

September 29, 2014

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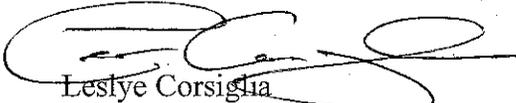
RE: FY 2013-14 Consolidated Annual Performance Evaluation Report (CAPER)

Dear Ms Cremer:

Enclosed for you review and approval, please find one (1) original and two (2) copies of the FY 2013-2014 CAPER for the City of San José, California. A CD of the CAPER document is also attached.

If you have any questions or require further information, please contact me at 408-535-3851

Sincerely,

  
Leslye Corsiglia  
Director of Housing

Enclosures



# CITY OF SAN JOSÉ



## FY 2013-14 Consolidated Annual Performance Evaluation Report (CAPER)

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Approved by City Council on Sept 16, 2014

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# Table of Contents

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<b>Section 1: Executive Summary .....</b>	<b>7</b>
<b>Section 2: Introduction .....</b>	<b>11</b>
<b>Section 3: Program Summary .....</b>	<b>16</b>
<b>Section 4: Geographic Areas Served .....</b>	<b>45</b>
<b>Section 5: Assessment of Strategic Plan Goals and Objectives .....</b>	<b>48</b>
Goal 1: Assist in the creation and preservation of affordable housing for lower-income and special needs households.....	49
Goal 2: Support activities to end homelessness in San José and Santa Clara County (Continuum of Care) .....	67
Goal 3: Support activities that provide basic services, eliminate blight, and/or strengthen neighborhoods.....	79
Goal 4: Expand economic opportunities for low-income households.....	93
Goal 5: Promote fair housing choice – Affirmatively Further Fair Housing.....	95
Goal 6: Promote environmental sustainability .....	103
<b>Section 6: Housing Support Activities / Removing Barriers to Affordable Housing.....</b>	<b>107</b>
<b>Section 7: Monitoring and Compliance .....</b>	<b>119</b>
<b>Section 8: HUD Tables.....</b>	<b>122</b>
<b>Section 9: Appendices.....</b>	<b>134</b>

