can use this service to manage their property listings free of charge. Listings can include pictures, maps, and information about nearby amenities.

**Section 4:**  
**Geographic Areas Served**

## Section 4: Geographic Areas Served

### GEOGRAPHIC AREAS SERVED

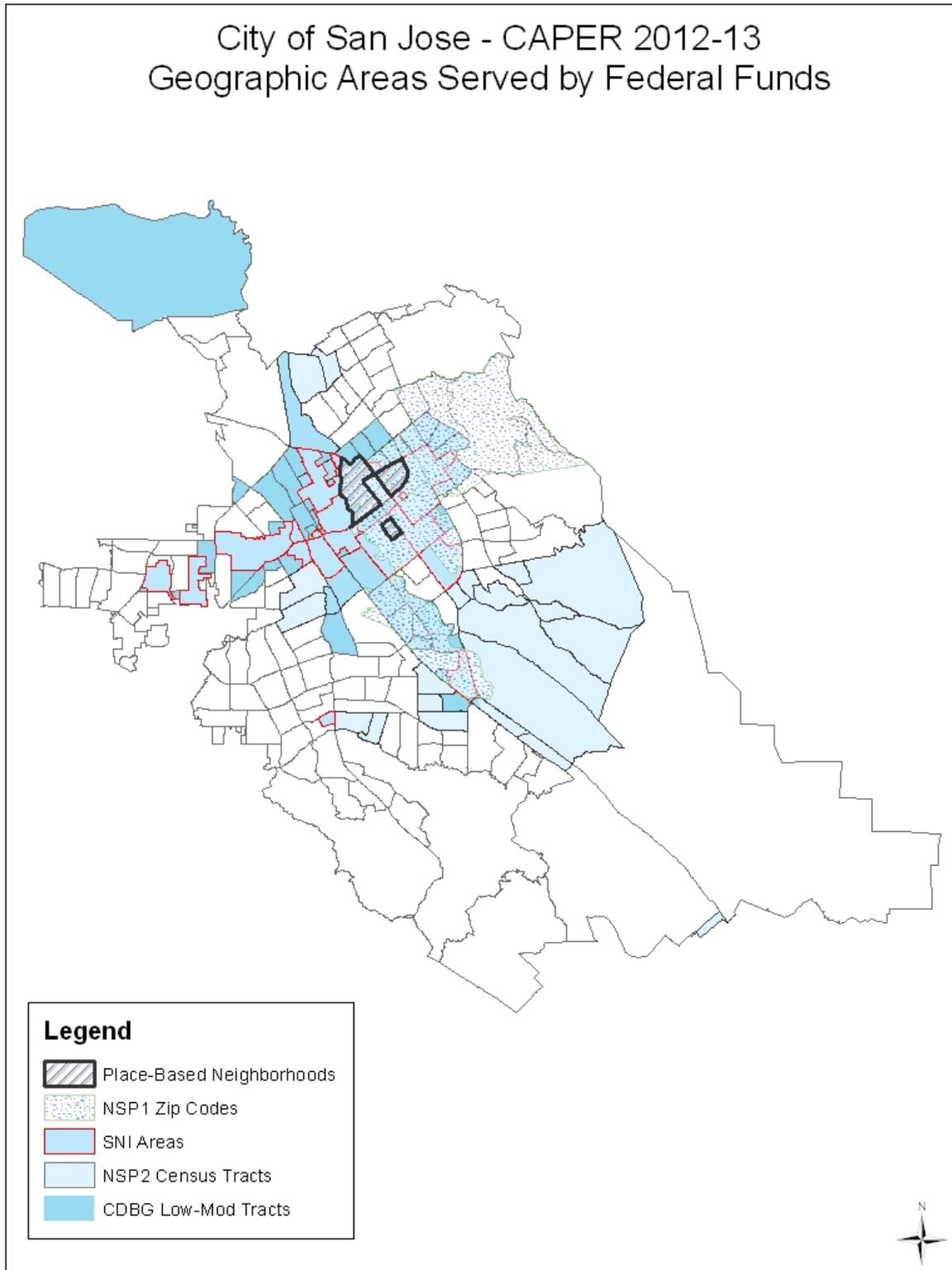
The City of San José provides funds and services to low-and moderate-income participants, households, or areas. To maximize resources, the City prioritizes funding and services to low- and moderate-income populations within redevelopment project areas, many of which contain former Strong Neighborhood Initiative (SNI) areas. These neighborhoods had been identified as needing critical services due to a lack of existing resources, are typically low-income areas, and have much of the oldest housing stock in the City. Officially established in 2000, SNI was a program of the City's former redevelopment agency to improve services, economic opportunities, and quality of life in 19 neighborhoods throughout the City. SNI helped to foster the development of citizen-leaders throughout San José's lower-income neighborhoods. The former SNI neighborhoods cover about a tenth of the city's land and a quarter of its population, and contain about 230,000 residents.

As a result of ongoing budget challenges in the City's General fund and multi-year declines in Redevelopment tax increment, the City was forced to severely reduce SNI staffing levels. This program was eventually eliminated along with the redevelopment agency.

Over the past three years, efforts were made to target CDBG and NSP funds in former Strong Neighborhood Initiative (SNI) areas that were identified as hardest hit by the foreclosure crisis. In addition to the acquisition, rehabilitation and resale of vacant and foreclosed single family residences under the NSP program, the Department also offered CDBG-funded Housing Rehabilitation loans and grants to area residents.

In January 2012, the City Council approved the Housing Departments proposal to narrow the focus of its CDBG funding to a place based, neighborhood-focused strategy. The place based strategy was created in an effort to continue the SNI approach of supporting the efforts to ensure clean, safe and engaged neighborhoods. Given the limited funding and staff capacity, the strategy concentrates funding within three neighborhoods that have 1) demonstrated a need 2) exhibit opportunities for change and 3) present strong partnerships. The outcome driven strategy strives to achieve maximum impact over a three to five year time period, and includes measures of performance and will also include an exit strategy. The three neighborhoods currently participating in place based efforts are the Santee/Mckinley, Somos/Mayfair, and Five Wounds/Brookwood Terrace neighborhoods. Efforts in these neighborhoods include community development improvement projects including LED streetlight conversions, ADA curb cuts and provision of proactive code enforcement efforts. This multipronged, place-based approach will maximize the impact of public investments in these neighborhoods.

## Section 4: Geographic Areas Served



**Section 5:**  
**Assessment of Strategic Plan Goals and Objectives**

## Section 5: Assessment of Strategic Plan Goals and Objectives

### GOAL 1: ASSIST IN THE CREATION AND PRESERVATION OF AFFORDABLE HOUSING FOR LOWER-INCOME AND SPECIAL NEEDS HOUSEHOLDS

#### Strategy 1A: Assist in the production of affordable rental housing

##### Need (As identified in the 2010-2015 Consolidated Plan document)

Affordability of rental housing varies significantly by jurisdiction. However, across the Entitlement Jurisdictions, the average market rate rent far exceeds the maximum affordable rent for very low- and extremely low-income households. Moreover, the current economic recession and unemployment further exacerbate affordability concerns for many households.

##### General Context / Background

Despite the loss of Redevelopment funding, the Housing Department continued to focus its limited resources in the past year on achieving its strategic goals as outlined in the Annual Action Plan

##### Five-Year Goal

**Table 15: Action 1.A.1 Financial & Technical Assistance for Affordable Rental Housing - Production Goal**

Action 1.A.1 Financial & technical assistance for affordable rental housing - Production Goal							
Performance Measure	Number of lower-income units with funding committed						
5-Year Plan Goal	129						
FY 2013-14 Funding Source	HOME, Affordable Housing Investment Fund, Tax Credits, Negotiated Developer Funds						
Outcome Code	DH-1,2						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	105	705	249	397		1,456	1128.7%
Actual Annual Outcome	354	74	36			464	359.7%

*\*Note: During 2011-2012, the Annual Goal shown was actually affordable units completed rather than units committed*

##### Accomplishments / Impact

In 2012-2013, the City committed support to help create new affordable apartments in five 100% affordable projects--Donner Lofts, Japantown Seniors, Ford and Monterey Family, San Carlos Seniors and 3<sup>rd</sup> Street Residential. All projects except for 3<sup>rd</sup> Street Residential have significant City subsidy investments. The City issued tax-exempt bonds for 3<sup>rd</sup> Street but did not commit additional assistance.

The loan commitment made to Ford and Monterey Family added to existing construction/permanent commitments for that project, and enabled the project to start construction. However, those units were reported in last year's CAPER, and therefore are not represented below so as to avoid duplication. The recent commitment for San Carlos Seniors project was provided in 2010-11 and hence the unit count was included in the 2010-11 CAPER. Additionally, the City expects to commit HOME funds to Japantown Seniors and Donner Lofts in FY 2013-14; assuming this occurs, those projects will be reported officially in next year's CAPER units total. The remaining project is noted in the table below.

## Section 5: Assessment of Strategic Plan Goals and Objectives

Of these projects, two are for seniors—which will offer 168 units total —while Donner Lofts will offer 15 units for homeless residents with mental health problems.

**Table 16: Fiscal Year 2012-13 New Commitments for Rental Housing**

Name	Type	ELI Units	VLI units	LI units	Total Affordable
3 <sup>rd</sup> Street Residential	Family	4	13	19	36
<b>TOTAL COMMITMENTS</b>		<b>4</b>	<b>13</b>	<b>19</b>	<b>36</b>

One acquisition/rehab project completed in 2012-2013—Taylor Oaks yielded 58 newly restricted apartments - as shown in the table below.

**Table 17: Fiscal Year 2012-13 Completions for Rental Housing**

Name	Type	ELI Units	VLI units	LI units	Total Affordable
Taylor Oaks – Acq. / Rehab	Family	6	52		58
<b>TOTAL COMPLETIONS</b>		<b>6</b>	<b>52</b>		<b>58</b>

\* Although Orvieto Apartments (91 restricted units) recorded a notice of completion on Aug 20, 2012, it was reported as a completion in 2011-12 based on Certificate of Occupancy date; and therefore is not counted in this year’s total

**Table 18: Action 1.A.1 Financial & Technical Assistance for Affordable Rental Housing - Inclusionary Goal**

Action 1.A.1 Financial & technical assistance for affordable rental housing - Inclusionary Goal							
<b>Performance Measure</b>	Number of lower-income units with recorded restrictions						
<b>5-Year Plan Goal</b>	150						
<b>FY 2013-14 Funding Source</b>	Private Developers' funds						
<b>Outcome Code</b>	DH-1,2						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
<b>Annual Plan Goal</b>	0	0	354	477		831	554.0%
<b>Actual Annual Outcome</b>	0	0	185			185	123.3%

### Accomplishments / Impact

The rising rents in the San José market have induced thousands of market-rate rental units to proceed in the last couple of years. In North San José alone, over 7,500 new rental units are in the pipeline and are expected to come on line by 2017. However, given the *Palmer/Sixth Street Properties, L.P. vs. City of Los Angeles* (2<sup>nd</sup> Dist. 2009) 175 Cal.App.4<sup>th</sup> 1396 (“Palmer”) decision, rental inclusionary requirements are currently not in effect under the City’s Inclusionary Housing Policy, and only newly-built ownership projects in redevelopment project areas are subject to the City’s inclusionary affordability requirements.

On January 12, 2010, the City Council approved a Citywide Inclusionary Housing Ordinance that required affordable housing obligations on all new developments of 20 or more units. The Citywide Ordinance was

## Section 5: Assessment of Strategic Plan Goals and Objectives

scheduled to take effect on January 1, 2013, but was declared invalid on May 25, 2012 by the Santa Clara County Superior Court. The City appealed this decision to the Sixth District Appellate Court, and was recently notified of a positive result. However, on July 16, 2013, the California Building Industry Association (CBIA) filed a petition for review with the California Supreme Court and the City is uncertain how the judicial process will impact program implementation if the Courts continue to side with the City. In the past year, two negotiated affordable projects on the former Hitachi site in the Edenvale Redevelopment Project Area recorded affordability restrictions and broke ground, as indicated in the chart below. These projects will create a total of 185 affordable units in the next two years.

Looking forward, the City has approved a 196-unit 100% affordable standalone rental project to be completed by a nonprofit housing developer in lieu of BMR for-sale units as negotiated under a Development Agreement for the Hitachi site in the Edenvale Redevelopment Project Area. This willingness to approve more deeply targeted apartments to fulfill an obligation for moderate-income for-sale homes illustrates the City's shift in priorities towards apartments, as they will ensure 55 years of affordability and will help more families—and more needy families—over time than would BMR for-sale units. This rental project, called Charlotte Drive, has not yet assembled its financing and closed construction, but the developer hopes to do so in the coming year. Assuming so, it will be reported next year.

**Table 19: Fiscal Year 2012-13 Projects with Recorded Affordability Restrictions for Inclusionary Housing**

Name	Type	ELI Units	VLI units	LI units	Total Affordable
La Moraga	Family	0	57	33	90
Shea Homes	Family	0	17	78	95
<b>TOTAL UNITS</b>		<b>0</b>	<b>74</b>	<b>111</b>	<b>185</b>

### Leveraging of Resources

Bank financing of real estate development is in more plentiful supply than in the past five years. Market-rate developments also have significant equity resources to use attracted by significant escalations in Bay Area real estate prices. Low Income Housing Tax Credit (LIHTC) equity pricing continues to be stable and healthy in the San José market given the underlying health of the rental market for investors.

The Housing Department made very efficient use of the new construction funding available in the past year and was able to leverage its programmatic funds by more than 6.5 times with available outside funding in supporting the Department's goal of increasing the affordable housing supply. For the City-subsidized projects in the list below, the leveraging ratio of other funders' money to the City's investment is 3.8 to 1—higher than the City's historical standard of approximately 3 to 1.

**Table 20: FY 2012-13 Housing Production - Leveraging of Resources**

Project	City Funds	Project Cost	Leveraging Ratio
3 <sup>rd</sup> Street Residential	\$0.00	\$13,402,139	N/A
* Donner Lofts	\$4,900,000	\$35,554,046	6.26
* Ford & Monterey Family	\$7,647,501	\$44,282,876	4.79
* Japantown Seniors	\$7,100,000	\$29,475,058	3.15
San Carlos Seniors	\$9,182,254	\$29,190,734	2.18
La Moraga Apartments	\$0.00	\$65,490,953	N/A
<b>Total</b>	<b>\$28,829,755</b>	<b>\$217,395,806</b>	<b>6.54</b>

*\*Note: City Funds include the value of City-owned land contributed under a long-term ground lease.*

## Section 5: Assessment of Strategic Plan Goals and Objectives

### Strategy 1B: Support affordable ownership housing

#### Need (As identified in the 2010-2015 Consolidated Plan document)

The National Association of Home Builders released nationwide housing affordability data for the first quarter of 2012. The San José-Sunnyvale-Santa Clara area was identified as the ninth least affordable area in the nation (217<sup>th</sup> out of 223 metropolitan areas) with only 59.1% of the homes sold being affordable to those earning the area's median income of \$105,000.

Although the ongoing housing market downturn has led to lower home sales prices in virtually all the Entitlement Jurisdictions, the NAHB data illustrates that ownership housing in much of Santa Clara County—including parts of San José—remains largely unaffordable to lower-income households. While prices have gone down in certain submarkets in San José, credit markets have continued to have tight lending standards. As such, although homes have generally become more affordable in our jurisdiction, lender requirements for a minimum down payment or credit score present a greater obstacle than in the past for buyers. In addition, there is substantial activity from investors buying lower-priced homes with cash in San José.

#### General Context / Background

Consistent with the City's goal to assist in the creation and preservation of affordable housing, the Department used the following programs to provide direct assistance to help lower-income households purchase homes:

- *Down Payment Assistance ("Welcome Home")* – the City used HOME funds to provide direct financial assistance in the form of deferred loans for down payment assistance to low-income first-time homebuyers under the City's Homebuyer Program.
- *NSP2 Down Payment Assistance* – the City used HOME funds to provide direct financial assistance in the form of deferred loans for down payment assistance to low-income first-time homebuyers to purchase homes that have been rehabilitated by the City's NSP2 Acquisition, Rehabilitation and Resale Program.
- *NSP2/HOME Acquisition Activities* – the City used HOME funds to provide loans to developers to acquire foreclosed and/or vacant properties for rehabilitation and resale to low-income first-time homebuyers. The HOME funds were used in conjunction with the City's NSP2 Program funds to acquire eligible properties. Program income from the sale of these properties was returned to the HOME Program to make HOME whole. The program income returned to HOME will be used in the development of rental units.
- *Building Equity and Growth in Neighborhoods Program ("BEGIN")* – The BEGIN Program makes grants to cities and counties that reduce local regulatory barriers to affordable ownership housing. The City used the grants to provide down payment assistance loans to qualified first-time low- and moderate-income buyers of homes in newly constructed single family developments that have benefited from barrier reduction. The City is the largest user of BEGIN in the State, having received 18 competitive awards totaling over \$27,000,000.
- *CalHome* – The CalHome Program enables low- and very-low income households to become or remain homeowners. Grants are made to local public agencies and nonprofit developers to assist individual households with deferred-payment homebuyer and homeowner loans. The City used the grants for first-time homebuyer down payment assistance and home rehabilitation loans.

## Section 5: Assessment of Strategic Plan Goals and Objectives



### Five-Year Goal

**Table 21: Action 1.B.1 Direct Financial Assistance to Help Lower-Income Households Purchase Homes**

Action 1.B.1 Direct financial assistance to help lower-income households purchase homes							
<b>Performance Measure</b>	Number of non-duplicated homebuyers assisted						
<b>5-Year Plan Goal</b>	357						
<b>FY 2013-14 Funding Source</b>	CalHome, BEGIN, NSP, HOME						
<b>Outcome Code</b>	DH-2						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
<b>Annual Plan Goal</b>	77	96	64	20		257	72.0%
<b>Actual Annual Outcome</b>	39	65	21			125	35.0%

### Accomplishments / Impact

As shown in Action 1.B.1 above, 68% percent of the annual goal was met for the homebuyer direct down payment assistance programs. There were a number of factors affecting the outcome of this goal.

When the City revised its Inclusionary Housing Policy in 2009, it adopted a waiver to allow developers some relief for six-month periods in which the allowable affordable sales price is within 5% of the value of a comparable market-rate home. During such periods, a developer who obtained a waiver is no longer required to sell the home to a low- or moderate-income buyer. This waiver policy acknowledges the difficulty that the market and restricted units are priced so closely that the units are in effect “affordable.”

The Homebuyer Program has also seen a decrease in demand, due the resurgence of the real estate market. The City has seen much of the affordable home inventory go to investors who have out bid HOME eligible buyers. The tightening of underwriting guidelines from the banks has also played a role in a reduction in demand for the Homebuyer Program.

**Table 22: Action 1.B.2 Financial Literacy and Homebuyer Education Programs**

Action 1.B.2 Financial literacy and homebuyer education programs							
<b>Performance Measure</b>	Number of lower-income households participating in classes and counseling sessions						
<b>5-Year Plan Goal</b>	2,285						
<b>FY 2013-14 Funding Source</b>	NHSSV, Project Sentinel						
<b>Outcome Code</b>	DH - 2,3						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
<b>Annual Plan Goal</b>	417	720	636	450		2,223	97.3%
<b>Actual Annual Outcome</b>	422	514	675			1,611	70.5%

### Accomplishments / Impact

As shown in Action 1.B.2 above, over 71% of the annual goal was met for the number of lower-income households participating in homebuyer education classes and counseling. Although the Department had

## Section 5: Assessment of Strategic Plan Goals and Objectives

an increase of 92 households participating in the homebuyer education classes when compared to last year’s participation, the five-year goal was purposely more heavily weighted towards the earlier years in order to get potential homebuyers qualified early in the home buying process. This strategy allowed the development of a pool of knowledgeable, qualified buyers who would be ready to proceed when homes and financing became available. Given the financing challenge and high housing costs, it is anticipated that there would be less participation in classes over time.

### Production of Subsidized Affordable Ownership Housing

The City did not commit new funds to support the construction of affordable ownership housing in FY 2012-2013. Accordingly, there are no subsidized for-sale projects currently under construction. However, staff continues to facilitate the development of an ownership project on City-owned land—Sycamore Terrace—that is expected to start construction on 9 BMR units in addition to 16 market-rate units in FY 2013-14. In addition, the City will be providing funding for Habitat for Humanity projects in the coming year.

**Table 23: Fiscal Year 2012-13 New Commitments for Ownership Housing**

Project Name	NC / A/R	Council District	ELI, VLI, LI Units	Mod Units
None	N/A	N/A	N/A	0
<b>TOTAL</b>			<b>0</b>	<b>0</b>

**Table 24: Fiscal Year 2012-13 Completions for Ownership Housing**

Project Name	NC / A/R	Council District	ELI, VLI, LI Units	Mod Units
None	N/A	N/A	N/A	0
<b>TOTAL</b>			<b>0</b>	<b>0</b>

### Inclusionary and Negotiated Affordable Ownership Homes

In the past year, the San José market has seen a resurgence in new for-sale new construction given significant rises in home sales prices and a shortage of inventory. Accordingly, a few forthcoming for-sale projects have signed compliance plans and planned to build BMR units; however, some of these developers have recently reapplied to change their plans and plan to pay an in-lieu fee instead of building the BMR units. As the City’s priority is to subsidize rental units for ELI and VLI households, the payment of fees will result in additional rental units in future years—however, this will reduce the number of BMR for-sale units being constructed. There have been no for-sale ownership projects on which the City recorded affordability restrictions in the past year.

In the coming 18 months, several hundred for-sale units are expected to start construction under a previously-negotiated agreement for affordability on the former Hitachi site. The affordability requirements under this agreement are similar to those under the Inclusionary Policy. However, as noted above, the City has instead approved a 100% affordable standalone rental project to be completed by a nonprofit housing developer.

In addition, at least one inclusionary project that was constructed as for sale, but received the City’s permission to temporarily rent units, expects to start home sales in 2013-14.

Whether under its Inclusionary Housing Policy or Ordinance, the City estimates that some restricted affordable ownership units for moderate-income households will be committed and will begin construction

## Section 5: Assessment of Strategic Plan Goals and Objectives

in FY 2013-2014. The exact number of units to be produced is difficult to estimate, given the programs' waiver feature that removes BMR obligations for six months at a time on built units that are priced within 5% of the calculated affordable housing cost. However, as housing prices continue to increase, the use of the waiver is expected to decrease significantly in the coming year.

**Table 25: Fiscal Year 2012-13 New Inclusionary and Negotiated Affordable Ownership Housing**

Project Name	NC / A/R	Council District	ELI, VLI, LI Units	Mod Units
None	N/A	N/A	N/A	0
<b>TOTAL</b>			<b>0</b>	<b>0</b>

### Leveraging of Resources

Tighter conventional loan underwriting standards from private lenders and some continued weakness in demand for new for-sale product have limited the supply of mortgage financing to new buyers. At the same time, reductions in State housing programs have reduced the public funding available that supports affordable for-sale housing production. Additionally, many of the Department's potential clients have experienced employment problems which have greatly impacted their ability to obtain mortgage financing. Only in the latter part of fiscal year 2012-2013 has the local employment situation stabilized and has begun experience small growth. This will result in more applicants being approved for their first mortgage financing.

In the past year, the Department made prudent use of available homebuyer funds and was able to leverage its programmatic funds by 7.43 times with available outside funding. The Department provided \$1,268,502 in homebuyer loans and was able to leverage this with \$9,427,666 of outside mortgage funding.

### Strategy 1C: Rehabilitation assistance to lower-income homeowners to preserve San José's affordable housing stock

#### Need (As identified in the 2010-2015 Consolidated Plan document)

The Housing Rehabilitation program allows lower-income homeowners to remain in affordable, safe and decent housing. The City of San José identified 2,700 severely deteriorated housing units and another 9,500 moderately deteriorated units within its boundaries. These estimates do not include housing in need of minor repairs. Further, there are 11,891 low-income and moderate-income senior households in San José with housing problems, 6,323 of which were homeowners.

#### General Context / Background

The Housing Department's Home Repair Program provides financial and technical assistance to low-income property owners of single family, duplex, and mobilehome properties with the repair and rehabilitation of their homes. The Program provides grants up to \$15,000 and loans up to \$150,000. Loans funded within San José's SNI areas bear no interest and those outside of the SNI areas are 3% simple interest loans. All rehabilitation projects administered through this program meet the Uniform Housing Code, ensuring that the property is left in a decent, safe, and sanitary condition upon completion of the work. In addition to funding the work, project staff works with property owner(s) to determine rehabilitation needs, scopes of work, and oversight of the bidding and construction process. Staff ensures that all applicable funding requirements are met, all contractor(s) are licensed and insured, and that all required permits are signed off at project completion. In 2012-13, the City's Home Repair Program was primarily funded with CDBG and CalHome funds.

## Section 5: Assessment of Strategic Plan Goals and Objectives

Since 2010, the Housing Department has administered a Mobilehome Seismic Retrofit Program (MHSRP) funded by the Federal Emergency Management Administration (FEMA) and managed through the California Emergency Management Agency. After responding to a competitive Notice of Funding Availability (NOFA) the City was awarded a \$3 million dollar grant. Combined with the \$1 million dollar match requirement from the City, the Program committed to meeting the established goal of 650 seismic retrofits by October 2013. After two years of developing and implementing the MHSRP, the Program exceeded the projected goals and realized a significant cost savings. As a result, FEMA granted the City and a one year extension and an increased the production goal from 650 to 850; ensuring an additional 200 families will be safer in the event of a major earthquake.

*Rebuilding Together Silicon Valley* is a nonprofit providing housing repair, rehabilitation, and accessibility modifications for extremely low- and low-income homeowners in San José, while preserving affordable housing. The work is provided by volunteers, and/or skilled trades.

Beginning July 1, 2012, the Housing Department contracted with Rebuilding Together Silicon Valley to take over and administer the Minor Repair Program. Rebuilding Together continues to provide the same level of service and service components as when the program was administered directly by City staff.

### Five-Year Goal

**Table 26: Action 1.C.1 Rehabilitation Assistance to Lower-Income Homeowners (Inclusive of All Funding Sources)**

Action 1.C.1 Rehabilitation assistance to lower-income homeowners inclusive of all funding sources							
Performance Measure	Number of lower-income homeowners assisted						
5-Year Plan Goal	1,271						
FY 2013-14 Funding Source	CalHome, CDBG, FEMA						
Outcome Code	SL-3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14*	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	262	210	223	320		1,015	79.9%
Actual Annual Outcome	391	435	543			1,369	107.7%

### Accomplishments / Impact

Action 1.C.1 represents the City's Housing Rehabilitation, Mobilehome Seismic programs, and Rebuilding Together Silicon Valley's Rebuilding Housing Repair program, inclusive of all funding sources. In 2012-13, the Minor Repair Program previously administered directly through Housing Department staff was contracted to Rebuilding Together. Numeric outcomes of both the traditional Rebuilding Together programs and the Minor Repair Programs have been consolidated and reported as a combined total. Under the three housing rehabilitation programs, 543 unduplicated low-income households were assisted with housing repairs or improvements utilizing various funding sources. In addition, The City assisted 87 households above the low-income level with seismic upgrades to their mobilehomes. This outcome far exceeds the overall annual goal of 223 by 320 units. Collectively the programs have achieved 107.7% of the 5-year goal by the end of year three. Assistance was provided through the following Programs:

## Section 5: Assessment of Strategic Plan Goals and Objectives

**Table 27: FY 2012-13 Rehabilitation Program Households Served**

Program	Total Unduplicated Households
Rebuilding Together Silicon Valley Program (Including Minor Repair)	205
CSJ Home Repair Program	83
CSJ Mobilehome Seismic Program (low-income) <sup>1</sup>	255
<b>Total</b>	<b>543</b>

### Five-Year Goal

**Table 28: Action 1.C.2 Rehabilitation Assistance for Lower-Income Homeowners through the CDBG Program only (Subset of 1.C.1 above)**

Action 1.C.2 Rehabilitation assistance for lower-income homeowners through the CDBG program only (subset of 1.C.1 above)							
Performance Measure	Number of lower-income homeowners assisted						
5-Year Plan Goal	1,000						
FY 2013-14 Funding Source	CDBG						
Outcome Code	SL-3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	200	200	183	162		745	74.5%
Actual Annual Outcome	266	239	288			793	79.3%

### Accomplishments / Impact

Action 1.C.2 is a subset of Action 1.C.1. This represents the activity funded exclusively through CDBG. These activities include the City's Housing Rehabilitation Programs and the Programs implemented by Rebuilding Together Silicon Valley.

Due to the lingering effects from the loss of redevelopment funding and reductions to the City's federal funding stream, Housing Department programs and projects continued to experience budget challenges in 2012-13. With CDBG being the primary source of funding for programs such as housing rehabilitation, previous years reductions and implementation of the federal sequestration the Housing Department was forced to reduce several CDBG funded services and program budgets and freeze the Housing Rehabilitation Program intake Mid year. Having obligated close to half of the Programs CDBG allocation by December 2012, the Program staff stopped issuing new loan or grant applications. The balance of the Programs CDBG allocation was preserved to ensure existing pipeline projects could be funded this year and into next.

With dwindling resources and shifting priorities, more program emphasis was placed on layering of leveraged funds and long-term sustainability. Program staff has focused on including higher levels of energy efficiency and more complete renovation and rehabilitation rather than making short-term repairs. Subsequently, the result is more comprehensive rehabilitation but fewer completed projects over the fiscal year. The Housing Rehabilitation Program invested approximately \$1.6 million in combined funding to assist 83 homeowners with repairs and improvements. Out of the total \$1.6 million expended, just over \$1.3 was from the program's various annual CDBG allocations. Not including staff costs, \$351,000 of the 2012-13 allocation was utilized out of the \$1.3 Million total. An additional \$834,000 from the 2012-13

<sup>1</sup> An additional 87 mobilehomes whose owners were above the Low-income threshold were seismically retrofitted

## Section 5: Assessment of Strategic Plan Goals and Objectives

allocation was committed to Rehabilitation. Program repairs and improvements generally consist of replacement of aging and non-functional housing components rather than short term repairs. With an average rehabilitation investment of just under \$20,000 per property, the Program continued to provide longer term, sustainable repairs or improvements.

Through their Safe at Home Programs Rebuilding Together Silicon Valley has provided support to 205 families with minor repairs or improvements ranging from water hear, furnace and roof repairs to quality of life improvements such as accessibility modifications. Within the 205 homes, Rebuilding addressed just over 1,600 individual repair needs or units of services.

The combined program total of 288 households receiving rehabilitation enabled by CDBG funding through the City and through Rebuilding Together significantly exceeded the overall program goal of 183 households. This outcome demonstrates that San José continues to successfully contribute to the national goals of utilizing housing as a platform for improving quality of life and building inclusive and sustainable communities

### Five-Year Goal

**Table 29: Action 1.C.3 Pursue Funding Opportunities for Infrastructure Improvements in Lower-Income Mobilehome Parks**

Action 1.C.3 Pursue funding opportunities for infrastructure improvements in lower-income mobilehome parks							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code	SL-1,2,3						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

### Accomplishments / Impact

The Housing Department will continue to seek funding opportunities when available for infrastructure improvements in mobilehome parks with lower-income residents.

### Leveraging of Resources

During the 2012-2013 fiscal year, the Housing Department successfully leveraged Department resources to obtain funding from a variety of new sources which contribute directly to the goals of the Housing Rehabilitation Program. The Housing Department continued to receive CalHome funds from the State, Pacific Gas and Electric (PG&E) and energy efficiency funding through a competitive collaborative grant.

During this reporting period the Housing Department leveraged these outside resources to provide higher levels of energy efficiency in 16 homes with PG&E innovator funds, installed 8 tank-less water heaters through the Better Building Program and provided substantial improvements to 3 homes through CalHome funding. If not for the vast experience and capacity of the City's programs and staff, these competitive funding sources would not have been available to the City.

## **Section 5: Assessment of Strategic Plan Goals and Objectives**

In addition to leveraging existing resources, the Housing Department continues to seek new resources that support Housing programs and projects. In 2010 the City's Housing Department was awarded a \$3 Million competitive grant from the Federal Emergency Management Agency to administer a new Mobilehome Seismic Retrofit Program. Combined with a \$1 Million match requirement, the program is on target to retrofit 850 mobilehomes by October 2014. The department's history of administering such programs and capacity to implement was a key factor in receiving this competitive grant.

Additionally, the Rebuilding Together Silicon Valley project was matched with an additional \$131,865 for a total project cost of \$531,865

### **Strategy 1D: Assist lower-income households including seniors, larger families, the disabled, in preserving and maintaining safe and affordable housing**

#### **Need (As identified in the 2010-2015 Consolidated Plan document)**

##### *Need for Senior Housing*

According to the 2000 Census, 38 percent of Santa Clara County's elderly households (age 65 years or older) face one or more housing problems. This includes overpaying for housing (spending more than 30 percent of their income on housing costs), living in an overcrowded situation, or living in a unit that lacks complete kitchen or plumbing facilities. Housing problems are more prevalent among elderly renters than owners. Approximately 60 percent of elderly renters experienced housing problems, compared to 31 percent of owners. Local service providers at each of the Consolidated Plan Workshops echoed these findings, and indicated a need for more affordable senior housing, particularly given the long waiting lists at existing developments.

##### *Need for Larger Units*

Based on the 2010 Census, 15 percent of Santa Clara County households had five or more persons. This figure varied substantially across Entitlement Jurisdictions. Approximately 18 percent of San José's households were large households. This finding is consistent with the Consolidated Plan Workshops where participants noted the need for affordable units serving larger households.

##### *Need for Disabled Housing*

The 2000 Census reports that there were approximately 9,400 individuals with disabilities in Santa Clara County, accounting for 17 percent of the County's civilian, non-institutionalized population age five years and older. In 2000, approximately 60,600 seniors, or 39 percent of the elderly in Santa Clara County, had one or more disabilities. Consolidated Plan Workshop participants also cited the need for accessible units serving disabled persons.

#### **General Context / Background**

The City utilized its multiple Rehabilitation programs and its Project Development program to meet the ongoing and increasing need for safe, decent, affordable housing for the residents of San José. Although the number of units completed is small relative to other time periods given the availability of limited funding, the Department hopes to be able to increase its work in these programs as new affordable housing funding sources are identified.

#### **Five-Year Goal**

## Section 5: Assessment of Strategic Plan Goals and Objectives



**Table 30: Action 1.D.1 Production Goal for Seniors, Disabled and Special Needs Individuals (Subset of Production Goal 1.A.1)**

Action 1.D.1 Production goal for seniors, disabled and special needs individuals (subset of Production Goal 1.A.1)							
<b>Performance Measure</b>	Number of lower-income units with funding committed						
<b>5-Year Plan Goal</b>	29						
<b>FY 2013-14 Funding Source</b>	HOME, Affordable Housing Investment Fund						
<b>Outcome Code</b>	DH-1,2,3						
	<b>Year 1 2010-11</b>	<b>Year 2 2011-12</b>	<b>Year 3 2012-13</b>	<b>Year 4 2013-14</b>	<b>Year 5 2014-15</b>	<b>Total To- Date</b>	<b>% of 5- Year Goal</b>
<b>Annual Plan Goal</b>	15	324	89	211		639	2203.4%
<b>Actual Annual Outcome</b>	143	23	0			166	572.4%

### Accomplishments / Impact

The Department is very conscious of the local need for disabled, large family, and senior units identified in the 2000 Census. No senior units were included in the Department's annual New Construction commitment (Action 1.A.1) of 36 affordable units for the year, since two of the projects the City worked on this year will be counted in a different year (in which the commitments are made).

For the coming year, the Department is actively working on a strategy to additionally subsidize existing affordable rental units in order to provide units for the homeless. Further, the Department is teaming with a nonprofit service provider in San José that focuses on the disabled population in order to encourage affordable housing project owners to apply under the State of California's demonstration program for HUD 811 rental vouchers.

### Five-Year Goal

**Table 31: Action 1.D.1 Rehabilitation Goal for Seniors, Disabled and Special Needs Individuals (Subset of Rehab Goal 1.C.1)**

Action 1.D.1 Rehabilitation goal for seniors, disabled and special needs individuals (subset of Rehab Goal 1.C.1)							
<b>Performance Measure</b>	Number of homeowners assisted						
<b>5-Year Plan Goal</b>	254						
<b>FY 2013-14 Funding Source</b>	CalHome, Affordable Housing Investment Fund, CDBG, FEMA						
<b>Outcome Code</b>	SL-3						
	<b>Year 1 2010-11</b>	<b>Year 2 2011-12</b>	<b>Year 3 2012-13</b>	<b>Year 4 2013-14</b>	<b>Year 5 2014-15</b>	<b>Total To- Date</b>	<b>% of 5- Year Goal</b>
<b>Annual Plan Goal</b>	52	107	98	25		282	111.0%
<b>Actual Annual Outcome</b>	190	33	200			423	166.5%

### Accomplishments / Impact

The Housing Rehabilitation Program and Rebuilding Together Program provided assistance to 200 seniors and disabled homeowners with housing repair or improvement needs in 2012-2013.

## Section 5: Assessment of Strategic Plan Goals and Objectives

To complement the City's efforts to support affordable housing for seniors and disabled, the CDBG program funded projects that provided housing supportive services, which include case management, resolving legal issues in residential care housing such as evictions, and affordable/accessible housing placement assistance to disabled residents.

### Five-Year Goal

**Table 32: Action 1.D.2 Pursue Funding Opportunities to Improve Condition of Housing Stock for Lower-Income Renters**

Action 1.D.2 Pursue funding opportunities to improve condition of housing stock for lower-income renters							
<b>Performance Measure</b>	Continue to implement program						
<b>5-Year Plan Goal</b>	N/A						
<b>FY 2013-14 Funding Source</b>	N/A						
<b>Outcome Code</b>	SL-1,2,3						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
<b>Annual Plan Goal</b>	Continue to implement program						
<b>Actual Annual Outcome</b>	Continue to implement program						

### Accomplishments / Impact

No new funding sources were identified in 2012-2013, but the Department is committed to exploring different opportunities to leverage its resources.

### Leveraging of Resources

As mentioned in Action 1.A.1 above, the Housing Department made efficient use of its available new construction funding and was able to leverage its programmatic funds with outside funding by over seven times to support the Department's goal of increasing affordable housing for seniors, disabled individuals and large families.

The City of San José has worked with the nonprofit service provider Rebuilding Together Silicon Valley on several collaborative projects. As partners in the community, both organizations refer potential clients to each other for specific needs. Rebuilding Together will often direct potential clients to the City's programs for more urgent or large scale needs. City staff will often refer potential clients to Rebuilding Together for smaller scale, less urgent repairs or for improvements such as grab bar installations.

In addition to funding Rebuilding Together Silicon Valley, CDBG also funded housing-related support services leveraging nearly \$1.7 million in support services to our senior and disabled community. One notable project is the Silicon Valley Independent Living Center, a nonprofit that provides services to disabled individuals to increase knowledge, skills and ability to live independently and maintain their home.

## **Section 5: Assessment of Strategic Plan Goals and Objectives**

### **GOAL 2: SUPPORT ACTIVITIES TO END HOMELESSNESS IN SAN JOSÉ AND SANTA CLARA COUNTY (CONTINUUM OF CARE)**

#### **Strategy 2A: Provide housing and supportive services to homeless individuals and families and households at risk of homelessness**

##### **Need (As identified in the 2010-2015 Consolidated Plan document)**

The 2013 homeless point-in-time count identified a total of 4,770 individuals residing in San José, an 18% increase from the 4,034 persons counted in 2011. Based on a formula that takes into account the point-in-time account as well as the phenomenon that people will cycle in and out of homelessness, it was estimated that a total of 12,055 individuals had experienced at least one episode of homelessness in the prior 12 months. This is a decrease of 5% from the 12,751 persons estimated in 2011 and is attributable to fewer persons experiencing homelessness for brief periods of time and an increase in the number who had experienced multiple period of homelessness over the course of the year.

The number of chronically homeless individuals (defined as an unaccompanied individual with a disabling condition or a family with at least one adult member who has a disabling condition who has either been continuously homeless for a year OR has had at least four episodes of homelessness in the past three years) was 1,531, a 4% increase over the 1,474 reported in 2011. This is a more modest increase than the 10% increase reported for the 2009-2011 period or the 40% increase reported for the 2007-2009 period.

Of the 4,770 homeless person counted in San José, 77% of them were unsheltered (residing on the street, in vehicles, in abandoned building or in encampments). There were 1,230 homeless individuals (26% of the total homeless population) counted in encampments, primarily in the open space along Coyote Creek and Guadalupe River, in freeway rights-of-way and along railroad lines. That this number is a very large increase from the number reported in 2011 is a reflection of the fact that City-funded homeless outreach and engagement efforts had led to knowing where many more encampments are located. Additional funding for activities such as case management, outreach and engagement, transportation, and permanent supportive housing are critical to the City's ability to end chronic homelessness, particularly those residing in encampments.

##### **General Context / Background**

The City's five-year projected of the number of individuals to be assisted with homeless services totaled 54,285. This demonstrates the need to provide services that provide individuals opportunities to become economically self-sufficient, such as employment training and placement.

The City of San José, in coordination with other public and private agencies in Santa Clara County, continues to address homelessness through a multi-faceted approach that includes: funding and providing direct services; advocating for policies, programs, and funding that support the ending and preventing of homelessness; and researching best practices to better serve the area's homeless and at-risk residents. The City aligns itself closely with Destination: Home – a public-private partnership formed in 2008 to implement the initiatives identified by the Blue Ribbon Commission on Ending Homelessness and Solving the Affordable Housing Crisis.

##### **Five-Year Goal**

##### **Table 33: Action 2.A.1 TBRA Assistance to Chronically Homeless**

## Section 5: Assessment of Strategic Plan Goals and Objectives

Action 2.A.1 TBRA Assistance to chronically homeless							
Performance Measure	Number of unduplicated households served						
5-Year Plan Goal	285						
FY 2013-14 Funding Source	HOME, HOPWA, HOPWA SPNS						
Outcome Code	SL-1,2,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	85	100	15	232		432	151.6%
Actual Annual Outcome	65	211	240			516	181.1%

### Accomplishments / Impact

The City funds two tenant-based rental assistance (TBRA) programs to provide rental subsidies to low-income residents: the first program uses both Housing Opportunities for People with Aids (HOPWA) and Housing Opportunities for People with Aids Special Projects of National Significance (HOPWA SPNS) funding sources, while the second program uses HOME funding.

Under the HOPWA and HOPWA SPNS programs, 171 unduplicated households received tenant-based rental assistance, which exceeded the combined goal of 170. Of these households, an average of 95% of both program's clients maintained their housing. This stability has enabled clients to maintain schedules and meet with case managers or benefits counselors and follow their individual service plans, including access to primary health care providers, medical insurance/assistance and successfully accessed or maintained qualification for sources of income. More detail can be found in the attached HOPWA CAPER.

The HOME-funded TBRA-program assisted 69 unduplicated individuals with monthly rental subsidies and/or rental deposits in FY12-13. The HOME-program's goal to add 15 new clients for the FY12-13 was exceeded. This program was operated on behalf of the City, by Abode Services, a non-profit agency. Abode operates similar to the Housing Authorities' Section 8 program. Abode assists in locating rental housing appropriate for the clients, performs inspections, facilitates placement and coordinates monthly rent payments. Case management services for the clientele were provided by the County of Santa Clara's Mental Health Department and the County of Santa Clara's Department of Alcohol and Drug Services with the goal to end homelessness.

### Five-Year Goal

**Table 34: Action 2.A.2 Short-term Emergency Shelter Program**

Action 2.A.2 Short-term emergency shelter program							
Performance Measure	Number of individuals assisted						
5-Year Plan Goal	6,000						
FY 2013-14 Funding Source	ESG						
Outcome Code	DH-1						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	4,000	4,600	3,600	N/A		12,200	203.3%
Actual Annual Outcome	7,830	14,104	N/A			21,934	365.6%

## Section 5: Assessment of Strategic Plan Goals and Objectives

### Accomplishments / Impact

This is no longer a funding priority. As noted in the Annual Action Plan 2012-13, the City shifted its funding strategy by combining ESG and CDBG funds to support outreach programs that target persons living on the streets and programs that provide services to families and youth (including victims of domestic violence).

### Five-Year Goal

**Table 35: Action 2.A.3 Emergency Rental Assistance Program**

Action 2.A.3 Emergency rental assistance program							
Performance Measure	Number of individuals assisted						
5-Year Plan Goal	2,000						
FY 2013-14 Funding Source	ESG, Housing Trust Fund						
Outcome Code	DH-2						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	1,200	800	400	N/A		2,400	120.0%
Actual Annual Outcome	1,496	685	N/A			2,181	109.1%

### Accomplishments / Impact

This is no longer a funding priority. As noted in the Annual Action Plan 2012-13, the City shifted its funding strategy by combining ESG and CDBG funds to support outreach programs that target persons living on the streets and programs that provide services to families and youth (including victims of domestic violence).

### Five-Year Goal

**Table 36: Action 2.A.4 Programs that Provide Vital Services- Homeless Outreach / Services for Families and Youth (Including Victims of Domestic Violence)**

Action 2.A.4 Programs that provide vital services- Homeless Outreach / Services for Families and Youth (to include Victims of Domestic Violence)							
Performance Measure	Number of individuals assisted						
5-Year Plan Goal	30,000						
FY 2013-14 Funding Source	ESG, CDBG						
Outcome Code	SL-1,2,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	20,000	4,600	N/A*	N/A*		24,600	82.0%
Actual Annual Outcome	7,998	N/A*	1,682			9,680	32.3%

## Section 5: Assessment of Strategic Plan Goals and Objectives

As noted above, in FY 2012-2013, CDBG and ESG modified its funding strategy to focus its funding on key strategic service categories. In total, 1,682 individuals were assisted, greatly exceeding the annual goal of 859. Examples include:

- Emergency Housing Consortium’s Homeless Outreach program provided 1,293 outreach contacts, 2,238 person shelter days, 1,101 housing placement case management sessions, and 659 housing maintenance case management sessions to 326 unduplicated participants. 53% of clients enrolled in case management attain permanent housing.
- Bill Wilson Center’s Homeless Families and Youth program provided 838 case management sessions, 8,077 shelter bed-nights, 38 deposit/rental assistance, and 202 housing search/placement sessions to 584 unduplicated participants.

In addition, ESG funds were also used to support HMIS. This important homeless database is used by homeless agencies in the County. As a result of support from ESG, Community Technology alliance was able to provide 76,119 unduplicated homeless records to 455 HMIS users.