# Table of Figures

---

TABLE 1: CITIZEN PARTICIPATION PROCESS SCHEDULE OF EVENTS .....	15
TABLE 2: CDBG FY 2013-14 ALLOCATIONS .....	18
TABLE 3: CDBG FY 2013-14 ACCOMPLISHMENTS .....	20
TABLE 4: CDBG FY 2013-14 GRANTS MANAGEMENT ACCOMPLISHMENTS.....	20
TABLE 5: HOME FY 2013-14 ALLOCATIONS AND EXPENDITURES .....	22
TABLE 6: HOPWA FY 2013-14 ALLOCATIONS.....	26
TABLE 7: HOPWA FY 2013-14 ACCOMPLISHMENTS.....	26
TABLE 8: HOPWA FY SPNS 2013-14 ALLOCATIONS .....	27
TABLE 9: ESG FY 2013-14 ALLOCATIONS.....	28
TABLE 10: HMIS ACCOMPLISHMENTS .....	32
TABLE 11: NSP FY 2013-14 ALLOCATIONS .....	33
TABLE 12: HOUSEHOLDS RECEIVING SECTION 8 RENTAL ASSISTANCE IN SAN JOSÉ.....	38
TABLE 13: HOUSEHOLDS RECEIVING SECTION 8 RENTAL ASSISTANCE IN SANTA CLARA COUNTY (NOT INCLUDING SAN JOSÉ) .....	38
TABLE 14: SECTION 8 WAIT LIST FOR SAN JOSÉ .....	39
TABLE 15: ACTION 1.A.1 FINANCIAL & TECHNICAL ASSISTANCE FOR AFFORDABLE RENTAL HOUSING - PRODUCTION GOAL .....	49
TABLE 16: FISCAL YEAR 2013-14 NEW COMMITMENTS FOR RENTAL HOUSING .....	51
TABLE 17: FISCAL YEAR 2013-14 COMPLETIONS FOR RENTAL HOUSING .....	51
TABLE 18: ACTION 1.A.1 FINANCIAL & TECHNICAL ASSISTANCE FOR AFFORDABLE RENTAL HOUSING - INCLUSIONARY GOAL .....	51
TABLE 19: FISCAL YEAR 2013-14 PROJECTS WITH RECORDED AFFORDABILITY RESTRICTIONS FOR INCLUSIONARY AND NEGOTIATED HOUSING .....	53
TABLE 20: FY 2013-14 HOUSING PRODUCTION - LEVERAGING OF RESOURCES.....	53
TABLE 21: ACTION 1.B.1 DIRECT FINANCIAL ASSISTANCE TO HELP LOWER-INCOME HOUSEHOLDS PURCHASE HOMES .....	55
TABLE 22: ACTION 1.B.2 FINANCIAL LITERACY AND HOMEBUYER EDUCATION PROGRAMS.....	55
TABLE 23: FISCAL YEAR 2013-14 NEW COMMITMENTS FOR OWNERSHIP HOUSING KRISTEN NUMBERS AND NARRATIVES .....	56
TABLE 24: FISCAL YEAR 2013-14 COMPLETIONS FOR OWNERSHIP HOUSING .....	56
TABLE 25: FISCAL YEAR 2013-14 NEW INCLUSIONARY AND NEGOTIATED AFFORDABLE OWNERSHIP HOUSING.....	57
TABLE 26: ACTION 1.C.1 REHABILITATION ASSISTANCE TO LOWER-INCOME HOMEOWNERS (INCLUSIVE OF ALL FUNDING SOURCES).....	60
TABLE 27: FY 2013-14 REHABILITATION PROGRAM HOUSEHOLDS SERVED.....	60
TABLE 28: ACTION 1.C.2 REHABILITATION ASSISTANCE FOR LOWER-INCOME HOMEOWNERS THROUGH THE CDBG PROGRAM ONLY (SUBSET OF 1.C.1 ABOVE) .....	61
TABLE 29: ACTION 1.C.3 PURSUE FUNDING OPPORTUNITIES FOR INFRASTRUCTURE IMPROVEMENTS IN LOWER- INCOME MOBILEHOME PARKS .....	62
TABLE 30: ACTION 1.D.1 PRODUCTION GOAL FOR SENIORS, DISABLED AND SPECIAL NEEDS INDIVIDUALS (SUBSET OF PRODUCTION GOAL 1.A.1) (KRISTEN, TABLE AND NARRATIVES).....	64
TABLE 31: ACTION 1.D.1 REHABILITATION GOAL FOR SENIORS, DISABLED AND SPECIAL NEEDS INDIVIDUALS (SUBSET OF REHAB GOAL 1.C.1) .....	JAMES TABLE AND NARRATIVES

TABLE 32: ACTION 1.D.2 PURSUE FUNDING OPPORTUNITIES TO IMPROVE CONDITION OF HOUSING STOCK FOR LOWER-INCOME RENTERS .....	65
TABLE 33: ACTION 2.A.1 TBRA ASSISTANCE TO CHRONICALLY HOMELESS .....	68
TABLE 34: ACTION 2.A.2 SHORT-TERM EMERGENCY SHELTER PROGRAM.....	69
TABLE 35: ACTION 2.A.3 EMERGENCY RENTAL ASSISTANCE PROGRAM .....	70
TABLE 36: ACTION 2.A.4 PROGRAMS THAT PROVIDE VITAL SERVICES- HOMELESS OUTREACH / SERVICES FOR FAMILIES AND YOUTH (INCLUDING VICTIMS OF DOMESTIC VIOLENCE).....	70
TABLE 37: ACTION 2.A.4 PROGRAMS THAT PROVIDE VITAL SERVICES TO HOMELESS INDIVIDUALS - CDBG.....	71
TABLE 38: ACTION 2.A.5 SUPPORT DESTINATION:HOME.....	72
TABLE 39: ACTION 2.A.6 SEEK ADDITIONAL RESOURCES FOR COUNTY-WIDE EFFORTS TO END HOMELESSNESS.....	72
TABLE 40: ACTION 2.A.7 SEEK ADDITIONAL RESOURCES FOR HOUSING AND SERVICES FOR RECENTLY EMANCIPATED YOUTH.....	73
TABLE 41: ACTION 3.A.1,2 ASSIST LOW-INCOME RESIDENTS WITH BASIC/ESSENTIAL SERVICES AND MAINTAIN SELF-SUFFICIENCY - HOMELESS SERVICES .....	80
TABLE 42: ACTION 3.A.1,2 ASSIST LOW-INCOME RESIDENTS WITH BASIC/ESSENTIAL SERVICES AND MAINTAIN SELF-SUFFICIENCY - CDBG.....	80
TABLE 43: ACTION 3.A.3 ASSIST LOWER-INCOME RESIDENTS ACCESS HEALTHCARE SERVICES / SENIOR SERVICES.....	81
TABLE 44: ACTION 3.A.4 ASSIST LOWER-INCOME RESIDENTS ACCESS LEGAL SERVICES .....	81
TABLE 45: ACTION 3.B.1 REMOVE PUBLIC ACCESSIBILITY BARRIERS.....	82
TABLE 46: ACTION 3.B.2 PHYSICAL IMPROVEMENT AND REHABILITATION OF PUBLIC FACILITIES.....	83
TABLE 47: ACTION 3.B.3 CODE ENFORCEMENT ACTIVITIES THAT ELIMINATE BLIGHT AND STRENGTHEN NEIGHBORHOODS.....	84
TABLE 48: ACTION 3.C.1 INSPECT AFFORDABLE HOUSING FOR LEAD-BASED PAINT .....	86
TABLE 49: ACTION 3.C.2 SEEK FUNDING OPPORTUNITIES TO MITIGATE LEAD HAZARDS .....	86
TABLE 50: ACTION 3.D.1 PURCHASE AND REHABILITATE FORECLOSED PROPERTIES AND RESELL AS AFFORDABLE HOUSING UNITS .....	88
TABLE 51: NSP2 PROGRAMS FUNDING STATUS .....	91
TABLE 52: ACTION 3.D.2 PROVIDE SUPPORT TO THE CITY'S FORECLOSUREHELP INITIATIVE.....	91
TABLE 53: ACTION 3.D.3 PROVIDE SUPPORT TO THE CITY'S DON'T BORROW TROUBLE INITIATIVE .....	92
TABLE 54: ACTION 3.D.4 RESEARCH BEST PRACTICES AND POLICIES TO RESPOND TO THE FORECLOSURE CRISIS.....	92
TABLE 55: ACTION 4.A.1 FUNDING FOR LOCAL EMPLOYMENT DEVELOPMENT AND WORKFORCE TRAINING .....	94
TABLE 56: ACTION 4.A.2 FUNDING FOR SMALL BUSINESS DEVELOPMENT AND TRAINING.....	94
TABLE 57: ACTION 5.A.1 ONGOING EDUCATION AND OUTREACH REGARDING FAIR HOUSING .....	95
TABLE 58: ACTION 5.A.2 FAIR HOUSING TESTING IN RENTAL UNITS .....	96
TABLE 59: ACTION 5.B.1 ENSURE LOCAL ORDINANCES ARE IN COMPLIANCE WITH STATE AND FEDERAL FAIR HOUSING LAWS .....	97
TABLE 60: ACTION 5.B.2 ENSURE ZONING ORDINANCES HAVE PROCEDURES FOR REASONABLE ACCOMMODATION REQUESTS .....	98
TABLE 61: ACTION 5.B.3 LANGUAGE ASSISTANCE FOR LIMITED-ENGLISH SPEAKING RESIDENTS .....	99
TABLE 62: ACTION 5.B.4 UPDATE LOCAL ANALYSIS OF IMPEDIMENTS .....	100
TABLE 63: ACTION 5.C.1 PLAN FOR AND FACILITATE THE DEVELOPMENT OF COMPLETE MIXED-USE AND MIXED-INCOME COMMUNITIES .....	101
TABLE 64: ACTION 5.C.2 PLAN FOR AND FACILITATE TRANSIT-ORIENTED DEVELOPMENTS .....	102
TABLE 65: ACTION 6.A.1 ENERGY EFFICIENCY IN MULTI-FAMILY NEW HOMES .....	103
TABLE 66: ACTION 6.A.2 DIRECT INVESTMENT IN ENERGY-EFFICIENCY IN OWNER-OCCUPIED HOUSING - REHABILITATED HOMES .....	104

TABLE 67: ACTION 6.A.2 DIRECT INVESTMENT IN ENERGY-EFFICIENCY IN OWNER-OCCUPIED HOUSING -  
HOMEBUYER ASSISTANCE PROGRAMS .....105  
TABLE 68: ACTION 6.A.3 CDBG SPONSORED ENERGY EFFICIENCY IMPROVEMENTS .....105

Section 1:

## **Executive Summary**

## Section 1: Executive Summary

### 1.1 Executive Summary

The City of San José's FY 2013-2014 *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 2013-2014 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 was essentially brought to a halt.