### Five-Year Goal

**Table 37: Action 2.A.4 Programs that Provide Vital Services to Homeless Individuals - CDBG**

Action 2.A.4 Programs that provide vital services to homeless individuals - CDBG							
Performance Measure	Number of individuals assisted						
5-Year Plan Goal	16,000						
FY 2013-14 Funding Source	CDBG						
Outcome Code	SL-1,2,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	3,315	3,099	2,204	1,873		10,491	65.6%
Actual Annual Outcome	18,783	16,437	N/A			35,220	220.1%

### Accomplishments / Impact

As noted above, ESG and CDBG funds were combined to provide outreach services to homeless individuals and services to families and youth. Hence a separate CDBG goal is no longer retained.

### Five-Year Goal

**Table 38: Action 2.A.5 Support Destination:Home**

## Section 5: Assessment of Strategic Plan Goals and Objectives

Action 2.A.5 Support Destination:Home							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code	SL-1,2,3						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

### Accomplishments / Impact

The City is continuing to participate actively in Destination: Home and its numerous efforts are detailed in the section below titled “Actions to address the needs of homeless persons.”

### Five-Year Goal

**Table 39: Action 2.A.6 Seek Additional Resources for County-wide Efforts to End Homelessness**

Action 2.A.6 Seek additional resources for County-wide efforts to end homelessness							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code	SL-1,2,3						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

### Five-Year Goal

**Table 40: Action 2.A.7 Seek Additional Resources for Housing and Services for Recently Emancipated Youth**

## Section 5: Assessment of Strategic Plan Goals and Objectives

Action 2.A.7 Seek additional resources for housing and services for recently emancipated youth							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code	SL-1,2,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

### Accomplishments / Impact

No new funding sources were identified in 2012-2013, but the Department is committed to exploring different opportunities to leverage its resources.

### Actions to address the needs of homeless persons

The City of San José, in coordination with other public and private agencies in Santa Clara County, continues to address homelessness through a multi-faceted approach that includes: funding and providing direct services; advocating for policies, programs, and funding that support tending and preventing homelessness; and researching best practices to better serve the area's homeless and at-risk residents. The City aligns itself closely with Destination: Home, a public-private partnership formed in 2008 to implement the initiatives identified by the Blue Ribbon Commission on Ending Homelessness and Solving the Affordable Housing Crisis.

In the past year, the City took the following actions towards its goal of ending and preventing homelessness:

#### *Partnership with Destination Home*

In FY 2012-2013 the City of San José, in partnership with Destination: Home, continued to make significant progress in implementing the recommendations of the Blue Ribbon Commission including:

- Participating on the Destination: Home Leadership Board and Care Coordination Stakeholders Meeting and chairing its Housing Committee.
- Participating on Destination: Home's Housing 1000 Leadership Team. The Housing 1000 campaign, the local affiliate to the national Housing 100,000 campaign, seeks to house 1,000 of the County's most vulnerable chronically homeless residents by 2013.
- Granting \$300,000 in the City's Housing Trust Funds to Destination: Home to fund three intensive case managers to support up to 60 persons on the Housing 1000 Registry.
- Utilizing an AmeriCorps VISTA member employed by the City to develop a Housing 1000 social media campaign including a website, blog, newsletters, and other materials.
- Supporting administrative costs including the Housing 1000 Program Manager and the Housing 1000 Technical Manager, through City Housing Trust Fund grants.
- Continuing to support the Medical Respite Center which provides semi-private rooms for homeless residents discharged from the hospital to recuperate and obtain assistance with benefits, housing, and other resources to become permanently housed. In FY 2012-2013, the City continued to work with the Medical Respite Center administrators to utilize a grant

## Section 5: Assessment of Strategic Plan Goals and Objectives

from the federal Department of Health of Human Services to increase the number of respite center beds from 15 to 20, and expand the number of medical exam rooms from two to four.

During FY 2012-2013, the City took the following additional actions towards its goal of ending and preventing homelessness:

### *Improve Access to Services by Creating and Enhancing Outreach and Engagement Teams*

The Homeless Outreach and Engagement program provides a consistent and dependable presence on the streets and in encampments, with the goal of reaching out to homeless persons, gaining their trust, and ultimately getting them connected to ongoing services and housing. In FY 2012-2013, the Housing Department continued to fund a Downtown Outreach Team to provide outreach to homeless residents living in San José's downtown and connect them with supportive services. Additional components of the program include a hotline for community members to request assistance for homeless persons residing in the downtown area, transportation, and reserved shelter beds. Since its inception, EHC LifeBuilders' Downtown Homeless Outreach and Engagement Program has proven successful on several levels:

- Homeless residents are being housed both temporarily and permanently
- Downtown businesses are getting some relief from having homeless persons on their doorsteps, and
- Community members have a venue to voice their concerns about homeless residents in San José's downtown.

More specifically, during this fiscal year EHC LifeBuilders' Downtown Homeless Outreach and Engagement Program provided case management services to 68 homeless individuals and placed 39 of them in permanent housing and engaged with 2,699 homeless residents in San José's downtown core (the annual goal was to engage 375)..

### *Institutional Outreach and Discharge Planning*

Persons discharged from institutions, such as health care or corrections facilities, often do not have housing facilities available to them. The Institutional Outreach and Discharge strategy addresses this problem by increasing the existing intensive case management capacity; initiating immediate housing and case management services for persons leaving the health care, criminal justice, and foster care systems; and creating a method to divert homeless persons arrested for public inebriation and nuisance violations away from the criminal justice system.

In FY 2012-2013, the City continued coordinating with the County's Office on Women's Policy and Correctional System on the Skills to Succeed prisoner reentry pilot project. Funded through a grant from the federal Department of Justice, this offender reentry and recidivism prevention program delivered comprehensive and coordinated interventions across housing, workforce, and social services with the goal of reducing participant recidivism and associated costs, achieving long-term employment, lowering levels of drug use, and decreasing children's services interventions. The Skills to Succeed Program ended in November 2012 with 56 female ex-offender (exceeding its goal of enrolling 50 women) graduates. In November, a total of 20 women had secured employment and 11 were enrolled in college.

### *UPLIFT Transit Pass*

In April 2008 the County of Santa Clara began implementing the UPLIFT Transit Pass (UPLIFT) Program in response to results from the Homeless Census and Survey and case manager feedback that a lack of access to transportation was one of the biggest hurdles to clients working towards ending their homeless situation. The UPLIFT program provides monthly transit passes to homeless persons who are working with a case manager on an on-going basis to meet goals aimed at moving them permanently out of homelessness. In 2008 the Housing Department committed to funding the program at \$40,000 a year.

## Section 5: Assessment of Strategic Plan Goals and Objectives

Since its inception, the UPLIFT program has provided thousands of homeless residents with access to transportation. In FY 2012-2013, the program gave out 6,572 UPLIFT Transit Passes of which 2,190 were given through funding from the HTF grant. The percentage of clients who met their established goals averaged 86% (ranged from 83% in the fourth quarter to 87% in the first and second quarters), which far surpassed the program-wide outcome goal of 75%.

### *Santa Clara County Collaborative*

The City continued to actively participate as a member of the Santa Clara County Collaborative on Housing and Homeless Issues, including its various committees. Additionally, the City has been actively involved in the Santa Clara County HEARTH implementation work groups.

### *VISTA Program*

In January 2007, the AmeriCorps Volunteer Program approved the City's request for four VISTA members each year, all of whom worked on projects contributing to ending and preventing homelessness in Santa Clara County. In FY 2010-2011, the City saw its final round of VISTA members under the initial request. However, the AmeriCorps Volunteer Program approved the City's request for three of the VISTA positions to continue in 2012-2013 working on Strong Neighborhood Initiatives, Project Homeless Connect and a social media campaign aimed at ending and preventing homelessness. The VISTA members' ended their respective years of service in August 2012.

### *Housing Services Partnership*

In 2012-2013, the City continued to fund the Housing Services Partnership (HSP) through its Housing Trust Fund grant. In previous years the program provided a broad array of services to San José residents who were homeless or at-risk of homelessness. However, in FY 2012-2013, the City in coordination with the program's administrator EHC LifeBuilders, decided to prioritize the limited funds available for the HSP program to rent and deposit assistance for homeless households referred by a case manager, persons with a Section 8 Voucher or those who were forced to vacate their unit at no fault of their own. In FY 2012-2013, the program provided 47 security deposits and 7 one-way Greyhound bus tickets. Additionally, HSP offered emergency auto repair assistance to qualified low-income families and individuals to either facilitate their job search and job training or to assist them in maintaining their current employment. The Auto Repair Assistance Program (ARAP) assisted in repairs totaling \$130,000.

### **Actions to prevent and end homelessness**

The following provides a sample of the many services the City of San José offers in an effort to prevent and alleviate the problem of homelessness:

- In FY 2012-2013, the City successfully transferred the coordination and management of Project Homeless Connect (PHC) events to local community volunteers and homeless service providers. Regionally-focused, the volunteers, in conjunction with dozens of providers, businesses, faith-based organizations, and government agencies, hold smaller more frequent events throughout the year. These community-run events connect homeless persons to medical and dental services, housing, employment, legal counseling, haircuts, etc. and use existing resources.
- As noted throughout the document, the City gives grants to qualified nonprofits that assist persons who are homeless or at risk of becoming homeless.

### **Leveraging of Resources**

During FY 2012-2013, the Department was very successful at leveraging its federal funding sources committed to homeless and homeless prevention services. Leveraged funds include other federal

## Section 5: Assessment of Strategic Plan Goals and Objectives

programs, State and local sources, foundations, private funds, client fees and other fundraising sources. ESG leveraged nearly \$4.7 million, while HOPWA leveraged approximately \$800,000. CDBG leveraged over \$1.8 million in other funding. Additionally, the City's Housing Trust Fund committed over \$800,000 in new grants to local nonprofits.

### **GOAL 3: SUPPORT ACTIVITIES THAT PROVIDE BASIC SERVICES, ELIMINATE BLIGHT, AND/OR STRENGTHEN NEIGHBORHOODS**

#### **Strategy 3A: Support local service organizations that provide essential services to the community, particularly special needs populations**

##### **Need (As identified in the 2010-2015 Consolidated Plan document)**

Consolidated Plan Workshop participants emphasized the need to support a broad range of community services. Lower-income households and special needs populations require this multi-faceted network to address basic needs such as food, clothing, health, and shelter, as well as other services outlined in Section 4.10 of the Consolidated Plan. As the recession and unemployment have exacerbated demand for all types of services, reduced funding from the State and private sources has impacted service delivery. Therefore, continued support from local jurisdictions via CDBG and other sources has become more vital.

##### **General Context / Background**

The City utilizes CDBG, ESG and HOPWA funding to provide vital services to its lower income residents. In FY 2012-2013 the City established more targeted funding categories in both ESG and CDBG that better align with key city priorities and addressed needs within the three identified place-based neighborhoods.

ESG priorities were:

- Homeless Outreach and Encampment
- Services to Homeless Families and Youth, to include Victims of Domestic Violence
- HMIS

CDBG priorities were:

- Homeless Services
- Senior Services
- Foreclosure Prevention Services
- Kindergarten Readiness/Third-Grade Literacy within the three place-based areas

##### **Five-Year Goal**

**Table 41: Action 3.A.1,2 Assist Low-Income Residents with Basic/Essential Services and Maintain Self-Sufficiency - Homeless Services**

## Section 5: Assessment of Strategic Plan Goals and Objectives

Action 3.A.1,2 Assist low-income residents with basic/essential services and maintain self-sufficiency - Homeless Services							
Performance Measure	Number of individuals assisted						
5-Year Plan Goal	30,000						
FY 2013-14 Funding Source	ESG, HOPWA, HPRP						
Outcome Code	SL-1,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	20,000	825	3,000	3,000		26,825	89.4%
Actual Annual Outcome	18,673	0	N/A			18,673	62.2%

**Table 42: Action 3.A.1,2 Assist Low-Income Residents with Basic/Essential Services and Maintain Self-Sufficiency - CDBG**

Action 3.A.1,2 Assist low-income residents with basic/essential services and maintain self-sufficiency - CDBG							
Performance Measure	Number of individuals assisted						
5-Year Plan Goal	71,000						
FY 2013-14 Funding Source	CDBG						
Outcome Code	SL-1,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	8,934	8,934	2,000	2,000		21,868	30.8%
Actual Annual Outcome	14,630	31,255	1,360			47,245	66.5%

### Accomplishments / Impact

In FY 2012-2013, CDBG no longer funded projects that provided basic and essential services that included housing, food and nutrition, transportation, counseling and case management. Instead CDBG funds were used to support kindergarten readiness/3<sup>rd</sup> grade literacy within the three place based neighborhoods. This funding shift was the result of community input within the three neighborhoods. Because many of the students in the three neighborhoods do not have access to preschool and are not reading at grade level, these service provided them with the essential skills necessary to succeed in school. For example, in the Santee neighborhood 44 students participated in the Bridge to Kinder program and 136 students received tutoring after school. In the Mayfair neighborhood, 90% of the children who participated in the program increased their literacy skills.

### Five-Year Goal

**Table 43: Action 3.A.3 Assist Lower-Income Residents Access Healthcare Services / Senior Services**

## Section 5: Assessment of Strategic Plan Goals and Objectives

Action 3.A.3 Assist lower-income residents access healthcare services / Senior Services							
Performance Measure	Number of individuals assisted						
5-Year Plan Goal	22,000						
FY 2013-14 Funding Source	CDBG						
Outcome Code	SL-1,3						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	4,557	2,884	N/A	N/A		7,441	33.8%
Actual Annual Outcome	3,269	3,517	577			7,363	33.5%

In FY 2012-2013, CDBG shifted its funding strategy from providing access to healthcare (primarily to seniors) to focusing services that exclusively serve seniors by providing food and services to prevent isolation. Through this funding, the Meals on Wheels program was able to provide 18,759 hot meals, and 13,637 social visits to 162 unduplicated low income seniors. The Senior Isolation to Inclusion project provided 143,192 hours of adult day care, 510 one trip of escort transportation, and 26,454 meals to 135 unduplicated low-income senior participants.

### Five-Year Goal

Table 44: Action 3.A.4 Assist Lower-Income Residents Access Legal Services

Action 3.A.4 Assist lower-income residents access legal services							
Performance Measure	Number of individuals assisted						
5-Year Plan Goal	7,000						
FY 2013-14 Funding Source	CDBG						
Outcome Code	SL-1,3						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	1,410	875	1,736	N/A		4,021	57.4%
Actual Annual Outcome	1,718	1,604	N/A			3,322	47.5%

### Accomplishments / Impact

Legal services were provided under Fair Housing Activities under Goal #5

### Leveraging of Resources

As indicated in Goal #2 above, the Department was very successful at leveraging its federal funding sources to provide services to the highest number of individuals as possible.

### Strategy 3B: Provide the public facilities and infrastructure needed to assure the health, safety, and welfare of the community

## Section 5: Assessment of Strategic Plan Goals and Objectives

### Need (As identified in the 2010-2015 Consolidated Plan document)

Community Workshop participants expressed the need for ongoing maintenance and upgrades to local public facilities, such as parks, community centers, youth and senior centers, sidewalks and landscaping, recreation facilities, and others.

### General Context / Background

The Housing Department identified community development projects that would create the most impact within a neighborhood. These include street improvements, housing rehabilitation and code enforcement activities.)

### Five-Year Goal

**Table 45: Action 3.B.1 Remove Public Accessibility Barriers**

Action 3.B.1 Remove public accessibility barriers							
Performance Measure	Number of individuals assisted in low-mod areas						
5-Year Plan Goal	TBD						
FY 2013-14 Funding Source	CDBG						
Outcome Code	SL-1,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	0	0	14,000	TBD		14,000	N/A
Actual Annual Outcome	0	0	0				N/A

**Table 46: Action 3.B.2 Physical Improvement and Rehabilitation of Public Facilities**

Action 3.B.2 Physical improvement and rehabilitation of public facilities							
Performance Measure	Number of individuals assisted in low-mod areas						
5-Year Plan Goal	28,000						
FY 2013-14 Funding Source	CDBG						
Outcome Code	SL-1,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	5,115	5,115	32,061	TBD		42,291	151.0%
Actual Annual Outcome	0	0	0				N/A

### Accomplishments / Impact

In FY 2012-2013, CDBG funded 7 street/neighborhood facility/street improvements. Unfortunately, one project was cancelled and the remaining six did not commence construction in FY 12-13. Completion of these projects is expected to take place in FY 2013-2014 and will be reported in that fiscal year's CAPER.

Further, some projects funded in the fiscal years prior to FY 2012-13 remain open and/or were completed in FY 2012-13. The projects and commensurate status are as follows:

## Section 5: Assessment of Strategic Plan Goals and Objectives



### CDBG Funded Neighborhood Facility / Streets Improvement Projects Status

Project	Status	Next Steps
<u>Senior Centers</u> 1. F112 Korean American Community Services Community Center Renovation	Project is still open and has yet to begin construction	Housing department staff will determine whether this project needs to be cancelled.
<u>Other Public Facilities</u> 1. F108 San José Conservation Corps Cafeteria & 2. G81 ADA Rehabilitation Program 3. F111 Indian Heath Center of Santa Clara Valley – Meridian Facility Rehabilitation	1. Project is complete  2. Project is still open and has yet to begin construction  3. Project is complete	1. Housing department staff will collect all beneficiary data and close in IDIS before the end of FY 2013-14.  2. Housing department staff will determine whether this project needs to be cancelled.  3. Housing department staff will collect all beneficiary data and close in IDIS before the end of FY 2013-14.
<u>CDI-10-007 and CDI-11-007 Fire Equipment/Apparatus in LMA Station</u>	The fire engines have been purchased and placed into service.	Housing department staff will collect all beneficiary data and close in IDIS
<u>Street Improvements</u> 1. CDI-10-005 LED Streetlight Conversion 2. CDBG-R LED Streetlight Conversion	Both projects are complete	Housing department staff will collect all beneficiary data and close in IDIS before the end of FY 2013-14.

#### Five-Year Goal

**Table 47: Action 3.B.3 Code Enforcement Activities that Eliminate Blight and Strengthen Neighborhoods**

## Section 5: Assessment of Strategic Plan Goals and Objectives



Action 3.B.3 Code enforcement activities that eliminate blight and strengthen neighborhoods							
<b>Performance Measure</b>	Number of households / businesses assisted						
<b>5-Year Plan Goal</b>	11,000						
<b>FY 2013-14 Funding Source</b>	CDBG						
<b>Outcome Code</b>	SL-1,3						
	<b>Year 1 2010-11</b>	<b>Year 2 2011-12</b>	<b>Year 3 2012-13</b>	<b>Year 4 2013-14</b>	<b>Year 5 2014-15</b>	<b>Total To- Date</b>	<b>% of 5- Year Goal</b>
<b>Annual Plan Goal</b>	2,360	2,360	8,048	6,921		19,689	179.0%
<b>Actual Annual Outcome</b>	14,707	16,328	3,081			34,116	310.1%

### Accomplishments / Impact

In FY 2012-2013, CDBG-funded code enforcement activities occurred exclusively within the three place-based neighborhoods. The focus of the activities was to conduct proactive code enforcement that identified and addressed blighted conditions within the neighborhoods. This work resulted in 3,081 inspections and re-inspections and the delivery of 1,135 code violation notices. In addition to the code enforcement activities funded in FY 2012-2013, the City also funded an interim assistance program operated by the Downtown Streets Team. This program took place within the three place-based neighborhoods and provided 2,413 hours of trash and debris removal, removed 636 cubic yards of trash and debris, and experienced a 71% decrease in blight and deteriorated conditions. Both of these projects coordinated their efforts and were active participants in neighborhood meetings.

### Leveraging of Resources

Most community development projects are 100% funded by CDBG. The Downtown Streets Team was required to provide a 20% match.

### Strategy 3C: Mitigate lead-based paint hazards

#### Need (As identified in the 2010-2015 Consolidated Plan document)

Approximately 45,600 rental units occupied by extremely low-, low-, and moderate-income households in Santa Clara County may contain lead-based paint (LBP)<sup>1</sup>. In addition, approximately 6,000 low- and moderate-income homeowners may occupy units containing LBP. However, homes with lead-based paint do not necessarily pose a health hazard, if the property is in good condition and the paint well-maintained. In fact, there has been a relatively low incidence of lead poisoning among Santa Clara County children. In Santa Clara County in 2006, there were only 65 confirmed cases of elevated blood lead levels among children, accounting for 20 percent of all confirmed cases in the Bay Area that year.

#### General Context / Background

The Department of Housing continues to provide lead-based paint (LBP) testing and assessment services on all dwellings built prior to 1978 that receive rehabilitation assistance. In addition to the trained and lead-certified Housing Department staff, the City has a contract with a private environmental consultant to

<sup>1</sup> Based on CHAS 2000 data and a U.S. Department of Housing and Urban Development Report, “EPA and HUD Announce Landmark Lead Disclosure Settlement.” January 16, 2002.  
<http://www.hud.gov/news/release.cfm?content=pr02-012.cfm>

## Section 5: Assessment of Strategic Plan Goals and Objectives

provide testing and assessment services. These services are being provided to comply with Federal regulations 1012 and 1013 of Title X, as well as to ensure a safe living environment for the residents of San José.

### Five-Year Goal

**Table 48: Action 3.C.1 Inspect Affordable Housing for Lead-Based Paint**

Action 3.C.1 Inspect affordable housing for lead-based paint							
Performance Measure	Number of properties inspected						
5-Year Plan Goal	1,215						
FY 2013-14 Funding Source	NSP, Rehab Program, First-time Homebuyer Program						
Outcome Code	SL-1,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	270	114	105	30		519	42.7%
Actual Annual Outcome	131	68	71			270	22.2%

### Accomplishments / Impact

In fiscal year 2012-2013, the City's Department of Housing tested 71 homes for lead-based paint (LBP). The goal of 105 LBP tests was based on the Housing Rehabilitation Programs overall production goal of 223 households projected to receive rehabilitation services. Both the Program goals and outcomes were slightly increased in FY 2012-2013 in anticipation of the growing program pipeline. As a result of the mid year freeze on the Rehabilitation Program the anticipated number of households receiving rehabilitation services and lead tests were lower.

### Five-Year Goal

**Table 49: Action 3.C.2 Seek Funding Opportunities to Mitigate Lead Hazards**

Action 3.C.2 Seek funding opportunities to mitigate lead hazards							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code	SL-1,3, DH-1,2						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

### Accomplishments / Impact

The Department continues to explore resources and seek additional funding to assist with lead-based paint testing and remediation.

## Section 5: Assessment of Strategic Plan Goals and Objectives

### Leveraging of Resources

In 2012-13 the Housing Department did not identify viable new funding for lead-based paint testing and remediation.

### **Strategy 3D: Support a Neighborhood Stabilization Program to strengthen neighborhoods affected by foreclosures**

#### **Need (As identified in the 2010-2015 Consolidated Plan document)**

Since 2007, San José has experienced a significant increase in the number of home foreclosures as a result of subprime loan programs, reduced home values, and increased unemployment. With entire neighborhoods being affected by the foreclosure crisis, San José intends to be proactive in devoting resources to increase stability and reduce blight in targeted areas hardest hit by the foreclosure crisis.

#### **Update to the Need (Identified above)**

Federal and local funds have enabled the City to respond to San José's foreclosure challenges. As noted above, the City has run a homebuyer program funded through the NSP 1 (implemented in 2008) and NSP 2 (implemented in 2009) programs in order to provide homebuyer loans and to purchase abandoned/vacant homes in order to make them available to qualifying lower-income households. While certain program requirements made it occasionally challenging to compete with private capital in the acquisition of qualified residential units, the NSP 2 program acquired and rehabilitated 41 homes between 2010 and 2013, meeting the adjusted program goals. In addition to a lending and acquisition/rehabilitation program, City staff also has worked on three important initiatives to respond to the problems caused by foreclosures and predatory lending: the ForeclosureHelp Initiative, Don't Borrow Trouble Silicon Valley, and policy research.

#### **General Context / Background**

Since October 2009, the City of San José has overseen implementation of its award of federal Neighborhood Stabilization Program (NSP1) funds for single-family acquisition, rehabilitation, and resale program under the Housing and Economic Recovery Act, 2008 (HERA). San José was awarded approximately \$5.6 Million as an entitlement city.

In early 2009, the City of San José along with the Housing Trust of Santa Clara County and Neighborhood Housing Services of Silicon Valley formed a NSP 2 Consortium to apply for a federal grant under the American Recovery and Reinvestment Act (ARRA) of 2009. In late 2009, the Consortium was awarded a \$25M grant to implement the funding strategies outlined in the Consortium's funding application. As with NSP1, the overall objective of this grant is to restore neighborhood stability and eliminate blight in the areas severely affected by foreclosure.

The activities outlined under the Consortium's Program Agreement executed with the Department of Housing and Urban Development include 1) providing homeownership assistance to low and moderate income home buyers purchasing foreclosed homes in the NSP designated areas and 2) Acquisition and development or rehabilitation of foreclosed properties in the designated census tracts to be either rented or resold to income eligible families. In accordance with the funding application and Consortium Agreement, the Housing Trust is responsible for implementing and managing the first activity, while the City's Housing Department is responsible for implementing and managing the second activity including the 25% set-aside requirements under this grant. The 25% set-aside requirement mandates that 25% of the overall grant funds, including program Income, are to be used to house households earning 50% AMI. Under the Program Agreement, the Consortium is required to meet a combined goal of 205 assisted units.

## Section 5: Assessment of Strategic Plan Goals and Objectives



### Five-Year Goal

**Table 50: Action 3.D.1 Purchase and Rehabilitate Foreclosed Properties and Resell as Affordable Housing Units\_**

Action 3.D.1 Purchase and rehabilitate foreclosed properties and resell as affordable housing units							
Performance Measure	Number of units assisted						
5-Year Plan Goal	90						
FY 2013-14 Funding Source	NSP						
Outcome Code	SL-1,3 DH-1,2						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	45	32	31	4		112	124.4%
Actual Annual Outcome	13	16	5			34	37.8%

### Accomplishments / Impact

#### NSP1

With the City's NSP1 grant winding down, there is very little activity to report during this reporting period. With most of the program income already fully recycled and utilized to the fullest extent possible for acquisition and rehabilitation, the City does not anticipate the purchase of any additional properties under the NSP1 grant. The small balance of program income will be leveraged to complete the Rehabilitation of up to three NSP2 properties. Once the funds have been full expended the City will begin the grant closeout process. Utilizing NSP1 funds, the City purchased, rehabilitated and sold 14 single family homes to low- and moderate-income homebuyers.

Under the 25% set-aside requirement the City purchased and renovated two four-plex buildings with the intent to sell or rent the units to a service provider assisting the required income target. Renovation of both buildings was completed in 2011. After conducting a long Request for Proposal process, the City leased the two building to a nonprofit service provider called the Downtown Streets Team (DTS). DTS provides housing, job training and other supportive services to previously homeless individuals. The lease is a two year lease with an option to purchase. With the leasing of the two buildings, the City's NSP1 25% set-aside requirements have been met under this grant.

#### NSP2

Housing Department staff continues to implement two of the major components of the NSP2 grant 1) the single family acquisition, rehabilitation and resale program known as the San José Dream Home Program and 2) the 25% set-aside requirement projects targeted to households earning up to 50% of the Area Median Income (AMI).

#### San José Dream Home Program

Several factors over this last year have resulted in a significant decrease in traditional foreclosures throughout Santa Clara County. The primary factors in the decrease include the newly enacted Homeowners Bill of Rights, the continued recovery of the housing market and the steady increase in property values. With the lack of foreclosure inventory and rapidly escalating property values throughout San José and Santa Clara County most asset management companies are choosing to list their REO stock directly on the competitive Multiple Listing Service rather than work with NSP grantee's and non-profits directly as they once did.

## Section 5: Assessment of Strategic Plan Goals and Objectives

Given the continued recovery in the housing market and challenges acquiring new properties, the NSP2 Consortium met during this reporting period to re-evaluate the NSP2 program approach. The NSP2 Consortium concluded that the most prudent direction was to shift program funds within the approved grant activities. The production goals of both the Housing Trust's Purchase Assistance Loan (PAL) program and the City's Dream Home Program were reduced. By reducing these program goals, the fund balance can be redirected to support an additional multi-family development or larger scale acquisition/rehab project. As of July 1, 2013 the Dream Home Program stopped acquiring new single family properties.

In spite of the inventory challenges, the Dream Home Program staff completed the 2012-13 fiscal year with 8 new acquisitions of vacant and foreclosed single-family properties. Staff also facilitated the rehabilitations of 8 Dream Home projects, and the resale of 5 rehabilitated properties to low- or moderate-income homebuyers and closing escrow on 9 properties. The program generated just over \$2.4 million in program income over that time. Program staff will continue to manage the rehabilitation and resale of the 7 remaining single-family properties in the 2013-14 fiscal year.

### **25% Set-aside Program**

After publishing a Notice of Funding Availability (NOFA) seeking projects fitting the 25% set-aside requirements under the NSP2 grant, the City and NSP Consortium selected and approved funding for two multifamily rental projects. The first project funded under this set-aside requirement was the acquisition and rehabilitation of the Taylor Oaks Apartments. Located near East Capitol and Story Road, Taylor Oaks is a 59-unit apartment complex purchased through foreclosure. With construct being completed in the fall of 2012, the building continued to lease out the unoccupied units. As of June 30, 2013, the property was 98.31% occupied. Taylor Oaks converted from construction loan to permanent financing on 5/24/2013. Final disbursement of \$1,250,000 was used to reduce short-term bond financing prior to conversion. There were two disbursements for this project: 1) \$4,000,000 at acquisition and 2) \$1,250,000 at conversion, for a total amount disbursed of \$5,250,000.

The second set-aside project partially funded with NSP2 funds is the construction of 19 new supportive housing units located near Ford and Monterey Roads. The Ford Road Supportive Housing development broke ground earlier this fiscal year and at the end of this fiscal year the building exterior is fully complete. The contractor is now focusing on interior finishing. Due to contractor buyout savings, the project can now afford photovoltaic panels which will help reduce building operating costs and improve its Green Point Rating score. Construction completion is anticipated for late summer 2013 and lease-up by Fall 2013.

On November 6, 2012 the City committed an additional \$2,000,000 of NSP2 Program funds to the Ford and Monterey Family development. Adjacent to the Ford Road Supportive Housing Development, the Ford Road Family development will provide an additional 74 VLI units bringing the total NSP2 VLI units to 152. Additionally, the NSP2 Consortium will be publishing a new \$4 million NSP2 NOFA soliciting proposals for new multi-family development or Acquisition Rehab projects.

### **Leveraging of Resources**

The grant award requires the NSP2 Consortium to provide a funding match of \$2.5 million toward the project. The funding match will be allocated as follows:

**Table 51: NSP2 Programs Funding Status**

Match Source	Program/Activity	Allocated Funding	Expended
HTSCC	Dream Home Property Acquisition	\$1,500,000	\$1,200,000
HTSCC	25% set-aside - Taylor Oaks	\$500,000	\$500,000
City	In-kind staffing costs	\$250,000	\$250,540

## Section 5: Assessment of Strategic Plan Goals and Objectives



City	Homebuyer Education costs	\$250,000	\$336,060
<b>Total</b>		<b>\$2,500,000</b>	<b>\$2,286,600</b>

### Five-Year Goal

**Table 52: Action 3.D.2 Provide Support to the City's ForeclosureHelp Initiative**

Action 3.D.2 Provide support to the City's ForeclosureHelp Initiative							
Performance Measure	Number of individuals assisted						
5-Year Plan Goal	N/A*						
FY 2013-14 Funding Source	CDBG						
Outcome Code	DH-2,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	N/A*	N/A*	200	396		596	N/A
Actual Annual Outcome	N/A*	N/A*	142			142	N/A

### Accomplishments / Impact

In 2012-2013, the City of San José continued to support the ForeclosureHelp Initiative, which provides free and objective information to those undergoing or at risk of foreclosure. This Initiative is managed by the Housing Trust of Silicon Valley through a consortium of non-profit housing and legal agencies. Through services provided by the ForeclosureHelp Center clients receive access to HUD-certified counseling agencies, information and referrals, and identification of other housing solution if necessary. As a result, 98% of the clients increased their education and awareness of foreclosure prevention, 85% of the participants received services to promote family stabilization and 25% of the clients continued to be homeowners. The Center served 142 households instead of the 200 household goal, reflecting a positive trend where there is an existing but declining number of households in foreclosure trouble.

### Five-Year Goal

**Table 53: Action 3.D.3 Provide Support to the City's Don't Borrow Trouble Initiative**

Action 3.D.3 Provide support to the City's Don't Borrow Trouble Initiative							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code	DH-2,3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

### Accomplishments / Impact

The Don't Borrow Trouble Initiative – whose primary purpose was to educate consumers and to work with borrowers with predatory loans – has merged with the ForeclosureHelp Initiative. However, the consumer

## Section 5: Assessment of Strategic Plan Goals and Objectives

education and assistance program of Don't Borrow Trouble continues to be implemented as part of the overall ForeclosureHelp Initiative

### Five-Year Goal

**Table 54: Action 3.D.4 Research Best Practices and Policies to Respond to the Foreclosure Crisis**

Action 3.D.4 Research best practices and policies to respond to the foreclosure crisis							
<b>Performance Measure</b>	Continue to implement program						
<b>5-Year Plan Goal</b>	N/A						
<b>FY 2013-14 Funding Source</b>	N/A						
<b>Outcome Code</b>	DH-2,3						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
<b>Annual Plan Goal</b>	Continue to implement program						
<b>Actual Annual Outcome</b>	Continue to implement program						

### Accomplishments / Impact

Housing Department staff monitors the status of foreclosures in San José by provides quarterly statistics on the number of foreclosure filings issued. While the declining rate of foreclosure filings indicates a significantly improved housing market, ongoing monitoring allows City staff to identify new trends and more quickly respond to any deteriorating conditions.

## GOAL 4: EXPAND ECONOMIC OPPORTUNITIES FOR LOW-INCOME HOUSEHOLDS

### Strategy 4A: Support economic development activities that promote employment growth, and help lower-income persons secure and maintain a job

#### Need (As identified in the 2010-2015 Consolidated Plan document)

The California Employment Development Department (EDD) reported a 12.1 percent unemployment rate for Santa Clara County in January 2010. Accordingly, Consolidated Plan Workshop participants that the City assembled in 2010 stated the need for small business development, mentoring, and loan programs. While the County's unemployment rate as of July 2012 declined to 8.7 percent, activities focusing on employment growth continue to be important to support the recovery of our local economy. These activities can help local entrepreneurs establish their businesses and lease space at more affordable rates during the down market. Participants also expressed the need for vocational programs that build basic job skills and train workers, especially youth, to enter or reenter the workforce. As a challenge, these services are often best addressed at a county or regional scale, given the relative scarcity of local funding.

#### General Context / Background

In 2012-2013, the Department did not fund any economic development activities, due to decreases in funding.

## Section 5: Assessment of Strategic Plan Goals and Objectives

### Five-Year Goal

**Table 55: Action 4.A.1 Funding for Local Employment Development and Workforce Training**

Action 4.A.1 Funding for local employment development and workforce training							
<b>Performance Measure</b>	Number of jobs created						
<b>5-Year Plan Goal</b>	250						
<b>FY 2013-14 Funding Source</b>	CDBG						
<b>Outcome Code</b>	EO-1,3						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
<b>Annual Plan Goal</b>	54	54	0	50		158	63.2%
<b>Actual Annual Outcome</b>	41	41	N/A			82	32.8%

### Accomplishments / Impact

In 2012-2013, the Department did not fund any economic development activities.

### Five-Year Goal

**Table 56: Action 4.A.2 Funding for Small Business Development and Training**

Action 4.A.2 Funding for small business development and training							
<b>Performance Measure</b>	Number of individuals assisted						
<b>5-Year Plan Goal</b>	3,000						
<b>FY 2013-14 Funding Source</b>	CDBG						
<b>Outcome Code</b>	EO-1,3						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
<b>Annual Plan Goal</b>	640	640	N/A	N/A		1,280	42.7%
<b>Actual Annual Outcome</b>	524	570	N/A			1,094	36.5%

### Accomplishments / Impact

In 2012-2013, the Department did not fund any economic development activities.

### Leveraging of Resources

Not applicable.

**Section 5: Assessment of Strategic Plan Goals and Objectives**



**GOAL 5: PROMOTE FAIR HOUSING CHOICE – AFFIRMATIVELY FURTHER FAIR HOUSING**

**Strategy 5A: Conduct outreach to the community regarding fair housing, in order to address local barriers to fair housing**

**General Context / Background**

The City of San José is committed towards mitigating or eliminating impediments to fair housing choice. Its fair housing effort incorporates three components: (1) recognize that fair housing is a regional issue; (2) leverage partnerships; and (3) strategically focus on the highest impacts especially given the need to adjust to limited and often diminishing resources. As a result, the City of San José funds or partners with regional fair housing agencies that have expertise in this area. Through this strategy, the City of San José met or exceeded each of its fair housing goals in FY 2012-2013.

**Five-Year Goal**

**Table 57: Action 5.A.1 Ongoing Education and Outreach Regarding Fair Housing**

Action 5.A.1 Ongoing education and outreach regarding fair housing							
Performance Measure	Number of presentations made						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code	DH-1						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	52	42	42	56		192	N/A
Actual Annual Outcome	56	56	84			196	N/A

**Accomplishments / Impact**

The City of San José provides funding to the San José Fair Housing Consortium to provide education and outreach regarding fair housing. The Consortium is comprised of five non-profit agencies: Project Sentinel, Fair Housing Law Project and Mental Health Advocacy Project (both programs of the Law Foundation of Silicon Valley), the Asian Law Alliance, Legal Aid Society of Santa Clara County and Senior Adults Legal Assistance. The Consortium provided 84 fair housing presentations and 65 fair housing investigations to 437 unduplicated clients in FY 2012-13. Presentations are provided in English, as well as Spanish and Vietnamese depending on the location and the needs of the participants. Additionally, the City requested information from each of the deed-restricted affordable housing developments on its fair housing practices in order to proactively assess the sufficiency of its procedures. Staff and the Consortium are currently in the process of collecting and reviewing the information.

While improvements in the housing market have benefited homeowners, conversely there appears to be negative impacts on renters. Rents – in terms of both rates and growth – in San José remain one of the highest in the country. This has created economic pressures for landlords to maximize profits and seek rents from the highest bidders. This may cause displacement among renters who can no longer afford increase rents. Anecdotal evidence also suggests that some landlords have converted their rental units into for-sale properties, which reduces the housing stock and may cause displacement. In either case –

## Section 5: Assessment of Strategic Plan Goals and Objectives

whether increasing rents or converting rentals into for-sale units – it is important that both landlords and tenants follow legally established practices to ensure the protection of fair housing rights. Staff will continue to monitor to allocate the appropriate level of resources and responses to ensure fair housing conditions.

### Five-Year Goal

**Table 58: Action 5.A.2 Fair Housing Testing in Rental Units**

Action 5.A.2 Fair Housing testing in rental units							
Performance Measure	Number of tests in rental units						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code	DH-1						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	0	80	60	60		200	N/A
Actual Annual Outcome	134	111	14			259	N/A

### Accomplishments / Impact

The San José Fair Housing Consortium conducted 14 fair housing tests as part of 65 fair housing investigations to determine whether housing discrimination occurred in San José-based rental properties in FY 2012-2013. Of the 14 tests, 28.5% showed evidence of housing discrimination, 50% showed no evidence and the remaining 21.5% were inconclusive.

## Strategy 5B: Ensure that City policies and programs promote fair and equal access to housing

### General Context / Background

Actions 5.B 1 through 5.B.4 are ongoing items that do not have specific quantifiable goals due to the nature of the actions. For example, the City’s zoning ordinances and analysis of impediments comply with and facilitate fair housing laws. Therefore, Actions 5.B.1 and 5.B.2 are primarily complaint-driven actions that allow the City to respond to reports of potential violations of fair housing laws. Similarly, Action 5.B.3 provides that the Housing Department provides language assistance on an ongoing basis for San José residents of limited English proficiency. The provision of language services or the need to respond to fair housing complaints is highly variable from year to year. The narrative in the specific performance measures below provide a discussion on the Housing Department’s continuing efforts to implement the actions identified under Goal #5B.

### Five-Year Goal

**Table 59: Action 5.B.1 Ensure Local Ordinances are in Compliance with State and Federal Fair Housing Laws**

## Section 5: Assessment of Strategic Plan Goals and Objectives

Action 5.B.1 Ensure local ordinances are in compliance with State and Federal Fair Housing laws							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code	DH-1						
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

### Accomplishments / Impact

Regarding Action 5.B.1, City ordinances are designed to be in compliance with State and Federal regulations, including fair housing laws. Due to the significant number of local ordinances in San José, it is not feasible for City staff, given impacted staffing levels, to systematically review each ordinance. Rather, staff implements this action by reviewing ordinances on a case-by-case basis as needed or as identified by City staff or by a third-party or agency. In FY 2010-2011, City staff responded to one case identified by the Fair Housing Law Project regarding the right to practice religion in one's home. Staff reviewed the City's ordinance and determined that the ordinance does not restrict the ability of residents to practice religion in their home. No cases regarding fair housing were identified or brought forth in FY 2012-2013.

### Five-Year Goal

**Table 60: Action 5.B.2 Ensure Zoning Ordinances have Procedures for Reasonable Accommodation Requests**

Action 5.B.2 Ensure zoning ordinances have procedures for reasonable accommodation requests							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code							
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

### Accomplishments / Impact

City staff worked on the reasonable accommodation issue in FY 2010-2011, holding a study session on reasonable accommodation with the Planning Commission. The Planning Commission heard two planning decisions related to reasonable accommodation that year. Both requests were approved with modifications. No cases regarding reasonable accommodation were brought forth in FY 2012-2013.

### Five-Year Goal

**Table 61: Action 5.B.3 Language Assistance for Limited-English Speaking Residents**

## Section 5: Assessment of Strategic Plan Goals and Objectives



Action 5.B.3 Language assistance for limited-English speaking residents							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code							
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

### Accomplishments / Impact

To support Action 5.B.3, the Department guided all sub-recipients of federal grant programs funded through the Department through the development and implementation of a Language Access Plan (LAP) that will provide limited English clients access to services. The City maintains a copy of each Agency's LAP at the City. In FY 2010-2011, each agency was required to submit a report on the actions taken to implement their specific LAPs before the last invoice was approved by the City. In FY 2012-2013, each Agency was required, as part of their contract with the City, was required to implement outreach efforts to all persons without regard to race, sex, color, age, religion, actual or perceived gender identity, sexual orientation, disability, ethnic or national origin, or familial status in the second and fourth quarterly performance reports. These reports will help ensure that all HUD-funded agencies are marketing and advertising their services to populations with limited English proficiency.

Recognizing San José's diverse community, the Rental Rights and Referrals Program (RRRP) provides all of its materials in English, Spanish, and Vietnamese. In FY 2012-2013, Program staff attended 19 public outreach events during this period. The Program's goal is to provide education to apartment owners and tenants and mobilehome park owners and residents of their rights and responsibilities under the City's rent control ordinances. Additionally, agendas for meetings held by the Housing Department, including for the Housing Commission, the Rental Rights Commission, and the Mobilehome Commission, announce the availability of language assistance if needed in Spanish, Vietnamese, and Chinese. Finally, all public notices related to the Consolidated Plan, including Substantial Amendments, are translated and published in local ethnic newspapers for Spanish, Vietnamese, Chinese, and Tagalog speakers.

### Five-Year Goal

**Table 62: Action 5.B.4 Update Local Analysis of Impediments**

## Section 5: Assessment of Strategic Plan Goals and Objectives

Action 5.B.4 Update local Analysis of Impediments							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code							
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

### Accomplishments / Impact

In 2010, City staff completed its 2010-2015 Consolidated Plan and its accompanying Analysis of Impediments to Fair Housing report. In 2012-2013, given that 2010 data remains relatively recent and the existing policy priorities have remained, no AI updates were made.

## Strategy 5C: Plan for and facilitate housing opportunities Citywide

### General Context / Background

Strategy 5C to plan for and facilitate housing opportunities Citywide was developed with San José's existing Dispersion Policy in mind. As indicated in the City's Consolidated and Annual Action Plans, the Dispersion Policy seeks to locate the development of affordable housing throughout San José to ensure that no single community contains a disproportionate concentration of deed-restricted units. However, with the City's newly adopted Envision 2040 General Plan, which contains a key goal to focus growth through the creation of urban, transit-oriented "villages", it has become clear that the Dispersion Policy must be updated to better align with the urban village goal: instead of a policy to disperse affordable housing, the more appropriate goal would be to ensure that these urban transit villages include housing for a range of incomes and typologies. In other words, the policy should emphasize inclusion instead of dispersion. Actions 5.C.1 and 5.C.2 below seek to advance the goal of inclusion.

### Five-Year Goal

**Table 63: Action 5.C.1 Plan for and Facilitate the Development of Complete Mixed-Use and Mixed-Income Communities**

Action 5.C.1 Plan for and facilitate the development of complete mixed-use and mixed-income communities							
Performance Measure	Develop implementation strategies for urban villages / Envision 2040						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code							
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
Annual Plan Goal	Continue to implement program						
Actual Annual Outcome	Continue to implement program						

## Section 5: Assessment of Strategic Plan Goals and Objectives

### Accomplishments / Impact

In 2011, the City Council approved San José’s Envision 2040 General Plan Update. One of Envision 2040’s primary goals is to implement a sustainable land use strategy by focusing development through an urban village strategy. These urban villages exist within the City’s growth boundary and are located primarily near transit stations and along transit corridors, in downtown, and in infill opportunity locations such as underutilized/vacant parcels and strip retail centers. Instead of a suburban land use pattern that separates uses and emphasizes the automobile as the primary travel mode, urban villages will emphasize compact, transit-oriented, mixed-use communities that locate housing in proximity to jobs, services, and other amenities. In addition to these features, affordable housing must be a key element of the urban village strategy in order to create inclusive mixed-income communities.

The following are key actions staff has taken in 2012-13 to formulate an urban village strategy:

- Formation of a Citywide Urban Village Technical Advisory Committee.
- Initiate update of the City’s Housing Investment Plan.
- Provide a study session to City Council in November 2012 on San José’s housing needs, including in urban villages.
- Housing staff participation in three community outreach meetings to seek public input on urban village goals and priorities.
- Exploration of new sources of affordable housing funding in light of significant reductions in federal, State, and local sources.
- Initiate a process to explore a local housing impact fee.
- Participate in the HUD Regional Housing the Workforce process as part of the Bay Area Sustainable Communities Strategy.

Staff will continue these efforts going forward. These processes have been iterative and non-linear, as the formulation of new strategies, especially related to complex policies and land use goals, involve extensive coordination, discovery of new information, market realities, political will, and shifts in cultural attitudes. However, staff is committed to full and active participation in these processes to ensure the creation of an urban village strategy that includes affordable housing.