However, there is much work currently being undertaken to rebuild the housing resources that have been lost through economic, policy, or legislative factors. The need for affordable housing has become an active point of discussion in the Silicon Valley economy, due to ever increasing rents and housing costs. At the State level, Governor Brown signed the FY 2014-15 budget that includes a one-time \$65 million allocation for affordable housing from auction revenues generated by the Cap & Trade program, which is a market-based mechanism to reduce greenhouse gas emissions in conformance with AB 32 requirements. The budget also includes a provision to provide 10 percent of future Cap & Trade revenues on an ongoing basis to affordable housing. . Additionally, City and Countywide efforts have been initiated to explore collaborative responses to affordable housing and homelessness issues at a regional level. Locally, the City has initiated a nexus study for a housing impact fee, and continues to defend San Jose's ability to implement inclusionary housing programs. City is also in the process of developing three housing plans, including State, federal, and local plans, in order to build a strong base for the future of affordable housing.

## Section 1: Executive Summary

Despite these efforts, the circumstances over 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 flexibility to invest these resources in order to meet changing local needs in the most effective manner.

The City received a total allocation of \$12 million in Federal funding from CDBG, HOME, HOPWA, and ESG programs for FY 2013-14, representing a 28 percent decline from FY 2010-11 (the first year of this five-year cycle). The City leveraged the FY 2013-14 allocations 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

### 1.2 FY 2013-2014 Highlights

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

- Provided 211 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 2,000 homeless individuals, youth and families including victims of domestic violence through funds from the CDBG and Emergency Solutions Grant (ESG) programs.

## **Section 1: Executive Summary**

- Supported kindergarten readiness and third grade literacy skills for 1,782 students in three place-based neighborhoods
- Provided senior services to 786 seniors including hot meals, adult day care and escorted transportation services.
- Committed to the construction of 669 new affordable apartments affordable to Extremely low-income, Very 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 411 lower-income households including 21 seniors and special needs households.
- Provided enhanced code-enforcement services within 1,598 households and businesses to help eliminate blight and strengthen neighborhoods with the help of funds from the CDBG program.

Section 2:

## **Introduction**

## Section 2: Introduction

### 2.1 Report Description

The City of San José's FY 2013-2014 *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 2013-2014 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.

### 2.2 Operating Context

As mentioned earlier in this document, 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 been severely affected. 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 2013-14 represented another year of regrouping and energized efforts to fill the significant resource gap created. 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.

In this past year fiscal year, the State legislature passed two bills that would repurpose existing housing resources for more effective use: AB 532, which allows existing housing trust funds to access additional funding, and AB 639, which authorizes the repurpose of \$600 million in bond

## Section 2: Introduction

funding to provide multifamily housing to low-income veterans and supportive housing for homeless veterans. AB 639 was approved on the June 2014 ballot as Proposition 41.

Additionally, there were successful 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. The Governor signed approved the State budget in June 2014. The Cap-and-Trade portion of the budget deal includes a one-year allocation of \$130 million to fund sustainable communities, out of which \$65 million would be allocated to and infill and transit-oriented affordable housing. It also includes and an ongoing 20% sustainable communities and an ongoing 10% affordable housing Cap & Trade set-aside going forward. With the Cap & Trade program estimated to bring in approximately \$5 billion or more annually at full rollout, a 10% allocation would provide approximately \$500 million annually Statewide for affordable housing. While this would not fill the full affordable housing funding gap left behind by the dissolution of redevelopment agencies, it would provide a substantial and dedicated funding source for affordable housing, for the same with a requirement that at least 10% be spent on affordable housing. Both of these programs willare to be administered by the State's Strategic Growth Council, with program design is currently underway. but the details of how these programs will be administered have not yet been determined.

Locally, San José is exploring a variety of new housing programs and tools, revenue sources, including a housing impact fee. A draft residential nexus study has been developed commissioned to demonstrate and quantify the impact of new market rate housing development on the demand for affordable housing.

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. Because housing has regional benefits and impacts, it is important to explore a cross-jurisdictional, cross-sector approach in order to be able to respond to regional needs in a comprehensive manner. One example of this collaborative effort is that jurisdictions in Santa Clara County are in the process of developing 2015-20 Consolidated Plans from, in part, a regional perspective.

## Section 2: Introduction

The Department's sizable and performing loan portfolio provides stable, program income to fund its operations and administration. From a strategic and policy perspective, staff continually assesses how best to accomplish the City's housing and community development goals and how best to partner with outside organizations for service delivery.

Finally, Staff is in the process of updating three housing plans: the City's local Housing Investment Plan, which prioritizes how the City will use its resources to implement its programs and policies in the current planning period to meet its housing objectives; the State-required Housing Element of the City's General Plan, which establishes programs, policies, and land use strategies to meet its Regional Housing Needs Allocation (RHNA); and the federally-mandated 2015-2020 Consolidated Plan and the 2015-16 Annual Action Plan. The goals and strategies in the three plans will be aligned with each other to ensure that they are mutually supportive and to streamlining the reporting and evaluation processes.

While these efforts represent positive momentum, they collectively still fall short and only partially backfill the full array of tools and resources that previously existed. The 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.

### 2.3 Citizen Participation Process and Comments

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 2013-2014 CAPER will be held from August 26, 2013 to September 12, 2013. A notice regarding the 15-day public comment period will be electronically distributed to approximately 460 agencies, nonprofits, and individuals concerned about housing and community development issues. Additionally, the notice will also be printed in the *San José Mercury News* and translated and printed in *La Oferta*, *Thoi Bao*, *China Press*, and *Phillipine News* on August 22, in order to outreach to residents with limited English proficiency. Copies of the draft CAPER will be 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 for the FY 2013-2014 CAPER preparation process.

## Section 2: Introduction

**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 19, 2014
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 25, 2014
End of 15-day public comment period	September 11, 2014
Housing Advisory Commission public hearing	September 11, 2014
City Council Public Hearing	September 16, 2014
CAPER due to HUD	September 30, 2014

Section 3:  
**Program Summary**

## Section 3: Program Summary

In FY 2013-2014, the City of San José received approximately \$12 million of entitlement funds through the CDBG, HOME, ESG, and HOPWA programs. The City invested these funds as well as program income derived from these funds and savings from prior years, in the following areas

- Goal 1: Assist in the creation and preservation of affordable housing for lower-income and special needs populations
- Goal 2: Support activities to end homelessness in San José and Santa Clara County
- Goal 3: Support activities that provide basic services, eliminate blight, and/or strengthen neighborhoods
- Goal 4: Expand economic opportunities for low-income households
- Goal 5: Promote fair housing choice – affirmatively further fair housing
- Goal 6: Promote environmental sustainability

Specific actions taken in FY 2013-2014 towards the accomplishments of the five-year goals are summarized in the *Outcome Performance Measurement* table in Section 8 – HUD Tables. Certain actions indicate *N/A* as a performance target because they may be broad actions that further the goal that may not have quantifiable objectives that can be easily pre-defined or known, such as seeking additional funding or continuing to support countywide efforts. The table also summarizes the cumulative 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 four years of performance, the City continues to effectively manage its federal funds for the greatest impact and benefit for its community.

### 3.1 Program Narratives

This section describes the program level accomplishments for Fiscal Year 2013-14.