### Five-Year Goal

**Table 64: Action 5.C.2 Plan for and Facilitate Transit-Oriented Developments**

Action 5.C.2 Plan for and facilitate transit-oriented developments							
<b>Performance Measure</b>	Develop implementation strategies for urban villages / Envision 2040						
<b>5-Year Plan Goal</b>	N/A						
<b>FY 2013-14 Funding Source</b>	N/A						
<b>Outcome Code</b>							
	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Total To- Date</i>	<i>% of 5- Year Goal</i>
<b>Annual Plan Goal</b>			Continue to implement program				
<b>Actual Annual Outcome</b>							

### Accomplishments / Impact

The City seeks to create mixed-use, mixed-income urban villages near transit stations and along major

## Section 5: Assessment of Strategic Plan Goals and Objectives

transit corridors. As such, Action 5.C.2 shares the same actions and processes as Action 5.C.1. It is important to emphasize the need for affordable housing to be located in proximity to transit infrastructure. Studies show that lower-income households take public transit at a disproportionately higher rate than above moderate-income households. Additionally, as market demand for urban, transit-oriented development increases, the cost of such housing will also increase, with the potential effect of displacing existing or pricing out potential lower-income households. Therefore, in addition to policies to include affordable housing opportunities in transit-oriented development, staff will also explore anti-displacement strategies as the City develops the urban village implementation plan.

## GOAL 6: PROMOTE ENVIRONMENTAL SUSTAINABILITY

### Strategy 6A: Encourage the installation of energy- and water-efficiency measures in new and existing homes

#### Need (As identified in the 2010-2015 Consolidated Plan document)

With energy efficiency, water conservation, and greenhouse gas reduction all growing policy concerns, local jurisdictions must further efforts to support environmentally-sustainable residential development. Moreover, existing homes should be upgraded to improve their energy and water efficiency.

#### General Context / Background

In FY 2012-2013, CDBG continued to fund the City's installation of energy-saving LED streetlights within the three place-based neighborhoods. These lights both save energy and increase visibility—and hopefully, safety—in low- and moderate-income areas by providing brighter lighting. CDBG funding is utilized in conjunction with other funding and supports the City's strategy to eventually convert all streetlights to LED.

#### Five-Year Goal

**Table 65: Action 6.A.1 Energy Efficiency in Multi-Family New Homes**

Action 6.A.1 Energy efficiency in multi-family new homes							
<b>Performance Measure</b>	Number of lower-income units committed, meeting Build It Green standards						
<b>5-Year Plan Goal</b>	946						
<b>FY 2013-14 Funding Source</b>	HOME, Affordable Housing Investment Fund						
<b>Outcome Code</b>	SL-3						
	<b>Year 1 2010-11</b>	<b>Year 2 2011-12</b>	<b>Year 3 2012-13</b>	<b>Year 4 2013-14</b>	<b>Year 5 2014-15</b>	<b>Total To- Date</b>	<b>% of 5- Year Goal</b>
<b>Annual Plan Goal</b>	813	0	249	397		1,459	154.2%
<b>Actual Annual Outcome</b>	354	74	211			639	67.5%

\* FY 2011-12 units were incorrectly recorded as completed units – 740 units; this has been changed to 74 units to show only the committed units.

#### Accomplishments / Impact

## Section 5: Assessment of Strategic Plan Goals and Objectives

All units produced under the City's New Construction and Homebuyer Programs are required to conform to the City's Green Building Policy, revised by the City Council on March 6, 2007. This policy establishes sustainability as a City priority. It incorporates environmentally sensitive site planning, resource efficient building materials and superior indoor environmental quality.

### Five-Year Goal

**Table 66: Action 6.A.2 Direct Investment in Energy-Efficiency in Owner-Occupied Housing - Rehabilitated Homes**

Action 6.A.2 Direct investment in energy-efficiency in owner-occupied housing - Rehabilitated homes							
Performance Measure	Number of units meeting Build It Green standards						
5-Year Plan Goal	250						
FY 2013-14 Funding Source	CDBG						
Outcome Code	SL-3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	50	18	50	12		130	52.0%
Actual Annual Outcome	39	16	16			71	28.4%

### Accomplishments / Impact

As shown in Action 6.A.2, 16 homes participating in the Housing Rehabilitation Program in the past year received energy efficiency upgrades in conjunction with other housing repairs or improvements. This number represents projects that were funded in full or in part with CDBG funding. In addition to funding energy efficiency through the City's CDBG funds, this last year the Housing Department has collaborated with the Environmental Services Department to administer energy efficiency utilizing two new joint programs. In addition to the 16 energy efficiency upgrades funded through CDBG, Housing Department Staff administered an additional six upgrades through the Better Building Program as well as the Municipal Whole House Rehab Pilot Program.

### Leveraging of Resources

The leveraged benefits resulting from the implementation of the City's Green Building Policy include lower energy and water costs, using building materials with fewer chemicals that have less of an impact on the environment, enhanced health, long term economic benefits to the community and reducing the impact on the environment.

As reported in an earlier section, the Housing Department accepted a \$370,000 Innovator Pilot grant from PG&E to implement a Municipal Whole House Rehab Pilot Program. The objective of this grant is to develop standard energy efficiency models based on Build It Green standards, effectively incorporating energy efficiency upgrades into standard housing rehabilitation. This funding will provide funding to upgrade between 50 and 80 homes for energy efficiency. In addition, the program will provide opportunity to test energy efficiency models against actual savings data. The outcome of this pilot will be proven standardized energy efficiency models that will maximize energy efficiency upgrades in City funded housing rehabilitation. These tested models will be shared with other municipalities across the State.

Additionally, the Housing Department has collaborated with the City's Environmental Services Department (ESD) to utilize the Better Building Program funded through the U.S. Department of Energy (DOE). The Better Building Program is designed to address Energy efficiency on a neighborhood wide

## Section 5: Assessment of Strategic Plan Goals and Objectives

scale. Homes within the Dorsa-Tockna neighborhood can receive a range of energy efficiency benefits directly through the BBP program or in conjunction with the Housing Rehabilitation Program.

### Five-Year Goal

**Table 67: Action 6.A.2 Direct Investment in Energy-Efficiency in Owner-Occupied Housing - Homebuyer Assistance Programs**

Action 6.A.2 Direct investment in energy-efficiency in owner-occupied housing - Homebuyer Assistance programs							
Performance Measure	Number of units meeting Build It Green standards						
5-Year Plan Goal	35						
FY 2013-14 Funding Source	HOME, Affordable Housing Investment Fund						
Outcome Code	SL-3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	5	37	0	0		42	120.0%
Actual Annual Outcome	30	5	20			55	157.1%

### Accomplishments / Impact

All new construction homes purchased by lower-income homebuyers using BEGIN funds conform to the City's Green Building Policy. Developers of projects containing new construction homes proposed to be funded by the Department using BEGIN funds are given fee reductions during the development process based on the green features contained in the development. During Fiscal Year 2012-2013, 19 BEGIN loans were approved and closed.

### Five-Year Goal

**Table 68: Action 6.A.3 CDBG Sponsored Energy Efficiency Improvements**

Action 6.A.3 CDBG sponsored energy efficiency improvements							
Performance Measure	Number of energy efficiency improvements						
5-Year Plan Goal	1,600						
FY 2013-14 Funding Source	CDBG						
Outcome Code	SL-3						
	Year 1 2010-11	Year 2 2011-12	Year 3 2012-13	Year 4 2013-14	Year 5 2014-15	Total To- Date	% of 5- Year Goal
Annual Plan Goal	325	0	544	TBD		869	54.3%
Actual Annual Outcome	0	497	0			497	31.1%

### Accomplishments / Impact

In FY 12-13, CDBG funded an LED retrofit project for streetlights within the three place-based neighborhoods. Unfortunately, this project did not commence in FY 2012-2013. It will be completed in FY 2013-2014.

## Section 5: Assessment of Strategic Plan Goals and Objectives

### Leveraging of Resources

The leveraged benefits resulting from the implementation of the City's Green Building Policy include lower energy and water costs, using building materials with fewer chemicals that have less of an impact on the environment, enhanced health, long term economic benefits to the community and reducing the impact on the environment.

Additionally, the Housing Department has collaborated with the City's Environmental Services Department (ESD) to utilize the Better Building Program funded through the U.S. Department of Energy (DOE). The Better Building Program is designed to address Energy efficiency on a neighborhood wide scale. Homes within the Dorsa-Tockna neighborhood can receive a range of energy efficiency benefits directly through the BBP program or in conjunction with the Housing Rehabilitation Program.

## **Section 6:**

# **Housing Support Activities / Removing Barriers to Affordable Housing**

## Section 6: Housing Support Activities



The following chart highlights additional accomplishments made by the City of San José in the areas of policy and program development during Fiscal Year 2012-2013

### **PUBLIC POLICIES TO FOSTER AND MAINTAIN AFFORDABLE HOUSING**

Annual Goal	Annual Accomplishment
<p><i>Continue implementation of a public outreach effort for affordable housing</i></p>	<p><b>Complete/Ongoing:</b> The City implements a Citizen Participation Plan (CPP) and a Language Access Plan (LAP) to facilitate public engagement for affordable housing related items, including development proposals, policy development, funding priorities, and public review of housing plans and reports. The CPP provides criteria and a process for federally-related housing items, while the LAP provides a framework for facilitating the inclusion of those with limited English proficiency into the public process. Through targeted outreach and provision of key materials produced in up to five languages - English, Spanish, Chinese, Vietnamese, and Tagalog - the Department seeks to increase engagement with San José’s diverse communities. Additionally, the City sponsors and participates in workshops and community events that provide a forum for increasing the public’s awareness of what affordable housing is, who live in affordable housing and why it’s important to our community and economic growth.</p> <p>The Department continues to receive regional and national recognition of affordable housing developments for excellence in architectural design and green building. The Department’s website highlights some of the latest groundbreaking and grand openings at <a href="http://www.sanjoseca.gov/index.aspx?NID=3171">http://www.sanjoseca.gov/index.aspx?NID=3171</a></p> <p>Working with the San José community, Department staff regularly participates in public events that include, but are not limited to, Affordable Housing Week, ForeclosureHelp First Time Homebuyer workshops and community fairs. The Department strives to create public awareness on the many programs and services provided to residents, as well as share information on topics of interest, including housing statistics, affordable housing listings, mobilehomes, Renters Insurance, fair housing, predatory lending, and foreclosures. Specific outreach forums include: City Council study sessions on housing needs and strategies and homeless encampments</p> <ul style="list-style-type: none"> <li>• ForeclosureHelp Center operation</li> <li>• Homebuyer Outreach to the Public: Eight-hour Certified Homebuyer Education Classes / Project Sentinel – approximately two classes per month.</li> <li>• Workshops for lenders / realtors – approximately 6 classes in FY 2012-13</li> <li>• Attended 19 neighborhood and community meetings to provide information on Housing Department services including Rental Rights and Referrals and Foreclosure Prevention.</li> </ul>
<p><i>Provide an ongoing, dedicated source of revenue for affordable housing efforts and direct homeless services</i></p>	<p><b>Ongoing:</b> The Housing Department actively explores and participates in efforts to secure dedicated affordable housing funds at the local, State, and federal levels. . This work is consistent with the City’s <i>Five-Year Housing Investment Plan (2007-12)</i> in its endorsement of staff taking action to increase the funding available for affordable housing. In FY 2012-13, staff took the following actions:</p> <ul style="list-style-type: none"> <li>• Began efforts to initiate a nexus study to analyze the feasibility of a housing impact fee. The fee would place a per-square-foot or per-unit</li> </ul>

## Section 6: Housing Support Activities



Annual Goal	Annual Accomplishment
	<p>charge on residential development to go towards an affordable housing fund. In June 2013, the City Council approved staff's recommendation to initiate the nexus study, and an RFP to select a consultant was released before the close of the fiscal year. As of the writing of this report, staff has selected a consultant and is currently underway with the nexus study.</p> <ul style="list-style-type: none"> <li>Assisted in the development of SB 391 – California Jobs and Housing Act of 2013 that would create a dedicated revenue source for affordable housing through a \$75 document recording fee on real estate transactions minus point-of-sale transactions. The City took a support position in the spring of 2013 and the bill continues to move through the legislative process.</li> <li>Support legislative and advocacy efforts to maintain funding levels for existing federal programs such as CDBG, HOME, the Low-Income Housing Tax Credit and Section 8, as well as support the creation of a National Housing Trust Fund.</li> </ul> <p>While the City is not a direct homeless service provider, it remains an active participant in Destination: Home – an effort to end homelessness in ten years – which is advocating for new and an increase in existing funding sources for affordable housing for the homeless, such as focused use of federal rental vouchers. The City also takes positions on legislation related to funding for homeless prevention programs. In FY 2012-13, the City took a support position in AB 639, which would provide funding for permanent supportive rental housing for veterans, including homeless veterans.</p>
<p><i>Educate residents on the life-threatening hazard of fixed window bars, and encourage replacement bars on sleeping-room windows</i></p>	<p><b>Ongoing:</b> The Department of Planning, Building, and Code Enforcement (PBCE) continues to inspect multifamily dwellings for the ability of window bars to be released for egress. The City requires the remediation of all fixed window bars in sleeping rooms or rooms that could realistically be used for sleeping purposes. The Housing Department's Rehabilitation Program prioritizes the remediation of fixed window bars as an eligible expense either as a stand-alone repair item, or in conjunction with other health and safety repairs.</p>

### ACTIONS TO ELIMINATE GAPS IN INSTITUTIONAL STRUCTURE

Annual Goal	Annual Accomplishment
<p><i>Advocate changes in federal laws to improve San José's position in applying for scarce public dollars (such as modifying the eligibility requirements of certain federal programs that are based on age of housing stock or poverty level, which tend to give priority to older urban centers in the East, regardless of</i></p>	<p><b>Ongoing:</b> The Housing Department continues to advocate for federal regulations and policies that would improve San José's position in applying for scarce public dollars. Examples include:</p> <ul style="list-style-type: none"> <li>Advocating for changes to the HOME program that are able to be administered with current and projected funding levels, and consistent with our local pattern of usage for project commitments.</li> <li>Advocating for the allocation of federal funds based on need, as well as for funds to come directly to localities instead of through States. More specifically, the City advocated for this program change to be made for the National Housing Trust Fund.</li> <li>Educating federal funding administrators about high-cost areas, and working to ensure that programs that are created or revised recognize the</li> </ul>

## Section 6: Housing Support Activities

Annual Goal	Annual Accomplishment
<i>other need factors, such as expensive housing markets)</i>	differences in the cost of housing around the nation.
<i>Improve coordination between local, State, and Federal Housing agencies to facilitate improved funding availability, create uniform income qualifications and similar guidelines</i>	<b>Ongoing:</b> The Housing Department maintains an ongoing dialogue with elected officials through the City's Intergovernmental Relations Office, legislative program, and federal and State representatives. The Housing Department's solid working relationships with federal and State housing agencies, and elected officials enables it to actively participate in discussions impacting City housing programs and policies. Housing Department staff manages and coordinate legislation and advocacy, resulting in efficient and effective participation and coordination on the State and federal legislative processes.
<i>Improve San José's position in applying for scarce public dollars for affordable housing</i>	<b>Complete and Ongoing:</b> The Housing Department continues to seek future funding for affordable housing through the following strategies: <ul style="list-style-type: none"> <li>• <b>Housing Trust Fund</b> – Since June 2003, when the City of San José established a Housing Trust Fund, the City has managed the fund which also enables it to compete for funding specifically made available to Housing Trust Funds.</li> <li>• <b>Legislation</b> – The Housing Department worked with the Mayor, City Council, and City Manager's Office to analyze and support legislation that will improve San José's competitiveness in obtaining State and federal affordable housing resources. In FY 2012-2013, the departments worked together on advocacy for HOME, the LIHTC program, and on the State Cap &amp; Trade program, a new system for the establishment of pollution caps under which the State will receive funds to be used for greenhouse gas reduction purposes. The Department also advocated for the overturn of the <i>Palmer</i> legal decision, which limits inclusionary housing implementation for rental projects, through State bill AB 1229 (Atkins).</li> <li>• <b>Housing Element</b>—The City of San José has continued to implement its Housing Element for 2007-14, which was certified by the State in July 2009. The Housing Element outlines specific tasks and efforts the city will undertake in the current planning period to remove barriers to the development of affordable housing. In the 2007-2011 period, the City had facilitated the development of 8,732 total housing units, including over 1,920 restricted affordable housing units, which together accounted for one-quarter of the total period's goal. For the first five years of the RHNA cycle, affordable housing constituted about 22% of the City's total number of residential units receiving building permits. This indicates a significant contribution by affordable housing to San José's development activity during what has been, at times, a depressed real estate market.</li> </ul>
<i>Implement a first-time homebuyer program</i>	<b>Completed and Ongoing:</b> The Housing Department offers the WelcomeHOME first-time homebuyer program, which uses CalHOME funds, for lower-income households to purchase homes citywide. Funds are made available to assist low- and moderate-income homebuyers with downpayment assistance loans to be used towards newly constructed units. Additionally, the City obtains funds from the State's Building Equity & Growth in Neighborhoods (BEGIN) program to provide downpayment assistance for qualified first-time homebuyers interested in purchasing affordable units in newly constructed high-rises. The City also offers additional down payment assistance through the San José Dream Home Program which uses NSP2 funding. Through this

## Section 6: Housing Support Activities

Annual Goal	Annual Accomplishment
	<p>program, private contracted developers purchase foreclosed homes in targeted census tract neighborhoods, renovate homes to meet health and safety codes, and resell to low- and moderate-income households. The City anticipates winding down the homebuyer programs going forward due to reduced demand for the products and the need to strategically allocate increasingly limited resources to other housing priorities.</p>
<p><i>Develop processes and procedures to maximize the delivery of housing services and to improve coordination between various City Departments as part of the City Council's direction to increase production by 50%</i></p>	<p><b>Complete and Ongoing:</b> To promote smooth approval processes for affordable housing developments, Housing Department staff works closely with staff from other departments such as Planning, Building and Code Enforcement and Parks and Recreation on issues of direct concern to project feasibility and approvals. Overall, production is capped by amount of subsidy funding available.</p>

## Section 6: Housing Support Activities



Annual Goal	Annual Accomplishment
<p><i>Implement an aggressive surplus land acquisition program, and use this land for affordable housing.</i></p>	<p><b>Complete and Ongoing:</b> The Housing Department pursues properties that are surplus to the needs of the City, County or other State and governmental agencies, and provides assistance in the acquisition of privately-owned vacant parcels. Over the last decade, the Housing Department has purchased a total of 15 surplus properties using the 20% fund. Following are updates on previous parcel purchases:</p> <ul style="list-style-type: none"> <li>• On June 25, 2013, the Department purchased a 0.43-acre parcel on the corner of East St. John Street and North 4<sup>th</sup> Street from MidPen Housing Corporation for \$2.3 million. The acquisition was part of the City Council approval to enter into a long-term ground lease of the property back to MidPen. The property will be developed with a 102-unit affordable housing project called Donner Lofts Apartments. This parcel is fully entitled and the developer has obtained financing commitments from the City including a pre-development loan and construction permanent loan. The developer hopes to assemble financing and start construction in 2013-2014.</li> <li>• Staff continued to work with First Community Housing on a funding commitment and long-term ground lease of a 0.54-acre property on 6<sup>th</sup> Street between Taylor and Jackson that will house a 75-unit affordable project for seniors, Japantown Seniors Apartments. First Community Housing is assembling financing and, if successful, will plan to start construction in 2013-2014.</li> <li>• Development of a six-acre parcel on Evans Lane that the Department owns continued on hold in 2012-2013. The potential uses of the site—before anticipated to be both rental and for-sale with a one-acre park—is under reexamination. The Department needs to assemble sufficient funds to subsidize a potential rental project for homeless individuals. If funds become available, a new RFP will be issued in 2013-2014.</li> <li>• Development by Habitat for Humanity of Silicon Valley of a single low-income for-sale home located on a 5,500 square-foot lot on Delmas Avenue is delayed due to significant contamination found on the site in 2010. The Housing Department purchased the site from the Valley Transit Authority in August 2006 and transferred ownership to Habitat in March 2008. Habitat is currently seeking funds to remediate the site.</li> </ul>

## Section 6: Housing Support Activities



### HOMELESSNESS

Annual Goal	Annual Accomplishment
<p><i>Continue to support the implementation of a jobs program and focus on job development for the homeless in San José</i></p>	<p><b>Complete and Ongoing:</b>                      The City has been a strong partner of Destination: Home, which focuses its resources on the chronically homeless. The Housing 1000 Campaign targets chronically homeless individuals with severe and persistent disabling conditions, most of whom are not employable but reliant on Social Security Disability Insurance benefits. Thus, recognizing a need for job development for employable homeless persons, the City has prioritized this target population for the HOME Tenant-Based Rental Assistance Program. In exchange for affordable housing coupons, participating households and homeless service agency partners commit to job training, search and placement.</p> <p>The City worked actively as a partner in the past year in the Santa Clara County Workforce Investment Network. In July 2000, San José, in partnership with seven surrounding cities, created the San José Silicon Valley Workforce Investment Network (WIN) to act as Silicon Valley's regional Workforce Investment Board (WIB). The strategies and vision of the California Workforce Investment Boards are carried out through a network of One-Stop Career Centers which offer businesses, job seekers and youth with innovative employment and training services. San José's Career Center, the Silicon Valley WIN – Work2Future provides access to workforce experts and community partners that are dedicated to helping business and job seekers succeed. Although their target population is broad, homeless individuals can participate in the program. Locally managed, WIN brings together job seekers, local employers, educators, labor representatives, and program administrators to sustain and maximize the relationships between employers and the region's prospective labor market. Because the homeless population has a number of barriers that may make it challenging to successfully participate in the WIN model, the City is expanding its partnership with Downtown Streets Team (DST) in the upcoming fiscal year to provide appropriate job development, coupled with permanent supportive housing, for the homeless population in San José. DST specializes in working with the homeless population and addressing their particular special needs for job placement. This expanded endeavor will include San José Streets Team's receiving designation as a Community Based Development Organization. This augmented effort seeks to increase opportunities for the agency and for San José's employable homeless population.</p>
<p><i>Develop a Five-Year Homeless Strategy for the City of San José</i></p>	<p><b>Complete and Ongoing:</b>                      In 2003, the Mayor and City Council adopted a Ten-Year Homeless Strategy describing the City's plan to end chronic homelessness in San José. Specifically, the Homeless Strategy outlines the extent of the homeless problem in San José, describes City programs and policies related to homelessness, and proposes policies and actions for the City to take towards the goal of eliminating chronic homelessness in San José within ten years, including prevention, rapid re-housing, wraparound services, and proactive efforts.</p> <p>In 2005, the Santa Clara County Board of Supervisors adopted the</p>

## Section 6: Housing Support Activities

Annual Goal	Annual Accomplishment
	<p>community's Ten Year Plan to End Homelessness, which mirrored the City's Homeless Strategy by recommending the focus be on prevention through effective discharge planning, the provision of permanent and affordable supportive housing, outreach, and access to benefits and employment opportunities.</p> <p>In 2008, the County's Blue Ribbon Commission on Ending Homelessness and Solving the Affordable Housing Crisis formed Destination: Home, a public-private partnership, to implement their goals and objectives. These included focusing on permanent supportive housing, improving access to services through outreach and effective discharge planning, as well as implementing both a Medical Respite Facility and a "One Stop" Homelessness Prevention Center.</p> <p>While there is not one entity that monitors the community's plan as a whole to end homelessness, we all follow the overlapping strategies with a focus on permanent supportive and affordable housing. The approach is to rapidly re-house a homeless person and then provide the case management support to ensure self-sufficiency and economic stability. Destination: Home's Housing 1000 Campaign is one example of how these strategies are bringing a community together to house the most chronically homeless with severe health conditions.</p>

### SENIORS

Annual Goal	Annual Accomplishment
<p><i>Pursue the establishment of a centralized waiting list for all subsidized senior housing</i></p>	<p><b>Ongoing:</b> In FY 2012-2013, the City continued to successfully contract with the Non-Profit Industries, Inc. for operation of the countywide "SocialServe" housing locator services database. The database provides residents with timely and comprehensive information on affordable housing available throughout the county, and provides search criteria specific to senior housing. Since its launch in FY 2010-2011, City staff has worked with property management companies that are operating the City's subsidized affordable rental projects to list available units in SocialServe.</p>

**Section 7:**  
**Monitoring and Compliance**

## **Section 7: Monitoring & Compliance**

### **MONITORING**

In FY 2012-2013, monitoring was conducted through review of monthly or quarterly invoices and quarterly performance reports and onsite review of both programmatic and financial supporting documentation. These efforts allowed city staff to identify any performance or financial issues that required intervention. When identified, staff provided technical assistance to the sub-recipient to determine ways in which to correct the problem. When problems were not corrected, issues were forwarded to management for follow-up. As a result of this work, city staff was able to immediately address any problems and take the corrective steps necessary to prevent future reoccurrence.

### **Rental Housing**

Housing Department inspectors perform annual on-site inspections of HOME-assisted rental housing to determine compliance with applicable property standards. As part of the monitoring process, the Housing Department verifies information maintained by the property owners concerning leases, tenant incomes, rents, and utility allowances, and verifies compliance with the provisions stated in written agreements and HOME regulations.

### **Homebuyer**

Homebuyer Program staff annually sends out affidavits to clients in order to confirm continual owner-occupancy and program compliance.

### **TBRA Program**

The City has retained a new nonprofit to administer the TBRA Program. Abode Services will provide housing search services, application review and approval, inspections and other services related to TBRA. City staff will continue to monitor reimbursement requests, eligibility of rent increases, client income changes, and other related issues. The City also has a Memorandum of Agreement with the County of Santa Clara Mental Health Department and the Santa Clara County Department of Alcohol and Drug Services to provide case management to TBRA clients.

### **COMPLIANCE**

### **Affirmative Marketing**

The City reviews the marketing plans of HOME-funded projects and checks for property management companies' compliance with affirmative marketing requirements and their procedures prior to the initial lease-up of a property. Staff also checks on compliance annually if there are changes to the property management plan. To meet affirmative marketing requirements, project sponsors or their property management companies usually mail notices to nonprofits serving income-eligible clients and place advertisements in local newspapers announcing the availability of units. City Council offices also highlight units' availability through their newsletters to constituents, as does the Housing Department's website. Typically, project sponsors receive several times the number of eligible applicants as there are affordable units to fill. Eligible applicants who do not receive a unit are put on a waiting list that is maintained indefinitely and updated every six months. As new applicants learn of existing properties and contact those property management companies, they are added to property waiting lists.

### **Section 3 and MBE/WBE Requirements**

The Housing Department has a policy that states, in part, that when developers, contractors, or sub-recipients solicit bids from subcontractors, they will include a statement that women and minority owned business are strongly encouraged to apply. Further, in every contract/agreement, the cross-cutting federal requirements related to Section 3 and MBE/WBE is included. The Housing Department will also

## **Section 7: Monitoring & Compliance**

make extra efforts to ensure that minority and women owned businesses are aware of new NOFAs and the City's Rehabilitation Program will maintain an updated list of MBE and WBE contractors from which homeowners can choose.

**Section 8:**  
**HUD Tables**

**Section 8: HUD Tables**

OUTCOME PERFORMANCE MEASUREMENTS

(Table 1C, 2C, 3A)

**Goal #1 - Affordable Housing for lower-income and special needs households**

<i>Action</i>	<i>Performance Measure</i>	<i>Outcome Code **</i>	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Cumulative Total</i>	<i>Five-Year Goal</i>	<i>% Achieved</i>
<b>1.A.1 - Production and technical assistance for affordable rental housing</b>		DH 1.2								
Production Goal	# lower-income units with funding commitments		354	74	36			464	129	360%
Inclusionary Goal	# lower-income units with recorded restrictions		0	0	185			185	150	123%
<b>1.B.1 - Direct financial assistance to help lower-income households purchase homes</b>	# non-duplicated lower-income homebuyers assisted	DH 2	39	65	21			125	357	35%
<b>1.B.2 - Financial literacy and home-buyer education programs</b>	# lower-income households participating in classes and counseling sessions	DH 2,3	422	514	675			1,611	2,285	71%
<b>1.C.1 - Rehabilitation assistance for lower-income homeowners inclusive of all funding sources</b>	# lower income homeowners assisted	SL 3	391	435	543			1,369	1,271	108%

## Section 8: HUD Tables

<i>Action</i>	<i>Performance Measure</i>	<i>Outcome Code **</i>	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Cumulative Total</i>	<i>Five-Year Goal</i>	<i>% Achieved</i>
<b>1.C.2 - Rehabilitation assistance for lower-income homeowners through the CDBG program only (subset of 1.C.1 above)</b>	# lower incomehome-owners assisted	SL 3	266	239	288			793	1,000	79%
<b>1.C.3 - Pursue funding opportunities for infrastructure improvements in lower-income mobilehome parks</b>	Continue to implement	SL 1,2,3	Continue to Implement	Continue to Implement	Continue to Implement				Continue to implement	N/A
<b>1.D.1 - Housing goal for seniors, disabled and special needs individuals</b>										
Production Goal (subset of 1.A.1 above)	# lower-income units with funding commitments	DH 1,2,3	143	23	0			166	29	572%
Rehabilitation Goal	# home-owners assisted	SL 3	190	33	200			423	254	167%
<b>1.D.2 - Pursue funding opportunities to improve condition of housing stock for lower-income renters</b>	Continue to implement	SL 1,2,3	Continue to Implement	Continue to Implement	Continue to Implement				Continue to Implement	N/A

**Section 8: HUD Tables**

**Goal #2 - Support activities to end homelessness in San José and Santa Clara County**

<i>Action</i>	<i>Performance Measure</i>	<i>Outcome Code **</i>	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Cumulative Total</i>	<i>Five-Year Goal</i>	<i>% Achieved</i>
<b>2.A.1 - TBRA assistance to chronically homeless</b>	# unduplicated households served	SL 1,2,3	65	211	240			516	285	181%
<b>2.A.2 - Short-term emergency shelter program</b>	# individuals assisted	DH 1	7,830	14,104	N/A			21,934	6,000	366%
<b>2.A.3 - Emergency rental assistance program</b>	# individuals assisted	DH 2	1,496	685	N/A			2,181	2,000	109%
<b>2.A.4 - Programs that provide vital services to homeless individuals*</b>	# individuals assisted	SL 1,2,3								
Homeless Services*			7,998	N/A	1682*			9,680	30,000	32%
CDBG*			18,783	16,437	N/A*			35,220	16,000	220%
<b>2.A.5 - Support Destination:Home</b>	Continue to implement	SL 1,2,3	Continue to Implement	Continue to Implement	Continue to Implement				Continue to implement	N/A
<b>2.A.6 - Seek additional resources for county-wide efforts to end homelessness</b>	Continue to implement	SL 1,2,3	Continue to Implement	Continue to Implement	Continue to Implement				Continue to implement	N/A
<b>2.A.7 - Seek additional funding for housing services for recently emancipated youth</b>	Continue to implement	SL 1,2,3	Continue to Implement	Continue to Implement	Continue to Implement				Continue to implement	N/A

\* 2.A.4 – Homeless Services and CDBG sub-goals have been combined, going forward.

**Section 8: HUD Tables**

**Goal #3 - Support activities that provide basic services, eliminate blight, and/or strengthen neighborhoods**

<i>Action</i>	<i>Performance Measure</i>	<i>Outcome Code **</i>	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Cumulative Total</i>	<i>Five-Year Goal</i>	<i>% Achieved</i>
<b>3.A.1,2 - Assist lower-income residents with basic/essential services and maintain self sufficiency</b>	# individuals assisted	SL 1,3								
Homeless Services			18,673	0	N/A			18,673	30,000	62%
CDBG			14,630	31,255	1360			47,245	71,000	67%
<b>3.A.3 - Assist lower-income residents to access healthcare**</b>	# individuals assisted	SL 1,3	3,269	3,517	577			7,363	22,000	34%
<b>3.A.4 - Assist lower-income residents to access legal services***</b>	# individuals assisted	SL 1,3	1,718	1,604	N/A			3,322	7,000	48%
<b>3.B.1 - Remove public accessibility barriers</b>	# individuals assisted in low-mod areas	SL 1,3	0	0	0			0	-	-
<b>3.B.2 - Physical improvement and rehabilitation of public facilities</b>	# individuals assisted in low-mod areas	SL 1,3	0	0	0			0	28,000	0%
<b>3.B.3 - Code enforcement activities that eliminate blight and strengthen neighborhoods</b>	# households / businesses assisted	SL 1,3	14,707	16,328	3,081			34,116	11,000	310%
<b>3.C.1 - Inspect affordable housing for lead-based paint</b>	# properties inspected	SL 1,3	131	68	71			270	1,215	22%
<b>3.C.2 - Seek funding opportunities to mitigate lead hazards</b>	Continue to implement	SL 1,3; DH 1,2	Continue to Implement	Continue to Implement	Continue to Implement			Continue to Implement	Continue to implement	N/A
<b>3.D.1 - Purchase and rehabilitate foreclosed properties and resell as affordable housing units</b>	# units assisted	SL 1,3; DH 1,2	13	16	5			34	90	38%

## Section 8: HUD Tables

<i>Action</i>	<i>Performance Measure</i>	<i>Outcome Code **</i>	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Cumulative Total</i>	<i>Five-Year Goal</i>	<i>% Achieved</i>
<b>3.D.2 - Provide support to the City's ForeclosureHelp Initiative</b>	# individuals assisted	DH 2,3	Continue to Implement	Continue to Implement	142			142	N/A	N/A
<b>3.D.3 - Provide support to the Don't Borrow Trouble campaign</b>	Continue to implement	DH 2,3	Continue to Implement	Continue to Implement	Continue to Implement			Continue to Implement	Continue to implement	N/A
<b>3.D.4 - Research best practices and policies to respond to the foreclosure crisis</b>	Continue to implement	DH 2,3	Continue to Implement	Continue to Implement	Continue to Implement			Continue to Implement	Continue to implement	N/A

\* 3.A.1 Assist low-income residents with basic/essential services and 3.A.2 Assist low-income residents to maintain self sufficiency have been combined. Also CDBG program no longer funds this goal. However, kindergarten readiness and 3<sup>rd</sup> grade literacy program funding will be reflected here, going forward.

\*\* 3.A.3 Assist low-income residents access healthcare services is no longer funded through the CDBG program. However, the goal has been modified to include Senior Services including the Meals on Wheels program.

\*\*\* 3.A.4 Assist low-income residents access legal services is now funded through Goal # 5 – Fair Housing Activities

**Section 8: HUD Tables**

**Goal #4 - Support economic development activities that promote employment growth and that help lower-income residents secure and maintain a job**

<i>Action</i>	<i>Performance Measure</i>	<i>Outcome Code **</i>	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Cumulative Total</i>	<i>Five-Year Goal</i>	<i>% Achieved</i>
<b>4.A.1 - Funding for local employment development and workforce training</b>	# jobs created	EO 1,3	41	41	0			82	250	33%
<b>4.A.2 - Small business development and training</b>	# individuals assisted	EO 1,3	524	570	0			1094	3,000	37%

**Goal #5 - Promote fair housing choice - Affirmatively furthering fair housing**

<i>Action</i>	<i>Performance Measure</i>	<i>Outcome Code **</i>	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Cumulative Total</i>	<i>Five-Year Goal</i>	<i>% Achieved</i>
<b>5.A.1 - Ongoing education and outreach regarding fair housing</b>	# presentations made	DH 1	56	56	84			196	N/A	N/A
<b>5.A.2 - Fair housing testing in local apartment complexes</b>	# tests in local apartment complexes	DH 1	134	111	14			259	N/A	N/A
<b>5.B.1 - Ensure local ordinances are in compliance with State and federal fair housing laws</b>	Continue to implement	DH 1	Continue to Implement	Continue to Implement	Continue to Implement			Continue to Implement	Continue to implement	N/A
<b>5.B.2 - Ensure zoning ordinances have procedures for reasonable accommodation requests</b>	Continue to implement	DH 1	Continue to Implement	Continue to Implement	Continue to Implement			Continue to Implement	Continue to implement	N/A
<b>5.B.3 - Language assistance for limited-English speaking residents</b>	Continue to implement	DH 1	Continue to Implement	Continue to Implement	Continue to Implement			Continue to Implement	Continue to implement	N/A
<b>5.B.4 - Update local Analysis of Impediments</b>	Continue to implement	DH 1	Continue to Implement	Continue to Implement	Continue to Implement			Continue to Implement	Continue to implement	N/A

## Section 8: HUD Tables

<i>Action</i>	<i>Performance Measure</i>	<i>Outcome Code **</i>	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Cumulative Total</i>	<i>Five-Year Goal</i>	<i>% Achieved</i>
<b>5.C.1 – Plan for and facilitate the development of complete mixed-use and mixed-income communities</b>	Continue to implement	DH 1	Continue to Implement	Continue to Implement	Continue to Implement			Continue to Implement	Continue to implement	N/A
<b>5.C.2 – Plan for and facilitate transit-oriented developments</b>	Continue to implement	DH 1	Continue to Implement	Continue to Implement	Continue to Implement			Continue to Implement	Continue to implement	N/A

## Goal #6- Promote environmental sustainability

<i>Action</i>	<i>Performance Measure</i>	<i>Outcome Code **</i>	<i>Year 1 2010-11</i>	<i>Year 2 2011-12</i>	<i>Year 3 2012-13</i>	<i>Year 4 2013-14</i>	<i>Year 5 2014-15</i>	<i>Cumulative Total</i>	<i>Five-Year Goal</i>	<i>% Achieved</i>
<b>6.A.1 - Energy efficiency in multifamily new homes</b>	# completed affordable units meeting Build It Green standards	SL 3	354	74	211			639	946	68%
<b>6.A.2 - Direct investment of energy efficiency in owner-occupied housing</b>		SL 3								
Rehabilitated Homes	# units meeting Build It Green standards		39	16	16			71	250	28%
Inclusionary/Homebuyer assistance programs	# new construction green homes purchased by lower-income homebuyers		30	5	20			55	35	157%

## Section 8: HUD Tables

<b>Action</b>	<b>Performance Measure</b>	<b>Outcome Code**</b>	<b>Year 1 2010-11</b>	<b>Year 2 2011-12</b>	<b>Year 3 2012-13</b>	<b>Year 4 2013-14</b>	<b>Year 5 2014-15</b>	<b>Cumulative Total</b>	<b>Five-Year Goal</b>	<b>% Achieved</b>
<b>6.A.3 - CDBG sponsored energy efficiency improvements</b>	# energy efficiency improvements	SL 3	0	497	0			497	1,600	31%

\* Outcome/Objective Codes

\*\* Outcome codes based on U.S. Department of Housing and Urban Development guidelines

	<b>Availability /Accessibility</b>	<b>Affordability</b>	<b>Sustainability</b>
<b>Decent Housing</b>	DH-1	DH-2	DH-3
<b>Suitable Living Environment</b>	SL-1	SL-2	SL-3
<b>Economic Opportunity</b>	EO-1	EO-2	EO-3

**Section 9:**  
**Appendices**

## **Section 9: Appendices**

- 1. Public Comments**
- 2. Certifications**
- 3. Additional Information**

**Section 9: Appendices**

**1. Public Comments**

**Public Comments on the Draft 2012-2013 CAPER and City Responses**

**Summary of Public Hearing**

**September 12, 2013**

**Housing and Community Development Advisory Commission**

<b><u>Comment</u></b>	<b><u>Response</u></b>
Commissioner Heffner asked about the size of the reductions of federal housing and community development funds in recent years. She indicated that these are severe cuts to needed programs	Staff responded that federal funding to San Jose has been reduced 35-40% in the four primary HUD programs composed of Community Development Block Grant (CDBG), HOME Investment Partnership (HOME), Emergency Solutions Grant (ESG), and Housing Opportunities for Persons with AIDS (HOPWA).

**Summary of Public Hearing**

**September 17, 2013**

**San José City Council**

<b><u>Comment</u></b>	<b><u>Response</u></b>
No comments were received	

**Other Public Comments (Public Comment period from 8/26/13 to 9/12/13)**

No comments were received.

## **Section 9: Appendices**

### **2. Certifications**

The City of San José certifies that its annual FY 2012-13 Program Year Consolidated Annual Performance and Evaluation Report (CAPER) complies with the general and program-specific requirements described under 24 CFR 91.520 of the Consolidated Plan/Action Plan regulations.

In addition, the FY 2012-13 Annual Action Plan proposed activities and projects assisted with CDBG, HOME, HOPWA, and ESG Program funds were implemented successfully and addressed priority needs, goals, and strategies reflected in the City's Consolidated Plan, which is consistent with the National Affordable Housing Act (NAHA).

## **Section 9: Appendices**

### **3. Additional Information**

**The following additional information covers these programs:**

- 1. PUBLIC NOTICE & PUBLICATIONS**
- 2. HOME**
- 3. HOPWA**
- 4. SECTION 3 REPORTING**
- 5. MBE/WBE REPORTING**



# 1. Public Notices

**Section 9: Appendices**



**San Jose Mercury News**

750 RIDDER PARK DRIVE  
SAN JOSE, CALIFORNIA 95190  
408-920-5332

**PROOF OF PUBLICATION**

IN THE  
CITY OF SAN JOSE  
STATE OF CALIFORNIA  
COUNTY OF SANTA CLARA

SAN JOSE, CITY OF  
OFFICE THE CITY GROUP/BRENDA CHARLES, 21  
SANTA CLARA STREET, 2N  
SAN JOSE CA 95113

**FILE NO. S.Guzzetta**

In the matter of

The San Jose Mercury News

The undersigned, being first duly sworn, deposes and says all times hereinafter mentioned affiant was and still is a the United States, over the age of eighteen years, and r to or interested in the above entitled proceedings; and v during all said times and still is the principal clerk of the publisher of the San Jose Mercury News, a newspaper circulation printed and published daily in the city of Sa said County of Santa Clara, State of California as dete the court's decree dated June 27, 1952, case numbers 84097, and that said San Jose Mercury News is and times herein mentioned a newspaper of general circula term is defined by Sections 6000 and following, of the G Code of the State of California and, as provided by said s published for the dissemination of local or telegraphic intelligence of a general character, having a bona fide st list of paying subscribers, and is not devoted to the ir published for the entertainment or instruction of a partic professional, trade, calling, race or denomination, ( entertainment and instruction of any number of such professionals, trades, callings, races or denominations; times said newspaper has been established, printed and in the said city of San Jose in said County and State intervals for more than one year preceding the first pub the notice herein mentioned. Said decree has not been vacated or set aside.

I declare that the notice, of which the annexed is a tr copy, has been published in each regular or entire iss newspaper and not in any supplement thereof on the following dates, to wit:

8/23/2013

Dated at San Jose, California  
08/23/13

I declare under penalty of perjury that the foregoing is true and correct.

Signed   
Principal clerk of the printer and publisher of the San Jose Mercury News.

Legal No. 0004943330

RECEIVED  
San Jose City Clerk

2013 AUG 26 AM 9:42



**NOTICE OF AVAILABILITY OF THE CONSOLIDATED ANNUAL PERFORMANCE AND EVALUATION REPORT (CAPER) AND SCHEDULE OF PUBLIC HEARINGS**

THIS NOTICE is to announce the availability of the FY 2012-13 Consolidated Annual Performance and Evaluation Report (CAPER) for public review beginning August 26, 2013. The CAPER is an annual report on the City's progress in meeting the housing and community development goals outlined in the City's federally-required Consolidated Plan, and covers the Community Development Block Grant (CDBG) Program, HOME Investment Partnership Program (HOME), the Emergency Solutions Grant (ESG) Program, and the Housing Opportunities for People with AIDS (HOPWA) Program.

The following is the schedule for the public review process and approval of the documents:

Date	Action
August 26, 2013	Release of draft documents for public review City of San Jose Housing Department 200 East Santa Clara St., 12 <sup>th</sup> Floor San Jose, CA 95113 Tel No: 408-535-3860 <a href="http://www.sanjoseca.gov/index.aspx?nid=1293">http://www.sanjoseca.gov/index.aspx?nid=1293</a>
August 26, 2013 - September 12, 2013	Public review and comment period
September 12, 2013	Housing and Community Development Advisory Commission Public Hearing 200 East Santa Clara St., Wing 118-119 San Jose, CA 95113 5:45 PM
September 17, 2013	City Council Public Hearing and Final Action City Council Chambers, San Jose City Hall, 200 East Santa Clara St. San Jose, CA 95113 1:30 PM

The public is invited to attend any of the meetings listed above or to provide written comment to the City of San Jose Housing Department, 200 E. Santa Clara Street, San Jose, CA 95113, Attn: Daniel Morillo. Comments may also be submitted via e-mail to [daniel.morillo@sanjoseca.gov](mailto:daniel.morillo@sanjoseca.gov) or via telephone at (408) 793-4195. The meeting locations are accessible to persons with disabilities. For persons with speech/hearing impairments or for persons requiring interpreter assistance, please call (408) 294-9337 (TTY) as soon as possible, but at least three business days before the meeting.

Para residentes que hablan Español: Este anuncio es respecto al documento CAPER 2012-13. El CAPER es un reporte anual acerca del progreso de la Ciudad para cumplir las metas de vivienda y desarrollo comunitario estipuladas en el Plan Consolidado de la Ciudad federalmente requerido. Para más información por favor llame a Tomas Moreno al (408)975-4448

Đã nêu chi tiết "mục tiêu" và "hình ảnh" về việc thông báo này liên quan đến tài liệu CAPER 2012-13. Tài liệu CAPER là một báo cáo hàng năm về sự tiến bộ của Thành phố trong việc đáp ứng các mục tiêu phát triển gia cư và cộng đồng được nêu lên trong liên bang Kế hoạch hợp nhất của thành phố. Để biết thêm thông tin, xin vui lòng liên hệ với Theresa Tran tại 408-793-5549.

對僑胞的聖荷西市民: 此通知是關於2012-13 綜合年度進展評估報告的資料。綜合年度進展評估報告是一份年度報告。該報告市府依據聯邦對城市綜合計畫的要求, 在住房和社區發展的目標上所達成的年度進展概況。若需詳細資料, 請聯絡 華諾 Ana Tu (408)975-4450, 楊國 楊 Tiet (408)975-4425

PARA SA RESIDENTE NA ANG WIKANG TAGALOG: Pansawa tungkol sa "CAPER" sa taong 2012-13. Ang "CAPER" ay kasalutan ng gobyerno sa "housing and community development" para sa lahat ng mga pangangailangan ng komunidad. Para sa karagdagang impormasyon, tawagan si Arlene Silverio sa 408-793-5542.



Date: August 23, 2013 Invoice #: 813CSI

**Bill To:**  
 Suzanne Guzzetta  
 Office of the City Clerk  
 City of San Jose  
 200 E. Santa Clara St.  
 San Jose, CA 95113

2013 AUG 26 AM 10:24  
 RECEIVED  
 San Jose City Clerk

---

**INSERTION DESCRIPTION**

<u>AD TYPE &amp; SIZE:</u>	Display Ads
<u>AD DESCRIPTION:</u>	Notice of Availability of the CAPER and Schedule of Public Hearings
<u>INSERTION ORDER #:</u>	Approval given by Suzanne Guzzetta
<u>INSERTION DATES:</u>	August 23, 2013
<u>SPECIAL INSTRUCTIONS:</u>	Translated ads to run in China Press, Philippine News, and Thoi Bao (\$800 per ad)

---

*Thank you for your order. I appreciate your business.*

Send Payment To:    La Oferta  
 1376 N. 4th Street  
 San Jose, CA 95112  
 Tax I.D. #77-0369180

If you have any questions about this bill or other bills,  
 please call Frank Andrade at (408) 436-7850 ext. 11.

Section 9: Appendices

lại, đứng vững được để có thể đóng góp được cho bản thân mình và cho xã hội.

Thực sự ra ngày cả tiếng “nạn nhân,” “victim,” chúng tôi cũng không dám dùng mà chúng tôi dùng chữ “sống sót,” “survivor,” tại vì chúng tôi nghĩ mình đã nhìn những người này như là những người sống sót trở về, sự giúp đỡ của mình đối với những người sống sót từ địa ngục trở về thì mình có trách nhiệm như thế nào, mình có quyết tâm như thế nào và cái quyết tâm của họ thì mình cũng cố mình ủng hộ như thế nào.

Đề mà so sánh miền Nam với miền Bắc thì thực ra ở đâu chúng tôi cũng nhận được sự ủng hộ hết sức là quý báu của chính quyền địa phương. Khi xin được tiền để xây nhà cho các em, mà có nhiều em trước đó là gia đình ở trên song trên biển thành ra các em rất dễ bị người ta dụ người ta bán đi, khi mình muốn có nhà như vậy mình cũng phải

mà xây được cái nhà.

Nhưng mà chúng tôi cũng phải nói là giữa miền Nam với miền Bắc thì câu chuyện nhận diện nạn nhân ở miền Bắc là nhiều hơn. Tức là những câu chuyện trên báo mà kể về những nạn nhân trốn thoát từ biên giới trở về, từ bên Trung Quốc, thì nó nhiều hơn là những chuyện kể trên báo về nạn nhân trốn từ Cam Bốt trở về. Vì như vậy, chúng tôi cảm thấy mức độ nhận diện nạn nhân ở tại miền Nam thực sự còn nhiều vấn đề cần suy nghĩ so với mức độ nhận diện nạn nhân ở miền Bắc.

Chính phủ Mỹ hàng năm có một phúc trình đánh giá nỗ lực phòng chống buôn bán người của từng nước trên toàn thế giới, tức là Thái Lan, Nga, Trung Quốc và Cam Bốt là những nơi mà

Việt Nam nạn buôn bán người. Au chầu, qua những



khối xã nghĩa hồ rõ ràng bán người trư ng mạ nh trong n qu. Đó nạn cả chuyện: thể tự n đi tại vì con ngư rất to không thiệp m cấp chỉ

có thể giảm được hay là không đáng quan tâm, thực sự đó là một cái nhìn không được toàn diện lắm.

**Thanh Trúc:** Có nghĩa là buôn người ở Việt Nam vẫn là một vấn nạn xã hội cần phải giải quyết?

**Vương Ngọc Diệp:** Chắc chắn là một vấn nạn bức bách

cấp chính phủ thì khi bùng ra.

**Thanh Trúc:** Vòng Tay Thái Bình: thêm Nhà Tạm Lành thể cho biết có sự gì như ở dưới An Gia ngoài Lạng Sơn khác

**Vương Ngọc Diệp:** tôi đang nghĩ đến ở Quảng Ninh. Nghề Bình cũng là nơi đi mua bán người qua giới Lào và từ đó ở Trung Quốc. Về cái chúng tôi tại vùng ở chúng tôi sẽ bám Tam Lành này. Nói nhưng thực sự có ở đã ba bốn năm, nê theo độ tuổi từ khi

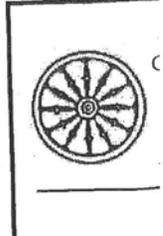
Quảng Ninh ha: Quảng Bình, đầu cũng dính với đườ vì chúng tôi nghĩ n phương ở vùng biê: rất là nhiều. Chứn việc đi nữa thì cứ ủng hộ của chín phương nơi đó tr không cách gì ngo hết. Nếu mình kh: một cách chặt chẽ quyền, nhất là bé

**THÔNG BÁO VỀ VIỆC ĐÃ CÓ BÁO CÁO (CAPER) CHO KẾT QUẢ THƯỜNG NIÊN VÀ BẢNG ĐÁNH GIÁ VÀ LỊCH TRÌNH VỀ CÁC BUỔI HỌP CÔNG CỘNG**

**THÔNG BÁO NÀY** là thông báo việc việc đã có báo cáo (CAPER) của năm tài chính 2012-13. Hiệu suất hàng năm và bản đánh giá cho công chúng xem xét bắt đầu từ ngày 26 Tháng Tám 2013. Bản báo cáo (CAPER) là một bản báo cáo hàng năm về sự tiến bộ của thành phố trong việc đáp ứng các mục tiêu phát triển nhà ở và cộng đồng được nêu trong là thành phố liên bang yêu cầu Kế hoạch hợp nhất, và bao gồm Chương Trình Phát Triển (CDBG), Chương Trình Cộng Đồng Block Grant, Chương Trình HOME Đầu Tư Đối Tác (HOME), Chương Trình Tài Trợ Giải Pháp Khẩn Cấp (ESG), và chương trình Nhà Ở Cho Người Có AIDS (HOPWA).

Sau đây là lịch trình cho quá trình xem xét công khai và phê duyệt các tài liệu:

Ngày	Sự Việc
Ngày 26 tháng Tám, 2013	Phát hành của dự thảo văn bản cho công chúng xem xét Sở Gia Cư Thành phố San José 200 East Santa Clara St., Tầng 12 <sup>th</sup> San José, CA 95113 Điện thoại số: 408-535-3860 <a href="http://www.sanjoseca.gov/index.aspx?NID=1293">http://www.sanjoseca.gov/index.aspx?NID=1293</a>
Ngày 26 tháng Tám, 2013 - Ngày 12 tháng Chín 12, 2013	Công chúng xem xét và đóng góp ý kiến
Ngày 12 tháng Chín, 2013	Buổi Họp Công Cộng của Ủy Ban Tư Vấn Gia Cư và Phát Triển 200 East Santa Clara St., Wing 118-119 San José, CA 95113 5:45 chiều



**Section 9: Appendices**



killings of hundreds of protesters during the uprising that forced him from power in February 2011.

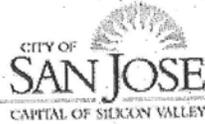
military custody at an undisclosed location. Around 1,000 of his Is-

hands of the security forces since last month's coup. EFE

la época y explicó el

El pr es parte d se lleva : muy pro provincia beneficiar según dat básicamer se aprove trasvasa d provincia. muchas a crean tam explicó P

Segú se pretenc iones y r



**NOTIFICACIÓN DE DISPONIBILIDAD DEL INFORME ANUAL CONSOLIDADO DE GESTIÓN DE DESEMPEÑO Y EVALUACIÓN (CAPER, SIGLAS EN INGLÉS) Y EL PROGRAMA DE AUDIENCIAS PÚBLICAS**

ESTA NOTIFICACIÓN es para anunciar la disponibilidad del Informe de Evaluación del Año Fiscal 2012-2013 del Reporte Anual de Evaluación y Rendimiento Consolidado (CAPER, siglas en inglés) para revisión pública comenzando el 26 de agosto del 2013.

EL CAPER es un informe anual sobre el progreso desarrollado por la Ciudad en relación con la vivienda y los objetivos de desarrollo de la comunidad, esbozados en el Programa de la Ciudad sobre el Plan Consolidado requerido federalmente, y cubierto por el Programa de Subvención del Bloque de Desarrollo Comunitario (CDBG, siglas en inglés), Programa CASA de Asociación de Inversiones (HOME, siglas en inglés), Programa de Soluciones de Emergencia (ESG, siglas en inglés), y el Programa de Oportunidades de Vivienda para Personas con SIDA (HOPWA, siglas en inglés).

El siguiente es el calendario establecido para el proceso de revisión pública y la aprobación de los documentos:

Fecha	Acción
26 de agosto del 2013	Presentación en borrador de los documentos de proyectos para revisión pública Departamento de Vivienda de la Ciudad de San José 200 East Santa Clara St., 12th Floor, San José, CA 95113 Tel No: 408-535-3860, <a href="http://www.sanjoseca.gov/index.aspx?NID=1293">http://www.sanjoseca.gov/index.aspx?NID=1293</a>
26 de agosto del 2013 – 12 de septiembre del 2013	Período de revisión y comentario público
12 de septiembre del 2013	Audiencia pública de la Comisión Consultiva de Vivienda y Desarrollo Comunitario 200 East Santa Clara St., Wing 118-119, San José, CA 95113. 5:45 PM
17 de septiembre del 2013	Audiencia Pública en el Concilio de la Ciudad y Acción Final Miembros del Concilio de la Ciudad, Alcaldía de la Ciudad de San José 200 East Santa Clara St., San José, CA 95113. 1:30 PM

El público está invitado a asistir a cualquiera de las reuniones mencionadas anteriormente o para proporcionar comentarios por escrito para el Departamento de Vivienda de la Ciudad de San José, 200 E. Santa Clara Street, San José, CA 95113. Atención: Daniel Murillo. Los comentarios también se pueden presentar vía correo electrónico a [daniel.murillo@sanjoseca.gov](mailto:daniel.murillo@sanjoseca.gov) o por teléfono al (408) 793-4195. Los lugares de reunión son accesibles a las personas con discapacidad. Para personas con impedimentos del habla, audición o para personas que requieren asistencia de intérprete por favor llamar lo más pronto posible al (408) 294-9337 (TTY, siglas en inglés), con por lo menos con tres días hábiles antes de la reunión.

**NISA**

La "HE invita : celebra Solemn en la IC de Oct La Igle ciudad. tradicic compa

Como : visita : organiz

Asimis Divino Iglesia

La Jui import arraigi

Para m visitar del Ser

中,有 33 人被列为轻伤,有 6 人被 伤。其他伤员被分别送往格兰朵 陪同。”



## 聖荷西市府可用性綜合年度業績和 評估報告(CAPER)和公聽會日程表

茲通知公佈 2012-13 財政年度綜合年度業績和評估報告(CAPER)的可行性,將于 2013 年 8 月 26 日開始提供公眾審核。該 CAPER 是一個年度報告,依據聯邦要求的綜合計劃中,列出有關城市的發展來達到住房和社區開發項目的目標,並涵蓋社區發展的 Block 補助(CDBG)項目、HOME 投資夥伴關係項目(HOME)、緊急解決補助(ESG)項目,和為艾滋病患者提供住房機會(HOPWA)項目。

以下是公眾審核流程和審批文件的日程表:

時間	內容
2013 年 8 月 26 日	文件草案對外公開供公眾審核 City of San José Housing Department 200 East Santa Clara St., 12th Floor San José, CA 95113 Tel No: 408-535-3860 <a href="http://www.sanjoseca.gov/index.aspx?NID=1293">http://www.sanjoseca.gov/index.aspx?NID=1293</a>
2013 年 8 月 26 日 - 2013 年 9 月 12 日	公眾審核和評議期
2013 年 9 月 12 日	住房和社區發展諮詢委員和公聽會 200 East Santa Clara St., Wing 118-119 San Jose, CA 95113 下午 5 時 45 分
2013 年 9 月 17 日	市議會公聽會和最後決議行動 City Council Chambers, San José City Hall, 200 East Santa Clara St. San José, CA 95113 下午 1 時 30 分

公眾被邀請參加上面列出的任何會議或向聖荷西市房署部門提供書面意見,地址是 200 E. Santa Clara Street, San Jose, CA 95113, 收件人: Daniel Murillo。也可通過 e-mail 給 Daniel: [daniel.mirillo@sanjoseca.gov](mailto:daniel.mirillo@sanjoseca.gov); 或撥打電話: (408)793-4195。會議場所向殘障人士提供方便。有語言/聽力障礙人士若需要傳譯員協助的話,請至少在會議前的 3 個工作日儘快致電 (408)294-9337 (TTY)。

-Island  
**Ask for Jimmy**  
**650-290-0575**

*8 passenger stretched Limousine  
 newly painted, Black \$6,000 (negotiable)*  
**Call 650.290.0542 for details!**



**PAUNAWA NG PAGKAKARON NG  
 CONSOLIDATED ANNUAL PERFORMANCE AND  
 EVALUATION REPORT (CAPER) AT ISKEDYUL  
 NG MGA PAMPUBLIKONG PAGDINIG**

IPINAALAM NG PAUNAWANG ITO ang pagkakaroon ng FY 2012-13 Consolidated Annual Performance and Evaluation Report (CAPER) para sa pampublikong pagsusuri simula Agosto 26, 2013. Ang CAPER ay isang taunang ulat sa progreso ng Lunsod sa pagtugon sa pabalay at layunin ng pag-unlad ng komunidad nakabalangkas sa Pinagsama-sama Plano ng Lunsod na kinakailangan ng gobyerno, at sumasaklaw sa Community Development Block Grant (CDBG) Program, HOME Investment Partnership Program (HOME), the Emergency Solutions Grant (ESG) Program, and the Housing Opportunities for People with AIDS (HOPWA) Program.

Ang sumusunod ay ang iskedyul para sa pampublikong proseso ng pagsusuri at pag-apruba ng mga dokumento:

PETSA	AKSYON
Agosto 26, 2013	Paglabas ng mga krokis na dokumento para sa pampublikong pagsusuri City of San José Housing Department 200 East Santa Clara St., 12 <sup>th</sup> Floor San José, CA 95113 Tel No: 408-535-3860 <a href="http://www.sanjoseca.gov/index.aspx?NID=1293">http://www.sanjoseca.gov/index.aspx?NID=1293</a>
Agosto 26, 2013- Setyembre 12, 2013	Panahon ng pampublikong pagsusuri at komentaryo
Setyembre 12, 2013	Pampublikong Pagdinig ng Housing and Community Development Advisory Commission 200 East Santa Clara St., Wing 118-119 San José, CA 95113, 5:45 PM
Setyembre 17, 2013	Pampublikong Pagdinig at Panghuling Aksyon ng Konseho ng Lunsod City Council Chambers, San José City Hall, 200 East Santa Clara St. San José, CA 95113, 1:30 PM

Ang publiko ay inilimbahan na dumalo sa anumang sa mga pulong 'n jakalista sa itaas o maghigay ng nakowhat na komento sa Lunsod ng San José Housing Department, 200 E. Santa Clara Street, San José, CA 95113, Attn: Daniel Marillo. Ang mga komento ay inasari ring ibarile sa pumamagitan ng e-mail sa [danielmarillo@sanjoseca.gov](mailto:danielmarillo@sanjoseca.gov) o sa pumamagitan ng telepono sa (408) 753-4195. Ang mga lokasyon ng pulong ay talagang ng interprete, nangyayaring tumawag sa (408) 294-9337 (TTY) sa ilalag ng madaling panahon, ngunit hindi bobaba sa utrong araw ng negosyo bago ang pulong.

## Mother Kennedy

**Psychic Reader • Helps All Problems**  
**PALM & TAROT CARD READING**

- Reunites Spouses, Lovers
- Stops Divorce, Separation, Breakups
- Clear Sickness & Health
- Children, Drug Abuse

**CURANDERA • ESPIRITISTA**

- Candles & Charms Made for Special Needs
- Brings Everlasting Love, Trust
- Clears Evil, Bad Luck, Negativity from Homes, Business
- Letters answered with Lucky Power Charm
- Blessing for new business and homes
- 50 years experience.
- I am not a common reader.
- Come, Call or Write

**916-900-4444**  
 House call available.  
 6210 Fairoaks Blvd., Carmichael CA 95608

## **2. HOME Program Reports**

# Section 9: Appendices



## Annual Performance Report HOME Program

U.S. Department of Housing  
and Urban Development  
Office of Community Planning  
and Development

OMB Approval No. 2506-0171  
(exp. 8/31/2009)

Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

The HOME statute imposes a significant number of data collection and reporting requirements. This includes information on assisted properties, on the owners or tenants of the properties, and on other programmatic areas. The information will be used: 1) to assist HOME participants in managing their programs; 2) to track performance of participants in meeting fund commitment and expenditure deadlines; 3) to permit HUD to determine whether each participant meets the HOME statutory income targeting and affordability requirements; and 4) to permit HUD to determine compliance with other statutory and regulatory program requirements. This data collection is authorized under Title II of the Cranston-Gonzalez National Affordable Housing Act or related authorities. Access to Federal grant funds is contingent on the reporting of certain project-specific data elements. Records of information collected will be maintained by the recipients of the assistance. Information on activities and expenditures of grant funds is public information and is generally available for disclosure. Recipients are responsible for ensuring confidentiality when public disclosure is not required.

This form is intended to collect numeric data to be aggregated nationally as a complement to data collected through the Cash and Management Information (C/M) System. Participants should enter the reporting period in the first block. The reporting period is October 1 to September 30. Instructions are included for each section if further explanation is needed.

Submit this form on or before December 31. Send one copy to the appropriate HUD Field Office and one copy to: <b>HOME Program, Rm 7176, 451 7th Street, S.W., Washington D.C. 20410</b>	This report is for period (mm/dd/yyyy) Starting: 10/01/2012 Ending: 09/30/2013	Date Submitted (mm/dd/yyyy) 09/30/2013
---	--	---

### Part I Participant Identification

1. Participant Number M-12-MC-06-0215	2. Participant Name City of San Jose		
3. Name of Person completing this report Eric L. Calleja	4. Phone Number (Include Area Code) 408-975-2650		
5. Address 200 East Santa Clara Street, T-12	6. City San Jose	7. State CA	8. Zip Code 95113

### Part II Program Income

Enter the following program income amounts for the reporting period: in block 1, enter the balance on hand at the beginning; in block 2, enter the amount generated; in block 3, enter the amount expended; and in block 4, enter the amount for Tenant-Based rental Assistance.

1. Balance on hand at Beginning of Reporting Period	2. Amount received during Reporting Period	3. Total amount expended during Reporting Period	4. Amount expended for Tenant-Based Rental Assistance	5. Balance on hand at end of Reporting Period (1 + 2 - 3) = 5
\$0	\$1,394,490.38	\$680,794.41	\$184,374.08	\$713,695.97

### Part III Minority Business Enterprises (MBE) and Women Business Enterprises (WBE)

In the table below, indicate the number and dollar value of contracts for HOME projects completed during the reporting period.

	a. Total	Minority Business Enterprises (MBE)			I. White Non-Hispanic
		d. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	
A. Contracts					
1. Number	2	0	0	0	0
2. Dollar Amount	\$3,100,000				
B. Sub-Contracts					
1. Number					
2. Dollar Amount					
	a. Total	b. Women Business Enterprises (WBE)	c. Male		
C. Contracts					
1. Number	2				
2. Dollar Amount	\$3,100,000				
D. Sub-Contracts					
1. Number					
2. Dollar Amounts					

## Section 9: Appendices



### Part IV Minority Owners of Rental Property

In the table below, indicate the number of HOME assisted rental property owners and the total dollar amount of HOME funds in these rental properties assisted during the reporting period.

	a. Total	Minority Property Owners				f. White Non-Hispanic
		b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	e. Hispanic	
1. Number	0					
2. Dollar Amount	0					

### Part V Relocation and Real Property Acquisition

Indicate the number of persons displaced, the cost of relocation payments, the number of parcels acquired, and the cost of acquisition. The data provided should reflect only displacements and acquisitions occurring during the reporting period.

	a. Number	b. Cost
1. Parcels Acquired	0	
2. Businesses Displaced	0	
3. Nonprofit Organizations Displaced	0	
4. Households Temporarily Relocated, not Displaced	0	

Households Displaced	a. Total	Minority Business Enterprises (MBE)				f. White Non-Hispanic
		b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	e. Hispanic	
5. Households Displaced - Number	0					
6. Households Displaced - Cost	0					

# Section 9: Appendices



## HOME Match Report

U.S. Department of Housing and Urban Development  
Office of Community Planning and Development

OMB Approval No. 2506-0171  
(exp. 12/31/2012)

<b>Part I Participant Identification</b>		Match Contributions for <b>Federal Fiscal Year (yyyy)</b> 2012	
1. Participant No. (assigned by HUD) M-10-MC-06-0215	2. Name of the Participating Jurisdiction City of San Jose	3. Name of Contact (person completing this report) Eric L. Calleja	
5. Street Address of the Participating Jurisdiction 200 E. Santa Clara Street, T-12		4. Contact's Phone Number (include area code) 408-975-2650	
6. City San Jose	7. State CA	8. Zip Code 95136	

<b>Part II Fiscal Year Summary</b>		
1. Excess match from prior Federal fiscal year	\$	12,259,421.12
2. Match contributed during current Federal fiscal year (see Part III.9.)	\$	1,684,336.33
3. Total match available for current Federal fiscal year (line 1 + line 2)	\$	13,943,757.45
4. Match liability for current Federal fiscal year	\$	992,587.38
5. Excess match carried over to next Federal fiscal year (line 3 minus line 4)	\$	12,951,170.07

<b>Part III Match Contribution for the Federal Fiscal Year</b>								
1. Project No. or Other ID	2. Date of Contribution (mm/dd/yyyy)	3. Cash (non-Federal sources)	4. Foregone Taxes, Fees, Charges	5. Appraised Land / Real Property	6. Required Infrastructure	7. Site Preparation, Construction Materials, Donated labor	8. Bond Financing	9. Total Match
Plaza del Sol	1/1/2013			\$93,189.27				\$93,189.27
The Verandas	1/1/2013			\$171,073.62				\$171,073.62
Willow Glen Sr.	1/1/2013			\$116,508.77				\$116,508.77
Curtner Gardens	1/1/2013			\$166,649.13				\$166,649.13
Markham Plaza I	1/1/2013			\$221,894.33				\$221,894.33
Markham Plaza II	1/1/2013			\$215,823.53				\$215,823.53
Canoas Terrace	1/1/2013			\$277,251.77				\$277,251.77
Edenvale	1/1/2013			\$382,528.16				\$382,528.16
Burning Tree	1/1/2013			\$6,431.07				\$6,431.07
Bill Wilson	1/1/2013			\$24,099.56				\$24,099.56
98 Archer	1/1/2013			\$28,887.11				\$28,887.11



# Section 9: Appendices



Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

The HOME statute imposes a significant number of data collection and reporting requirements. This includes information on assisted properties, on the owners or tenants of the properties, and on other programmatic areas. The information will be used: 1) to assist HOME participants in managing their programs; 2) to track performance of participants in meeting fund commitment and expenditure deadlines; 3) to permit HUD to determine whether each participant meets the HOME statutory income targeting and affordability requirements; and 4) to permit HUD to determine compliance with other statutory and regulatory program requirements. This data collection is authorized under Title II of the Cranston-Gonzalez National Affordable Housing Act or related authorities. Access to Federal grant funds is contingent on the reporting of certain project-specific data elements. Records of information collected will be maintained by the recipients of the assistance. Information on activities and expenditures of grant funds is public information and is generally available for disclosure. Recipients are responsible for ensuring confidentiality when public disclosure is not required.

### Instructions for the HOME Match Report

#### Applicability:

The HOME Match Report is part of the HOME APR and must be filled out by every participating jurisdiction that incurred a match liability. Match liability occurs when FY 1993 funds (or subsequent year funds) are drawn down from the U.S. Treasury for HOME projects. A Participating Jurisdiction (PJ) may start counting match contributions as of the beginning of Federal Fiscal Year 1993 (October 1, 1992). A jurisdiction not required to submit this report, either because it did not incur any match or because it had a full match reduction, may submit a HOME Match Report if it wishes. The match would count as excess match that is carried over to subsequent years. The match reported on this form must have been contributed during the reporting period (between October 1 and September 30).

#### Timing:

This form is to be submitted as part of the HOME APR on or before December 31. The original is sent to the HUD Field Office. One copy is sent to the

Office of Affordable Housing Programs, CGHP  
Room 7176, HUD, 451 7th Street, S.W.  
Washington, D.C. 20410.

The participating jurisdiction also keeps a copy.

#### Instructions for Part II:

1. **Excess match from prior Federal fiscal year:** Excess match carried over from prior Federal fiscal year.
2. **Match contributed during current Federal fiscal year:** The total amount of match contributions for all projects listed under Part III in column 9 for the Federal fiscal year.

3. **Total match available for current Federal fiscal year:** The sum of excess match carried over from the prior Federal fiscal year (Part II, line 1) and the total match contribution for the current Federal fiscal year (Part II, line 2). This sum is the total match available for the Federal fiscal year.

4. **Match liability for current Federal fiscal year:** The amount of match liability is available from HUD and is provided periodically to PJs. The match must be provided in the current year. The amount of match that must be provided is based on the amount of HOME funds drawn from the U.S. Treasury for HOME projects. The amount of match required equals 25% of the amount drawn down for HOME projects during the Federal fiscal year. Excess match may be carried over and used to meet match liability for subsequent years (see Part II line 5). Funds drawn down for administrative costs, CHDO operating expenses, and CHDO capacity building do not have to be matched. Funds drawn down for CHDO seed money and/or technical assistance loans do not have to be matched if the project does not go forward. A jurisdiction is allowed to get a partial reduction (50%) of match if it meets one of two statutory distress criteria, indicating "fiscal distress," or else a full reduction (100%) of match if it meets both criteria, indicating "severe fiscal distress." The two criteria are poverty rate (must be equal to or greater than 125% of the average national family poverty rate to qualify for a reduction) and per capita income (must be less than 75% of the national average per capita income to qualify for a reduction). In addition, a jurisdiction can get a full reduction if it is declared a disaster area under the Robert T. Stafford Disaster Relief and Emergency Act.

5. **Excess match carried over to next Federal fiscal year:** The total match available for the current Federal fiscal year (Part II, line 3) minus the match liability for the current Federal fiscal year (Part II, line 4). Excess match may be carried over and applied to future HOME project match liability.

#### Instructions for Part III:

1. **Project No. or Other ID:** "Project number" is assigned by the C/MI System when the PJ makes a project setup call. These projects involve at least some Treasury funds. If the HOME project does not involve Treasury funds, it must be identified with "other ID" as follows: the fiscal year (last two digits only), followed by a number (starting from "01" for the first non-Treasury-funded project of the fiscal year), and then at least one of the following abbreviations: "SF" for project using shortfall funds, "PI" for projects using program income, and "NON" for non-HOME-assisted affordable housing. Example: 93.01.SF, 93.02.PI, 93.03.NON, etc.

Shortfall funds are non-HOME funds used to make up the difference between the participation threshold and the amount of HOME funds allocated to the PJ; the participation threshold requirement applies only in the PJ's first year of eligibility. [§92.1.02]

Program income (also called "repayment income") is any return on the investment of HOME funds. This income must be deposited in the jurisdiction's HOME account to be used for HOME projects. [§92.5.03(b)]

## Section 9: Appendices

- Non-HOME-assisted affordable housing is investment in housing not assisted by HOME funds that would qualify as "affordable housing" under the HOME Program definitions. "NON" funds must be contributed to a specific project; it is not sufficient to make a contribution to an entity engaged in developing affordable housing. [§92.219(b)]
- Date of Contribution:** Enter the date of contribution. Multiple entries may be made on a single line as long as the contributions were made during the current fiscal year. In such cases, if the contributions were made at different dates during the year, enter the date of the last contribution.
  - Cash:** Cash contributions from non-Federal resources. This means the funds are contributed permanently to the HOME Program regardless of the form of investment the jurisdiction provides to a project. Therefore all repayment, interest, or other return on investment of the contribution must be deposited in the PJ's HOME account to be used for HOME projects. The PJ, non-Federal public entities (State/local governments), private entities, and individuals can make contributions. The grant equivalent of a below-market interest rate loan to the project is eligible when the loan is not repayable to the PJ's HOME account. [§92.220(a)(1)] In addition, a cash contribution can count as match if it is used for eligible costs defined under §92.206 (except administrative costs and CHDO operating expenses) or under §92.209, or for the following non-eligible costs: the value of non-Federal funds used to remove and relocate ECHO units to accommodate eligible tenants, a project reserve account for replacements, a project reserve account for unanticipated increases in operating costs, operating subsidies, or costs relating to the portion of a mixed-income or mixed-use project not related to the affordable housing units. [§92.219(c)]
  - Foregone Taxes, Fees, Charges:** Taxes, fees, and charges that are normally and customarily charged but have been waived, foregone, or deferred in a manner that achieves affordability of the HOME-assisted housing. This includes State tax credits for low-income housing development. The amount of real estate taxes may be based on the post-improvement property value. For those taxes, fees, or charges given for future years, the value is the present discounted cash value. [§92.220(a)(2)]
  - Appraised Land/Real Property:** The appraised value, before the HOME assistance is provided and minus any debt burden, lien, or other encumbrance, of land or other real property, not acquired with Federal resources. The appraisal must be made by an independent, certified appraiser. [§92.220(a)(3)]
  - Required Infrastructure:** The cost of investment, not made with Federal resources, in on-site and off-site infrastructure directly required for HOME-assisted affordable housing. The infrastructure must have been completed no earlier than 12 months before HOME funds were committed. [§92.220(a)(4)]
  - Site preparation, Construction materials, Donated labor:** The reasonable value of any site-preparation and construction materials, not acquired with Federal resources, and any donated or voluntary labor (see §92.354(b)) in connection with the site-preparation for, or construction or rehabilitation of, affordable housing. The value of site-preparation and construction materials is determined in accordance with the PJ's cost estimate procedures. The value of donated or voluntary labor is determined by a single rate ("labor rate") to be published annually in the Notice Of Funding Availability (NOFA) for the HOME Program. [§92.220(6)]
  - Bond Financing:** Multifamily and single-family project bond financing must be validly issued by a State or local government (or an agency, instrumentality, or political subdivision thereof). 50% of a loan from bond proceeds made to a multifamily affordable housing project owner can count as match. 25% of a loan from bond proceeds made to a single-family affordable housing project owner can count as match. Loans from all bond proceeds, including excess bond match from prior years, may not exceed 25% of a PJ's total annual match contribution. [§92.220(a)(5)] The amount in excess of the 25% cap for bonds may carry over, and the excess will count as part of the statutory limit of up to 25% per year. Requirements regarding bond financing as an eligible source of match will be available upon publication of the implementing regulation early in FY 1994.
  - Total Match:** Total of items 3 through 8. This is the total match contribution for each project identified in item 1.
- Ineligible forms of match include:**
- Contributions made with or derived from Federal resources e.g. CDBG funds [§92.220(b)(1)]
  - Interest rate subsidy attributable to the Federal tax exemption on financing or the value attributable to Federal tax credits [§92.220(b)(2)]
  - Contributions from builders, contractors or investors, including owner equity, involved with HOME-assisted projects. [§92.220(b)(3)]
  - Sweat equity [§92.220(b)(4)]
  - Contributions from applicants/recipients of HOME assistance [§92.220(b)(5)]
  - Fees/charges that are associated with the HOME Program only, rather than normally and customarily charged on all transactions or projects [§92.220(a)(2)]
  - Administrative costs

## **3. HOPWA Program Reports**



## **Housing Opportunities for Persons with AIDS (HOPWA) Program**

### **Consolidated Annual Performance and Evaluation Report (CAPER) Measuring Performance Outcomes**

OMB Number 2506-0133 (Expiration Date: 10/31/2014)

The CAPER report for HOPWA formula grantees provides annual information on program accomplishments that supports program evaluation and the ability to measure program beneficiary outcomes as related to: maintain housing stability; prevent homelessness; and improve access to care and support. This information is also covered under the Consolidated Plan Management Process (CPMP) report and includes Narrative Responses and Performance Charts required under the Consolidated Planning regulations. The public reporting burden for the collection of information is estimated to average 42 hours per manual response, or less if an automated data collection and retrieval system is in use, along with 60 hours for record keeping, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Grantees are required to report on the activities undertaken only, thus there may be components of these reporting requirements that may not be applicable. This agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless that collection displays a valid OMB control number.

## Section 9: Appendices

Overview. The Consolidated Annual Performance and Evaluation Report (CAPER) provides annual performance reporting on client outputs and outcomes that enables an assessment of grantee performance in achieving the housing stability outcome measure. The CAPER, in conjunction with the Integrated Disbursement Information System (IDIS), fulfills statutory and regulatory program reporting requirements and provides the grantee and HUD with the necessary information to assess the overall program performance and accomplishments against planned goals and objectives.

HOPWA formula grantees are required to submit a CAPER, and complete annual performance information for all activities undertaken during each program year in the IDIS, demonstrating coordination with other Consolidated Plan resources. HUD uses the CAPER and IDIS data to obtain essential information on grant activities, project sponsors, Subrecipient organizations, housing sites, units and households, and beneficiaries (which includes racial and ethnic data on program participants). The Consolidated Plan Management Process tool (CPMP) provides an optional tool to integrate the reporting of HOPWA specific activities with other planning and reporting on Consolidated Plan activities.

### Table of Contents

#### **PART 1: Grantee Executive Summary**

1. Grantee Information
2. Project Sponsor Information
3. Administrative Subrecipient Information
4. Program Subrecipient Information
5. Grantee Narrative and Performance Assessment
  - a. Grantee and Community Overview
  - b. Annual Performance under the Action Plan
  - c. Barriers or Trends Overview
  - d. *Assessment of Unmet Housing Needs*

#### **PART 2: Sources of Leveraging and Program Income**

1. Sources of Leveraging
2. Program Income and Resident Rent Payments

#### **PART 3: Accomplishment Data: Planned Goals and Actual Outputs**

#### **PART 4: Summary of Performance Outcomes**

1. Housing Stability: Permanent Housing and Related Facilities
2. Prevention of Homelessness: Short-Term Housing Payments
3. Access to Care and Support: Housing Subsidy Assistance with Supportive Services

#### **PART 5: Worksheet - Determining Housing Stability Outcomes**

#### **PART 6: Annual Certification of Continued Use for HOPWA Facility-Based Stewardship Units (Only)**

#### **PART 7: Summary Overview of Grant Activities**

- A. Information on Individuals, Beneficiaries and Households Receiving HOPWA Housing Subsidy Assistance (TBRA, STRMU, PHP, Facility Based Units, Master Leased Units ONLY)
- B. Facility-Based Housing Assistance

**Continued Use Periods.** Grantees that received HOPWA funding for new construction, acquisition, or substantial rehabilitations are required to operate their facilities for HOPWA-eligible beneficiaries for a ten (10) years period. If no further HOPWA funds are used to support the facility, in place of completing Section 7B of the CAPER, the grantee must submit an Annual Certification of Continued Project Operation throughout the required use periods. This certification is included in Part 6 in CAPER. The required use period is three (3) years if the rehabilitation is non-substantial.

In connection with the development of the Department's standards for Homeless Management Information Systems (HMIS), universal data elements are being collected for clients of HOPWA-funded homeless assistance projects. These project sponsor/subrecipient records would include: Name, Social Security Number, Date of Birth, Ethnicity and Race, Gender, Veteran Status, Disabling Conditions, Residence Prior to Program Entry, Zip Code of Last Permanent Address, Housing Status, Program Entry Date, Program Exit Date, Personal Identification Number, and Household Identification Number. These are intended to match the elements under HMIS. The HOPWA program-level data elements include: Income and Sources, Non-Cash Benefits, HIV/AIDS Status, Services Provided, and Housing Status or Destination at the end of the operating year. Other suggested but optional elements are: Physical Disability, Developmental Disability, Chronic Health Condition, Mental Health, Substance Abuse, Domestic Violence, Date of Contact, Date of Engagement, Financial Assistance, Housing Relocation & Stabilization Services, Employment, Education, General Health Status, , Pregnancy Status, Reasons for Leaving, Veteran's Information, and Children's Education. Other HOPWA projects sponsors may also benefit from collecting these data elements.

**Final Assembly of Report.** After the entire report is assembled, please number each page sequentially.

**Filing Requirements.** Within 90 days of the completion of each program year, grantees must submit their completed CAPER to the CPD Director in the grantee's State or Local HUD Field Office, and to the HOPWA Program Office: at [HOPWA@hud.gov](mailto:HOPWA@hud.gov). Electronic submission to HOPWA Program office is preferred; however, if electronic submission is not possible, hard copies can be mailed to: Office of HIV/AIDS Housing, Room 7212, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, D.C. .

## Section 9: Appendices

**Record Keeping.** Names and other individual information must be kept confidential, as required by 24 CFR 574.440. However, HUD reserves the right to review the information used to complete this report for grants management oversight purposes, except for recording any names and other identifying information. **In the case that HUD must review client level data, no client names or identifying information will be retained or recorded. Information is reported in aggregate to HUD without personal identification. Do not submit client or personal information in data systems to HUD.**

### Definitions

**Adjustment for Duplication:** Enables the calculation of unduplicated output totals by accounting for the total number of households or units that received more than one type of HOPWA assistance in a given service category such as HOPWA Subsidy Assistance or Supportive Services. For example, if a client household received both TBRA and STRMU during the operating year, report that household in the category of HOPWA Housing Subsidy Assistance in Part 3, Chart 1, Column [1b] in the following manner:

HOPWA Housing Subsidy Assistance		[1] Outputs: Number of Households
1.	Tenant-Based Rental Assistance	1
2a.	<b>Permanent Housing Facilities:</b> Received Operating Subsidies/Leased units	
2b.	<b>Transitional/Short-term Facilities:</b> Received Operating Subsidies	
3a.	<b>Permanent Housing Facilities:</b> Capital Development Projects placed in service during the operating year	
3b.	<b>Transitional/Short-term Facilities:</b> Capital Development Projects placed in service during the operating year	
4.	Short-term Rent, Mortgage, and Utility Assistance	1
5.	<b>Adjustment for duplication (subtract)</b>	1
6.	<b>TOTAL Housing Subsidy Assistance (Sum of Rows 1-4 minus Row 5)</b>	1

**Administrative Costs:** Costs for general management, oversight, coordination, evaluation, and reporting. By statute, grantee administrative costs are limited to 3% of total grant award, to be expended over the life of the grant. Project sponsor administrative costs are limited to 7% of the portion of the grant amount they receive.

**Beneficiary(ies):** All members of a household who received HOPWA assistance during the operating year including the one individual who qualified the household for HOPWA assistance as well as any other members of the household (with or without HIV) who benefitted from the assistance.

**Central Contractor Registration (CCR):** The primary registrant database for the U.S. Federal Government. CCR collects, validates, stores, and disseminates data in support of agency acquisition missions, including Federal agency contract and assistance awards. Both current and potential federal government registrants (**grantees**) are required to register in CCR in order to be awarded contracts by the federal government. Registrants must update or renew their registration at least once per year to maintain an active status. Although recipients of direct federal contracts and grant awards have been required to be registered with CCR since 2003, this requirement is now being extended to indirect recipients of federal funds with the passage of ARRA (American Recovery and Reinvestment Act). Per ARRA and FFATA (Federal Funding Accountability and Transparency Act) federal regulations, all **grantees** and sub-grantees or subcontractors receiving federal grant awards or contracts must have a DUNS (Data Universal Numbering System) Number.

**Chronically Homeless Person:** An individual or family who : (i) is homeless and lives or resides individual or family who: (i) Is homeless and lives or resides in a place not meant for human habitation, a safe haven, or in an emergency shelter; (ii) has been homeless and living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter continuously for at least 1 year or on at least 4 separate occasions in the last 3 years; and (iii) has an adult head of household (or a minor head of household if no adult is present in the household) with a diagnosable substance use disorder, serious mental illness, developmental disability (as defined in section 102 of the Developmental Disabilities Assistance and Bill of Rights Act of 2000 (42 U.S.C. 15002)), post traumatic stress disorder, cognitive impairments resulting from a brain injury, or chronic physical illness or disability, including the co-occurrence of 2 or more of those conditions. Additionally, the statutory definition includes as chronically homeless a person who currently lives or resides in an institutional care facility, including a jail, substance abuse or mental health treatment facility, hospital or other similar facility, and has resided there for fewer than 90 days if such person met the other criteria for homeless prior to entering that facility. (See 42 U.S.C. 11360(2))This does not include doubled-up or overcrowding situations.

**Disabling Condition:** Evidencing a diagnosable substance use disorder, serious mental illness, developmental disability, chronic physical

## Section 9: Appendices

illness, or disability, including the co-occurrence of two or more of these conditions. In addition, a disabling condition may limit an individual's ability to work or perform one or more activities of daily living. An HIV/AIDS diagnosis is considered a disabling condition.

**Facility-Based Housing Assistance:** All eligible HOPWA Housing expenditures for or associated with supporting facilities including community residences, SRO dwellings, short-term facilities, project-based rental units, master leased units, and other housing facilities approved by HUD.

**Faith-Based Organization:** Religious organizations of three types: (1) congregations; (2) national networks, which include national denominations, their social service arms (for example, Catholic Charities, Lutheran Social Services), and networks of related organizations (such as YMCA and YWCA); and (3) freestanding religious organizations, which are incorporated separately from congregations and national networks.

**Grassroots Organization:** An organization headquartered in the local community where it provides services; has a social services budget of \$300,000 or less annually, and six or fewer full-time equivalent employees. Local affiliates of national organizations are not considered "grassroots."

**HOPWA Eligible Individual:** The one (1) low-income person with HIV/AIDS who qualifies a household for HOPWA assistance. This person may be considered "Head of Household." When the CAPER asks for information on eligible individuals, report on this individual person only. Where there is more than one person with HIV/AIDS in the household, the additional PWH/A(s), would be considered a beneficiary(s).

**HOPWA Housing Information Services:** Services dedicated to helping persons living with HIV/AIDS and their families to identify, locate, and acquire housing. This may also include fair housing counseling for eligible persons who may encounter discrimination based on race, color, religion, sex, age, national origin, familial status, or handicap/disability.

**HOPWA Housing Subsidy Assistance Total:** The unduplicated number of households receiving housing subsidies (TBRA, STRMU, Permanent Housing Placement services and Master Leasing) and/or residing in units of facilities dedicated to persons living with HIV/AIDS and their families and supported with HOPWA funds during the operating year.

**Household:** A single individual or a family composed of two or more persons for which household incomes are used to determine eligibility and for calculation of the resident rent payment. The term is used for collecting data on changes in income, changes in access to services, receipt of housing information services, and outcomes on achieving housing stability. Live-In Aides (see definition for Live-In Aide) and non-beneficiaries (e.g. a shared housing arrangement with a roommate) who resided in the unit are not reported on in the CAPER.

**Housing Stability:** The degree to which the HOPWA project assisted beneficiaries to remain in stable housing during the operating year. See *Part 5: Determining Housing Stability Outcomes* for definitions of stable and unstable housing situations.

**In-kind Leveraged Resources:** These involve additional types of support provided to assist HOPWA beneficiaries such as volunteer services, materials, use of equipment and building space. The actual value of the support can be the contribution of professional services, based on customary rates for this specialized support, or actual costs contributed from other leveraged resources. In determining a rate for the contribution of volunteer time and services, use the rate established in HUD notices, such as the rate of ten dollars per hour. The value of any donated material, equipment, building, or lease should be based on the fair market value at time of donation. Related documentation can be from recent bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated.

**Leveraged Funds:** The amount of funds expended during the operating year from non-HOPWA federal, state, local, and private sources by grantees or sponsors in dedicating assistance to this client population. Leveraged funds or other assistance are used directly in or in support of HOPWA program delivery.

**Live-In Aide:** A person who resides with the HOPWA Eligible Individual and who meets the following criteria: (1) is essential to the care and well-being of the person; (2) is not obligated for the support of the person; and (3) would not be living in the unit except to provide the necessary supportive services. See the *Code of Federal Regulations Title 24, Part 5.403* and the *HOPWA Grantee Oversight Resource Guide* for additional reference.

**Master Leasing:** Applies to a nonprofit or public agency that leases units of housing (scattered-sites or entire buildings) from a landlord, and subleases the units to homeless or low-income tenants. By assuming the tenancy burden, the agency facilitates housing of clients who may not be able to maintain a lease on their own due to poor credit, evictions, or lack of sufficient income.

**Operating Costs:** Applies to facility-based housing only, for facilities that are currently open. Operating costs can include day-to-day housing function and operation costs like utilities, maintenance, equipment, insurance, security, furnishings, supplies and salary for staff costs directly related to the housing project but not staff costs for delivering services.

**Outcome:** The degree to which the HOPWA assisted household has been enabled to establish or maintain a stable living environment in housing that is safe, decent, and sanitary, (per the regulations at 24 CFR 574.310(b)) and to reduce the risks of homelessness, and improve access to HIV treatment and other health care and support.

**Output:** The number of units of housing or households that receive HOPWA assistance during the operating year.

**Permanent Housing Placement:** A supportive housing service that helps establish the household in the housing unit, including but not limited to reasonable costs for security deposits not to exceed two months of rent costs.

## Section 9: Appendices

**Program Income:** Gross income directly generated from the use of HOPWA funds, including repayments. See grant administration requirements on program income for state and local governments at 24 CFR 85.25, or for non-profits at 24 CFR 84.24.

**Project-Based Rental Assistance (PBRA):** A rental subsidy program that is tied to specific facilities or units owned or controlled by a project sponsor or Subrecipient. Assistance is tied directly to the properties and is not portable or transferable.

**Project Sponsor Organizations:** Any nonprofit organization or governmental housing agency that receives funds under a contract with the grantee to provide eligible housing and other support services or administrative services as defined in 24 CFR 574.300. Project Sponsor organizations are required to provide performance data on households served and funds expended. Funding flows to a project sponsor as follows:

HUD Funding → Grantee → Project Sponsor

**Short-Term Rent, Mortgage, and Utility (STRMU) Assistance:** A time-limited, housing subsidy assistance designed to prevent homelessness and increase housing stability. Grantees may provide assistance for up to 21 weeks in any 52 week period. The amount of assistance varies per client depending on funds available, tenant need and program guidelines.

**Stewardship Units:** Units developed with HOPWA, where HOPWA funds were used for acquisition, new construction and rehabilitation that no longer receive operating subsidies from HOPWA. Report information for the units is subject to the three-year use agreement if rehabilitation is non-substantial and to the ten-year use agreement if rehabilitation is substantial.