#### Definitions of Terminology Used

The definitions for the terminology used in this section are as follows:

Federal Allocations – Federal grant funds received by the City of San José; can be annual or multi-year

Program Income – Gross income directly generated from the use of the federal funds

Commitment – Funds allocated to a project or activity

### Section 3: Program Summary

Obligation – Legally binding agreement for both City and federal system

Encumbrances – Reserve funds in City’s Financial Management System (FMS) for executed contract

Disbursement – City pays agency for activities completed or in advance, per contract agreement; this will show up in the City’s FMS system

Drawdowns – Request reimbursement of city (FMS) funds in IDIS

Expenditures – Current year’s actual spending based on drawdowns completed in the IDIS Federal financial system; this may be different from disbursements, because of the time lag from when an agency is paid in FMS and when a drawdown is submitted to HUD’s IDIS system

Prior Year’s Funds – Uncommitted funds or committed but unspent funds from prior years

Expected Funding Available – Sum of Federal Allocation, Program Income and Prior Year’s Funds

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

### FY 2013 - 2014 Allocations

During FY 2013-2014, 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 2013-14 Allocations**

Uses of CDBG Funds for 2013-14			
Uses	Total Expected Funding per FY 2013-14 Plan	Expenditures 2013-14	Difference
Community Development Initiatives	\$5,373,674	\$2,835,647	<b>\$2,538,027</b>
Public Services	\$1,289,740	\$1,432,857	<b>(\$143,117)</b>
Fair Housing	\$385,000	\$385,000	
Section 108 Debt Service	\$2,178,381	\$1,571,340	<b>\$607,041</b>
Administrative Costs	\$1,243,724	\$1,083,334	<b>\$160,390</b>
<b>TOTAL</b>	<b>\$10,470,519</b>	<b>\$7,308,178</b>	<b>\$3,162,341</b>

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

## Section 3: Program Summary

faced by the City's low-income residents by developing funding priorities that meet the needs of our residents.

During the FY 2013-2014 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. Actual funding in 2013-14 in the Public Service category was slightly higher than originally anticipated as a result of previous year carryover and slightly higher Program Income than originally anticipated. 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 funded staff continue 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 2013-2014 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 2013- 2014 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

### Section 3: Program Summary

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 six of the seven categories met or exceeded 90% of the goals for 2013-2014. In the Housing Counseling category the goal was to provide foreclosure counseling to 200 homeowners. As a result of the implementation of the new Homeowners Bill of Rights and the continued recovery in the housing market, San José has experienced a continued decline in forecloses this past year resulting in less demand for Housing Counseling.

**Table 3: CDBG FY 2013-14 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	703	155%
Youth Services	People	556	996	179%
Battered & Abused Spouses	People	212	444	209%
Fair Housing	People	268	546	203%
Public Services	People	300	701	234%
Housing Counseling	People	200	107	54%
Housing Improvement	Units	116	229	197%

*\*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 José’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 2013-14 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%

### Section 3: Program Summary

April 30 <sup>th</sup> Expenditure Ratio	<150%	145%
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#### Self-Evaluation

As a whole, the CDBG program met or exceeded anticipated goals and outcomes as set forth in sub-recipient contracts. The Program met the goals for timely processing of invoices and expenditure ratio. Due to significant staff turnover and competing priorities, program staff was not able to complete contracts within the targeted timeline.

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 2013-2014, CDBG funded eleven public service programs that served 3726 low- and moderate-income participants. Ninety nine percent of public service programs met their participation goals. 2013-14 was the second 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 2013-2014, CDBG funded ten community development projects - including two housing rehabilitation programs, a code enforcement program, three neighborhood facility improvement projects, one interim assistance project and three street/sidewalk improvement projects. The two housing rehabilitation programs, including a City operated program and a non-profit operated program, combined to successfully meet the needs of low-income individuals who could not otherwise fund 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 CDBG funded Code Enforcement program provided a range of services within the three place-based neighborhoods. Those services included enhanced multi-family inspections, blight

## Section 3: Program Summary

surveys and abatement and assistance with clean-up efforts within each of the three place-based neighborhoods.