## Section 9: Appendices

**Subrecipient Organization:** Any organization that receives funds from a project sponsor to provide eligible housing and other support services and/or administrative services as defined in 24 CFR 574.300. If a subrecipient organization provides housing and/or other supportive services directly to clients, the subrecipient organization must provide performance data on household served and funds expended. Funding flows to subrecipients as follows:

HUD Funding → Grantee → Project Sponsor → Subrecipient

**Tenant-Based Rental Assistance (TBRA):** TBRA is a rental subsidy program similar to the Housing Choice Voucher program that grantees can provide to help low-income households access affordable housing. The TBRA voucher is not tied to a specific unit, so tenants may move to a different unit without losing their assistance, subject to individual program rules. The subsidy amount is determined in part based on household income and rental costs associated with the tenant's lease.

**Transgender:** Transgender is defined as a person who identifies with, or presents as, a gender that is different from his/her gender at birth.

**Veteran:** A veteran is someone who has served on active duty in the Armed Forces of the United States. This does not include inactive military reserves or the National Guard unless the person was called up to active duty.

## Section 9: Appendices



### Housing Opportunities for Person with AIDS (HOPWA) Consolidated Annual Performance and Evaluation Report (CAPER) Measuring Performance Outputs and Outcomes

OMB Number 2506-0133 (Expiration Date: 10/31/2014)

#### Part 1: Grantee Executive Summary

As applicable, complete the charts below to provide more detailed information about the agencies and organizations responsible for the administration and implementation of the HOPWA program. Chart 1 requests general Grantee Information and Chart 2 is to be completed for each organization selected or designated as a project sponsor, as defined by CFR 574.3. In Chart 3, indicate each subrecipient organization with a contract/agreement of \$25,000 or greater that assists grantees or project sponsors carrying out their administrative or evaluation activities. In Chart 4, indicate each subrecipient organization with a contract/agreement to provide HOPWA-funded services to client households. These elements address requirements in the Federal Funding and Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definition section for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A. Do not leave any section blank.*

#### 1. Grantee Information

<b>HUD Grant Number</b> CAH12F004	<b>Operating Year for this report</b> <i>From (mm/dd/yy)</i> 07/01/12 <i>To (mm/dd/yy)</i> 06/30/13		
<b>Grantee Name</b> City of San Jose			
<b>Business Address</b>		200 East Santa Clara Street, 12 <sup>th</sup> floor	
<b>City, County, State, Zip</b>		San Jose	Santa Clara
		CA	95113
<b>Employer Identification Number (EIN) or Tax Identification Number (TIN)</b>		94-6000419	
<b>DUN &amp; Bradstreet Number (DUNS):</b>		063541874	<b>Central Contractor Registration (CCR):</b> Is the grantee's CCR status currently active? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If yes, provide CCR Number: Registered under DUNS # 063541874
<b>*Congressional District of Grantee's Business Address</b>		16	
<b>*Congressional District of Primary Service Area(s)</b>		11   14   15   16   17	
<b>*City(ies) and County(ies) of Primary Service Area(s)</b>		Cities: Hollister, San Juan Bautista, Campbell, Cupertino, Gilroy, Los Gatos, Morgan Hill, Mt. View, Palo Alto, San Jose, Santa Clara, Saratoga, Sunnyvale	Counties: Santa Clara, San Benito
<b>Organization's Website Address</b>  <a href="http://www.sjhousing.org">www.sjhousing.org</a>		<b>Is there a waiting list(s) for HOPWA Housing Subsidy Assistance Services in the Grantee service Area?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain in the narrative section what services maintain a waiting list and how this list is administered.	

**\* Service delivery area information only needed for program activities being directly carried out by the grantee.**

#### 2. Project Sponsor Information

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client

## Section 9: Appendices

households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definitions for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A.*

### Project Sponsor #1

<b>Project Sponsor Agency Name</b> THE HEALTH TRUST AIDS SERVICES		<b>Parent Company Name, if applicable</b> THE HEALTH TRUST	
<b>Name and Title of Contact at Project Sponsor Agency</b>		Leslie Perez-Ortiz, Director, AIDS Services Program	
<b>Email Address</b>		lesliep@healthtrust.org	
<b>Business Address</b>		Sobrato Center for Non-Profits – San Jose, 1400 Parkmoor Ave., Suite 230	
<b>City, County, State, Zip,</b>		San Jose Santa Clara County CA 95126	
<b>Phone Number (with area code)</b>		408-961-9835	
<b>Employer Identification Number (EIN) or Tax Identification Number (TIN)</b>		94-6050231	<b>Fax Number (with area code)</b> 408-961-9856
<b>DUN &amp; Bradstreet Number (DUNS):</b>		011506016	
<b>Congressional District of Project Sponsor's Business Address</b>		15	
<b>Congressional District(s) of Primary Service Area(s)</b>		11, 14, 15, 16	
<b>City(ies) and County(ies) of Primary Service Area(s)</b>		Cities: Campbell, Cupertino, Gilroy, Los Gatos, Morgan Hill, Mt. View, Palo Alto, San Jose, Santa Clara, Saratoga, Sunnyvale	
<b>Total HOPWA contract amount for this Organization for the operating year</b>		801,851	Counties: Santa Clara
<b>Organization's Website Address</b> www.healthtrust.org		<b>Does your organization maintain a waiting list?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  <b>If yes, explain in the narrative section how this list is administered.</b>	
<b>Is the sponsor a nonprofit organization?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  <i>Please check if yes and a faith-based organization.</i> <input type="checkbox"/> <i>Please check if yes and a grassroots organization.</i> <input type="checkbox"/>		<b>Does your organization maintain a waiting list?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  <b>If yes, explain in the narrative section how this list is administered.</b>	

### Project Sponsor #2

<b>Project Sponsor Agency Name</b> County of San Benito Health & Human Services Agency		<b>Parent Company Name, if applicable</b>	
<b>Name and Title of Contact at Project Sponsor Agency</b>		Housing Opportunities for Persons with Aids	
<b>Email Address</b>		earreola@cosb.us	
<b>Business Address</b>		1111 San Felipe Road, Suite #108	
<b>City, County, State, Zip,</b>		Hollister, San Benito County, CA 95023	
<b>Phone Number (with area code)</b>		831-637-9293	
<b>Employer Identification Number (EIN) or Tax Identification Number (TIN)</b>		94-6000-530	<b>Fax Number (with area code)</b>

## Section 9: Appendices

		831-637-0996
<b>DUN &amp; Bradstreet Number (DUNs):</b>	784683757	
<b>Congressional District of Project Sponsor's Business Address</b>	17 <sup>th</sup> Congressional District	
<b>Congressional District(s) of Primary Service Area(s)</b>	Same	
<b>City(ies) and County(ies) of Primary Service Area(s)</b>	Cities: Hollister, San Juan Bautista	
<b>Total HOPWA contract amount for this Organization for the operating year</b>	\$50,000	Counties: San Benito County
<b>Organization's Website Address</b>  www.cosb.us	<b>Does your organization maintain a waiting list?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <b>If yes, explain in the narrative section how this list is administered.</b>	
<b>Is the sponsor a nonprofit organization?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <i>Please check if yes and a faith-based organization.</i> <input type="checkbox"/> <i>Please check if yes and a grassroots organization.</i> <input type="checkbox"/>	<b>Does your organization maintain a waiting list?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <b>If yes, explain in the narrative section how this list is administered.</b>	

## Section 9: Appendices

### 3. Administrative Subrecipient Information

Use Chart 3 to provide the following information for each subrecipient with a contract/agreement of \$25,000 or greater that assists project sponsors to carry out their administrative services but no services directly to client households. Agreements include: grants, subgrants, loans, awards, cooperative agreements, and other forms of financial assistance; and contracts, subcontracts, purchase orders, task orders, and delivery orders. (Organizations listed may have contracts with project sponsors) These elements address requirements in the Federal Funding and Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definitions for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A.*

Subrecipient Name				Parent Company Name, if applicable
Name and Title of Contact at Subrecipient				
Email Address				
Business Address				
City, State, Zip, County				
Phone Number (with area code)				Fax Number (include area code)
Employer Identification Number (EIN) or Tax Identification Number (TIN)				
DUN & Bradstreet Number (DUNS):				
North American Industry Classification System (NAICS) Code				
Congressional District of Subrecipient's Business Address				
Congressional District of Primary Service Area				
City (ies) <u>and</u> County (ies) of Primary Service Area(s)	Cities		Counties	
Total HOPWA Subcontract Amount of this Organization for the operating year				

## Section 9: Appendices

### 4. Program Subrecipient Information

Complete the following information for each subrecipient organization providing HOPWA-funded services to client households. These organizations would hold a contract/agreement with a project sponsor(s) to provide these services. For example, a subrecipient organization may receive funds from a project sponsor to provide nutritional services for clients residing within a HOPWA facility-based housing program. Please note that subrecipients who work directly with client households must provide performance data for the grantee to include in Parts 2-7 of the CAPER.

*Note: Please see the definition of a subrecipient for more information.*

*Note: Types of contracts/agreements may include: grants, sub-grants, loans, awards, cooperative agreements, and other forms of financial assistance; and contracts, subcontracts, purchase orders, task orders, and delivery orders.*

*Note: If any information is not applicable to the organization, please report N/A in the appropriate box. Do not leave boxes blank.*

Sub-recipient Name				Parent Company Name, if applicable
Name <u>and</u> Title of Contact at Contractor/ Sub-contractor Agency				
Email Address				
Business Address				
City, County, State, Zip				
Phone Number (included area code)				Fax Number (include area code)
Employer Identification Number (EIN) or Tax Identification Number (TIN)				
DUN & Bradstreet Number (DUNs)				
North American Industry Classification System (NAICS) Code				
Congressional District of the Sub-recipient's Business Address				
Congressional District(s) of Primary Service Area				
City(ies) <u>and</u> County(ies) of Primary Service Area	Cities:		Counties:	
Total HOPWA Subcontract Amount of this Organization for the operating year				

## Section 9: Appendices

### 5. Grantee Narrative and Performance Assessment

#### a. Grantee and Community Overview

Provide a one to three page narrative summarizing major achievements and highlights that were proposed and completed during the program year. Include a brief description of the grant organization, area of service, the name(s) of the program contact(s), and an overview of the range/type of housing activities provided. This overview may be used for public information, including posting on HUD's website. *Note: Text fields are expandable.*

*The City of San Jose's Housing Department is located in Santa Clara County, California. San José is the tenth largest City in the nation and the third largest City in California with a population of approximately 984,765 persons in 2012.. In 2012-13 the City received \$878,197 in HOPWA funding from the Department of Housing and Urban Development (HUD).*

*The City has contracted with the Health Trust and the San Benito County Health and Human Services Agency to provide services to individuals living with HIV/AIDS.*

*The fatality rate due to HIV/AIDS has significantly declined since 1995. Many people with HIV/AIDS are living longer, healthier lives, and therefore require assistance for a longer period of time. These individuals are increasingly lower-income and homeless, have more mental health and substance abuse issues, and require basic services such as housing and food in order to ensure they adhere to the medications necessary to prolong their lives. During FY 2012-2013 the City's HOPWA programs provided tenant-based rental subsidies, supportive services, and housing placement assistance to 152 persons and helped foster independence for people living with HIV/AIDS in the Counties of Santa Clara and San Benito. The HOPWA programs promote permanence, independence, and dignity, and improve the overall quality of these residents' lives.*

*In addition to the formula allocation, in FY 2010-11 the City's renewal application for \$1.2 million for the Housing Opportunities for Persons with AIDS (HOPWA) Special Project of National Significance (SPNS) in partnership with the Health Trust was approved for an additional three years (through FY 2012-13). This funding supported affordable housing opportunities and supportive services to very low- and low-income Santa Clara County residents disabled by HIV/AIDS. The funds were allocated in three equal amounts for each program year. The City's HOPWA program is directed by Daniel Murillo and he can be reached via email at [Daniel.murillo@sanjoseca.gov](mailto:Daniel.murillo@sanjoseca.gov) or via telephone at 408-793-4195.*

#### **b. Annual Performance under the Action Plan**

Provide a narrative addressing each of the following four items:

**1. Outputs Reported.** Describe significant accomplishments or challenges in achieving the number of housing units supported and the number households assisted with HOPWA funds during this operating year compared to plans for this assistance, as approved in the Consolidated Plan/Action Plan. Describe how HOPWA funds were distributed during your program year among different categories of housing and geographic areas to address needs throughout the grant service area, consistent with approved plans.

#### The Health Trust

During FY 2012-13, the AIDS Services program assisted one hundred and forty-five (145) unduplicated clients financially or through support services in the form of subsidies, placement assistance, and case management.

Of these clients, one hundred and fourteen (114) households within Santa Clara County were assisted with a housing subsidy from HOPWA entitlement (formula) funds. One hundred and six (106) households received permanent housing placement assistance in the form of housing deposits or other move-in costs, and seventy-two (72) households received supportive services.

The Health Trust AIDS Services' (THTAS) clientele are primarily very low income. This poses significant challenges as they must compete with others for few available units in a high priced rental market. To help address this issue, Housing Case Managers have developed relationships and connections to landlords and property managers that are instrumental in identifying available units. In addition, the Health Trust's Housing Coordinator plays a significant role in identifying housing opportunities. She is

## Section 9: Appendices

able to draw on her contacts and experience from working at the local Housing Authority and her relationship with the local California Apartment Association. The subsidies and support services were distributed throughout Santa Clara County: 85% of clients assisted live in the City of San Jose with the others distributed from Mountain View in the North to Gilroy and Morgan Hill in the South. Campbell, Cupertino, Los Gatos, Santa Clara and Sunnyvale were also represented.

The housing case management specialist assigned to their case contacts clients receiving a housing subsidy at least quarterly. The main purposes of these scheduled contacts are to monitor the client's housing retention as well as conduct the required annual recertification process. The annual recertification consists of unit inspections to ensure the residence continues to meet housing quality standards and verification of the client's annual income and family composition review of the household to ensure ongoing eligibility in the program. Clients are encouraged to contact housing staff if, and when, they encounter difficulties that prevent them from meeting their obligations as tenants – such as the inability to pay their share of rent for any reason. Additional contacts may involve facilitating resolution of client/landlord issues, processing of rent increase notices, or helping to resolve difficulties between clients and those with whom they share the home or apartment. Client contacts are reported to the case managers of medically case managed as they are integral to the coordinated care provided to housing clients who need the extra assistance the nurses and social workers provide. In addition, of the 36 clients who showed some interest in self-sufficiency, 6 are actively working with the Self Sufficiency Coordinator to address their educational and employment goals.

Clients not receiving a housing subsidy but who need help maintaining their housing are also assisted by case managers represented by Benefits Specialists, Medical Social Workers and Registered Nurses. The level of assistance is driven by the clients' medical, psychosocial and/or financial acuity.

The AIDS Services program maintains a wait list which is managed by the Housing Program Coordinator. Potentially eligible households are added to the list as of the date the referral for housing assistance is made. Referrals are accepted from AIDS Services staff, other HIV/AIDS service agencies or medical care providers, as well as self-referrals from AIDS Services clients. In addition to the date of referral, the wait list also tracks priority and preference for assistance for each household listed, e.g., homeless individuals have the highest priority for assistance, followed by households at risk of homelessness. The system of priority and preference for a housing subsidy is fluid and adjustable as clients' circumstances change. For example, a household that was homeless at the time of referral may be stably housed and not have a priority for receiving a subsidy at the time assistance becomes available. As funds become available, the Housing Program Coordinator contacts a client on the waiting list, information is updated and proper verification of income and circumstances that would grant them preferred status is obtained. This system of priority ensures that the limited funds available are effectively utilized to first assist those with the highest needs.

### San Benito County

During FY 2012-13, San Benito County served seven (7) unduplicated clients. Assistance was provided in the form of short-term housing and utility subsidies, food vouchers and dental assistance. San Benito County is a rural community with limited services; nonetheless, the agency was able to assist all persons requesting services throughout the year. All eligible households received services, thereby eliminating the need for wait lists. As there is not a large client turnover rate, limiting the program's capacity to distribute direct client services has not been necessary. Ten (10) claims for utility assistance and 66 claims for rental assistance were processed. Sixty-eight (68) food vouchers were provided and one (1) client received dental assistance.

**2. Outcomes Assessed.** Assess your program's success in enabling HOPWA beneficiaries to establish and/or better maintain a stable living environment in housing that is safe, decent, and sanitary, and improve access to care. Compare current year results to baseline results for clients. Describe how program activities/projects contributed to meeting stated goals. If program did not achieve expected targets, please describe how your program plans to address challenges in program implementation and the steps currently being taken to achieve goals in next operating year. If your program exceeded program targets, please describe strategies the program utilized and how those

## Section 9: Appendices

contributed to program successes.

### The Health Trust

A review of the program database and client files show that 95.7% of clients receiving a HOPWA subsidy remained in stable housing at the end of FY 2012-13. This exceeds the program stated goal of 90%. In addition, 94% of clients receiving financial housing placement assistance in the form of housing deposits remained permanently housed at the end of the measurement year.

Experience has shown that providing subsidies and housing deposits alone does not guarantee housing permanence, especially among the clients that THTAS serves. As a result of the challenges mentioned earlier (very low incomes, bad credit and rental histories, criminal justice histories, multiple diagnoses related to HIV disease process coupled with mental health and substance abuse issues), many of the households served by this program are unable to remain housed without considerable supportive services. The intensive efforts of the Housing Case Management Specialists, Nurse and Social Work Medical Case Managers, and Benefits Specialists are essential to achieving the main goals of AIDS Services: individuals attaining and maintaining stable housing, attaining and maintaining income and benefits, and accessing medical care.

### San Benito County

In FY 2012-13, HOPWA clients seeking services were able to maintain stable housing and avoid homelessness and therefore improve their respective access to care. This in part may be due to the fact that the amount of persons this program serves is smaller in numbers than those found in greater metropolitan cities such as San Jose, CA. Nonetheless, HOPWA staff was able to serve all local clients seeking services. 100% of clients assisted with rental assistance have been able to maintain housing stability.

**3. Coordination.** Report on program coordination with other mainstream housing and supportive services resources, including the use of committed leveraging from other public and private sources that helped to address needs for eligible persons identified in the Consolidated Plan/Strategic Plan.

### The Health Trust

The Health Trust AIDS Services program has an excellent working relationship with all available housing and support service agencies in Santa Clara County. The continuum of care for the AIDS community in Santa Clara County has historically been well coordinated, and the AIDS Services case managers have experience working with other AIDS organizations, charities, clinics and medical facilities.

In addition to the HOPWA funds expended, clients on this project may receive service through the Ryan White Care Act, County general fund, and private and corporate donations for medical and non-medical case management, benefits counseling, home health, emergency financial assistance, medical transportation, short term housing assistance and food. Case management for several HOPWA-subsidized clients was also provided utilizing HOPWA SPNS funding. The use of these funds provided a robust safety net for the homeless and those at risk who would be unable to remain housed without ongoing supportive services.

Housing program staff have also developed and established collaborative professional working relationships with many nonprofit housing providers who manage low-income housing tax credit properties. These nonprofit housing providers include Charities Housing Corporation, Eden Housing Corporation, Mid-Peninsula Housing Coalition, Housing for Independent People, and the Ecumenical Association for Housing. Additionally, collaborative relationships have been established with the State Parole office to coordinate the smooth transition of clients being released from prison into the Santa Clara County community.

### San Benito County

Community Services and Workforce Development (CSWD) is the County's Department under the Health and Human Services Agency (HHSA) that administers HOPWA funds. Under this department, services

## Section 9: Appendices

are coordinated with other programs. For example, CSWD receives funds from the State Low Income Heating and Energy Assistance Program (LIHEAP). CSWD also receives other safety net services such as transportation, utilities (water/sewer and garbage) and renter's assistance through other sources which these services are also available to eligible HOPWA clients. The Case Manager also coordinates additional services with other community based organizations. In FY 2012-13, the County received funding through HUD to provide permanent supportive housing to homeless and disabled individuals. The Homeless Coalition is a non-profit agency that contracts with the County to provide the services under this Community Services Block Grant contract. Lastly, San Benito County is a partner with the San Benito/Salinas/Monterey County Continuum of Care (COS). The county contributed \$12,500 in leverage funding.

**4. Technical Assistance.** Describe any program technical assistance needs and how they would benefit program beneficiaries.

### The Health Trust and San Benito County

Regularly scheduled technical assistance meetings (perhaps on a bi-annual basis) with the staff of the Housing Department of the City of San Jose and HUD representatives would be very beneficial. This type of meeting would facilitate a more thorough discussion of specific program issues and reporting requirements as well as learn of any updates to the program.

#### **c. Barriers and Trends Overview**

Provide a narrative addressing items 1 through 3. Explain how barriers and trends affected your program's ability to

- |   |  |  |   |
|---|--|--|---|
| <input checked="" type="checkbox"/> HOPWA/HUD Regulations | <input type="checkbox"/> Planning                      | <input checked="" type="checkbox"/> Housing Availability | <input type="checkbox"/> Rent Determination and Fair Market Rents |
| <input type="checkbox"/> Discrimination/Confidentiality   | <input checked="" type="checkbox"/> Multiple Diagnoses | <input type="checkbox"/> Eligibility                     | <input type="checkbox"/> Technical Assistance or Training         |
| <input checked="" type="checkbox"/> Supportive Services   | <input checked="" type="checkbox"/> Credit History     | <input checked="" type="checkbox"/> Rental History       | <input checked="" type="checkbox"/> Criminal Justice History      |
| <input checked="" type="checkbox"/> Housing Affordability | <input type="checkbox"/> Geography/Rural Access        | <input type="checkbox"/> Other, please explain further   |   |

achieve the objectives and outcomes discussed in the previous section.

- Describe any barriers (including regulatory and non-regulatory) encountered in the administration or implementation of the HOPWA program, how they affected your program's ability to achieve the objectives and outcomes discussed, and, actions taken in response to barriers, and recommendations for program improvement. Provide an explanation for each barrier selected.

#### Health Trust

**HOPWA/HUD Regulations.** Administering the program without detailed guidance from HUD and/or the HOPWA regulations is a challenge. The guidance provided by Regional HUD staff and the grantee has been to refer to the Section 8 Housing Voucher Program regulations for issues not addressed by the HOPWA regulations. However, it is not clear what portions of the Section 8 Voucher Program regulations can be applied to HOPWA participants.

Additionally, it would be beneficial to get clear guidance on pressing issues that arise such as the usage of medical marijuana in subsidized housing, as it is becoming a universal prescription to address various health needs.

## Section 9: Appendices

As the self-sufficiency model continues to be implemented in the program, there are struggles with incentivizing it to increase participation from clients who are assessed and determined as able to work. The income disallowance does not allow the program to encourage those who are already working during program participation to work with the self-sufficiency coordinator in efforts to further education or employment training for higher paid jobs. Therefore, many of those who are working, but not up to their earning potential, often times opt out of working with the self-sufficiency coordinator as they do not get the income disallowance. It is extremely important to the program's ongoing administration that more clarity and better guidance be provided through regulations or HUD guidance notices.

**Supportive Services.** In an effort to assist the clients in getting housed and retaining their housing, the supportive services provided can be very intensive in order to address the various barriers that many often face. It is difficult at times to provide the necessary support to clients in the program due to the staffing levels that are provided as part of the contract. The heavy caseloads only allow for staff to continually assist clients as emergencies and crisis occur rather than focusing on working with the client to address the barriers and challenges that can manifest itself into housing retention issues or concerns.

**Housing Availability/Affordability.** Unfortunately, the trend of fewer available units in the Bay Area is getting worse. In a recent newspaper article about the availability and affordability of housing in Santa Clara County, Katherine Harasz, Santa Clara County Housing Authority Deputy Executive Director, stated that this year is one of the toughest times ever for the Section 8 Voucher program. The article discusses four major concerns: 1) A 1% vacancy rate in the rental market; 2) The voucher cap ("fair market rate") of a one-bedroom rental unit is \$1,315, while the average cost is \$1,700; 3) Although there is an increase in building permits this year, the new units for rent are in one location of San Jose and the rent for a one-bedroom starts at \$2,300; and 4) Federal sequestration.

As market rate unit prices increase, it is becoming more challenging to find landlords willing to work with the lower program rents allowed for under the HOPWA program. Low-Income Housing Tax Credit properties may become the only ones offering units priced at or below the HUD Fair Market Rent level. However, these properties have their own eligibility criteria that often deny clients due to extensive credit and criminal history. Additionally, these units may become less available to HOPWA subsidized clients, as the new renters impacted by the foreclosure crisis are also competing for these affordable units. Due to the demand of affordable units, the wait lists for these subsidized properties continue to grow with wait times of at least one year, which are not beneficial to the homeless clients who are struggling with their health conditions and are in dire need of housing. Housing staff must continually and tirelessly work with clients and landlords to find any available housing and maintain excellent support services to keep the clients stably housed despite these challenges.

**Client Barriers.** A large percentage of the clients assisted by the program have multiple barriers for renting either on their own or with a subsidy. These barriers are inter-related and include **1) multiple diagnoses; 2) credit history; 3) rental history; and 4) criminal justice history.** Clients' multiple diagnoses, in addition to their HIV/AIDS status, include mental health and/or substance use/abuse issues. The combination of mental health issues and substance use/abuse prevents clients from using their better judgment in following house rules, paying rent on time, or getting along with others with whom they share a home or apartment. Since the difficulties mentioned above can result in eviction notices to clients, support services are crucial. Many properties require that criminal and credit checks are conducted, therefore, many of our clients are unable to rent at those locations, which further restrict the number of units available to them during the housing search process. In other instances, program staff must utilize their powers of persuasion to convince landlords to rent to clients by emphasizing that ongoing case management support is available and provided as needed to immediately resolve issues as they arise. Regular meetings with the housing staff and case managers ensure that housing clients receive the assistance, guidance, and support needed for successful long-term tenancies and improved health.

## Section 9: Appendices

To alleviate the difficulties clients with criminal records experience in renting, and to safeguard their housing stability, AIDS Services and housing staff refer clients, whenever possible, to appropriate legal aid agencies for help in expunging criminal records and/or in clearing poor credit and rental histories.

### San Benito County

The program was challenged to recruit a few more clients. Outreach efforts were made through different venues, but did not result with the enrollment of additional clients. Staff will continue to provide outreach to this population. In 2013-14, the project has begun to outreach, not only to clients with AIDS, but also to those that test positive for the HIV virus but do not necessarily show symptoms of AIDS. As a small rural community, it is very challenging identifying eligible clients.

2. Describe any trends in the community that may affect the way in which the needs of persons living with HIV/AIDS are being addressed, and provide any other information important to the future provision of services to this population.

As the housing market continues to rise, the difficulties in finding available units for the clients that meet the requirements of the Fair Market Rent will persist. Additionally, due to the lower fair market rents in an expensive county, it is difficult to find landlords willing to rent to clients who have poor credit or criminal backgrounds. This is a trend that affects not only the clients in this program, but across other HUD housing programs. The Fair Market Rents are really going to have to reflect the fluctuating rental market; otherwise, the housing search process is going to prove more difficult with many of the populations assisted by HUD programs.

The management of HIV/AIDS has dramatically improved over the course of time thanks to the newer and better drugs that are available. If the medication regimes are followed, thus increasing life expectancy, it allows for many of the clients to pursue educational and employment goals. However, due to the housing program not having a time limit or self-sufficiency requirements, many are unmotivated to increase their income. Increased income could impact a client's rental portion, or they make them ineligible for the program. Thus, there are many clients that have been on the program for a number of years with a lack of progress towards self-sufficiency. Should the program end for any reason, they would essentially become homeless despite the years of assistance in the program. Since there is no time restriction, the wait list continues to get longer as clients are extending their stay in the program while there are those who are willing and capable of taking advantage of this program opportunity to get back on their feet and to eventually graduate from the subsidy.

3. Identify any evaluations, studies, or other assessments of the HOPWA program that are available to the public.

None

### **d. Unmet Housing Needs: An Assessment of Unmet Housing Needs**

In Chart 1, provide an assessment of the number of HOPWA-eligible households that require HOPWA housing subsidy assistance but are not currently served by any HOPWA-funded housing subsidy assistance in this service area.

In Row 1, report the total unmet need of the geographical service area, as reported in *Unmet Needs for Persons with HIV/AIDS*, Chart 1B of the Consolidated or Annual Plan(s), or as reported under HOPWA worksheet in the Needs Workbook of the Consolidated Planning Management Process (CPMP) tool.

*Note: Report most current data available, through Consolidated or Annual Plan(s), and account for local housing issues, or changes in HIV/AIDS cases, by using combination of one or more of the sources in Chart 2.*

If data is collected on the type of housing that is needed in Rows a. through c., enter the number of HOPWA-eligible

## Section 9: Appendices

households by type of housing subsidy assistance needed. For an approximate breakdown of overall unmet need by type of housing subsidy assistance refer to the Consolidated or Annual Plan (s), CPMP tool or local distribution of funds. Do not include clients who are already receiving HOPWA-funded housing subsidy assistance.

Refer to Chart 2, and check all sources consulted to calculate unmet need. Reference any data from neighboring states' or municipalities' Consolidated Plan or other planning efforts that informed the assessment of Unmet Need in your service area.

*Note: In order to ensure that the unmet need assessment for the region is comprehensive, HOPWA formula grantees should include those unmet needs assessed by HOPWA competitive grantees operating within the service area.*

### **1. Planning Estimate of Area's Unmet Needs for HOPWA-Eligible Households**

1. Total number of households that have unmet housing subsidy assistance need.	190
2. From the total reported in Row 1, identify the number of households with unmet housing needs by type of housing subsidy assistance: <ul style="list-style-type: none"> <li>a. Tenant-Based Rental Assistance (TBRA)</li> <li>b. Short-Term Rent, Mortgage and Utility payments (STRMU)               <ul style="list-style-type: none"> <li>• Assistance with rental costs</li> <li>• Assistance with mortgage payments</li> <li>• Assistance with utility costs.</li> </ul> </li> <li>c. Housing Facilities, such as community residences, SRO dwellings, other housing facilities</li> </ul>	190

## Section 9: Appendices

### 2. Recommended Data Sources for Assessing Unmet Need (check all sources used)

<b>X</b>	<b>= Data as reported in the area Consolidated Plan, e.g. Table 1B, CPMP charts, and related narratives</b>
	= Data established by area HIV/AIDS housing planning and coordination efforts, e.g. Continuum of Care
	= Data from client information provided in Homeless Management Information Systems (HMIS)
<b>X</b>	<b>= Data from project sponsors or housing providers, including waiting lists for assistance or other assessments on need including those completed by HOPWA competitive grantees operating in the region.</b>
<b>X</b>	<b>= Data from prisons or jails on persons being discharged with HIV/AIDS, if mandatory testing is conducted</b>
	= Data from local Ryan White Planning Councils or reported in CARE Act Data Reports, e.g. number of clients with permanent housing
	= Data collected for HIV/AIDS surveillance reporting or other health assessments, e.g. local health department or CDC surveillance data

**End of PART 1**

## Section 9: Appendices

### **PART 2: Sources of Leveraging and Program Income**

#### 1. Sources of Leveraging

Report the source(s) of cash or in-kind leveraged federal, state, local or private resources identified in the Consolidated or Annual Plan and used in the delivery of the HOPWA program and the amount of leveraged dollars. In Column [1], identify the type of leveraging. Some common sources of leveraged funds have been provided as a reference point. You may add Rows as necessary to report all sources of leveraged funds. Include Resident Rent payments paid by clients directly to private landlords. Do NOT include rents paid directly to a HOPWA program as this will be reported in the next section. In Column [2] report the amount of leveraged funds expended during the operating year. Use Column [3] to provide some detail about the type of leveraged contribution (e.g., case management services or clothing donations). In Column [4], check the appropriate box to indicate whether the leveraged contribution was a housing subsidy assistance or another form of support.

*Note: Be sure to report on the number of households supported with these leveraged funds in Part 3, Chart 1, Column A.* **A. Source of Leveraging Chart**

[1] Source of Leveraging	[2] Amount of Leveraged Funds	[3] Type of Contribution	[4] Housing Subsidy Assistance or Other Support
Public Funding			
Ryan White-Housing Assistance	\$67,254	STRMU	<input type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Ryan White-Housing Assistance	\$116,007	Case Management	<input type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Housing Choice Voucher Program			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Low Income Housing Tax Credit			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
HOME			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Shelter Plus Care			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Emergency Solutions Grant			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public: County Social Services	\$73,125	Case Management	<input type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Other Public: State Community Services Block Grant	\$11,305	Case Management	<input type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Other Public: Low-Income Heating Energy Assistance	\$1,195	Utility Assistance	<input type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Private Funding Grants			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
In-kind Resources			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Private: Donations	\$1,291	Financial Assistance (e.g., prescription glasses)	<input type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Other Private:			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Funding Grantee/Project Sponsor/Subrecipient (Agency) Cash			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Resident Rent Payments by Client to Private Landlord	\$278,410		

## Section 9: Appendices

**TOTAL (Sum of all Rows) \$548,587**

## Section 9: Appendices

### 2. Program Income and Resident Rent Payments

In Section 2, Chart A., report the total amount of program income and resident rent payments directly generated from the use of HOPWA funds, including repayments. Include resident rent payments collected or paid directly to the HOPWA program. Do NOT include payments made directly from a client household to a private landlord.

*Note: Please see report directions section for definition of program income. (Additional information on program income is available in the HOPWA Grantee Oversight Resource Guide).*

#### A. Total Amount Program Income and Resident Rent Payment Collected During the Operating Year

Program Income and Resident Rent Payments Collected		Total Amount of Program Income (for this operating year)
1.	Program income (e.g. repayments)	\$8,033
2.	Resident Rent Payments made directly to HOPWA Program	
3.	<b>Total Program Income and Resident Rent Payments (Sum of Rows 1 and 2)</b>	\$8,033

#### B. Program Income and Resident Rent Payments Expended To Assist HOPWA Households

In Chart B, report on the total program income and resident rent payments (as reported above in Chart A) expended during the operating year. Use Row 1 to report Program Income and Resident Rent Payments expended on Housing Subsidy Assistance Programs (i.e., TBRA, STRMU, PHP, Master Leased Units, and Facility-Based Housing). Use Row 2 to report on the Program Income and Resident Rent Payment expended on Supportive Services and other non-direct Housing Costs.

Program Income and Resident Rent Payment Expended on HOPWA programs		Total Amount of Program Income Expended (for this operating year)
1.	Program Income and Resident Rent Payment Expended on Housing Subsidy Assistance costs	\$8,033
2.	Program Income and Resident Rent Payment Expended on Supportive Services and other non-direct housing costs	
3.	<b>Total Program Income Expended (Sum of Rows 1 and 2)</b>	\$8,033

**End of PART 2**

## Section 9: Appendices

### PART 3: Accomplishment Data Planned Goal and Actual Outputs

In Chart 1, enter performance information (goals and actual outputs) for all activities undertaken during the operating year supported with HOPWA funds. Performance is measured by the number of households and units of housing that were supported with HOPWA or other federal, state, local, or private funds for the purposes of providing housing assistance and support to persons living with HIV/AIDS and their families.

*Note: The total households assisted with HOPWA funds and reported in PART 3 of the CAPER should be the same as reported in the annual year-end IDIS data, and goals reported should be consistent with the Annual Plan information. Any discrepancies or deviations should be explained in the narrative section of PART 1.*

#### 1. HOPWA Performance Planned Goal and Actual Outputs

HOPWA Performance Planned Goal and Actual		[1] Output: Households				[2] Output: Funding	
		HOPWA Assistance		Leveraged Households		HOPWA Funds	
		a.	b.	c.	d.	e.	f.
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual
<b>HOPWA Housing Subsidy Assistance</b>		<b>[1] Output: Households</b>				<b>[2] Output: Funding</b>	
1.	Tenant-Based Rental Assistance	110	117			\$602,899	\$587,111
2a.	<b>Permanent Housing Facilities:</b> Received Operating Subsidies/Leased units (Households Served)						
2b.	<b>Transitional/Short-term Facilities:</b> Received Operating Subsidies/Leased units (Households Served) (Households Served)						
3a.	<b>Permanent Housing Facilities:</b> Capital Development Projects placed in service during the operating year (Households Served)						
3b.	<b>Transitional/Short-term Facilities:</b> Capital Development Projects placed in service during the operating year (Households Served)						
4.	Short-Term Rent, Mortgage and Utility Assistance	10	7		46	\$21,478	\$15,782
5.	Permanent Housing Placement Services	20	106			\$10,000	\$ 9,714
6.	Adjustments for duplication (subtract)	-20	-78				
7.	<b>Total HOPWA Housing Subsidy Assistance</b> (Columns a. – d. equal the sum of Rows 1-5 minus Row 6; Columns e. and f. equal the sum of Rows 1-5)	120	152		46	\$634,377	\$612,607
<b>Housing Development (Construction and Stewardship of facility based housing)</b>		<b>[1] Output: Housing Units</b>				<b>[2] Output: Funding</b>	
8.	Facility-based units; Capital Development Projects not yet opened (Housing Units)						
9.	Stewardship Units subject to 3 or 10 year use agreements						
10.	<b>Total Housing Developed</b> (Sum of Rows 8 & 9)						
<b>Supportive Services</b>		<b>[1] Output Households</b>				<b>[2] Output: Funding</b>	
11a.	Supportive Services provided by project sponsors/subrecipient that also delivered HOPWA housing subsidy assistance	82	79			\$157,844	\$131,615
11b.	Supportive Services provided by project sponsors/subrecipient that only provided supportive services.						
12.	Adjustment for duplication (subtract)						
13.	<b>Total Supportive Services</b> (Columns a. – d. equal the sum of Rows 11 a. & b. minus Row 12; Columns e. and f. equal the sum of Rows 11a. & 11b.)	82	79			\$157,844	\$131,615
<b>Housing Information Services</b>		<b>[1] Output Households</b>				<b>[2] Output: Funding</b>	
14.	Housing Information Services						
15.	<b>Total Housing Information Services</b>						

## Section 9: Appendices

<b>Grant Administration and Other Activities</b>		<b>[1] Output Households</b>				<b>[2] Output: Funding</b>	
16.	Resource Identification to establish, coordinate and develop housing assistance resources						
17.	Technical Assistance (if approved in grant agreement)						
18.	Grantee Administration (maximum 3% of total HOPWA grant)					\$26,346	\$26,346
19.	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)					\$59,630	\$56,408
20.	<b>Total Grant Administration and Other Activities (Sum of Rows 17 – 20)</b>					\$85,976	\$82,754
<b>Total Expended</b>						<b>[2] Outputs: HOPWA Funds Expended</b>	
						<b>Budget</b>	<b>Actual</b>
21.	<b>Total Expenditures for program year (Sum of Rows 7, 10, 13, 15, and 20)</b>					\$878,197	\$826,976

### 2. Listing of Supportive Services

Report on the households served and use of HOPWA funds for all supportive services. Do NOT report on supportive services leveraged with non-HOPWA funds.

*Data check: Total unduplicated households and expenditures reported in Row 17 equal totals reported in Part 3, Chart 1, Row 13.*

<b>Supportive Services</b>		<b>[1] Output: Number of <u>Households</u></b>	<b>[2] Output: Amount of HOPWA Funds Expended</b>
1.	Adult day care and personal assistance		
2.	Alcohol and drug abuse services		
3.	Case management	79	\$127,847
4.	Child care and other child services		
5.	Education		
6.	Employment assistance and training		
7.	Health/medical/intensive care services, if approved Note: Client records must conform with 24 CFR §574.310		
8.	Legal services		
9.	Life skills management (outside of case management)		
10.	Meals/nutritional services	7	\$3,768
11.	Mental health services		
12.	Outreach		
13.	Transportation		
14.	Other Activity (if approved in grant agreement). <b>Specify:</b>		
15.	<b>Sub-Total Households receiving Supportive Services (Sum of Rows 1-14)</b>	86	
16.	<b>Adjustment for Duplication (subtract)</b>	-8	

## Section 9: Appendices

17.	<b>TOTAL Unduplicated Households receiving Supportive Services (Column [1] equals Row 15 minus Row 16; Column [2] equals sum of Rows 1-14)</b>	78	\$131,615
-----	--	----	-----------

### 3. Short-Term Rent, Mortgage and Utility Assistance (STRMU) Summary

In Row a., enter the total number of households served and the amount of HOPWA funds expended on Short-Term Rent, Mortgage and Utility (STRMU) Assistance. In Row b., enter the total number of STRMU-assisted households that received assistance with mortgage costs only (no utility costs) and the amount expended assisting these households. In Row c., enter the total number of STRMU-assisted households that received assistance with both mortgage and utility costs and the amount expended assisting these households. In Row d., enter the total number of STRMU-assisted households that received assistance with rental costs only (no utility costs) and the amount expended assisting these households. In Row e., enter the total number of STRMU-assisted households that received assistance with both rental and utility costs and the amount expended assisting these households. In Row f., enter the total number of STRMU-assisted households that received assistance with utility costs only (not including rent or mortgage costs) and the amount expended assisting these households. In row g., report the amount of STRMU funds expended to support direct program costs such as program operation staff.

**Data Check:** The total households reported as served with STRMU in Row a., column [1] and the total amount of HOPWA funds reported as expended in Row a., column [2] equals the household and expenditure total reported for STRMU in Part 3, Chart 1, Row 4, Columns b. and f., respectively.

**Data Check:** The total number of households reported in Column [1], Rows b., c., d., e., and f. equal the total number of STRMU households reported in Column [1], Row a. The total amount reported as expended in Column [2], Rows b., c., d., e., f., and g. equal the total amount of STRMU expenditures reported in Column [2], Row a.

Housing Subsidy Assistance Categories (STRMU)		[1] Output: Number of Households Served	[2] Output: Total HOPWA Funds Expended on STRMU during Operating Year
a.	Total Short-term mortgage, rent and/or utility (STRMU) assistance	7	\$15,782
b.	<u>Of the total STRMU reported on Row a.</u> , total who received assistance with mortgage costs ONLY.		
c.	<u>Of the total STRMU reported on Row a.</u> , total who received assistance with mortgage and utility costs.		
d.	<u>Of the total STRMU reported on Row a.</u> , total who received assistance with rental costs ONLY.		
e.	<u>Of the total STRMU reported on Row a.</u> , total who received assistance with rental and utility costs.	7	\$15,782
f.	<u>Of the total STRMU reported on Row a.</u> , total who received assistance with utility costs ONLY.		
g.	Direct program delivery costs (e.g., program operations staff time)		

**Section 9: Appendices**

**End of PART 3**

## Section 9: Appendices

### Part 4: Summary of Performance Outcomes

In Column [1], report the total number of eligible households that received HOPWA housing subsidy assistance, by type.

In Column [2], enter the number of households that continued to access each type of housing subsidy assistance into next operating year. In Column [3], report the housing status of all households that exited the program.

**Data Check:** The sum of Columns [2] (Number of Households Continuing) and [3] (Exited Households) equals the total reported in Column[1].

**Note:** Refer to the housing stability codes that appear in Part 5: Worksheet - Determining Housing Stability Outcomes.

#### Section 1. Housing Stability: Assessment of Client Outcomes on Maintaining Housing Stability (Permanent Housing and Related Facilities)

**A. Permanent Housing Subsidy Assistance** **Mark – we are including those who received Permanent Housing Placement assistance, per our discussion at our meeting.**

	[1] Output: Total Number of Households Served	[2] Assessment: Number of Households that Continued Receiving HOPWA Housing Subsidy Assistance into the Next Operating Year	[3] Assessment: Number of Households that exited this HOPWA Program; their Housing Status after Exiting		[4] HOPWA Client Outcomes
<b>Tenant-Based Rental Assistance</b>	145	91	1 Emergency Shelter/Streets	5	<i>Unstable Arrangements</i>
			2 Temporary Housing	1	<i>Temporarily Stable, with Reduced Risk of Homelessness</i>
			3 Private Housing	15	<i>Stable/Permanent Housing (PH)</i>
			4 Other HOPWA		
			5 Other Subsidy	25	
			6 Institution	1	<i>Unstable Arrangements</i>
			7 Jail/Prison	0	
			8 Disconnected/Unknown	6	
			9 Death	1	<i>Life Event</i>
<b>Permanent Supportive Housing Facilities/ Units</b>			1 Emergency Shelter/Streets		<i>Unstable Arrangements</i>
			2 Temporary Housing		<i>Temporarily Stable, with Reduced Risk of Homelessness</i>
			3 Private Housing		<i>Stable/Permanent Housing (PH)</i>
			4 Other HOPWA		
			5 Other Subsidy		
			6 Institution		<i>Unstable Arrangements</i>
			7 Jail/Prison		
			8 Disconnected/Unknown		
			9 Death		<i>Life Event</i>

#### B. Transitional Housing Assistance

	[1] Output: Total Number of Households Served	[2] Assessment: Number of Households that Continued Receiving HOPWA Housing Subsidy Assistance into the Next Operating Year	[3] Assessment: Number of Households that exited this HOPWA Program; their Housing Status after Exiting		[4] HOPWA Client Outcomes
<b>Transitional/ Short-Term</b>			1 Emergency Shelter/Streets		<i>Unstable Arrangements</i>
			2 Temporary Housing		<i>Temporarily Stable with Reduced Risk of Homelessness</i>
			3 Private Housing		<i>Stable/Permanent Housing (PH)</i>

## Section 9: Appendices

Housing Facilities/ Units			4 Other HOPWA		<i>Unstable Arrangements</i>
			5 Other Subsidy		
			6 Institution		
			7 Jail/Prison		
			8 Disconnected/unknown		
			9 Death		
B1: Total number of households receiving transitional/short-term housing assistance whose tenure exceeded 24 months					

### Section 2. Prevention of Homelessness: Assessment of Client Outcomes on Reduced Risks of Homelessness

#### (Short-Term Housing Subsidy Assistance)

Report the total number of households that received STRMU assistance in Column [1].

In Column [2], identify the outcomes of the households reported in Column [1] either at the time that they were known to have left the STRMU program or through the project sponsor or subrecipient's best assessment for stability at the end of the operating year.

Information in Column [3] provides a description of housing outcomes; therefore, data is not required.

At the bottom of the chart:

- In Row 1a., report those households that received STRMU assistance during the operating year of this report, and the prior operating year.
- In Row 1b., report those households that received STRMU assistance during the operating year of this report, and the two prior operating years.

**Data Check:** The total households reported as served with STRMU in Column [1] equals the total reported in Part 3, Chart 1, Row 4, Column b.

**Data Check:** The sum of Column [2] should equal the number of households reported in Column [1].

#### Assessment of Households that Received STRMU Assistance

[1] Output: Total number of households	[2] Assessment of Housing Status		[3] HOPWA Client Outcomes
7	<b>Maintain Private Housing <u>without</u> subsidy</b> <i>(e.g. Assistance provided/completed and client is stable, not likely to seek additional support)</i>		<i>Stable/Permanent Housing (PH)</i>
	<b>Other Private Housing without subsidy</b> <i>(e.g. client switched housing units and is now stable, not likely to seek additional support)</i>		
	Other HOPWA Housing Subsidy Assistance		
	Other Housing Subsidy (PH)		
	<b>Institution</b> <i>(e.g. residential and long-term care)</i>		
	Likely that additional STRMU is needed to maintain current housing arrangements	7	<i>Temporarily Stable, with Reduced Risk of Homelessness</i>
	<b>Transitional Facilities/Short-term</b> <i>(e.g. temporary or transitional arrangement)</i>		
	<b>Temporary/Non-Permanent Housing arrangement</b> <i>(e.g. gave up lease, and moved in with family or friends but expects to live there less than 90 days)</i>		
	Emergency Shelter/street		<i>Unstable Arrangements</i>
Jail/Prison			

## Section 9: Appendices

	Disconnected		
	Death		<i>Life Event</i>
1a. Total number of those households that received STRMU Assistance in the operating year of this report that also received STRMU assistance in the prior operating year (e.g. households that received STRMU assistance in two consecutive operating years).			5
1b. Total number of those households that received STRMU Assistance in the operating year of this report that also received STRMU assistance in the two prior operating years (e.g. households that received STRMU assistance in three consecutive operating years).			5

## Section 9: Appendices

### Section 3. HOPWA Outcomes on Access to Care and Support

#### 1a. Total Number of Households

Line [1]: For project sponsors/subrecipients that provided HOPWA housing subsidy assistance during the operating year identify in the appropriate row the number of households that received HOPWA housing subsidy assistance (TBRA, STRMU, Facility-Based, Permanent Housing Placement Services, and Master Leasing) and HOPWA funded case management services. Use Row c. to adjust for duplication among the service categories and Row d. to provide an unduplicated household total.

Line [2]: For project sponsors/subrecipients that did **NOT** provide HOPWA housing subsidy assistance identify in the appropriate row the number of households that received HOPWA funded case management services.

*Note: These numbers will help you to determine which clients to report Access to Care and Support Outcomes for and will be used by HUD as a basis for analyzing the percentage of households who demonstrated or maintained connections to care and support as identified in Chart 1b. below.*

Total Number of Households	
1. For Project Sponsors/Subrecipients that provided HOPWA Housing Subsidy Assistance: Identify the total number of households that received the following HOPWA-funded services:	
a. Housing Subsidy Assistance (duplicated)-TBRA, STRMU, PHP, Facility-Based Housing, and Master Leasing	152
b. Case Management	79
c. Adjustment for duplication (subtraction)	-79
d. Total Households Served by Project Sponsors/Subrecipients with Housing Subsidy Assistance (Sum of Rows a.b. minus Row c.)	152
2. For Project Sponsors/Subrecipients did NOT provide HOPWA Housing Subsidy Assistance: Identify the total number of households that received the following HOPWA-funded service:	
a. HOPWA Case Management	
b. Total Households Served by Project Sponsors/Subrecipients without Housing Subsidy Assistance	

#### 1b. Status of Households Accessing Care and Support

Column [1]: Of the households identified as receiving services from project sponsors/subrecipients that provided HOPWA housing subsidy assistance as identified in Chart 1a., Row 1d. above, report the number of households that demonstrated access or maintained connections to care and support within the program year.

Column [2]: Of the households identified as receiving services from project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance as reported in Chart 1a., Row 2b., report the number of households that demonstrated improved access or maintained connections to care and support within the program year.

*Note: For information on types and sources of income and medical insurance/assistance, refer to Charts below.*

<u>Categories of Services Accessed</u>	[1] For project sponsors/subrecipients that provided HOPWA housing subsidy assistance, identify the households who demonstrated the following:	[2] For project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance, identify the households who demonstrated the following:	Outcome Indicator
1. Has a housing plan for maintaining or establishing stable on-going housing (6 disconnected, 1 died, 1 temporary housing, 1 in institution, 5 homeless)	138		Support for Stable Housing
2. Had contact with case manager/benefits counselor consistent with the schedule specified in client's individual service plan (may include leveraged services such as Ryan White Medical Case Management)	152		Access to Support
3. Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan	150		Access to Health Care
4. Accessed and maintained medical insurance/assistance (all clients, if counting Ryan White medical assistance at County HIV clinic)	152		Access to Health Care

## Section 9: Appendices

5. Successfully accessed or maintained qualification for sources of income	139		Sources of Income
--	-----	--	-------------------

### Chart 1b., Line 4: Sources of Medical Insurance and Assistance include, but are not limited to the following (Reference only)

<ul style="list-style-type: none"> <li>• MEDICAID Health Insurance Program, or use local program name</li> <li>• MEDICARE Health Insurance Program, or use local program name</li> </ul>	<ul style="list-style-type: none"> <li>• Veterans Affairs Medical Services</li> <li>• AIDS Drug Assistance Program (ADAP)</li> <li>• State Children’s Health Insurance Program (SCHIP), or use local program name</li> </ul>	<ul style="list-style-type: none"> <li>• Ryan White-funded Medical or Dental Assistance</li> </ul>
--	--	--

### Chart 1b., Row 5: Sources of Income include, but are not limited to the following (Reference only)

<ul style="list-style-type: none"> <li>• Earned Income</li> <li>• Veteran’s Pension</li> <li>• Unemployment Insurance</li> <li>• Pension from Former Job</li> <li>• Supplemental Security Income (SSI)</li> </ul>	<ul style="list-style-type: none"> <li>• Child Support</li> <li>• Social Security Disability Income (SSDI)</li> <li>• Alimony or other Spousal Support</li> <li>• Veteran’s Disability Payment</li> <li>• Retirement Income from Social Security</li> <li>• Worker’s Compensation</li> </ul>	<ul style="list-style-type: none"> <li>• General Assistance (GA), or use local program name</li> <li>• Private Disability Insurance</li> <li>• Temporary Assistance for Needy Families (TANF)</li> <li>• Other Income Sources</li> </ul>
---	--	--

### 1c. Households that Obtained Employment

**Column [1]:** Of the households identified as receiving services from project sponsors/subrecipients that provided HOPWA housing subsidy assistance as identified in Chart 1a., Row 1d. above, report on the number of households that include persons who obtained an income-producing job during the operating year that resulted from HOPWA-funded Job training, employment assistance, education or related case management/counseling services.

**Column [2]:** Of the households identified as receiving services from project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance as reported in Chart 1a., Row 2b., report on the number of households that include persons who obtained an income-producing job during the operating year that resulted from HOPWA-funded Job training, employment assistance, education or case management/counseling services.

*Note: This includes jobs created by this project sponsor/subrecipients or obtained outside this agency.*

*Note: Do not include jobs that resulted from leveraged job training, employment assistance, education or case management/counseling services.*

Categories of Services Accessed	[1] For project sponsors/subrecipients that provided HOPWA housing subsidy assistance, identify the households who demonstrated the following:	[2] For project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance, identify the households who demonstrated the following:
Total number of households that obtained an income-producing job	8	

End of PART 4

## Section 9: Appendices

### PART 5: Worksheet - Determining Housing Stability Outcomes (optional)

1. This chart is designed to assess program results based on the information reported in Part 4 and to help Grantees determine overall program performance. Completion of this worksheet is optional.

<b>Permanent Housing Subsidy Assistance</b>	<b>Stable Housing</b> (# of households remaining in program plus 3+4+5+6)	<b>Temporary Housing</b> (2)	<b>Unstable Arrangements</b> (1+7+8)	<b>Life Event</b> (9)
Tenant-Based Rental Assistance (TBRA)+PHP	137	5	3	1
Permanent Facility-based Housing Assistance/Units				
Transitional/Short-Term Facility-based Housing Assistance/Units				
<b>Total Permanent HOPWA Housing Subsidy Assistance</b>	137	5	3	1
<b>Reduced Risk of Homelessness: Short-Term Assistance</b>	<b>Stable/Permanent Housing</b>	<b>Temporarily Stable, with Reduced Risk of Homelessness</b>	<b>Unstable Arrangements</b>	<b>Life Events</b>
Short-Term Rent, Mortgage, and Utility Assistance (STRMU)				
<b>Total HOPWA Housing Subsidy Assistance</b>				

#### Background on HOPWA Housing Stability Codes

##### Stable Permanent Housing/Ongoing Participation

3 = Private Housing in the private rental or home ownership market (without known subsidy, including permanent placement with families or other self-sufficient arrangements) with reasonable expectation that additional support is not needed.

4 = Other HOPWA-funded housing subsidy assistance (not STRMU), e.g. TBRA or Facility-Based Assistance.

5 = Other subsidized house or apartment (non-HOPWA sources, e.g., Section 8, HOME, public housing).

6 = Institutional setting with greater support and continued residence expected (e.g., residential or long-term care facility).

##### Temporary Housing

2 = Temporary housing - moved in with family/friends or other short-term arrangement, such as Ryan White subsidy, transitional housing for homeless, or temporary placement in institution (e.g., hospital, psychiatric hospital or other psychiatric facility, substance abuse treatment facility or detox center).

##### Unstable Arrangements

1 = Emergency shelter or no housing destination such as places not meant for habitation (e.g., a vehicle, an abandoned building, bus/train/subway station, or anywhere outside).

7 = Jail /prison.

8 = Disconnected or disappeared from project support, unknown destination or no assessments of housing needs were undertaken.

##### Life Event

9 = Death, i.e., remained in housing until death. This characteristic is not factored into the housing stability equation.

## Section 9: Appendices

**Tenant-based Rental Assistance:** Stable Housing is the sum of the number of households that (i) remain in the housing and (ii) those that left the assistance as reported under: 3, 4, 5, and 6. Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item: 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

**Permanent Facility-Based Housing Assistance:** Stable Housing is the sum of the number of households that (i) remain in the housing and (ii) those that left the assistance as shown as items: 3, 4, 5, and 6. Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

**Transitional/Short-Term Facility-Based Housing Assistance:** Stable Housing is the sum of the number of households that (i) continue in the residences (ii) those that left the assistance as shown as items: 3, 4, 5, and 6. Other Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

**Tenure Assessment.** A baseline of households in transitional/short-term facilities for assessment purposes, indicate the number of households whose tenure exceeded 24 months.

**STRMU Assistance:** Stable Housing is the sum of the number of households that accessed assistance for some portion of the permitted 21-week period and there is reasonable expectation that additional support is not needed in order to maintain permanent housing living situation (as this is a time-limited form of housing support) as reported under housing status: Maintain Private Housing with subsidy; Other Private with Subsidy; Other HOPWA support; Other Housing Subsidy; and Institution. Temporarily Stable, with Reduced Risk of Homelessness is the sum of the number of households that accessed assistance for some portion of the permitted 21-week period or left their current housing arrangement for a transitional facility or other temporary/non-permanent housing arrangement and there is reasonable expectation additional support will be needed to maintain housing arrangements in the next year, as reported under housing status: Likely to maintain current housing arrangements, with additional STRMU assistance; Transitional Facilities/Short-term; and Temporary/Non-Permanent Housing arrangements. Unstable Situation is the sum of number of households reported under housing status: Emergency Shelter; Jail/Prison; and Disconnected.

**End of PART 5**

## Section 9: Appendices

### **PART 6: Annual Certification of Continued Usage for HOPWA Facility-Based Stewardship Units (ONLY)**

The Annual Certification of Usage for HOPWA Facility-Based Stewardship Units is to be used in place of Part 7B of the CAPER if the facility was originally acquired, rehabilitated or constructed/developed in part with HOPWA funds but no HOPWA funds were expended during the operating year. Scattered site units may be grouped together on one page.

Grantees that used HOPWA funding for new construction, acquisition, or substantial rehabilitation are required to operate their facilities for HOPWA eligible individuals for at least ten (10) years. If non-substantial rehabilitation funds were used they are required to operate for at least three (3) years. Stewardship begins once the facility is put into operation.

*Note: See definition of Stewardship Units.*

#### 1. General information

HUD Grant Number(s)	Operating Year for this report <i>From (mm/dd/yy) To (mm/dd/yy)</i> <input type="checkbox"/> Final Yr  <input type="checkbox"/> Yr 1; <input type="checkbox"/> Yr 2; <input type="checkbox"/> Yr 3; <input type="checkbox"/> Yr 4; <input type="checkbox"/> Yr 5; <input type="checkbox"/> Yr 6;  <input type="checkbox"/> Yr 7; <input type="checkbox"/> Yr 8; <input type="checkbox"/> Yr 9; <input type="checkbox"/> Yr 10;
Grantee Name	Date Facility Began Operations ( <i>mm/dd/yy</i> )

#### 2. Number of Units and Non-HOPWA Expenditures

Facility Name:	Number of Stewardship Units Developed with HOPWA funds	Amount of Non-HOPWA Funds Expended in Support of the Stewardship Units during the Operating Year
Total Stewardship Units (subject to 3- or 10- year use periods)		

#### 3. Details of Project Site

Project Sites: Name of HOPWA-funded project	
Site Information: Project Zip Code(s)	
Site Information: Congressional District(s)	
Is the address of the project site confidential?	<input type="checkbox"/> <i>Yes, protect information; do not list</i> <input type="checkbox"/> <i>Not confidential; information can be made available to the public</i>
<b>If the site is not confidential:</b> Please provide the contact information, phone, email address/location, if business address is different from facility address	

I certify that the facility that received assistance for acquisition, rehabilitation, or new construction from the Housing Opportunities for Persons with AIDS Program has operated as a facility to assist HOPWA-eligible persons from the date shown above. I also certify that the grant is still serving the planned number of HOPWA-eligible households at this facility through leveraged resources and all other requirements of the grant agreement are being satisfied.

*I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.*

Name & Title of Authorized Official of the organization that continues to operate the facility:	Signature & Date (mm/dd/yy)
Name & Title of Contact at Grantee Agency ( <i>person who can answer questions about the report and program</i> )	Contact Phone (with area code)

## Section 9: Appendices



### End of PART 6

**Part 7: Summary Overview of Grant Activities**  
**A. Information on Individuals, Beneficiaries, and Households Receiving HOPWA Housing Subsidy Assistance (TBRA, STRMU, Facility-Based Units, Permanent Housing Placement and Master Leased Units ONLY)**

*Note: Reporting for this section should include ONLY those individuals, beneficiaries, or households that received and/or resided in a household that received HOPWA Housing Subsidy Assistance as reported in Part 3, Chart 1, Row 7, Column b. (e.g., do not include households that received HOPWA supportive services ONLY).*

### Section 1. HOPWA-Eligible Individuals who Received HOPWA Housing Subsidy Assistance

#### a. Total HOPWA Eligible Individuals Living with HIV/AIDS

In Chart a., provide the total number of eligible (and unduplicated) low-income individuals living with HIV/AIDS who qualified their household to receive HOPWA housing subsidy assistance during the operating year. This total should include only the individual who qualified the household for HOPWA assistance, NOT all HIV positive individuals in the household.

Individuals Served with Housing Subsidy Assistance	Total
Number of individuals with HIV/AIDS who qualified their household to receive HOPWA housing subsidy assistance.	152

#### Chart b. Prior Living Situation

In Chart b., report the prior living situations for all Eligible Individuals reported in Chart a. In Row 1, report the total number of individuals who continued to receive HOPWA housing subsidy assistance from the prior operating year into this operating year. In Rows 2 through 17, indicate the prior living arrangements for all new HOPWA housing subsidy assistance recipients during the operating year.

**Data Check:** *The total number of eligible individuals served in Row 18 equals the total number of individuals served through housing subsidy assistance reported in Chart a. above.*

	Category	Total HOPWA Eligible Individuals Receiving Housing Subsidy Assistance
1.	<u>Continuing</u> to receive HOPWA support from the prior operating year	141
<b>New Individuals who received HOPWA Housing Subsidy Assistance support during Operating Year</b>		
2.	Place not meant for human habitation (such as a vehicle, abandoned building, bus/train/subway station/airport, or outside)	1
3.	Emergency shelter (including hotel, motel, or campground paid for with emergency shelter voucher)	
4.	Transitional housing for homeless persons	
5.	<b>Total number of new Eligible Individuals who received HOPWA Housing Subsidy Assistance with a Prior Living Situation that meets HUD definition of homelessness (Sum of Rows 2 – 4)</b>	
6.	Permanent housing for formerly homeless persons (such as Shelter Plus Care, SHP, or SRO Mod Rehab)	
7.	Psychiatric hospital or other psychiatric facility	
8.	Substance abuse treatment facility or detox center	
9.	Hospital (non-psychiatric facility)	
10.	Foster care home or foster care group home	
11.	Jail, prison or juvenile detention facility	

## Section 9: Appendices

12.	Rented room, apartment, or house	7
13.	House you own	1
14.	Staying or living in someone else's (family and friends) room, apartment, or house	2
15.	Hotel or motel paid for without emergency shelter voucher	
16.	Other	
17.	Don't Know or Refused	
<b>18.</b>	<b>TOTAL Number of HOPWA Eligible Individuals (sum of Rows 1 and 5-17)</b>	<b>152</b>

### c. Homeless Individual Summary

In Chart c., indicate the number of eligible individuals reported in Chart b., Row 5 as homeless who also are homeless Veterans and/or meet the definition for Chronically Homeless (See Definition section of CAPER). The totals in Chart c. do not need to equal the total in Chart b., Row 5.

Category	Number of Homeless Veteran(s)	Number of Chronically Homeless
HOPWA eligible individuals served with HOPWA Housing Subsidy Assistance	0	0

## Section 2. Beneficiaries

In Chart a., report the total number of HOPWA eligible individuals living with HIV/AIDS who received HOPWA housing subsidy assistance (*as reported in Part 7A, Section 1, Chart a.*), and all associated members of their household who benefitted from receiving HOPWA housing subsidy assistance (resided with HOPWA eligible individuals).

*Note: See definition of HOPWA Eligible Individual*

*Note: See definition of Transgender.*

*Note: See definition of Beneficiaries.*

**Data Check:** The sum of each of the Charts b. & c. on the following two pages equals the total number of beneficiaries served with HOPWA housing subsidy assistance as determined in Chart a., Row 4 below.

### a. Total Number of Beneficiaries Served with HOPWA Housing Subsidy Assistance

Individuals and Families Served with HOPWA Housing Subsidy Assistance	Total Number
1. Number of individuals with HIV/AIDS who qualified the household to receive HOPWA housing subsidy assistance (equals the number of HOPWA Eligible Individuals reported in Part 7A, Section 1, Chart a.)	152
2. Number of ALL other persons <b>diagnosed</b> as HIV positive who reside with the HOPWA eligible individuals identified in Row 1 and who benefitted from the HOPWA housing subsidy assistance	8
3. Number of ALL other persons <b>NOT diagnosed</b> as HIV positive who reside with the HOPWA eligible individual identified in Row 1 and who benefitted from the HOPWA housing subsidy	36
<b>4. TOTAL number of ALL <u>beneficiaries</u> served with Housing Subsidy Assistance (Sum of Rows 1,2, &amp; 3)</b>	<b>196</b>

## Section 9: Appendices

### b. Age and Gender

In Chart b., indicate the Age and Gender of all beneficiaries as reported in Chart a. directly above. Report the Age and Gender of all HOPWA Eligible Individuals (those reported in Chart a., Row 1) using Rows 1-5 below and the Age and Gender of all other beneficiaries (those reported in Chart a., Rows 2 and 3) using Rows 6-10 below. The number of individuals reported in Row 11, Column E. equals the total number of beneficiaries reported in Part 7, Section 2, Chart a., Row 4.

HOPWA Eligible Individuals (Chart a, Row 1)						
		A.	B.	C.	D.	E.
		Male	Female	Transgender M to F	Transgender F to M	TOTAL (Sum of Columns A-D)
1.	Under 18	0	0	0		
2.	18 to 30 years	4	1	0		5
3.	31 to 50 years	54	16	7		67
4.	51 years and Older	57	10	3		70
5.	<b>Subtotal (Sum of Rows 1-4)</b>	115	27	10		142
All Other Beneficiaries (Chart a, Rows 2 and 3)						
		A.	B.	C.	D.	E.
		Male	Female	Transgender M to F	Transgender F to M	TOTAL (Sum of Columns A-D)
6.	Under 18	12	11			33
7.	18 to 30 years	4	1			5
8.	31 to 50 years	5	9			14
9.	51 years and Older	2	0			2
10.	<b>Subtotal (Sum of Rows 6-9)</b>	23	21			54
Total Beneficiaries (Chart a, Row 4)						
11.	<b>TOTAL (Sum of Rows 5 &amp; 10)</b>	138	48	10		196

## Section 9: Appendices

### c. Race and Ethnicity\*

In Chart c., indicate the Race and Ethnicity of all beneficiaries receiving HOPWA Housing Subsidy Assistance as reported in Section 2, Chart a., Row 4. Report the race of all HOPWA eligible individuals in Column [A]. Report the ethnicity of all HOPWA eligible individuals in column [B]. Report the race of all other individuals who benefitted from the HOPWA housing subsidy assistance in column [C]. Report the ethnicity of all other individuals who benefitted from the HOPWA housing subsidy assistance in column [D]. The summed total of columns [A] and [C] equals the total number of beneficiaries reported above in Section 2, Chart a., Row 4.

Category		HOPWA Eligible Individuals		All Other Beneficiaries	
		[A] Race [all individuals reported in Section 2, Chart a., Row 1]	[B] Ethnicity [Also identified as Hispanic or Latino]	[C] Race [total of individuals reported in Section 2, Chart a., Rows 2 & 3]	[D] Ethnicity [Also identified as Hispanic or Latino]
1.	American Indian/Alaskan Native	6	4		
2.	Asian	10		8	
3.	Black/African American	33	1	11	
4.	Native Hawaiian/Other Pacific Islander	1			
5.	White	64	30	21	13
6.	American Indian/Alaskan Native & White	1	1		
7.	Asian & White				
8.	Black/African American & White			3	1
9.	American Indian/Alaskan Native & Black/African American	2	1		
10.	Other <b>Refused to report</b>	35	35	1	0
11.	Column Totals (Sum of Rows 1-10)	152	72	44	14

*Data Check: Sum of Row 11 Column A and Row 11 Column C equals the total number HOPWA Beneficiaries reported in Part 3A, Section 2, Chart a., Row 4.*

\*Reference (data requested consistent with Form HUD-27061 Race and Ethnic Data Reporting Form)

### Section 3. Households

#### Household Area Median Income

Report the area median income(s) for all households served with HOPWA housing subsidy assistance.

**Data Check:** The total number of households served with HOPWA housing subsidy assistance should equal Part 3C, Row 7, Column b and Part 7A, Section 1, Chart a. (Total HOPWA Eligible Individuals Served with HOPWA Housing Subsidy Assistance).

**Note:** Refer to [http://www.huduser.org/portal/datasets/il/il2010/select\\_Geography\\_mfi.odn](http://www.huduser.org/portal/datasets/il/il2010/select_Geography_mfi.odn) for information on area median income in your community.

Percentage of Area Median Income		Households Served with HOPWA Housing Subsidy Assistance
1.	0-30% of area median income (extremely low)	138
2.	31-50% of area median income (very low)	13
3.	51-80% of area median income (low)	1
4.	<b>Total (Sum of Rows 1-3)</b>	152

## Section 9: Appendices

### Part 7: Summary Overview of Grant Activities B. Facility-Based Housing Assistance

Complete one Part 7B for each facility developed or supported through HOPWA funds.

**Do not complete this Section for programs originally developed with HOPWA funds but no longer supported with HOPWA funds.** If a facility was developed with HOPWA funds (subject to ten years of operation for acquisition, new construction and substantial rehabilitation costs of stewardship units, or three years for non-substantial rehabilitation costs), but HOPWA funds are no longer used to support the facility, the project sponsor or subrecipient should complete Part 6: Annual Certification of Continued Usage for HOPWA Facility-Based Stewardship Units (ONLY).

Complete Charts 2a., Project Site Information, and 2b., Type of HOPWA Capital Development Project Units, for all Development Projects, including facilities that were past development projects, but continued to receive HOPWA operating dollars this reporting year.

#### 1. Project Sponsor/Subrecipient Agency Name (Required)

--

#### 2. Capital Development

##### 2a. Project Site Information for HOPWA Capital Development of Projects (For Current or Past Capital Development Projects that receive HOPWA Operating Costs this reporting year)

*Note: If units are scattered-sites, report on them as a group and under type of Facility write "Scattered Sites."*

	Type of Development this operating year	HOPWA Funds Expended this operating year <i>(if applicable)</i>	Non-HOPWA funds Expended <i>(if applicable)</i>	Name of Facility:
<input type="checkbox"/>	New construction	\$	\$	<b>Type of Facility [Check <u>only one</u> box.]</b> <input type="checkbox"/> Permanent housing <input type="checkbox"/> Short-term Shelter or Transitional housing <input type="checkbox"/> Supportive services only facility
<input type="checkbox"/>	Rehabilitation	\$	\$	
<input type="checkbox"/>	Acquisition	\$	\$	
<input type="checkbox"/>	Operating	\$	\$	
a.	Purchase/lease of property:			Date (mm/dd/yy):
b.	Rehabilitation/Construction Dates:			Date started: <span style="float: right;">Date Completed:</span>
c.	Operation dates:			Date residents began to occupy: <input type="checkbox"/> Not yet occupied
d.	Date supportive services began:			Date started: <input type="checkbox"/> Not yet providing services
e.	Number of units in the facility:			HOPWA-funded units = <span style="float: right;">Total Units =</span>
f.	Is a waiting list maintained for the facility?			<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, number of participants on the list at the end of operating year</i>

## Section 9: Appendices

g.	What is the address of the facility (if different from business address)?	
h.	Is the address of the project site confidential?	<input type="checkbox"/> <i>Yes, protect information; do not publish list</i> <input type="checkbox"/> <i>No, can be made available to the public</i>

### 2b. Number and Type of HOPWA Capital Development Project Units (For Current or Past Capital Development Projects that receive HOPWA Operating Costs this Reporting Year)

For units entered above in 2a. please list the number of HOPWA units that fulfill the following criteria:

	Number Designated for the Chronically Homeless	Number Designated to Assist the Homeless	Number Energy-Star Compliant	Number 504 Accessible
Rental units constructed (new) and/or acquired <u>with or without</u> rehab				
Rental units rehabbed				
Homeownership units constructed (if approved)				

### 3. Units Assisted in Types of Housing Facility/Units Leased by Project Sponsor or Subrecipient

Charts 3a., 3b. and 4 are required for each facility. In Charts 3a. and 3b., indicate the type and number of housing units in the facility, including master leased units, project-based or other scattered site units leased by the organization, categorized by the number of bedrooms per unit.

*Note: The number units may not equal the total number of households served.*

**Please complete separate charts for each housing facility assisted. Scattered site units may be grouped together.**

#### 3a. Check one only

- Permanent Supportive Housing Facility/Units  
 Short-term Shelter or Transitional Supportive Housing Facility/Units

#### 3b. Type of Facility

Complete the following Chart for all facilities leased, master leased, project-based, or operated with HOPWA funds during the reporting year.

#### Name of Project Sponsor/Agency Operating the Facility/Leased Units:

Type of housing facility operated by the project sponsor/subrecipient	Total Number of <u>Units</u> in use during the Operating Year Categorized by the Number of Bedrooms per Units					
	SRO/Studio/0 bdrm	1 bdrm	2 bdrm	3 bdrm	4 bdrm	5+bdrm
a. Single room occupancy dwelling						
b. Community residence						
c. Project-based rental assistance units or leased units						
d. Other housing facility <u>Specify:</u>						

### 4. Households and Housing Expenditures

Enter the total number of households served and the amount of HOPWA funds expended by the project sponsor/subrecipient on subsidies for housing involving the use of facilities, master leased units, project based or other scattered site units leased by the organization.

## Section 9: Appendices

<b>Housing Assistance Category: Facility Based Housing</b>		<b>Output: Number of Households</b>	<b>Output: Total HOPWA Funds Expended during Operating Year by Project Sponsor/subrecipient</b>
a.	Leasing Costs		
b.	Operating Costs		
c.	Project-Based Rental Assistance (PBRA) or other leased units		
d.	Other Activity (if approved in grant agreement) <u>Specify:</u>		
e.	<b>Adjustment to eliminate duplication (subtract)</b>		
f.	<b>TOTAL Facility-Based Housing Assistance (Sum Rows a. through d. minus Row e.)</b>		



## Housing Opportunities for Persons with AIDS (HOPWA) Program

### Annual Progress Report (APR) Measuring Performance Outcomes

OMB Number 2506-0133 (Expiration Date: 10/31/2014)

The APR report for HOPWA competitively selected grantees provides annual information on program accomplishments that supports program evaluation and the ability to measure program beneficiary outcomes related to: maintain housing stability; prevent homelessness; and improve access to care and support. The public reporting burden for the collection of information is estimated to average 56 hours per manual response, or less if an automated data collection and retrieval system is in use, along with 60 hours for record keeping, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Grantees are required to report on the activities undertaken only, thus there may be components of these reporting requirements that may not be applicable. This agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless that collection displays a valid OMB control number.

Previous editions are obsolete

form HUD-40110-C (Expiration Date: 10/31/2014)

# Section 9: Appendices



## Housing Opportunities for Persons with AIDS (HOPWA)

### Annual Progress Report – Measuring Performance Outcomes

#### PART 1: Grantee Summary

OMB Number 2506-0133 (Expiration Date: 10/31/2014)

Please use Charts 1 and 2 in this section to provide more detailed information about the agencies and organizations responsible for the administration and implementation of the HOPWA program. Chart 1 requests general Grantee Information and Chart 2 requests Subrecipient Information. Complete only the charts applicable to the HOPWA project detailed in the report. When completing the charts, provide a response for every question using "N/A" to indicate if a particular question is not applicable to the Grantee or Subrecipient. Do not leave any sections blank.

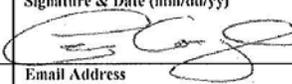
*Note: Report all general information pertaining to project sponsors and subrecipients that perform housing and supportive services in Part 5A: Summary of Project Sponsor/Subrecipient Information.*

#### 1. Grantee Information

<b>HUD Grant Number</b> CA-H10-0004		<b>Operating Year for this report</b> From (mm/dd/yy) 07/07/12 To (mm/dd/yy) 07/06/13 <input type="checkbox"/> Yr 1; <input type="checkbox"/> Yr 2; <input checked="" type="checkbox"/> Yr 3; <input type="checkbox"/> ExtYr	
<b>Grantee Name</b> City of San Jose		<b>Parent Company if applicable</b> NA	
<b>Type of HOPWA Grant</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Formula			
<b>Business Address</b> 200 East Santa Clara Street, 12 <sup>th</sup> floor			
<b>City, State, Zip, County</b> San Jose CA 95113 County of Santa Clara			
<b>Employer Identification Number (EIN) or Tax Identification Number (TIN)</b> 94-6000419			
<b>DUN &amp; Bradstreet Number (DUNS)</b> 063541874		<b>Central Contractor Registration (CCR):</b> Is the grantee's CCR status currently active? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If yes, provide CCR Number: Registered under DUNS# 063541874	
<b>Congressional District of Grantee's Business Address</b> 16			
<b>*Congressional District(s) of Primary Service Area</b> 11 14 15 16			
<b>*City(ies) and County(ies) of Primary Service Area</b> Cities: Campbell, Cupertino, Gilroy, Los Gatos, Morgan Hill, Mt. View, Palo Alto, San Jose, Santa Clara, Saratoga, Sunnyvale		Counties: Santa Clara	
<b>Organization's Website Address</b> www.sanjoseca.gov (City) www.sjhousing.org (Dept. of Housing)		<b>Is there a waiting list(s) for HOPWA Housing Subsidy Assistance Services in the Grantee service Area?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain in the narrative section what services maintain a waiting list and how this list is administered.	
Is the grantee a nonprofit organization? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please check if yes and a faith-based organization? <input type="checkbox"/> Please check if yes and a grassroots organization? <input type="checkbox"/>			

\* Service delivery area information only needed for program activities being directly carried out by the grantee.

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

<b>Name and Title of Authorized Official</b> Leslye, Corsiglia, Director	<b>Signature &amp; Date (mm/dd/yy)</b>  9/23/13
<b>Name and Title of Contact at Grantee Agency (person who can answer questions about the report and program)</b> Daniel Murillo, Senior Development Officer	<b>Email Address</b> Daniel.murillo@sanjoseca.gov
<b>Phone Number (include area code)</b> (408) 793-4195	<b>Fax Number (include area code)</b> (408) 289-9418

## Section 9: Appendices

### 2. Administrative Subrecipient Information

Provide information on each Subrecipient organization with a contract/agreement of \$25,000 or greater to assist the project sponsor with evaluations or other administrative services but no services directly to client households. **Agreements include:** grants, subgrants, loans, awards, cooperative agreements, and other forms of financial assistance; and contracts, subcontracts, purchase orders, task orders, and delivery orders. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: This chart does not apply to organizations that provide direct services to clients, defined by CFR 574.3, in providing housing and other support to beneficiaries. Subrecipients who provide direct services should complete the Subrecipient Chart in Part 5A: Summary of Project Sponsor/Subrecipient Information. Additionally, if the grantee undertakes service delivery activities directly, complete the respective performance sections (Part 5A-5E) for all activities conducted by the grantee*

*Note: If any information is not applicable to your organization, please report N/A in the appropriate box.*

*Note: Please see the definitions for project sponsor and subrecipient for distinction.*

Organization		Parent Company (if applicable)	
Name <u>and</u> Title of Contact at Sub-recipient Organization			
Email Address			
Business Address			
City, State, Zip, County			
Phone Number (include area code)		Fax Number (include area code)	
Employer Identification Number (EIN) or Tax Identification Number (TIN)			
DUN & Bradstreet Number (DUNS)			
North American Industry Classification System (NAICS) Code			
Congressional District of Sub-recipient's Business Address			
Congressional District(s) of Primary Service Area			
City(ies) <u>and</u> County(ies) of Primary Service Area		Cities:	Counties:
Total HOPWA Subcontract Amount of this Organization for the operating year			

## Section 9: Appendices

End of Part 1

### Part 2: Grantee Narrative and Performance Assessment

Use the Grantee Narrative and Performance Assessment (items A through D) to succinctly describe in a one to three page narrative how activities enabled client households to improve housing stability, increased access to care and support, and reduced their risk of homelessness. Describe the organization of the HOPWA Program and how the program interacts with other housing and supportive service programs in the community and/or state. The narrative should detail program accomplishments, barriers to achieving stated performance goals, technical assistance needs and innovative outreach and support strategies utilized by project sponsors or partner organizations to achieve program goals. In addition, provide information on any evaluations of the project's accomplishments conducted during the operating year. This narrative will be used for public information, including posting on HUD's web page.

**A. Outputs Reported.** Describe program accomplishments including the number of housing units supported and the number households assisted with HOPWA funds during this operating year. Include a comparison between proposed (as approved in the grant agreement) and actual accomplishments, as demonstrated in Part 3: Overview of Grant Activities. In the narrative, describe how the different types of housing assistance are coordinated to serve clients. If your organization has a waiting list, please explain how it is administered.

In FY12-13, a total of ninety-nine (99) households were assisted in this program in the form of rental subsidies (TBRA) and/or support services, including case management. All 99 households received case management, while twenty-two (22) of the 99 households received housing subsidies funded by HOPWA SPNS.

The subsidies and support services were distributed throughout Santa Clara County. The majority of clients assisted live in the city of San Jose with the others distributed in Campbell, Gilroy, Milpitas, Mountain View, Sunnyvale and Santa Clara.

Clients receiving a housing subsidy are contacted at least annually by the housing services staff person assigned to their case (usually a case manager). The purpose of these scheduled contacts is to conduct annual unit inspections and to ensure the residence continues to meet housing quality standards to complete an annual income review and housing subsidy eligibility re-certification for each client. During these visits, clients are encouraged to contact housing staff if, and when, they encounter difficulties that prevent them from meeting their obligations as tenants, such as inability to pay their share of rent for any reason. Additional contacts may involve facilitating resolution of client/landlord issues, including processing of rent increase notices, or helping to resolve difficulties between clients and those with whom they share the home or apartment. As SPNS clients are required to participate in case management at some level, the clients' case managers are kept informed about all of these housing contacts, as case management is integral to the coordinated care provided to housing clients who need the extra assistance. Those on Level II (Social Work) and Level III (nursing) maintain regular contact with the medical social worker assigned to their case at least every 60-90 days.

Clients not receiving a housing subsidy but who need help maintaining their housing are also assisted by SPNS -

## Section 9: Appendices

funded case managers represented by Benefits Specialists, Medical Social Workers and Registered Nurses. The level of assistance is driven by the clients' medical, psychosocial and/or financial acuity.

The Housing Program maintains a wait list managed by the Housing Program Coordinator. Potentially eligible households are added to the list as of the date the referral for housing assistance is made. Referrals are accepted from AIDS Services staff, other HIV/AIDS service agencies or medical care providers, as well as self-referrals from AIDS Services clients. In addition to the date of referral, the wait list also tracks priority and preference for assistance for each household listed, e.g., homeless individuals have the highest priority for assistance, followed by households at risk of homelessness. The system of priority and preference for a housing subsidy is intended to be fluid and adjustable as clients' circumstances change. For example, a household that was homeless at the time of referrals may be stably housed and not have a priority for receiving a subsidy at the time assistance becomes available. As funds become available, clients are contacted by the housing staff; information is updated and proper verification of income and circumstances that would grant them preferred status is obtained. This system of priority also ensures that the limited funds available are effectively utilized to assist the needier of the needy first.

**B. Outcomes Assessed.** Assess your program's success in enabling HOPWA beneficiaries to establish and/or better maintain a stable living environment in housing that is safe, decent, and sanitary, and improve access to care. Compare current year results to baseline results for clients. Describe how program activities/projects contributed to meeting stated goals. If program did not achieve expected targets, please describe how your program plans to address challenges in program implementation and the steps currently being taken to achieve goals in next operating year. If your program exceeded program targets, please describe strategies the program utilized and how those contributed to program successes.

A review of the Housing program database shows that 100% of clients receiving a SPNS subsidy maintained housing stability in FY12-13. In addition, 94.6% of program clients receiving support services remained housed at the end of the measurement year. These outcomes clearly exceed the national and program stated goals of 85% and 80% respectively. Also, as noted in the section above, the units occupied by clients are inspected by housing program staff initially and at least once annually to ensure they are safe, decent, sanitary, and meet the housing needs of clients as required. Additionally, records show that 96.9% of the 99 clients receiving support services accessed routine medical care available to them during the year, which is one of the important goals of case management. The stated program goals were exceeded during the fiscal year thanks to the ongoing, coordinated efforts of the case management and housing staff who tirelessly and consistently maintain regular contact with clients to ensure their needs are met in a timely fashion so that issues are addressed when they arise rather than allowing them to become overwhelming over time. These efforts will continue during FY13-14 to ensure program goals are achieved.

**C. Barriers and Recommendations.** Describe any barriers (including regulatory and non-regulatory) encountered in the administration or implementation of the HOPWA program, how they affected your program's ability to achieve the objectives and outcomes discussed, and actions taken in response to barriers, as well as recommendations for program improvement. You may select more than one from the following list. Specify a barrier for each explanation or description.

<input checked="" type="checkbox"/> HOPWA/HUD Regulations	<input type="checkbox"/> Planning	<input checked="" type="checkbox"/> Housing Availability	<input type="checkbox"/> Rent Determination and Fair Market Rents
<input type="checkbox"/> Discrimination/Confidentiality	<input checked="" type="checkbox"/> Multiple Diagnoses	<input type="checkbox"/> Eligibility	<input type="checkbox"/> Technical Assistance or Training
<input checked="" type="checkbox"/> Supportive Services	<input checked="" type="checkbox"/> Credit History	<input checked="" type="checkbox"/> Rental History	<input checked="" type="checkbox"/> Criminal Justice History
<input checked="" type="checkbox"/> Housing Affordability	<input type="checkbox"/> Geography/Rural Access	<input type="checkbox"/> Other, please explain further	

**HOPWA/HUD Regulations.** Administering the program without detailed guidance from HUD and/or the HOPWA regulations is a challenge. The guidance provided by Regional HUD staff and the grantee has been to refer to the Section 8 Housing Voucher Program regulations for issues not addressed by the HOPWA regulations. However, it is not clear what portions of the Section 8 Voucher Program regulations can be applied to HOPWA participants. It is extremely important to the program's ongoing administration that more clarity and better guidance be provided through regulations or HUD guidance notices.

**Supportive Services.** Activity documentation over the past year has demonstrated that nurses, in particular, consistently expended more time on providing services to clients than HOPWA-SPNS funds. The Health Trust has

## Section 9: Appendices

indicated that they will continue to provide the same level of support as long as other funding is available to fund nursing assistance to their more acute clients.

**Housing Availability/Affordability.** The trend of fewer units being available at higher rates is continuing. Previous home owners who have lost their homes through foreclosure are now becoming renters. This shift has lowered the vacancy rates in Santa Clara County, according to the Tri-County Apartment Association. If this trend holds true, it is anticipated it will become increasingly difficult for clients to find units in the years ahead. This trend turned the rental market into a "landlord's market" in which the rents for the reduced number of available units will show significant rent increases – often beyond the Fair Market Rents authorized for the program. Low Income Housing Tax Credit properties may become the only ones offering units priced at or below the HUD Fair Market Rent level, but due to their eligibility criteria of credit and criminal background checks, many of our clients are denied. Additionally, these units may become less available to HOPWA subsidized clients, as the new renters impacted by the foreclosure crisis are also competing for these affordable units.

**Client Barriers.** A large percentage of the clients assisted by the program have multiple barriers for renting either on their own or with a subsidy. These barriers are inter-related and include **1) multiple diagnoses; 2) credit history; 3) rental history; and 4) criminal justice history.** Clients' multiple diagnoses, in addition to their HIV/AIDS status, include mental health and/or substance use/abuse issues. Multiple diagnoses impact negatively on the clients' credit, rental, and criminal justice histories. The mix of mental health issues and substance use/abuse prevents clients from using their better judgment in following house rules, paying rent on time, or getting along with others with whom they share a home or apartment. Since the difficulties mentioned above can result in eviction notices to clients, support services are crucial. In other instances, program staff must utilize their powers of persuasion to convince landlords to rent to clients by emphasizing that case management support is available and provided as needed on an ongoing basis to resolve issues immediately as they arise. Regular meetings with the housing staff and case managers ensure that housing clients receive the assistance, guidance, and support needed for successful long term tenancies and improved health.

To alleviate the difficulties clients with criminal records experience in renting, and to safeguard their housing stability, AIDS Services and housing staff refer clients, whenever possible, to appropriate legal aid agencies for help in expunging criminal records and/or in clearing poor credit and rental histories.

**D. Technical Assistance.** Describe any technical assistance needs and how they will benefit program beneficiaries.

## Section 9: Appendices

### E. Unmet Housing Need: Assessment of Unmet Housing Needs for HOPWA eligible Households.

In Chart 1, please identify your service area. If your service area operates within an area also served by HOPWA formula funds, check the box in Row a. If your service area is not also served by HOPWA formula funds, check the box in Row b.

Note: For help determining whether or not a formula HOPWA programs operates within your service area, go to [[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/aidshousing/programs/formula](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/aidshousing/programs/formula)].

#### 1. Service Area

a. Program operates within an area also served with HOPWA formula funds <i>[Completing Chart 2, Planning Estimate for Area's Unmet Needs for HOPWA-eligible households is optional for this group of competitive grantees]</i>	<input checked="" type="checkbox"/>
b. Program operates in an area that is not eligible for HOPWA formula funds <i>[This group of competitive grantees must complete Chart 2]</i>	<input type="checkbox"/>

#### 2. Planning Estimate of Area's Unmet Needs for HOPWA-eligible Households

In Chart 2 Row 1, provide an assessment of the total number of HOPWA-eligible households that require housing subsidy assistance, but are not served by any HOPWA-funded housing subsidy assistance programs in this service area. In Rows a. through c. enter the total number of HOPWA-eligible households by type of housing subsidy assistance needed. Do not include clients who are already receiving HOPWA-funded housing subsidy assistance.

Refer to Chart 3, and check all sources consulted to calculate unmet need. Reference any data from neighboring states' or municipalities' Consolidated Plan or other planning efforts that informed the assessment of Unmet Need in your service area.

1. Total number of households that have unmet housing subsidy assistance need.	190
2. From the total reported in #1, identify the number of households with unmet housing needs by type of housing subsidy assistance:	
a. Tenant-Based Rental Assistance (TBRA)	190
b. Short-Term Rent, Mortgage and Utility payments (STRMU)	
• Assistance with rental costs	
• Assistance with mortgage payments	
• Assistance with utility costs	
c. Housing Facilities, such as community residences, SRO dwellings, other housing facilities	

### 3. Recommended Data Sources for Assessing Unmet Need (check all sources used)

<input type="checkbox"/>	= Data as reported in the area Consolidated Plan, e.g. in Table IB, CPMP charts, and related narratives
<input type="checkbox"/>	= Data established by area HIV/AIDS housing planning and coordination efforts, e.g. Continuum of Care
<input type="checkbox"/>	= Data from client information provided in Homeless Management Information Systems (HMIS)
<input checked="" type="checkbox"/>	= Data from project sponsors or housing providers, including waiting lists for assistance or other assessments on needs
<input type="checkbox"/>	= Data from prisons or jails in the community on persons being discharged with HIV/AIDS, if mandatory testing is conducted
<input type="checkbox"/>	= Data from local Ryan White Planning Councils or reported in CARE Act Data Reports, e.g. number of clients with permanent housing
<input type="checkbox"/>	= Data collected for HIV/AIDS surveillance reporting or related care assessments, e.g. local health department or CDC surveillance data

End of Part 2

## Section 9: Appendices

**Part 3: Summary Overview of Grant Activities**  
**A. Information on Individuals, Beneficiaries, and Households Receiving HOPWA Housing Subsidy Assistance (TBRA, STRMU, Facility-Based Units, Permanent Housing Placement and Master Leased Units Only. Do not count Supportive Services in this section)**

*Note: Reporting for this section should include ONLY those individuals, beneficiaries, or households that received and/or resided in a household that received HOPWA Housing Subsidy Assistance as reported in Part 3C, Chart 1, Row 7 (e.g., do not include households that received HOPWA supportive services ONLY).*

**Section 1. Individuals**

**a. Total HOPWA eligible individuals\*receiving HOPWA Housing Subsidy Assistance**

In Chart a., provide the total number of eligible (and unduplicated) low-income individuals living with HIV/AIDS who qualified their household to receive HOPWA housing subsidy assistance during the operating year. This total should include only the individual who qualified the household for HOPWA housing subsidy assistance but NOT all HIV positive individuals in the household.