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 2013-2014, HOME funds were used for the acquisition and/or construction of multifamily rental housing, administrative expenses, CHDO operating expenses, single-family home acquisition/rehabilitation, and tenant-based rental assistance. Funding allocated (i.e., funds that were expected to be used for a specific activity in FY 2013-2014) and Expenditures (i.e., amount of funds actually spent on a specific activity in FY 2013-2014) of the City HOME funds were as follows:

**Table 5: HOME FY 2013-14 Allocations and Expenditures**

Uses of HOME Funds for 2013-14			
Uses	Total Expected Funding per FY 2013-14 Plan	Expenditures 2013-14	Difference
Rental Housing Development	\$5,064,091	\$1,678,760	\$3,385,331
Administrative Costs	\$245,091	\$636,802	(\$391,711)
CHDO Operating Expenses	\$100,000	\$100,000	
Homeownership (Habitat for Humanity)	\$750,000		\$750,000
Tenant Based Rental Assistance (TBRA)	\$900,000	\$799,212	\$100,788
<b>TOTAL</b>	<b>\$7,059,182</b>	<b>\$3,214,774</b>	<b>\$3,844,408</b>

### Use of Funds and Self-Evaluation

#### *Rental Housing Development*

One of the 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

## Section 3: Program Summary

San José's beginnings as a Participating Jurisdiction back in 1992, the City has reserved 40% of its HOME allocation for CHDOs, well above the minimum of 15%.

In the FY 2013-14 Annual Action Plan, the City allocated \$5,064,091 for its Rental Housing Development program (aka, Project Development). \$5,390,000 was committed to Japantown Seniors, a 5-story apartment complex that will provide 73 one-bedroom units, 1 studio unit and 1 two-bedroom manager's unit for seniors earning 30-60% of Area Median Income (AMI). 37 of the 76 units will be HOME units; 8 of which will be reserved for 50% AMI. The project is expected to be completed in FY15-16.

The reason the City was able to commit more funds than what was stated in the Annual Action Plan was due to the use of CHDO Reserve funds that had been set aside from previous year's allocations, and a higher than expected infusion of Program Income this past fiscal year. In the Annual Action Plan, it was estimated that the Housing Department would receipt \$1,000,000 in Program Income, but \$2,359,357 was receipted.

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. \$1,578,760 of the HOME expenses for Rental Development were attributed to the final payment towards Kings Crossing being disbursed.

### *Administrative Costs*

Each year, 10% of the total HOME Allocation is set aside/allocated for administrative costs to implement HOME activities. There were funds that had been rolled over from previous years' Allocations which needed to be used prior to using the \$245,091 that was stated in the Annual Action Plan.

Major rental projects, such as Donner Lofts require a significant amount of staff time during the pre-development phase, have required more staff resources to bring them to the construction phase. Also, the change in the City's TBRA administrator required a larger than normal commitment of staff time to complete.

### *Community Housing Development Organization – Operating Expenses*

The City provides operating funds to Certified CHDOs at or just below the maximum amount (5% of the annual HOME allocation) allowed by HOME. This assistance for operating costs

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

helps the CHDO pay for the activities required to bring a project to fruition prior to any funds being committed by the City.

First Community Housing is the only CHDO that was eligible for the CHDO Operating funds. They received the full \$100,000 available, and these funds were used to help pay for the CHDO's general administrative costs.

#### *Homeownership (Habitat for Humanity)*

The City budgeted \$750,000 to assist Habitat for Humanity in acquisition and/or rehabilitation costs of single-family houses. These homes are to be purchased by Habitat for Humanity, rehabilitated and subsequently resold to low-income (80% AMI or lower) homebuyers. Due to a market increase in the cost of housing in San José, and the competition from “cash buyers”, Habitat has found it difficult to find and acquire homes. In FY13-14, one home was acquired and rehabilitated; however, the reimbursement request has not been completed. This drawdown will be reflected in next year's CAPER.

Further, the 2013 95% After-Rehab Home Values issued by HUD were too low for the City's housing market at \$447,000 to begin the 2013-2014 year. In January, the 2014 numbers were released and the limits went down to \$430,000. It was determined that a market analysis to raise the limits was required. Staff completed the market analysis and approval to raise the 95% Home After-Rehab Home Value to \$745,750 was issued by HUD. This change has increased the potential pool of homes available to the program and results from this administrative change will be realized in FY14-15.

#### *Tenant Based Rental Assistance (TBRA)*

The HOME-funded TBRA program drew down approximately \$799,212 for TBRA activities conducted in FY 2013-2014. Another \$173,550 is anticipated to be drawn down in FY14-15 for activity conducted in FY13-14. These funds will be a part of next year's CAPER.