Individuals Served with HOPWA Housing Subsidy Assistance	Total Number
Number of individuals with HIV/AIDS who qualified their household to receive HOPWA housing subsidy assistance	22

*\*See definition section for clarification on HOPWA eligible individuals*

**b. Prior Living Situation**

In chart b., Indicate the prior living arrangements for all the individuals reported in Chart a. In Row 1, report the total number of individuals who continued to receive HOPWA housing subsidy assistance from the prior operating year into this operating year. In Rows 2 through 17, indicate the prior living arrangements for all new HOPWA housing subsidy assistance recipients during the operating year.

*Data Check: The total number of eligible individuals served in Row 18 equals the total number of individuals served through HOPWA housing subsidy assistance reported in Chart a. above.*

	Category	Total HOPWA Eligible Individuals Receiving HOPWA Housing Subsidy Assistance
1.	Continuing to receive HOPWA housing subsidy assistance from the prior operating year	16
<b>New Individuals who received HOPWA Housing Subsidy Assistance support during Operating Year</b>		
2.	Place not meant for human habitation (such as a vehicle, abandoned building, bus/train/subway station/airport, or outside)	
3.	Emergency shelter (including hotel, motel, or campground paid for with emergency shelter voucher)	
4.	Transitional housing for homeless persons	
5.	Total number new individuals who received HOPWA Housing Subsidy Assistance with a Prior Living Situation that meets HUD definition of homelessness (Sum of Rows 2 – 4)	
6.	Permanent housing for formerly homeless persons (such as Shelter Plus Care, SHP, or SRO Mod Rehab)	
7.	Psychiatric hospital or other psychiatric facility	
8.	Substance abuse treatment facility or detox center	
9.	Hospital (non-psychiatric facility)	
10.	Foster care home or foster care group home	
11.	Jail, prison or juvenile detention facility	
12.	Rented room, apartment, or house	6
13.	House you own	
14.	Staying or living in someone else's (family and friends) room, apartment, or house	
15.	Hotel or motel paid for by individual	
16.	Other	
17.	Don't Know or Refused	
18.	<b>TOTAL of HOPWA Eligible Individuals( Sum of Rows 1 and 5-17)</b>	<b>22</b>

## Section 9: Appendices

### c. Homeless Individuals Summary

In Chart c., indicate the number of HOPWA eligible individuals reported as homeless in Chart b., Row 5 who are also identified as homeless Veterans and/or meet the definition for Chronically Homeless (See Definition section of APR). The totals in Chart c. do not need to equal the total in Chart b., Row 5.

Category	Homeless Veteran(s)	Chronically Homeless
HOPWA eligible individuals served with HOPWA Housing Subsidy Assistance		

### Section 2. Beneficiaries

In Chart a., report the total number of HOPWA eligible individuals living with HIV/AIDS who received HOPWA housing subsidy assistance (as reported in Part 3A, Section 1, Chart a.), and all associated members of their household who benefitted from receiving HOPWA housing subsidy assistance (resided with HOPWA eligible individuals).

*Note: See definition of HOPWA Eligible Individual.*

*Note: See definition of Beneficiaries.*

*Note: See definition of Transgender.*

*Note: The sum of each of the Charts b. & c. on the following two pages equals the total number of beneficiaries served with HOPWA housing subsidy assistance as determined below in Chart a., Row 4 below.*

#### a. Total Number of Beneficiaries Served with HOPWA Housing Subsidy Assistance

Individuals and Families Served with HOPWA Housing Subsidy Assistance	Total Number
1. Number of individuals with HIV/AIDS who qualified the household to receive HOPWA housing subsidy assistance (equals the number of HOPWA Eligible Individuals reported in Part 3A, Section 1, Chart a, Row 7)	22
2. Number of ALL other persons diagnosed as HIV positive who reside with the HOPWA eligible individuals identified in Row 1 and who benefitted from the HOPWA housing subsidy assistance	3
3. Number of ALL other persons not diagnosed as HIV positive who reside with the HOPWA eligible individual identified in Row 1 and who benefited from the HOPWA housing subsidy	30
4. TOTAL Number of ALL Beneficiaries Served with HOPWA Housing Subsidy Assistance (Sum of Rows 1, 2, & 3)	55

## Section 9: Appendices

### b. Age and Gender

In Chart b., indicate the Age and Gender of all beneficiaries as reported in Chart a. directly above. Report the Age and Gender of all HOPWA Eligible Individuals (those reported in Chart a., Row 1) using Rows 1-5 below and the Age and Gender of all other beneficiaries (those reported in Chart a., Rows 2 and 3) using Rows 6-10 below. The number of individuals reported in Row 11, Column E. equals the total number of beneficiaries reported in Chart a., Row 4.

HOPWA Eligible Individuals (Chart a, Row 1)						
		A.	B.	C.	D.	E.
		Male	Female	Transgender M to F	Transgender F to M	TOTAL (Sum of Columns A-D)
1.	Under 18					
2.	18 to 30 years		0			0
3.	31 to 50 years	9	10			19
4.	51 years and Older	9	0			9
5.	Subtotal (Sum of Rows 1-4)	18	12			30
All-Other Beneficiaries (Chart a, Rows 2 and 3)						
		A.	B.	C.	D.	E.
		Male	Female	Transgender M to F	Transgender F to M	TOTAL (Sum of Columns A-D)
6.	Under 18	11	10			21
7.	18 to 30 years	9	2			11
8.	31 to 50 years	0	9			9
9.	51 years and Older	0				0
10.	Subtotal (Sum of Rows 6-9)	20	21			41
Total Beneficiaries (Chart a, Row 4)						
11.	TOTAL (Sum of Rows 5 & 10)	38	33			71

## Section 9: Appendices

### c. Race and Ethnicity\*

In Chart c., indicate the Race and Ethnicity of all beneficiaries receiving HOPWA Housing Subsidy Assistance as reported in Section 2, Chart a., Row 4. Report the race of all HOPWA eligible individuals in Column [A]. Report the ethnicity of all HOPWA eligible individuals in column [B]. Report the race of all other individuals who benefitted from the HOPWA housing subsidy assistance in column [C]. Report the ethnicity of all other individuals who benefitted from the HOPWA housing subsidy assistance in column [D]. The summed total of columns [A] and [C] equals the total number of ALL Beneficiaries reported above in Section 2, Chart a., Row 4.

Category	HOPWA Eligible Individuals		All Other Beneficiaries	
	[A] Race [all individuals reported in Section 2, Chart a., Row 1]	[B] Ethnicity [Also identified as Hispanic or Latino]	[C] Race [total of individuals reported in Section 2, Chart a., Rows 2 & 3]	[D] Ethnicity [Also identified as Hispanic or Latino]
1. American Indian/Alaskan Native	1			
2. Asian	2		3	
3. Black/African American	8		8	
4. Native Hawaiian/Other Pacific Islander				
5. White	3	1	14	5
6. American Indian/Alaskan Native & White	1	1		
7. Asian & White				
8. Black/African American & White			2	
9. American Indian/Alaskan Native & Black/African American				
10. Other Multi-Racial – UNREPORTED	7	7	5	5
11. Column Totals (Sum of Rows 1-10)	22	9	33	10

*Data Check: Sum of Row 11 Column A and Row 11 Column C equals the total number HOPWA Beneficiaries reported in Part 3A, Section 2, Chart a., Row 4.*

\*Reference (data requested consistent with Form HUD-27061 Race and Ethnic Data Reporting Form)

### Section 3. Households

#### Household Area Median Income

Report the area median income(s) for all households served with HOPWA housing subsidy assistance.

*Data Check: The total number of households served with HOPWA housing subsidy assistance should equal Part 3C, Row 7, Column [1] and Part 3A, Section 1, Chart a. (Total HOPWA Eligible Individuals Served with HOPWA Housing Subsidy Assistance).*

*Note: Refer to [http://www.huduser.org/portal/datasets/il/il2010/select\\_Geography\\_mfi.odn](http://www.huduser.org/portal/datasets/il/il2010/select_Geography_mfi.odn) for information on area median income in your community.*

Percentage of Area Median Income		Households Served with HOPWA Housing Subsidy Assistance
1.	0-30% of area median income (extremely low)	21
2.	31-50% of area median income (very low)	1
3.	51-80% of area median income (low)	
4.	Total (Sum of Rows 1-3)	22

# Section 9: Appendices



**Part 3: Summary Overview of Grant Activities**  
**B. Sources of Leveraging and Program Income**

**1. Sources of Leveraging**

Report the source(s) of cash or in-kind leveraged federal, state, local or private resources identified in the Consolidated or Annual Plan, or grant proposal/renewal application and used in the delivery of the HOPWA program and the amount of leveraged dollars. In Column [1], identify the type of leveraging. Some common sources of leveraged funds have been provided as a reference point. You may add Rows as necessary to report all sources of leveraged funds. Include Resident Rent payments paid by clients directly to private landlords. Do NOT include rents paid directly to a HOPWA program as this will be reported in the next section. In Column [2] report the amount of leveraged funds expended during the operating year. Use Column [3] to provide some detail about the type of leveraged contribution (e.g., case management services or clothing donations). In Column [4], check the appropriate box to indicate whether the leveraged contribution was a housing subsidy assistance or another form of support.

**a. Source of Leveraging Chart**

[1] Source of Leveraging	[2] Amount of Leveraged Funds	[3] Type of Contribution	[4] Housing Subsidy Assistance or Other Support
Public Funding			
Ryan White-Housing Assistance			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Ryan White-Other			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Housing Choice Voucher Program			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Low Income Housing Tax Credit			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
HOME			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Shelter Plus Care			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Emergency Solutions Grant			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public: Santa Clara County General Fund	\$326,550	Case Management & Subsidy	<input checked="" type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Other Public:			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public:			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public:			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public:			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Private Funding			
Grants			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
In-kind Resources			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Private: Donations	\$924	Emergency Fund assistance	<input type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Other Private:			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Funding			
Grantee/Project Sponsor/Subrecipient (Agency) Cash			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Resident Rent Payments by Client to Private Landlord	\$54,395		
<b>TOTAL (Sum of all Rows)</b>	<b>\$381,869</b>		

## Section 9: Appendices



### 2. Program Income and Resident Rent Payments

In Section 2, Chart a., report the total amount of program income and resident rent payments directly generated from the use of HOPWA funds, including repayments. Include resident rent payments collected or paid directly to the HOPWA program. Do NOT include payments made directly from a client household to a private landlord.

*Note: Please see report directions section for definition of program income. (Additional information on program income is available in the HOPWA Grantee Oversight Resource Guide).*

#### a. Total Amount Program Income and Resident Rent Payment Collected During the Operating Year

Program Income and Resident Rent Payments Collected		Total Amount of Program Income (for this operating year)
1.	Program income (e.g. repayments)	\$6646
2.	Resident Rent Payments made directly to HOPWA Program	
3.	<b>Total Program Income and Resident Rent Payments (Sum of Rows 1 and 2)</b>	<b>\$6646</b>

#### b. Program Income and Resident Rent Payments Expended To Assist HOPWA Households

In Chart b., report on the total program income and resident rent payments (as reported above in Chart a.) expended during the operating year. Use Row 1 to report Program Income and Resident Rent Payments expended on Housing Subsidy Assistance Programs (i.e., TBRA, STRMU, PHP, Master Leased Units, and Facility-Based Housing). Use Row 2 to report on the Program Income and Resident Rent Payment expended on Supportive Services and other non-direct Housing Costs.

Program Income and Resident Rent Payment Expended on HOPWA programs		Total Amount of Program Income Expended (for this operating year)
1.	Program Income and Resident Rent Payment Expended on Housing Subsidy Assistance costs	\$6646
2.	Program Income and Resident Rent Payment Expended on Supportive Services and other non-direct housing costs	
3.	<b>Total Program Income Expended (Sum of Rows 1 and 2)</b>	<b>\$6646</b>

## Section 9: Appendices

### Part 3: Summary Overview of Grant Activities

#### C. Performance and Expenditure Information

Report the total number of households that received HOPWA assistance and the amount of HOPWA funds expended for each program activity provided. In each activity section, the total Row must contain an **unduplicated** total number of households assisted. An adjustment for duplication Row is provided in each section to ensure that the total is correct.

*Note: See definition section for more information about Adjustment for Duplication.*

*Data Check: Data in this section is summarized from all project sponsors/subrecipients PART 5A-E submissions and therefore should match the combined total for those submissions. HOPWA housing subsidy assistance, supportive services, and housing placement activities are measured in households served while housing development activities are measured in units developed.*

#### 1. Performance and Expenditure Information by Activity Type

HOPWA Housing Subsidy Assistance		[1] Outputs: Number of Households	[2] Outputs: Amount of HOPWA Funds Expended
1.	Tenant-Based Rental Assistance	22	\$238,147
2a.	Permanent Housing Facilities: Received Operating Subsidies/Leased units		
2b.	Transitional/Short-term Facilities: Received Operating Subsidies/Leased units		
3a.	Permanent Housing Facilities: Capital Development Projects placed in service during the operating year		
3b.	Transitional/Short-term Facilities: Capital Development Projects placed in service during the operating year		
4.	Short-term Rent, Mortgage, and Utility Assistance		
5.	Permanent Housing Placement Services		
6.	Adjustment for duplication (subtract)		
7.	<b>TOTAL HOPWA Housing Subsidy Assistance (Column 1 equals sum of Rows 1-5 minus Row 6; Column 2 equals the sum of Rows 1-5)</b>	22	\$238,147
<b>Housing Development (Construction and Stewardship of Facility-Based Housing)</b>		<b>[1] Outputs: Number of Housing Units</b>	<b>[2] Outputs: Amount of HOPWA Funds Expended</b>
8.	Facility-Based Units; Capital Development Projects not yet opened		
9.	Stewardship units subject to 3- or 10- year use periods		
10.	<b>TOTAL Housing Development (Sum of Rows 8 and 9)</b>		
<b>Supportive Services</b>		<b>[1] Outputs: Number of Households</b>	<b>[2] Outputs: Amount of HOPWA Funds Expended</b>
11a.	Supportive Services provided by project sponsors/subrecipients that also delivered HOPWA housing assistance (as reported in Part 5D, 1a.)	99	\$69,328

**Section 9: Appendices**



11b.	Supportive Services provided by project sponsors/subrecipients that only provided supportive services (as reported in Part 5, D, 1b.)		
12.	Adjustment for duplication (subtract)		
13.	<b>TOTAL Supportive Services (Column 1 equals Sum of Rows 11a. &amp; 11b. minus Row 12; Column 2 equals Sum of Row 11a. &amp; 11b.)</b>	99	\$69,328
<b>Housing Information Services</b>		<b>[1] Outputs: Number of Households</b>	<b>[2] Outputs: Amount of HOPWA Funds Expended</b>
14.	Housing Information Services		
15.	<b>TOTAL Housing Information Services</b>		
<b>Grant Administration and Other Activities</b>		<b>[1] Outputs: Number of Households</b>	<b>[2] Outputs: Amount of HOPWA Funds Expended</b>
16.	Resource Identification to establish, coordinate and develop housing assistance resources		
17.	Technical Assistance (if approved in grant agreement)		
18.	Project Outcomes/Program Evaluation (if approved in grant agreement)		
19.	Grantee Administration (maximum 3% of total of HOPWA grant)		\$6,632.88
20.	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)		\$24,644
21.	Other Activity (if approved in grant agreement). Specify:		
22.	<b>TOTAL Grant Administration and Other Activities (Sum of Rows 16-21)</b>		\$31,276.88
<b>TOTAL Expended</b>			<b>[2] Amount of HOPWA Funds Expended</b>
23.	<b>TOTAL Expenditures (Sum of Rows 7, 10, 13, 15 &amp; 22)</b>		\$338,751.88

End of Part 3

# Section 9: Appendices



## Part 4: Summary of Performance Outcomes Housing Stability, Prevention of Homelessness, and Access to Care

In Column [1], report by type the total number of households that received HOPWA housing subsidy assistance. In Column [2], enter the number of households continuing to access each type of HOPWA housing subsidy assistance into the following year. In Column [3], report the housing status of all households that exited the program. *Note: Refer to the destination codes that appear in Part 6: Appendix: Worksheet on Determining HOPWA Outcomes and Connections with HMIS.*  
*Data Check: The sum of Columns [2] (Number of Households Continuing) and [3] (Exited Households) equals the total households reported in Column [1].*

### Section 1. Housing Stability: Assessment of Client Outcomes on Maintaining Housing Stability (Permanent Housing and Facilities) A. Permanent Housing Assistance

	[1] Output: Total Number of Households	[2] Assessment: Number of Households that Continued Receiving HOPWA Housing Subsidy Assistance into the Next Operating Year	[3] Assessment: Number of Households that exited this HOPWA Program; their Housing Status after Exiting	[4] HOPWA Client Outcomes	
Tenant-based Rental Assistance	22	20	1 Emergency Shelter/Streets	Unstable Arrangements	
			2 Temporary Housing	Temporarily Stable, with Reduced Risk of Homelessness	
			3 Private Housing	1	Stable/Permanent Housing (PH)
			4 Other HOPWA	0	
			5 Other Subsidy	0	
			6 Institution		Unstable Arrangements
			7 Jail/Prison		
			8 Disconnected/Unknown	1	
			9 Death		Life Event
Permanent Supportive Housing Facilities /Units			1 Emergency Shelter/Streets	Unstable Arrangements	
			2 Temporary Housing	Temporarily Stable, with Reduced Risk of Homelessness	
			3 Private Housing		Stable/Permanent Housing (PH)
			4 Other HOPWA		
			5 Other Subsidy		
			6 Institution		Unstable Arrangements
			7 Jail/Prison		
			8 Disconnected/Unknown		
			9 Death		Life Event

### B. Transitional Housing Assistance

	[1] Output: Total Number of Households	[2] Assessment: Number of Households that Continued Receiving HOPWA Housing Subsidy Assistance into the Next Operating Year	[3] Assessment: Number of Households that exited this HOPWA Program; their Housing Status after Exiting	[4] HOPWA Client Outcomes	
Transitional /Short-term Housing Facilities /Units		Total number of households that will continue in residences:	1 Emergency Shelter/Streets	Unstable Arrangements	
			2 Temporary Housing	Temporarily Stable, with Reduced Risk of Homelessness	
			3 Private Housing		Stable/Permanent Housing (PH)
			4 Other HOPWA		
			5 Other Subsidy		
			6 Institution		Unstable Arrangements
			7 Jail/Prison		
			8 Disconnected/unknown		
			9 Death		Life Event

## Section 9: Appendices

B1: Total number of households receiving transitional/short-term housing assistance whose tenure exceeded 24 months

### Section 2. Prevention of Homelessness: Assessment of Client Outcomes on Reduced Risks of Homelessness (Short-Term Rent, Mortgage, and Utility Assistance)

Report the total number of households that received STRMU assistance in Column [1].

In Column [2], identify the outcomes of the households reported in Column [1] either at the time that they were known to have left the STRMU program or through the project sponsor or subrecipient's best assessment for stability at the end of the operating year.

Column [3] provides a description of housing outcomes; therefore, data is not required.

At the bottom of the Chart:

- In Row 1a., report those households that received STRMU assistance during the operating year of this report, and the prior operating year.
- In Row 1b., report those households that received STRMU assistance during the operating year of this report, and the two prior operating years.

*Data Check: The total households reported as served with STRMU in Column [1] equals the total reported in Part 3C, Chart 1, Row 4, Column [1].*

*Data Check: The sum of Column [2] should equal the number of households reported in Column [1].*

#### Assessment of Households that Received STRMU Assistance

[1] Output: Number of Households	[2] Assessment: Housing Status	[3] HOPWA Client Outcomes
	Maintain private housing <u>without</u> subsidy <i>(e.g. Assistance provided/completed and client is stable, not likely to seek additional support)</i>	Stable/Permanent Housing (PH)
	Other Private Housing without subsidy <i>(e.g. client switched housing units and is now stable, not likely to seek additional support)</i>	
	Other HOPWA Housing Subsidy Assistance (PH)	
	Other Housing Subsidy (PH)	
	Institution <i>(e.g. residential and long-term care)</i>	
	Likely that additional STRMU is needed to maintain current housing arrangements	Temporarily Stable, with Reduced Risk of Homelessness
	Transitional Facilities/Short-term <i>(e.g. temporary or transitional arrangement)</i>	
	Temporary/Non-Permanent Housing arrangement <i>(e.g. gave up lease, and moved in with family or friends but expects to live there less than 90 days)</i>	
	Emergency Shelter/street	Unstable Arrangements
	Jail/Prison	
	Disconnected	
	Death	Life Event
1a. Total number of those households that received STRMU Assistance in the operating year of this report that also received STRMU assistance in the prior operating year (e.g. households that received STRMU assistance in two consecutive operating years).		

## Section 9: Appendices

1b. Total number of those households that received STRMU Assistance in the operating year of this report that also received STRMU assistance in the two prior operating years (e.g. households that received STRMU assistance in three consecutive operating years).	
--	--

## Section 9: Appendices



### Section 3. Access to Care and Support: Assessment of Client Outcomes on Access to Care and Support

#### 1a. Total Number of Households

Line [1]: For project sponsors/subrecipients that provided HOPWA housing subsidy assistance during the operating year, identify in the appropriate row the number of households that received HOPWA-funded housing subsidy assistance (TBRA, STRMU, Facility-Based, Permanent Housing Placement Services and Master Leasing) and HOPWA-funded case management services. Use Row c. to adjust for duplication among the service categories and row d. to provide an unduplicated household total.

Line [2]: For project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance identify in the appropriate row, the number of households that received HOPWA funded case management services.

*Note: These numbers will help you to determine which clients to report Access to Care and Support Outcomes for and will be used by HUD as a basis for analyzing the percentage of households who demonstrated or maintained connections to care and support as identified in Chart 1b. below.*

Total Number of Households	
1. For Project Sponsors/Subrecipients that provided HOPWA Housing Subsidy Assistance: Identify the total number of households that received the following HOPWA-funded services:	
a. Housing Subsidy Assistance(duplicated)- TBRA, STRMU, PHP, Facility-Based Housing, and Master Leasing	22
b. Case Management	99
c. Adjustment for duplication (subtraction)	-22
d. Total Households Served by Project Sponsors/Subrecipients with HOPWA Housing Subsidy Assistance (Sum of Rows a. & b. minus Row c.)	99
2. For Project Sponsors/Subrecipients did NOT provide HOPWA Housing Subsidy Assistance: Identify the total number of households that received the following HOPWA-funded service:	
a. Case Management	
b. Total Households Served by Project Sponsors/Subrecipients without Housing Subsidy Assistance	

#### 1b. Status of Households Accessing Care and Support

Column [1]: Of the households identified as receiving services from project sponsors/subrecipients that provide HOPWA housing subsidy assistance as identified in Chart 1a., Row 1d. above, report the number of households that demonstrated access or maintained connections to care and support within the program year.

Column [2]: Of the households identified as receiving services from project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance as reported in Chart 1a., Row 2b.; report the number of households that demonstrated improved access or maintained connections to care and support within the program year.

*Note: For information on types and sources of income and medical insurance/assistance, refer to Charts below.*

Categories of Services Accessed	[1] For project sponsors/subrecipients that provided HOPWA housing subsidy assistance, identify the households who demonstrated the following:	[2] For project sponsors/subrecipients that did NOT provide housing subsidy assistance, identify the households who demonstrated the following:	Outcome Indicator
1. Has a housing plan for maintaining or establishing stable on-going housing	99		Support for Stable Housing
2. Had contact with a case manager/benefits counselor consistent with the schedule specified in client's individual service plan (may include leveraged services such as Ryan White Medical Case Management)	99		Access to Support
3. Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan	96		Access to Health Care
4. Accessed and maintained medical insurance/assistance	99		Access to Health Care
5. Successfully accessed or maintained qualification for sources of income	86		Sources of Income

Chart 1b., Row 4: Sources of Medical Insurance and Assistance include, but are not limited to the following (Reference

## Section 9: Appendices

only)

<ul style="list-style-type: none"> <li>• MEDICAID Health Insurance Program, or use local program name</li> <li>• MEDICARE Health Insurance Program, or use local program name</li> </ul>	<ul style="list-style-type: none"> <li>• Veterans Affairs Medical Services</li> <li>• AIDS Drug Assistance Program (ADAP)</li> <li>• State Children's Health Insurance Program (SCHIP), or use local program name</li> </ul>	<ul style="list-style-type: none"> <li>• Ryan White-funded Medical or Dental Assistance</li> </ul>
--	--	--

Chart 1b., Row 5: Sources of Income include, but are not limited to the following (*Reference only*)

<ul style="list-style-type: none"> <li>• Earned Income</li> <li>• Veteran's Pension</li> <li>• Unemployment Insurance</li> <li>• Pension from Former Job</li> <li>• Supplemental Security Income (SSI)</li> </ul>	<ul style="list-style-type: none"> <li>• Child Support</li> <li>• Social Security Disability Income (SSDI)</li> <li>• Alimony or other Spousal Support</li> <li>• Veteran's Disability Payment</li> <li>• Retirement Income from Social Security</li> <li>• Worker's Compensation</li> </ul>	<ul style="list-style-type: none"> <li>• General Assistance (GA), or use local program name</li> <li>• Private Disability Insurance</li> <li>• Temporary Assistance for Needy Families (TANF)</li> <li>• Other Income Sources</li> </ul>
---	--	--

### 1c. Households that Obtained Employment

Column [1]: Of the households identified as receiving services from project sponsors that provided HOPWA housing subsidy assistance as identified in Chart 1a., Row 1d. above, report on the number of households that include persons who obtained an income-producing job during the operating year that resulted from HOPWA-funded job training, employment assistance, education or related case management/counseling services.

Column [2]: Of the households identified as receiving services from project sponsors that did NOT provide HOPWA housing subsidy assistance as reported in Chart 1a., Row 2b., report on the number of households that include persons who obtained an income-producing job during the operating year that resulted from HOPWA-funded job training programs, employment assistance, education or related case management/counseling services.

*Note: This includes jobs created by project sponsors or obtained from an outside agency.*

*Note: Do not include jobs that resulted from leveraged job training, employment assistance, education or case management/counseling services.*

Categories of Services Accessed	[1] For project sponsors/subrecipients that provided HOPWA housing subsidy assistance, identify the households who demonstrated the following:	[2] For project sponsors/subrecipient that did NOT provide HOPWA housing subsidy assistance, identify the households who demonstrated the following:
Total number of households that obtained an income-producing job	4	

End of Part 4

## Section 9: Appendices

### Part 5A: Summary of Each Project Sponsor/Subrecipient Information

For each project sponsor or subrecipient, please complete the entirety of Parts 5A-E. Order the report as Part 5A-E for Project Sponsor/Subrecipient 1, then Part 5A-E for Project Sponsor/Subrecipient 2, etc.

*Note: If the grantee undertakes service delivery activities directly, complete the respective performance sections (Parts 5A-E) for all activities conducted by the grantee.*

In Chart 1, provide the following information for organizations designated or selected to serve as a project sponsors, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Subrecipient data is reported in Chart 2 (see definitions for more information regarding the distinction between a subrecipient and a project sponsor).*

*Note: If any information is not applicable to the organization, please report N/A in the appropriate box. Do not leave boxes blank.*

#### 1. Project Sponsor Information

Project Sponsor Agency Name The Health Trust AIDS Services		Parent Company Name, if applicable The Health Trust		
Name and Title of Contact at Project Sponsor Agency	Leslie Perez-Ortiz, Director, AIDS Services Program			
Email Address	lesliep@healthtrust.org			
Business Address	Sobrato Center for NonProfits-San Jose, 1460 Parkmoor Ave., Suite 230			
City, County, State, Zip,	San Jose	Santa Clara	CA	95126
Phone Number (with area code)	408-961-9835		Fax Number (with area code) 408-961-9856	
Employer Identification Number (EIN) or Tax Identification Number (TIN)	94-6050231			
DUN & Bradstreet Number (DUNS)	011506016			
Congressional District of Sponsor's Business Address	15			
Congressional District(s) of Primary Service Area	11,14,15,16			
City(ies) and County(ies) of Primary Service Area	Cities: Campbell, Gilroy, Los Gatos, Milpitas, Mt. View, San Jose, Santa Clara, Sunnyvale		Counties: Santa Clara County	
Total HOPWA contract amount for this Organization for the operating year	\$415,464			
Organization's Website Address www.healthtrust.org	Does your organization maintain a waiting list? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Is the sponsor a nonprofit organization?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Please check if yes and a faith-based organization	<input type="checkbox"/>			
Please check if yes and a grassroots organization	<input type="checkbox"/>			

## Section 9: Appendices

### 2. Program Subrecipient Information

Complete the following information for each subrecipient organization providing HOPWA-funded services to client households. These organizations would hold a contract/agreement with a project sponsor(s) to provide these services. For example, a subrecipient organization may receive funds from a project sponsor to provide nutritional services for clients residing within a HOPWA facility-based housing program. Please note that subrecipients who work directly with client households must complete Part 5, Sections A-E of the APR.

*Note: Please see the definition of a subrecipient for more information.*

*Note: Types of contracts/agreements may include: grants, sub-grants, loans, awards, cooperative agreements, and other forms of financial assistance; and contracts, subcontracts, purchase orders, task orders, and delivery orders.*

*Note: If any information is not applicable to the organization, please report N/A in the appropriate box. Do not leave boxes blank.*

Sub-recipient Name		Parent Company Name, if applicable	
Name and Title of Contact at Contractor/ Sub-contractor Agency			
Email Address			
Business Address			
City, County, State, Zip			
Phone Number (include area code)		Fax Number (include area code)	
Employer Identification Number (EIN) or Tax Identification Number (TIN)			
DUN & Bradstreet Number (DUNs)			
North American Industry Classification System (NAICS) Code			
Congressional District of the Sub-recipient's Business Address			
Congressional District(s) of Primary Service Area			
City(ies) and County(ies) of Primary Service Area		Cities:	Counties:
Total HOPWA Subcontract Amount of this Organization for the operating year			
Organization's Website Address		Does your organization maintain a waiting list? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		If yes, explain in the narrative section how this list is administered.	
Is the sponsor a nonprofit organization? <input type="checkbox"/> Yes <input type="checkbox"/> No		Does your organization maintain a waiting list? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Please check if yes and a faith-based organization <input type="checkbox"/>		If yes, explain in the narrative section how this list is administered.	
Please check if yes and a grassroots organization <input type="checkbox"/>			

## Section 9: Appendices

**Part 5: Summary of Each Project Sponsor(s)/Subrecipient(s) Information**  
**B. Rental Assistance, Short-Term Rent, Mortgage and Utility Assistance Programs and Permanent Housing Placement Assistance**

**1. Rental Assistance (RA)**

Enter the total number of households served in Column [1] and the amount of HOPWA funds expended Column [2] by the project sponsor/subrecipient on RA.

HOPWA Housing Subsidy Assistance Category: RA		[1] Output: Number of Households Served	[2] Output: Total HOPWA Funds Expended during Operating Year by Project Sponsor/Subrecipient
a.	Tenant-based rental assistance (TBRA)	22	\$238,147
b.	Other Rental Assistance (RA) Programs (if approved in grant agreement)		
c.	Direct program delivery costs (e.g., program staff time)		\$69,328
d.	TOTAL Rental Housing Assistance (For Column [1] sum of Row a. & Row b., for Column [2] sum of rows a. - c.)	22	\$307,475

**2. Short-Term Rent, Mortgage and Utility Assistance (STRMU)**

In Row a., enter the total number of households served and the amount of HOPWA funds expended by each project sponsor or subrecipient on Short Term Rent, Mortgage, and Utility assistance (STRMU).

In Row b., enter the total number of STRMU assisted households that received assistance with mortgage costs only (no utility costs) and the amount expended by the project sponsor/subrecipient assisting these households. In Row c., enter the total number of STRMU assisted households that received assistance with both mortgage and utility costs and the amount expended by the project sponsor assisting these households. In Row d., enter the total number of STRMU assisted households that received assistance with rental costs only (no utility costs) and the amount expended by the project sponsor/subrecipient assisting these households. In Row e., enter the total number of STRMU assisted households that received assistance with both rental and utility costs and the amount expended by the project sponsor/subrecipient assisting these households. In Row f., enter the total number of STRMU assisted households that received assistance with utility costs only (not including rent or mortgage costs) and the amount expended by the project sponsor/subrecipient assisting these households. In row g., report the amount of STRMU funds expended to support direct program costs such as program operation staff.

*Data Check: The total households reported as served with STRMU in Row a., column [1] and the total amount of HOPWA funds reported as expended in Row a., column [2] equals the household and expenditure total reported for STRMU in Part 3C, Chart 1, Row 4.*

*Data Check: The total number of households reported in Column [1], Rows b., c., d., e., and f. should equal the total number of STRMU households reported in Column [1], Row a. The total amount reported as expended in Column [2], Rows b., c., d., e., f., and g. should equal the total amount of STRMU expenditures reported in Column [2], Row a.*

Housing Subsidy Assistance Categories (STRMU)		[1] Output: Number of Households Served	[2] Output: Total HOPWA Funds Expended on STRMU during Operating Year
a.	Total Short-term mortgage, rent and/or utility (STRMU) assistance		
b.	Of the total STRMU reported on Row a, total who received assistance with mortgage costs ONLY.		
c.	Of the total STRMU reported on Row a, total who received assistance with mortgage and utility costs.		
d.	Of the total STRMU reported on Row a, total who received assistance with rental costs ONLY.		
e.	Of the total STRMU reported on Row a, total who received assistance with rental and utility costs.		
f.	Of the total STRMU reported on Row a, total who received assistance with utility costs ONLY.		

## Section 9: Appendices

g.	Direct program delivery costs (e.g., program operations staff time)	
----	---	--

### 3. Permanent Housing Placement Services

In Row a., Column [1] report the households served with HOPWA-funded Permanent Housing Placement Assistance and in Row a, Column [2] report the HOPWA funds expended on Permanent Housing Placement Services. Use Row b. to report on direct program delivery costs used to operate the Permanent Housing Placement Program. Use Row c., to report household and expenditure totals for Permanent Housing Placement Services.

HOPWA Housing Subsidy Assistance Category: Permanent Housing Placement Assistance		[1] Output: Number of Households Served	[2] Output: Total HOPWA Funds Expended during Operating Year by Project Sponsor/Subrecipient
a.	Permanent Housing Placement Services		
b.	Direct program delivery costs (e.g., program staff time)		
c.	TOTAL Permanent Housing Placement Services (sum of Rows a. and b.)		

**Section 9: Appendices**



**Part 5: Summary of Each Project Sponsor(s)/Subrecipient(s) Information**  
**C. Facility-based Housing Assistance**

Complete one Part 5C for each facility developed and/or supported through HOPWA funds.

**Do not complete this Chart for programs originally developed with HOPWA funds but no longer supported with HOPWA funds.** If a facility was developed with HOPWA funds (subject to ten years of operation for acquisition, new construction and substantial rehabilitation costs of stewardship units, or three years for non-substantial rehabilitation costs), but HOPWA funds are no longer used to support the facility, the project sponsor/subrecipient should complete Section 5E: Annual Certification of Continued Usage for HOPWA Facility-Based Stewardship Units (ONLY).

Complete Charts 1a., Project Site Information, and 1b., Type of HOPWA Capital Development Project Units, for all Development Projects, including facilities that were past development projects, but-continued to receive HOPWA operating dollars this reporting year.

**1a. Project Site Information for HOPWA Capital Development of Projects Only (For Current or Past Capital Development Projects that receive HOPWA Operating Costs this reporting year)**

*Note: If units are scattered-sites, report on them as a group and under type of Facility write "Scattered Sites."*

Type(s) of Development this operating year	HOPWA Funds Expended this operating year (if applicable)	Non-HOPWA funds Expended (if applicable)	Name of Facility:
<input type="checkbox"/> New construction	\$	\$	<b>Type of Facility [Check only one box.]</b> <input type="checkbox"/> Permanent housing <input type="checkbox"/> Short-term Shelter or Transitional housing <input type="checkbox"/> Supportive services only facility
<input type="checkbox"/> Rehabilitation	\$	\$	
<input type="checkbox"/> Acquisition	\$	\$	
<input type="checkbox"/> Operating	\$	\$	
a. Purchase/lease of property:			Date (mm/dd/yy):
b. Rehabilitation/Construction Dates:			Date started: <span style="float:right">Date Completed:</span>
c. Operation dates:			Date residents began to occupy: <input type="checkbox"/> Not yet occupied
d. Date supportive services began:			Date started: <input type="checkbox"/> Not yet providing services
e. Number of units in the facility:			HOPWA-funded units == <span style="float:right">Total Units ==</span>
f. Is a waiting list maintained for the facility?			<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, number of participants on the list at the end of operating year</i>
g. What is the address of the facility (if different from business address)?			
h. Is the address of the project site confidential?	<input type="checkbox"/> Yes, protect information; do not publish list <input type="checkbox"/> No, can be made available to the public		

**1b. Number and Type of HOPWA Capital Development Project (For Current or Past Capital Development Projects that receive HOPWA Operating Costs this reporting year)**

For units entered above (1a) please list the number of HOPWA units that fulfill the following criteria:

	Number Designated for the Chronically Homeless	Number Designated to Assist the Homeless	Number of Energy-Star Compliant	Number 504 Accessible
Rental units constructed (new) and/or acquired with or without rehab				
Rental units rehabbed				

## Section 9: Appendices

Homeownership units constructed (if approved)				
---	--	--	--	--

**2. Number of Units Assisted in Types of Housing Facility/Units Leased or Operated by Project Sponsor or Subrecipient**  
**Charts 2a., 2b. and 3 are required for each facility.** In Charts 2a. and 2b., indicate the type of facility and number of units in it.

Indicate the type and number of housing units in the facility, including master leased units, project-based or other scattered site units leased by the organization, categorized by the number of bedrooms per unit. *Note: The number units may not equal the total number of households served.* Please complete separate charts for each housing facility assisted. Scattered site units may be grouped together on one page.

**a. Check one only.**

- Permanent Supportive Housing Facility/Units  
 Short-term Shelter or Transitional Supportive Housing Facility/Units

**b. Type of Facility**

Complete the following Chart for all facilities leased, master leased, project-based, or operated with HOPWA funds during the reporting year.

**Name of Project Sponsor/Agency Operating the Facility/Leased Units:**

Type of housing facility operated by the project sponsor/subrecipient	Total Number of <u>Units</u> Operated in the Operating Year Categorized by the Number of Bedrooms per Units					
	SRO/Studio/0 bdrm	1 bdrm	2bdrm	3 bdrm	4 bdrm	5+bdrm
a. Single room occupancy (SRO) dwelling						
b. Community Residence						
c. Project-based Rental Assistance Units or Leased Units (including Master-leased Units)						
d. Other housing facility <u>Specify:</u>						

**3. Households and Housing Expenditures**

Enter the total number of households served and the amount of HOPWA funds expended by the project sponsor/subrecipient on subsidies for housing involving the use of facilities, master leased units, project based or other scattered site units leased by the organization.

Housing Assistance Category: Facility Based Housing	Output: Number of Households Served	Output: Total HOPWA Funds Expended during Operating Year by Project Sponsor/Subrecipient
a. Leasing Costs		
b. Operating Costs		
c. Project-Based Rental Assistance (PBRA) or other leased units		
d. Other Activity (if approved in grant agreement) <u>Specify:</u>		
e. Adjustment to eliminate duplication (subtract)		

## Section 9: Appendices

f.	TOTAL Facility-Based Housing Assistance		
----	---	--	--

## Section 9: Appendices

### Part 5: Summary of Each Project Sponsor(s)/Subrecipient(s) Information D. Supportive Services and Other Activities

In this section, report on the use of HOPWA funds for supportive services and other activities.

In Chart 1, if the project sponsor/subrecipient provided both HOPWA funded supportive services AND HOPWA housing subsidy assistance check Box 1a. If the project sponsor/subrecipient provided supportive services but did not also provide HOPWA housing subsidy assistance, check Box 1b. If the project sponsor/subrecipient did not provide any HOPWA funded supportive services, check Box 1c.

#### 1. Type of Project Sponsor (Check one only)

a. Supportive Services are provided by project sponsor/subrecipient that also delivered HOPWA housing subsidy assistance (complete Chart 2 and 3)	<input checked="" type="checkbox"/>
b. Supportive Services provided by project sponsor/subrecipient who did NOT also provide HOPWA housing subsidy assistance (complete Chart 2 and 3)	<input type="checkbox"/>
c. Project sponsor/subrecipient does not provide HOPWA supportive services (complete only Chart 3 only)	<input type="checkbox"/>

#### 2. Listing of Supportive Services paid for with HOPWA funds provided by Project Sponsor/Subrecipient Agency

In Chart 2, project sponsors/subrecipients who provided HOPWA supportive services during the operating year (checked off Box 1a. or 1b. in Chart 1) should report the total of all households and expenditures for each type of HOPWA-funded supportive service delivered. Use Row 16 to adjust for duplication and Row 17 to provide an unduplicated household count. All project sponsors/subrecipients who provided supportive services with HOPWA funds during the operating year should report by supportive services activity type the number of households served and HOPWA dollars expended.

*Note: Every project sponsor/subrecipient who checked off Box 1a. or 1b. above should report households served and funds expended by supportive service type in Chart 2 below.*

Supportive Services	[1] Output: Number of Households	[2] Output: Amount of HOPWA Funds Expended
1. Adult day care and personal assistance		
2. Alcohol and drug abuse services		
3. Case management	99	\$69,328
4. Child care and other child services		
5. Education		
6. Employment assistance and training		
7. Health/medical/intensive care services, if approved Note: Client records must conform with 24 CFR §574.310		
8. Legal services		
9. Life skills management (outside of case management)		
10. Meals/nutritional services		
11. Mental health services		
12. Outreach		
13. Transportation		
14. Other Activity (if approved in grant agreement). Specify:		
15. Sub-Total Households receiving Supportive Services (Sum of Rows 1-14)		
16. Adjustment for Duplication (subtract)		
17. TOTAL Households receiving Supportive Services (unduplicated) (Column [1] equals Row 15 minus Row 16; Column [2] equals sum of Rows 1-14)	99	\$69,328

## Section 9: Appendices

**3. Listing of Housing Information Services, Grant Administration, and Other Activities paid for with HOPWA funds**  
In Chart 3, all project sponsors/subrecipients should report Housing Information Services and Grant Administration and Other activities, as applicable. Use Chart 3, Rows 18 and 19 to report the number of unduplicated households receiving HOPWA housing information services and HOPWA dollars spent providing housing information services. Use Rows 20 through 24 to report HOPWA expenditures on other activities including Grant Administration.

*Note: The sum total reported in Row 26 includes the total supportive services dollars reported in Chart 2 Row, 17.*

Housing Information Services		[1] Output: Number of Households	[2] Output: Amount of HOPWA funds Expended
18.	Housing Information Services		
19.	<b>TOTAL Housing Information Services</b>		
Grant Administration and Other Activities		[1] Output: Number of Households	[2] Output: Amount of HOPWA funds Expended
20.	Resource Identification to establish, coordinate, and develop housing assistance resources		
21.	Technical Assistance to Community Residences		
22.	Project Outcomes/Program Evaluation (if approved)		
23.	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)		\$24,644
24.	Other Activity (if approved in grant agreement) Specify:		
25.	<b>TOTAL Grant Administration and Other Activities</b>		\$24,644
26.	<b>TOTAL Supportive Services and Grant Administration Expenditures (Sum of Chart 2, Row 17 and Chart 3, Rows 20 and 25)</b>		\$93,972

## Section 9: Appendices



**Part 5: Summary of Each Project Sponsor(s)/Subrecipient(s) Information**  
**E. Annual Certification of Continued Usage for HOPWA Facility-Based Stewardship Units (ONLY)**

The Annual Certification of Usage for HOPWA Facility-Based Stewardship Units is to be used in place of Section 5C of the APR if the facility was acquired, rehabilitated or constructed/developed in part with HOPWA funds but NO HOPWA funds were expended during the operating year. Scattered site units may be grouped together on one page.

Grantees that used HOPWA funding for new construction, acquisition, or substantial rehabilitation are required to operate their facilities for HOPWA eligible individuals for at least ten (10) years. If non-substantial rehabilitation funds were used they are required to operate for at least three (3) years. Stewardship begins once the facility is put into operation.

*Note: See definition of "Stewardship Units"*

**1. General information**

HUD Grant Number(s)	Operating Year for this report From (mm/dd/yy) To (mm/dd/yy) <input type="checkbox"/> Final Yr <input type="checkbox"/> Yr 1; <input type="checkbox"/> Yr 2; <input type="checkbox"/> Yr 3; <input type="checkbox"/> Yr 4; <input type="checkbox"/> Yr 5; <input type="checkbox"/> Yr 6; <input type="checkbox"/> Yr 7; <input type="checkbox"/> Yr 8; <input type="checkbox"/> Yr 9; <input type="checkbox"/> Yr 10;
Grantee Name	Date Facility Began Operations

**2. Number of Units and Non-HOPWA Expenditures**

Facility Name:	Number of Stewardship Units Developed with HOPWA funds	Amount of Non-HOPWA Funds Expended in support of the Stewardship Units during the Operating Year
Total Stewardship Units (subject to 3- or 10- year use periods)		

**3. Details of Project Site**

Project Sites: Name of HOPWA-funded project	
Site Information: Project Zip Code(s)	
Site Information: Congressional District(s)	
Is the address of the project site confidential?	<input type="checkbox"/> Yes, protect information; do not list <input type="checkbox"/> Not confidential; information can be made available to the public
If the site is not confidential: Please provide the contact information, phone, email address/location, if business address is different from facility address	

I certify that the facility that received assistance for acquisition, rehabilitation, or new construction from the Housing Opportunities for Persons with AIDS Program has operated as a facility to assist HOPWA-eligible persons from the date shown. I also certify that the grant is still serving the planned number of HOPWA-eligible households at this facility through other resources and all the requirements of the grant agreement are being satisfied.

*I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.*

Name & Title of Authorized Official of the organization that continues to operate the facility: <input type="text"/>	Signature & Date (mm/dd/yy)
Name & Title of Contact at Grantee Agency (person who can answer questions about the report and program) <input type="text"/>	Contact Phone (include area code)

## Section 9: Appendices

End of Part 5

### Part 6: Worksheet - Determining HOPWA Outcomes and Connections with HMIS

1. This Chart is designed to help you assess program results based on the information reported in Part 4. Completion of this worksheet is optional.

Permanent Housing Assistance	Stable Housing (# remaining in program plus 3+4+5+6)	Temporary Housing (2)	Unstable Arrangements (1+7+8)	Life Event (9)
Tenant-based Rental Assistance (TBRA)	21		1	
Permanent Facility-Based Housing Assistance/Units				
Transitional/Short-term Facility-Based Housing Assistance/Units				
Total Permanent HOPWA Housing Assistance	21		1	
<b>Reduced Risk of Homelessness: Short-Term Assistance</b>	<b>Stable/Permanent Housing</b>	<b>Temporarily Stable, with Reduced Risk of Homelessness</b>	<b>Unstable Arrangements</b>	<b>Life Events</b>
Short-term Rent, Mortgage, and Utility Assistance (STRMU)				
Total HOPWA Housing Assistance				

#### Background on HOPWA Housing Stability Codes

##### Stable Permanent Housing/Ongoing Participation

3 = Private Housing in the private rental or home ownership market (without known subsidy, including permanent placement with families or other self-sufficient arrangements) with reasonable expectation that additional support is not needed.

4 = Other HOPWA-funded housing assistance (not STRMU), e.g. TBRA or Facility-Based Assistance.

5 = Other subsidized house or apartment (non-HOPWA sources, e.g., Section 8, HOME, Public Housing).

6 = Institutional setting with greater support and continued residence expected (e.g., residential or long-term care facility).

##### Temporary Housing

2 = Temporary housing: moved in with family/friends or other short-term arrangement, such as Ryan White subsidy, transitional housing for homeless, or temporary placement in institution (e.g., hospital, psychiatric hospital or other psychiatric facility, substance abuse treatment facility or detox center).

##### Unstable Arrangements

1 = Emergency shelter or no housing destination such as places not meant for habitation (e.g., a vehicle, an abandoned building, bus/train/subway station, or anywhere outside).

7 = Jail /Prison.

8 = Disconnected or disappeared from project support, unknown destination or no assessments of housing needs were undertaken.

##### Life Event

9 = Death, i.e., remained in housing until death. This characteristic is not factored into the housing stability equation.

**Tenant-based Rental Assistance:** Stable Housing is the sum of the number of households that (i) remain in the housing and (ii) those that left the assistance as reported under: 3, 4, 5, and 6. Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

## Section 9: Appendices



**Permanent Facility-Based Housing Assistance:** Stable Housing is the sum of the number of households that (i) remain in the housing and (ii) those that left the assistance as shown as items: 3, 4, 5, and 6. Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

**Transitional/Short-Term Facility-Based Housing Assistance:** Stable Housing is the sum of the number of households that (i) continue in the residences (ii) those that left the assistance as shown as items: 3, 4, 5, and 6. Other Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

**Tenure Assessment.** A baseline of households in transitional/short-term facilities for assessment purposes, indicate the number of households whose tenure exceeded 24 months.

**STRMU Assistance:** Stable Housing is the sum of the number of households that accessed assistance for some portion of the permitted 21-week period and there is reasonable expectation that additional support is not needed in order to maintain permanent housing living situation (as this is a time-limited form of housing support) as reported under housing status: Maintain Private Housing with subsidy; Other Private with Subsidy; Other HOPWA support; Other Housing Subsidy; and Institution. Temporarily Stable, with Reduced Risk of Homelessness is the sum of the number of households that accessed assistance for some portion of the permitted 21-week period or left their current housing arrangement for a transitional facility or other temporary/non-permanent housing arrangement and there is reasonable expectation additional support will be needed to maintain housing arrangements in the next year, as reported under housing status: Likely to maintain current housing arrangements, with additional STRMU assistance; Transitional Facilities/Short-term; and Temporary/Non-Permanent Housing arrangements. Unstable Situation is the sum of number of households reported under housing status: Emergency Shelter; Jail/Prison; and Disconnected.

End of Part 6

## **4. Section 3 Reports**

# Section 9: Appendices



## Section 3 Summary Report

Economic Opportunities for  
Low – and Very Low-Income Persons

U.S. Department of Housing  
and Urban Development  
Office of Fair Housing  
And Equal Opportunity

OMB Approval No: 2529-0043  
(exp. 11/30/2010)

HUD Field Office: **San Francisco**

Section back of page for Public Reporting Burden statement

1. Recipient Name & Address: (street, city, state, zip) <b>City of San Jose 200 E. Santa Clara St., T-12 San Jose, CA 95113</b>		2. Federal Identification: (grant no.) <b>DUNS# 063541874</b>	3. Total Amount of Award: <b>\$2,358,038.00</b>
		4. Contact Person <b>Eric Calleja</b>	5. Phone: (Include area code) <b>(408) 975-2650</b>
		6. Length of Grant <b>n/a</b>	7. Reporting Period: <b>07/1/12 - 06/30/13</b>
8. Date Report Submitted: <b>9/30/2013</b>	9. Program Code: (Use separate sheet for each program code) <b>5</b>	10. Program Name: <b>HOME</b>	

**Part I: Employment and Training (\*\* Columns B, C and F are mandatory fields. Include New Hires in E & F)**

A Job Category	B Number of New Hires	C Number of New Hires that are Sec. 3 Residents	D % of Aggregate Number of Staff Hours of New Hires that are Sec. 3 Residents	E % of Total Staff Hours for Section 3 Employees and Trainees	F Number of Section 3 Trainees
Professionals	2	0	0	0	0
Technicians	0	0	0	0	0
Office/Clerical	0	0	0	0	0
Construction by Trade (List Trade	0	0	0	0	0
Trade					
Other (List)					
<b>Total</b>					

\* Program Codes  
1 = Flexible Subsidy  
2 = Section 202/811

3 = Public/Indian Housing  
A = Development,  
B = Operation  
C = Modernization

4 = Homeless Assistance  
5 = HOME  
6 = HOME State Administered  
7 = CDBG Entitlement

8 = CDBG State Administered  
9 = Other CD Programs  
10 = Other Housing Programs

# Section 9: Appendices



**Part II: Contracts Awarded**

1. Construction Contracts:

A. Total dollar amount of all contracts awarded on the project	\$ 0
B. Total dollar amount of contracts awarded to Section 3 businesses	\$ 0
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	0 %
D. Total number of Section 3 businesses receiving contracts	0

2. Non-Construction Contracts:

A. Total dollar amount all non-construction contracts awarded on the project/activity	\$ 200,000.00
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$ 0
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	0 %
D. Total number of Section 3 businesses receiving non-construction contracts	0

**Part III: Summary**

Indicate the efforts made to direct the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs, to the greatest extent feasible, toward low- and very low-income persons, particularly those who are recipients of government assistance for housing. (Check all that apply.)

- Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contracts with the community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
- Participated in a HUD program or other program which promotes the award of contracts to business concerns which meet the definition of Section 3 business concerns.
- Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
- Other; describe below.

Over this past fiscal year, the only new contracts awarded related to construction was \$100k for pre-dev. activities to bring a HOME-eligible project to fruition (is still in pre-development phase), and \$100k for CHDO operations.

NOTE - In every contract/agreement entered into with any CHDO/developer, Section 3 requirements are always stipulated and reporting requirements are reviewed.

Public reporting for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB number.

Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u, mandates that the Department ensures that employment and other economic opportunities generated by its housing and community development assistance programs are directed toward low- and very-low income persons, particularly those who are recipients of government assistance housing. The regulations are found at 24 CFR Part 135. The information will be used by the Department to monitor program recipients' compliance with Section 3, to assess the results of the Department's efforts to meet the statutory objectives of Section 3, to prepare reports to Congress, and by recipients as self-monitoring tool. The data is entered into a database and will be analyzed and distributed. The collection of information involves recipients receiving Federal financial assistance for housing and community development programs covered by Section 3. The information will be collected annually to assist HUD in meeting its reporting requirements under Section 808(e)(6) of the Fair Housing Act and Section 916 of the HCDA of 1992. An assurance of confidentiality is not applicable to this form. The Privacy Act of 1974 and OMB Circular A-108 are not applicable. The reporting requirements do not contain sensitive questions. Data is cumulative; personal identifying information is not included.

# Section 9: Appendices



## Form HUD-60002, Section 3 Summary Report, Economic Opportunities for Low- and Very Low-Income Persons.

**Instructions:** This form is to be used to report annual accomplishments regarding employment and other economic opportunities provided to low- and very low-income persons under Section 3 of the Housing and Urban Development Act of 1968. The Section 3 regulations apply to any **public and Indian housing programs** that receive: (1) development assistance pursuant to Section 5 of the U.S. Housing Act of 1937; (2) operating assistance pursuant to Section 9 of the U.S. Housing Act of 1937; or (3) modernization grants pursuant to Section 14 of the U.S. Housing Act of 1937 and to recipients of housing and community development assistance in excess of \$200,000 expended for: (1) housing rehabilitation (including reduction and abatement of lead-based paint hazards); (2) housing construction; or (3) other public construction projects; and to **contracts and subcontracts in excess of \$100,000** awarded in connection with the Section-3-covered activity.

Form HUD-60002 has three parts, which are to be completed for all programs covered by Section 3. Part I relates to **employment and training**. The recipient has the option to determine numerical employment/training goals either on the basis of the number of hours worked by new hires (columns B, D, E and F). Part II of the form relates to **contracting**, and Part III summarizes recipients' **efforts** to comply with Section 3.

Recipients or contractors subject to Section 3 requirements must maintain appropriate documentation to establish that HUD financial assistance for housing and community development programs were directed toward low- and very low-income persons.\* A recipient of Section 3 covered assistance shall submit one copy of this report to HUD Headquarters, Office of Fair Housing and Equal Opportunity. Where the program providing assistance requires an annual performance report, this Section 3 report is to be submitted at the same time the program performance report is submitted. Where an annual performance report is not required, this Section 3 report is to be submitted by January 10 and, if the project ends before December 31, within 10 days of project completion. **Only Prime Recipients are required to report to HUD. The report must include accomplishments of all recipients and their Section 3 covered contractors and subcontractors.**

- HUD Field Office: Enter the Field Office name.
1. Recipient: Enter the name and address of the recipient submitting this report.
  2. Federal Identification: Enter the number that appears on the award form (with dashes). The award may be a grant, cooperative agreement or contract.
  3. Dollar Amount of Award: Enter the dollar amount, rounded to the nearest dollar, received by the recipient.
  - 4 & 5. Contact Person/Phone: Enter the name and telephone number of the person with knowledge of the award and the recipient's implementation of Section 3.
  6. Reporting Period: Indicate the time period (months and year) this report covers.
  7. Date Report Submitted: Enter the appropriate date.

8. Program Code: Enter the appropriate program code as listed at the bottom of the page.
9. Program Name: Enter the name of HUD Program corresponding with the "Program Code" in number 8.

### Part I: Employment and Training Opportunities

**Column A:** Contains various job categories. Professionals are defined as people who have special knowledge of an occupation (i.e. supervisors, architects, surveyors, planners, and computer programmers). For construction positions, list each trade and provide data in columns B through F for each trade where persons were employed. The category of "Other" includes occupations such as service workers.

**Column B: (Mandatory Field)** Enter the number of new hires for each category of workers identified in **Column A** in connection with this award. New hire refers to a person who is not on the contractor's or recipient's payroll for employment at the time of selection for the Section 3 covered award or at the time of receipt of Section 3 covered assistance.

**Column C: (Mandatory Field)** Enter the number of Section 3 new hires for each category of workers identified in **Column A** in connection with this award. Section 3 new hire refers to a Section 3 resident who is not on the contractor's or recipient's payroll for employment at the time of selection for the Section 3 covered award or at the time of receipt of Section 3 covered assistance.

**Column D:** Enter the percentage of all the staff hours of new hires (Section 3 residents) in connection with this award.

**Column E:** Enter the percentage of the total staff hours worked for Section 3 employees and trainees (including new hires) connected with this award. Include staff hours for part-time and full-time positions.

**Column F: (Mandatory Field)** Enter the number of Section 3 residents that were trained in connection with this award.

### Part II: Contract Opportunities

#### Block 1: Construction Contracts

**Item A:** Enter the total dollar amount of all contracts awarded on the project/program.

**Item B:** Enter the total dollar amount of contracts connected with this project/program that were awarded to Section 3 businesses.

**Item C:** Enter the percentage of the total dollar amount of contracts connected with this project/program awarded to Section 3 businesses.

**Item D:** Enter the number of Section 3 businesses receiving awards.

#### Block 2: Non-Construction Contracts

**Item A:** Enter the total dollar amount of all contracts awarded on the project/program.

**Item B:** Enter the total dollar amount of contracts connected with this project awarded to Section 3 businesses.

**Item C:** Enter the percentage of the total dollar amount of contracts connected with this project/program awarded to Section 3 businesses.

**Item D:** Enter the number of Section 3 businesses receiving awards.

### Part III: Summary of Efforts – Self-explanatory

Submit one (1) copy of this report to the HUD Headquarters Office of Fair Housing and Equal Opportunity, at the same time the performance report is submitted to the program office. The Section 3 report is submitted by January 10. Include only contracts executed during the period specified in item 8. PHAs/IHAs are to report all contracts/subcontracts.

\* The terms "low-income persons" and very low-income persons" have the same meanings given the terms in section 3 (b) (2) of the United States Housing Act of 1937. **Low-income persons** mean families (including single persons) whose incomes do not exceed 80 percent of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that

The Secretary may establish income ceilings higher or lower than 80 percent of the median for the area on the basis of the Secretary's findings such that variations are necessary because of prevailing levels of construction costs or unusually high- or low-income families. **Very low-income persons** mean low-income families (including single persons) whose incomes do not exceed 50 percent of the median family income area, as determined by the Secretary with adjustments or smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 percent of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.



# Section 9: Appendices



**Part II: Contracts Awarded**

1. Construction Contracts: 57 contracts awarded to Section 3 businesses

A. Total dollar amount of all contracts awarded on the project	83 total contracts awarded	\$ 1,655,608
B. Total dollar amount of contracts awarded to Section 3 businesses		\$ 1,340,642
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	81	%
D. Total number of Section 3 businesses receiving contracts		14

2. Non-Construction Contracts:

A. Total dollar amount all non-construction contracts awarded on the project/activity		\$ 50,000
Lead Testing -		
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses		\$ 0
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	0	%
D. Total number of Section 3 businesses receiving non-construction contracts		0

**Part III: Summary**

Indicate the efforts made to direct the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs, to the greatest extent feasible, toward low- and very low-income persons, particularly those who are recipients of government assistance for housing. (Check all that apply.)

- Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contracts with the community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
- Participated in a HUD program or other program which promotes the award of contracts to business concerns which meet the definition of Section 3 business concerns.
- Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
- Other; describe below.

The program has advertised in the past for Section 3 contractors to participate in the program, and we have kept an active list of said contractors. Further, we encourage contractors to hire Section 3 subcontractors.

Public reporting for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB number.

Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u, mandates that the Department ensures that employment and other economic opportunities generated by its housing and community development assistance programs are directed toward low- and very-low income persons, particularly those who are recipients of government assistance housing. The regulations are found at 24 CFR Part 135. The information will be used by the Department to monitor program recipients' compliance with Section 3, to assess the results of the Department's efforts to meet the statutory objectives of Section 3, to prepare reports to Congress, and by recipients as self-monitoring tool. The data is entered into a database and will be analyzed and distributed. The collection of information involves recipients receiving Federal financial assistance for housing and community development programs covered by Section 3. The information will be collected annually to assist HUD in meeting its reporting requirements under Section 808(e)(6) of the Fair Housing Act and Section 916 of the HCDA of 1992. An assurance of confidentiality is not applicable to this form. The Privacy Act of 1974 and OMB Circular A-108 are not applicable. The reporting requirements do not contain sensitive questions. Data is cumulative; personal identifying information is not included.

# Section 9: Appendices



Form HUD-60002, Section 3 Summary Report, Economic Opportunities for Low- and Very Low-Income Persons.

**Instructions:** This form is to be used to report annual accomplishments regarding employment and other economic opportunities provided to low- and very low-income persons under Section 3 of the Housing and Urban Development Act of 1968. The Section 3 regulations apply to any **public and Indian housing programs** that receive: (1) development assistance pursuant to Section 5 of the U.S. Housing Act of 1937; (2) operating assistance pursuant to Section 9 of the U.S. Housing Act of 1937; or (3) modernization grants pursuant to Section 14 of the U.S. Housing Act of 1937 and to recipients of housing and community development assistance in excess of \$200,000 expended for: (1) housing rehabilitation (including reduction and abatement of lead-based paint hazards); (2) housing construction; or (3) other public construction projects; and to **contracts and subcontracts in excess of \$100,000** awarded in connection with the Section-3-covered activity.

Form HUD-60002 has three parts, which are to be completed for all programs covered by Section 3. Part I relates to **employment and training**. The recipient has the option to determine numerical employment/training goals either on the basis of the number of hours worked by new hires (columns B, D, E and F). Part II of the form relates to **contracting**, and Part III summarizes recipients' **efforts** to comply with Section 3.

Recipients or contractors subject to Section 3 requirements must maintain appropriate documentation to establish that HUD financial assistance for housing and community development programs were directed toward low- and very low-income persons.\* A recipient of Section 3 covered assistance shall submit one copy of this report to HUD Headquarters, Office of Fair Housing and Equal Opportunity. Where the program providing assistance requires an annual performance report, this Section 3 report is to be submitted at the same time the program performance report is submitted. Where an annual performance report is not required, this Section 3 report is to be submitted by January 10 and, if the project ends before December 31, within 10 days of project completion. **Only Prime Recipients are required to report to HUD. The report must include accomplishments of all recipients and their Section 3 covered contracts and subcontractors.**

- HUD Field Office: Enter the Field Office name.
1. Recipient: Enter the name and address of the recipient submitting this report.
  2. Federal Identification: Enter the number that appears on the award form (with dashes). The award may be a grant, cooperative agreement or contract.
  3. Dollar Amount of Award: Enter the dollar amount, rounded to the nearest dollar, received by the recipient.
  - 4 & 5. Contact Person/Phone: Enter the name and telephone number of the person with knowledge of the award and the recipient's implementation of Section 3.
  6. Reporting Period: Indicate the time period (months and year) this report covers.
  7. Date Report Submitted: Enter the appropriate date.

8. Program Code: Enter the appropriate program code as listed at the bottom of the page.
9. Program Name: Enter the name of HUD Program corresponding with the "Program Code" in number 8.

**Part I: Employment and Training Opportunities**

**Column A:** Contains various job categories. Professionals are defined as people who have special knowledge of an occupation (i.e. supervisors, architects, surveyors, planners, and computer programmers). For construction positions, list each trade and provide data in columns B through F for each trade where persons were employed. The category of "Other" includes occupations such as service workers.

**Column B: (Mandatory Field)** Enter the number of new hires for each category of workers identified in **Column A** in connection with this award. New hire refers to a person who is not on the contractor's or recipient's payroll for employment at the time of selection for the Section 3 covered award or at the time of receipt of Section 3 covered assistance.

**Column C: (Mandatory Field)** Enter the number of Section 3 new hires for each category of workers identified in **Column A** in connection with this award. Section 3 new hire refers to a Section 3 resident who is not on the contractor's or recipient's payroll for employment at the time of selection for the Section 3 covered award or at the time of receipt of Section 3 covered assistance.

**Column D:** Enter the percentage of all the staff hours of new hires (Section 3 residents) in connection with this award.

**Column E:** Enter the percentage of the total staff hours worked for Section 3 employees and trainees (including new hires) connected with this award. Include staff hours for part-time and full-time positions.

**Column F: (Mandatory Field)** Enter the number of Section 3 residents that were trained in connection with this award.

**Part II: Contract Opportunities**

**Block 1: Construction Contracts**

**Item A:** Enter the total dollar amount of all contracts awarded on the project/program.

**Item B:** Enter the total dollar amount of contracts connected with this project/program that were awarded to Section 3 businesses.

**Item C:** Enter the percentage of the total dollar amount of contracts connected with this project/program awarded to Section 3 businesses.

**Item D:** Enter the number of Section 3 businesses receiving awards.

**Block 2: Non-Construction Contracts**

**Item A:** Enter the total dollar amount of all contracts awarded on the project/program.

**Item B:** Enter the total dollar amount of contracts connected with this project awarded to Section 3 businesses.

**Item C:** Enter the percentage of the total dollar amount of contracts connected with this project/program awarded to Section 3 businesses.

**Item D:** Enter the number of Section 3 businesses receiving awards.

**Part III: Summary of Efforts – Self-explanatory**

Submit one (1) copy of this report to the HUD Headquarters Office of Fair Housing and Equal Opportunity, at the same time the performance report is submitted to the program office. The Section 3 report is submitted by January 10. Include only contracts executed during the period specified in item 8. PHAs/IHAs are to report all contracts/subcontracts.

\* The terms "low-income persons" and very low-income persons" have the same meanings given the terms in section 3 (b) (2) of the United States Housing Act of 1937. **Low-income persons** mean families (including single persons) whose incomes do not exceed 80 percent of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that

The Secretary may establish income ceilings higher or lower than 80 percent of the median for the area on the basis of the Secretary's findings such that variations are necessary because of prevailing levels of construction costs or unusually high- or low-income families. **Very low-income persons** mean low-income families (including single persons) whose incomes do not exceed 50 percent of the median family income area, as determined by the Secretary with adjustments or smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 percent of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.

**Section 9: Appendices**

**5. Minority/Women Business Enterprises  
(MBE/WBE) Reports**

Section 9: Appendices



Department of Housing

October 24, 2013

Angelo C. Tom  
Director, Program Support,  
Office of Community Planning and Development – 9ADS  
United States Department of Housing and Urban Development  
600 Harrison Street, 3rd Floor  
San Francisco, CA 94107-1387

RE: FY 2012-13 MBE/WBE forms for the City of San José, California

Dear Mr. Tom:

Please find attached the 2012-2013 MBE/WBE forms for the City of San José, California. These cover CDBG, HOME, Rehab, ESG and HOPWA programs for the time period October 1, 2012 – September 30, 2013.

A summary of the amount and number of contracts awarded by ethnic code is also attached. During 2012-13, a total of **55** contracts that met the MBE/WBE guidelines were awarded **\$5.6** million. Seventeen (17) contracts totaling **\$4.1** million were awarded to nonprofits, which are not required to certify ethnicity or MBE/WBE status. The remaining 38 contracts, totaling \$1.6 million, were awarded to for-profit organizations that are required to certified ethnicity and MBE/WBE status. Of the 38 contracts:

- 10 contracts were awarded to White Americans (HUD Ethnic code #1)
- 1 contract was awarded to a Black American (HUD Ethnic code #2)
- 16 contracts were awarded to Hispanic Americans (HUD Ethnic code #4) and
- 11 contracts were awarded to Asian Pacific Americans (HUD Ethnic code #5).
- The Black American contract was also awarded to a Woman-Owned-Business.

If you have any questions or require further information, please contact me at 408-535-3855. Thank you.

Sincerely,

Jacky Morales-Ferrand  
Assistant Director of Housing

Attachments

200 East Santa Clara Street, San Jose, CA 95113 tel (408) 535-3860 fax (408) 998-3183 www.sjhousing.org

**Section 9: Appendices**



**Form 2516 - Contract and Subcontract Activity Report - Summary**  
**City of San Jose California**  
**FY 2012-13**

Contract Type	Number of Contracts (#)		Amount of Contracts (\$)	
	#	%	\$	%
<i>Non-profit contracts (need not certify ethnicity or MBE/WBE status)</i>	17	31%	\$4,074,829	72%
<i>For-Profit Contracts / Subcontracts by ethnic code:</i>				
1 - White American	10	18%	\$735,094	13%
2 - Black American*	1	2%	\$47,500	1%
4 - Hispanic American	16	29%	\$518,725	9%
5 - Asian Pacific American	11	20%	\$272,159	5%
<b>TOTAL</b>	<b>55</b>	<b>100%</b>	<b>\$5,648,306</b>	<b>100%</b>

\* Ethnic code 2 - Black Americans had 1 WBE contract for \$47,500

## Section 9: Appendices

Form 2516 - Contract and Subcontract Activity Report - Summary  
 City of San Jose California  
 FY 2012-13

Contract Type	Number of Contracts (#)		Amount of Contracts (\$)	
Non-profit contracts (need not certify ethnicity or MBE/WBE status)	17	31%	\$4,074,829	72%
For-Profit Contracts / Subcontracts by ethnic code:				
1 - White American	10	18%	\$735,094	13%
2 - Black American*	1	2%	\$47,500	1%
4 - Hispanic American	16	29%	\$518,725	9%
5 - Asian Pacific American	11	20%	\$272,159	5%
<b>TOTAL</b>	<b>55</b>	<b>100%</b>	<b>\$5,648,306</b>	<b>100%</b>

\* Ethnic code 2 - Black Americans had 1 WBE contract for \$47,500

# Section 9: Appendices



OMB Approval No. 2577-0088

U.S. Department of Housing and Urban Development

Contract and Subcontract Activity

Approval No. 2502-0355

Public reporting burden for this collection of information is estimated to average 5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The information is voluntary. HUD may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB Control Number.

Executive Order dated July 14, 1983, directs the Minority Business Development Plans shall be developed by each Federal Agency and the these annual plans shall establish minority business development objectives. The information is used by HUD to monitor and evaluate MBE activities against the total program activity and the designated minority business enterprise (MBE) goals. The Department requires the information to provide guidance and oversight for programs for the development of minority business enterprise concerning Minority Business Development. If the information is not gathered HUD would not be able to establish meaningful MBE goals nor evaluate MBE performance against these goals.

Privacy Act Notice - The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, United States Code, Section 1701 et seq., and regulation. It will not be disclosed or released outside the United States Department of Housing and Urban Development without your consent, except as required or permitted by Law.

1. Grant/Project Owner/Developer/Sponsor/Builder/Agency  
 City of San Jose Housing Department  
 Housing Rehabilitation Program

2. Location (City, State, Zip Code)  
 San Jose, CA, 95113

3. Name of Contact Person  
 James Stagi - Housing Policy and Planning Administrator

4. Reporting Period  
 10/1/2012-09/30/2013

5. Where Owned Business (Yes or No)  
 4098-535-8238

6. Date Submitted to Field Office  
 [ ]

Contract or Subcontractor Business Identification (See below)	Type of Trade Code (See below)	Amount of Contract or Subcontract (See below)	Contractor or Subcontractor Business Identification (See below)	Prime Contractor Identification (ID) Number	Subcontractor Identification (ID) Number	Sec. 3 7E	Sec. 3 7F	Name	Street	City	State	Zip
E-12-002	2	\$ 101,918.00	No	77-0776322	N/A	Yes	N/A	DV Construction	1116 Saddlewood Drive	San Jose	CA	95121
Z-12-006	2	\$ 99,776.00	No	77-0576322	N/A	Yes	N/A	DV Construction	1116 Saddlewood Drive	San Jose	CA	95121
G-11-023	4	\$ 11,611.66	No	77-0478677	N/A	Yes	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116
G-12-008	3	\$ 14,515.00	No	77-0478677	N/A	Yes	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116
G-12-009	3	\$ 15,000.00	No	77-0478677	N/A	Yes	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116
Z-11-023	3	\$ 29,855.00	No	77-0478677	N/A	Yes	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116
Z-12-015	3	\$ 29,855.00	No	77-0478677	N/A	Yes	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116
Z-12-024	3	\$ 30,000.00	No	77-0478677	N/A	Yes	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116
G-12-005	2	\$ 98,943.66	No	77-0478677	N/A	Yes	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116
H-11-003	2	\$ 98,943.66	No	77-0478677	N/A	Yes	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116
Z-12-009	3	\$ 30,000.00	No	808-308-5121	N/A	Yes	N/A	American Building Const	1440 Branham Ln	San Jose	CA	95118
Z-12-001	3	\$ 45,630.00	No	808-308-5122	N/A	Yes	N/A	American Building Const	1442 Branham Ln	San Jose	CA	95118
A-11-002	3	\$ 10,800.00	No	808-308-5123	N/A	Yes	N/A	American Building Const	1659 Bowling Green Drive	San Jose	CA	95121
M-12-026	3	\$ 12,250.00	No	808-308-0925	N/A	No	N/A	Central Cal Construction		San Jose	CA	95121

7. Contractor/Subcontractor Name and Address

8. Reporting Period

9. Women Owned Business (Yes or No)

10. Minority Business Enterprise (Yes or No)

11. Disadvantaged Business Enterprise (Yes or No)

12. Minority Business Enterprise (Yes or No)

13. Disadvantaged Business Enterprise (Yes or No)

14. Minority Business Enterprise (Yes or No)

15. Disadvantaged Business Enterprise (Yes or No)

16. Minority Business Enterprise (Yes or No)

17. Disadvantaged Business Enterprise (Yes or No)

18. Minority Business Enterprise (Yes or No)

19. Disadvantaged Business Enterprise (Yes or No)

20. Minority Business Enterprise (Yes or No)

21. Disadvantaged Business Enterprise (Yes or No)

22. Minority Business Enterprise (Yes or No)

23. Disadvantaged Business Enterprise (Yes or No)

24. Minority Business Enterprise (Yes or No)

25. Disadvantaged Business Enterprise (Yes or No)

26. Minority Business Enterprise (Yes or No)

27. Disadvantaged Business Enterprise (Yes or No)

28. Minority Business Enterprise (Yes or No)

29. Disadvantaged Business Enterprise (Yes or No)

30. Minority Business Enterprise (Yes or No)

31. Disadvantaged Business Enterprise (Yes or No)

32. Minority Business Enterprise (Yes or No)

33. Disadvantaged Business Enterprise (Yes or No)

34. Minority Business Enterprise (Yes or No)

35. Disadvantaged Business Enterprise (Yes or No)

36. Minority Business Enterprise (Yes or No)

37. Disadvantaged Business Enterprise (Yes or No)

38. Minority Business Enterprise (Yes or No)

39. Disadvantaged Business Enterprise (Yes or No)

40. Minority Business Enterprise (Yes or No)

41. Disadvantaged Business Enterprise (Yes or No)

42. Minority Business Enterprise (Yes or No)

43. Disadvantaged Business Enterprise (Yes or No)

44. Minority Business Enterprise (Yes or No)

45. Disadvantaged Business Enterprise (Yes or No)

46. Minority Business Enterprise (Yes or No)

47. Disadvantaged Business Enterprise (Yes or No)

48. Minority Business Enterprise (Yes or No)

49. Disadvantaged Business Enterprise (Yes or No)

50. Minority Business Enterprise (Yes or No)

51. Disadvantaged Business Enterprise (Yes or No)

52. Minority Business Enterprise (Yes or No)

53. Disadvantaged Business Enterprise (Yes or No)

54. Minority Business Enterprise (Yes or No)

55. Disadvantaged Business Enterprise (Yes or No)

56. Minority Business Enterprise (Yes or No)

57. Disadvantaged Business Enterprise (Yes or No)

58. Minority Business Enterprise (Yes or No)

59. Disadvantaged Business Enterprise (Yes or No)

60. Minority Business Enterprise (Yes or No)

61. Disadvantaged Business Enterprise (Yes or No)

62. Minority Business Enterprise (Yes or No)

63. Disadvantaged Business Enterprise (Yes or No)

64. Minority Business Enterprise (Yes or No)

65. Disadvantaged Business Enterprise (Yes or No)

66. Minority Business Enterprise (Yes or No)

67. Disadvantaged Business Enterprise (Yes or No)

68. Minority Business Enterprise (Yes or No)

69. Disadvantaged Business Enterprise (Yes or No)

70. Minority Business Enterprise (Yes or No)

71. Disadvantaged Business Enterprise (Yes or No)

72. Minority Business Enterprise (Yes or No)

73. Disadvantaged Business Enterprise (Yes or No)

74. Minority Business Enterprise (Yes or No)

75. Disadvantaged Business Enterprise (Yes or No)

76. Minority Business Enterprise (Yes or No)

77. Disadvantaged Business Enterprise (Yes or No)

78. Minority Business Enterprise (Yes or No)

79. Disadvantaged Business Enterprise (Yes or No)

80. Minority Business Enterprise (Yes or No)

81. Disadvantaged Business Enterprise (Yes or No)

82. Minority Business Enterprise (Yes or No)

83. Disadvantaged Business Enterprise (Yes or No)

84. Minority Business Enterprise (Yes or No)

85. Disadvantaged Business Enterprise (Yes or No)

86. Minority Business Enterprise (Yes or No)

87. Disadvantaged Business Enterprise (Yes or No)

88. Minority Business Enterprise (Yes or No)

89. Disadvantaged Business Enterprise (Yes or No)

90. Minority Business Enterprise (Yes or No)

91. Disadvantaged Business Enterprise (Yes or No)

92. Minority Business Enterprise (Yes or No)

93. Disadvantaged Business Enterprise (Yes or No)

94. Minority Business Enterprise (Yes or No)

95. Disadvantaged Business Enterprise (Yes or No)

96. Minority Business Enterprise (Yes or No)

97. Disadvantaged Business Enterprise (Yes or No)

98. Minority Business Enterprise (Yes or No)

99. Disadvantaged Business Enterprise (Yes or No)

100. Minority Business Enterprise (Yes or No)

1. All Races, including Section 8  
 2. Female Minority  
 3. Section 8 Unassisted Non-HBDA  
 4. Incentive (Management)

1. White Americans  
 2. Black Americans  
 3. Native Americans  
 4. Hispanic Americans  
 5. Asian/Pacific Americans  
 6. Hispanic/Latino

1 = New Construction  
 2 = Rehabilitation/Restore  
 3 = Renovation/Repair  
 4 = Service  
 5 = Project Mgmt.

1 = New Construction  
 2 = Rehabilitation/Restore  
 3 = Renovation/Repair  
 4 = Service  
 5 = Project Mgmt.

1 = All Races, including Section 8  
 2 = Female Minority  
 3 = Section 8 Unassisted Non-HBDA  
 4 = Incentive (Management)

1 = White Americans  
 2 = Black Americans  
 3 = Native Americans  
 4 = Hispanic Americans  
 5 = Asian/Pacific Americans  
 6 = Hispanic/Latino

1 = New Construction  
 2 = Rehabilitation/Restore  
 3 = Renovation/Repair  
 4 = Service  
 5 = Project Mgmt.

1 = New Construction  
 2 = Rehabilitation/Restore  
 3 = Renovation/Repair  
 4 = Service  
 5 = Project Mgmt.

1 = All Races, including Section 8  
 2 = Female Minority  
 3 = Section 8 Unassisted Non-HBDA  
 4 = Incentive (Management)

1 = White Americans  
 2 = Black Americans  
 3 = Native Americans  
 4 = Hispanic Americans  
 5 = Asian/Pacific Americans  
 6 = Hispanic/Latino

1 = New Construction  
 2 = Rehabilitation/Restore  
 3 = Renovation/Repair  
 4 = Service  
 5 = Project Mgmt.





# Section 9: Appendices



OMB Approval No.: 2577-0088  
OMB Approval No.: 2502-0335

### U.S. Department of Housing and Urban Development

### Contract and Subcontract Activity

Public reporting burden for this collection of information is estimated to average 5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The information is voluntary. HUD may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB Control Number.

Executive Orders dated July 14, 1983, direct the Minority Business Development Plans shall be developed by each Federal Agency and the these annual plans shall establish minority business development objectives. The information is used by HUD to monitor and evaluate MBE activities against the total program activity and the designated minority business enterprise (MBE) goals. The Department requires the information to provide guidance and oversight for programs for the development of minority business enterprise concerning Minority Business Development. If the information is not collected HUD would not be able to establish meaningful MBE goals to evaluate MBE performance against these goals.

**Privacy Act Notice** - The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, United States Code, Section 1701 et seq., and regulation. It will not be disclosed outside the United States Department of Housing and Urban Development without your consent, except as required or permitted by Law.

1. Grantor/Project Owner/Developer/Sponsor/Builder/Agency  
**HOUSING DEPARTMENT OF CITY OF SAN JOSE**  
 (SERVICES CONTRACTS TO NON-PROFIT AGENCIES FOR CDBG PROGRAM)

Check if: 2. Location (City, State Zip Code)  
 PH  200 E. SANTA CLARA STREET, 12TH FLOOR  
 IH  SAN JOSE, CA. 95113  
 CPD   
 Housing

3a. Name of Contract Person	3b. Phone Number (Including Area Code)	4. Reporting Period	5. Program Code (Not applicable for CPD programs) or other code of activity (Use a separate sheet for each program code)	6. Date Submitted to Field Office										
DANIEL MURILLO	(408) 793-4195	10/12/2012 - 9/30/2013												
7a. Grant/Project Number or HUD Case Number or other identification of property, subdivision, dwelling unit, etc.	7b. Amount of Contract or Subcontract	7c. Type of Trade Codes	7d. Contractor or Business Type (See below)	7e. Woman Owned Business (Yes or No)	7f. Prime Contractor Identification (ID) Number	7g. Subcontractor Identification (ID) Number	7h. Sec. 3 (ID) Number	7i. Sec. 3 (ID) Number	7j. Contractor/Subcontractor Name and Address	Name	Street	City	State	Zip
CPS-12-001	\$297,351	4	N/A - Non-Profits need not certify MBE/WBE						Housing Trust Silicon Valley	95 S. Market St.	San Jose	CA	95113	
CPS-12-002	\$100,000	4	N/A - Non-Profits need not certify MBE/WBE						Catholic Charities of Santa Clara County	2625 Zanker Road, Suite 200	San Jose	CA	95134	
CPS-12-003	\$100,000	4	N/A - Non-Profits need not certify MBE/WBE						The Health Trust	3180 Newbury St., Suite 200	San Jose	CA	95118	
CPS-12-004	\$100,000	4	N/A - Non-Profits need not certify MBE/WBE						Catholic Charities of Santa Clara County	2625 Zanker Road, Suite 200	San Jose	CA	95134	
CPS-12-005	\$100,000	4	N/A - Non-Profits need not certify MBE/WBE						San Jose State Research Foundation	210 North Fourth St., 4th Floor	San Jose	CA	95112	
CPS-12-006	\$100,000	4	N/A - Non-Profits need not certify MBE/WBE						Sources Mayfair, Inc	370 S. King Rd.	San Jose	CA	95116	
CPS-12-007	\$467,898	4	N/A - Non-Profits need not certify MBE/WBE						Emergency Housing Consortium	2071 Little Orchard Street	San Jose	CA	95125	
CADM-12-001	\$385,000	4	N/A - Non-Profits need not certify MBE/WBE						Law Foundation of Silicon Valley	152 N. 3rd St., 3rd Floor	San Jose	CA	95112	
COI-12-001	\$400,000	4	N/A - Non-Profits need not certify MBE/WBE						Rebuilding Together Silicon Valley	2827 Alajolo Dr.	San Jose	CA	95111	
COI-12-002	\$200,000	4	N/A - Non-Profits need not certify MBE/WBE						DownTown Streets, Inc	1871 The Alameda, Ste. 301	San Jose	CA	95128	

7c. Type of Trade Codes:  
 1 = New Construction  
 2 = Substantial Rehab.  
 3 = Repair  
 4 = Service  
 5 = Project Maint.  
 6 = Professional  
 7 = Tenant Services  
 8 = Education/Training  
 9 = Arch./Engg. Appraisal  
 0 = Other

7d. Racial/Ethnic Codes:  
 1 = White Americans  
 2 = Black Americans  
 3 = Native Americans  
 4 = Hispanic Americans  
 5 = Asian/Pacific Americans  
 6 = Pacific Is. Am.

7e. Program Codes (Complete for Housing and Public and Indian Housing programs only):  
 1 = All Income, including Section 8  
 2 = Flexible Subsidy  
 3 = Section 8 Non-Insured, Non-HEDA  
 4 = Based (Management)  
 5 = Section 202  
 6 = HUD-Head  
 7 = Public/India Housing  
 8 = Section 811

Previous editions are obsolete.  
 Form HUD-2516 (8/98)

# Section 9: Appendices



OMB Approval No.: 2577-0688  
OMB Approval No.: 2502-0355

## U.S. Department of Housing and Urban Development

## Contract and Subcontract Activity

Public reporting burden for this collection of information is estimated to average 5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The information is voluntary. HUD may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB Control Number. Executive Orders dated July 14, 1983, direct the Minority Business Development Plans shall be developed by each Federal Agency and the these annual plans shall establish minority business development objectives. The information is used by HUD to monitor and evaluate MBE activities against the total program activity and the designated minority business enterprise (MBE) goals. The Department requires the information to provide guidance and oversight for programs for the development of minority business enterprise concerning Minority Business Development. If the information is not collected HUD would not be able to establish meaningful MBE goals nor evaluate MBE performance against these goals.

**Privacy Act Notice** = The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information required in this form by virtue of Title 12, United States Code, Section 1701 et seq., and regulation. It will not be disclosed or released outside the United States Department of Housing and Urban Development without your consent, except as required or permitted by Law.

1. Grantee/Project Owner/Developer/Sponsor/Builder/Agency  
 PH  
 200 E. SANTA CLARA STREET, 12TH  
 IH  
 SAN JOSE, CA. 95113  
 CPD  
 Housing

3a. Name of Contact Person: DANIEL MURILLO  
 3b. Phone Number (Including Area Code): (408) 793-4195  
 4. Reporting Period: 10/1/2011 - 9/30/2012  
 5. Program Code (Not applicable for CPD programs):  
 See explanation of Codes at bottom of Page Use a separate sheet for each program code.  
 6. Date Submitted to Field Office: 9/15/2011

7a. HUD Case Number or other identification of property, subdivision, dwelling unit, etc.	7b. Amount of Contract or Subcontract	7c. Type of Trade Code (See below)	7d. Contractor or Subcontractor Business Racial/Ethnic (See below)	7e. Woman Owned Business (Yes or No)	7f. Prime Contractor Identification (ID) Number	7g. Subcontractor Identification Number	7h. Sec. 3 (ID) Number	7i. Sec. 3	7j. Contractor/Subcontractor Name and Address	7k. City	7l. State	7m. Zip
ESG-12-001	\$248,023	4	N/A - Non Profits need not certify MBE/WBE						Bill Wilson Center (BWC)	San Jose	CA	95126
ESG-12-002	\$305,909	4	N/A - Non Profits need not certify MBE/WBE						Bill Wilson Center (BWC)	San Jose	CA	95126
ESG-12-003	\$235,000		N/A - Non Profits need not certify MBE/WBE						Next Door Solutions to Domestic Violence	San Jose	CA	95113
ESG-12-004	\$90,000	4	N/A - Non Profits need not certify MBE/WBE						Community Technology Alliance	San Jose	CA	95126
ESG-12-005	\$97,797	4	N/A - Non Profits need not certify MBE/WBE						Emergency Housing Consortium	San Jose	CA	95125

**7c: Type of Trade Codes:**  
 Housing/Public Housing:  
 1 = New Construction  
 2 = Educational/Training  
 3 = Repair  
 4 = Service  
 5 = Project Maint.  
 6 = Professional Services  
 7 = Education/Training  
 8 = Arch./Engg. Appraisal  
 9 = Other

**7d: Racial/Ethnic Codes:**  
 1 = White Americans  
 2 = Black Americans  
 3 = Native Americans  
 4 = Hispanic Americans  
 5 = Asian/Pacific Americans  
 6 = Haisitic Jews

**5: Program Codes (Complete for Housing and Public and Indian Housing programs only):**  
 1 = All Insured, including Section 8  
 2 = Flexible Subsidy  
 3 = Section 8 Noninsured, Non-HFDA  
 4 = Insured (Management)  
 5 = Section 202  
 6 = HUD-Heid  
 7 = Indian Housing  
 8 = Section 811

form HUD-2516 (8/5)

# Section 9: Appendices



**Contract and Subcontract Activity**  
 OMB Approval No.: 2577-0088  
 OMB Approval No.: 2502-0355

**U.S. Department of Housing and Urban Development**  
 Public reporting burden for this collection of information is estimated to average 5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The information is voluntary. HUD may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB Control Number.

Executive Orders dated July 14, 1983, direct the Minority Business Development Plans shall be developed by each Federal Agency and the these annual plans shall establish minority business development objectives. The information is used by HUD to monitor and evaluate MBE activities against the total program activity and the designated minority business enterprise (MBE) goals. The Department requires the information to provide guidance and oversight for programs for the development of minority business enterprise concerning Minority Business Development. If the information is not collected HUD would not be able to establish meaningful MBE goals nor evaluate MBE performance against these goals.

**Privacy Act Notice** - The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, United States Code, Section 1701 et seq., and regulation. It will not be disclosed or released outside the United States Department of Housing and Urban Development without your consent, except as required or permitted by Law.

1. Grantee/Project Owner/Developer/Sponsor/Builder/Agency  
**HOUSING DEPARTMENT OF CITY OF SAN JOSE**  
**(SERVICES CONTRACTS TO NON-PROFIT AGENCIES FOR HOPIWA PROGRAM)**

Check if: PH  JH  CPD  Housing

2. Location (City, State Zip Code)  
 200 E. SANTA CLARA STREET, 12TH FLOOR  
 SAN JOSE, CA. 95113

3a. Name of Contact Person  
**DANIEL MURILLO**

3b. Phone Number (Including Area Code)  
 (408) 793-4195

3c. Amount of Contract or Subcontract  
 \$901,851  
 \$50,000

3d. Type of Trade Codes (See below)  
 4  
 4

3e. Contractor or Subcontractor Business Racial/Ethnic (See below)  
 N/A - Non Profits need not certify MBE/WBE  
 N/A - Non Profits need not certify MBE/WBE

3f. Woman Owned Business (Yes or No)  
 7e.

3g. Prime Contractor Identification (ID) Number  
 7f.

3h. Subcontractor Identification (ID) Number  
 7g.

3i. Reporting Period  
 10/1/2012 - 9/30/2013

3j. Program Code (Not applicable for CPD programs.)  
 See explanation of Codes at bottom of Page Use a separate sheet for each program code.

3k. Date Submitted to Field Office

Contractor/Subcontractor Name and Address  
 7j.  
 Name: The Health Trust  
 Street: 2105 S. Bascom Avenue, Suite 220  
 City: Campbell  
 State: CA  
 Zip: 95008  
 1111 San Felipe Road, Suite 102  
 City: Hollister  
 State: CA  
 Zip: 95023

5: Program Codes (Complete for Housing and Public and Indian Housing programs only):  
 1 = All Inured, including Section 8  
 2 = Section 202 (Management)  
 3 = Section 8 Noninsured, Non-Housing  
 4 = Insured (Management)  
 5 = Section 202  
 6 = HUD-Field  
 7 = Public/India Housing  
 8 = Section 811

7c: Type of Trade Codes:  
 Housing/Public Housing:  
 1 = New Construction  
 2 = Substantial Rehab.  
 3 = Repair  
 4 = Service  
 5 = Project Managt.  
 6 = Professional  
 7 = Tenant Services  
 8 = Education/Training  
 9 = Arch./Engng. Appraisal  
 0 = Other

7d: Racial/Ethnic Codes:  
 1 = White Americans  
 2 = Black Americans  
 3 = Native Americans  
 4 = Hispanic Americans  
 5 = Asian/Pacific Americans  
 6 = Hawaiian Jews

Previous editions are obsolete.  
 form HUD-2516 (8/98)