Additional successes of the FY 2013-14 TBRA program are as follows:

- 26 Mental Health clients continued being served from the 85 coupons that were originally issued over the past 3 years.
- 15 previously homeless households from St. James Park with drug/alcohol addictions were housed. At fiscal year's end, all 15 participants continue to be housed, and case management

## Section 3: Program Summary

- with the goal of being self-sufficient at the end of two years – continues. Clients are placed on waitlists for low-income housing options and are receiving appropriate treatment.
- 14 previously homeless households from targeted encampments in San José were housed. At fiscal year’s end, 11 participants continue to be housed and receiving case management.
- 20 coupons were reserved for the Downtown Outreach and Engagement Program through HomeFirst (formerly EHC LifeBuilders). The City’s Rental Subsidy Program Administrator did not have staff capacity to administer the 20 coupons. The City subsequently went through a competitive Request for Proposals process and a new Program Administrator was selected. The 20 coupons are expected to be issued in FY 14-15.
- 5 coupons were reserved for Goodwill. These coupons will be used to house homeless Veterans that are in their Job-ready program. No coupons have been used to date as the City is in the process of finalizing the agency agreement for case management services.
- 20 coupons were reserved for San José Streets Team in their CDBG contract to cleanup place-based neighborhoods and house homeless individuals. The City’s Rental Subsidy Program Administrator did not have staff capacity to administer the 20 coupons. The City subsequently went through a competitive Request for Proposals process and a new Program Administrator was selected. The 20 coupons are expected to be issued in FY 14-15.

In total, the City was successful in assisting 55 low-income/difficult to house households in its HOME-funded TBRA program during FY 2013-2014.

### Meeting HOME Commitments & Expenditures Deadlines

San José’s HOME program met its HUD imposed Commitment and Expenditures deadlines for FY 2013-2014. 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 (e.g., 2nd Street Studios and Donner Lofts) and 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 2014-2015.

## Section 3: Program Summary

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

**Table 6: HOPWA FY 2013-14 Allocations**

Uses of HOPWA Funds for 2013-14			
Uses	Total Expected Funding per FY 2013-14 Plan	Expenditures 2013-14	Difference
Health Trust	\$761,758	\$679,621	\$82,137
San Benito	\$47,500	\$30,500	\$17,000
Administrative Costs	\$25,029	\$18,683	\$6,346
<b>TOTAL</b>	<b>\$834,287</b>	<b>\$728,804</b>	<b>\$105,483</b>

During FY 2013-2014, 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 services provided through the HOPWA program:

**Table 7: HOPWA FY 2013-14 Accomplishments**

Measure	Goal	Actual	% Goal
Tenant Based Rental Assistance	357	351	98%
Supportive Services	414	417	100%
Placement Assistance	19	18	95%

## Section 3: Program Summary

**Table 8: HOPWA FY SPNS 2013-14 Allocations**

Uses of HOPWA SPNS Funds for 2013-14			
Uses	Total Expected Funding per FY 2013-14 Plan	Expenditures 2013-14	Difference
Rental subsidies and support services	\$380,436	\$328,552	\$51,884
Resource identification	\$40,000	\$32,197	\$7,803
Administrative Costs - for both the City and its Subrecipient	\$39,600	\$32,085	\$7,515
<b>TOTAL</b>	<b>\$460,036</b>	<b>\$392,834</b>	<b>\$67,202</b>

Rental subsidies and support services expenditures include FY 12-13 HOPWA funds expended for FY 13-14 expenses.

Further, in FY 2013-2014, the City's renewal application for approximately \$1.31 million for the Housing Opportunities for Persons with AIDS (HOPWA) Permanent Supportive Housing (PSH) grant, in partnership with the Health Trust, was approved for an additional three years. The funds were allocated as follows: approximately \$430,000 in FY 2013-14, \$450,000 in FY 2014-15 and \$430,000 in FY 2015-16. In FY 2013-14, TBRA was provided 76 times and supportive services were provided 424 times. In addition to the above \$1.31 million in PSH funds, approximately \$80,000 in HOPWA SPNS funds were carried over from the previous 2012-13 fiscal year and expended in FY 2013-14. Prior to FY 2013-14, the PSH grant was identified as the HOPWA Special Project of National Significance (SPNS) grant.

### 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 TBRA goals. This was the result of San Benito County's small population (56,000 according to 2010 Census data) which makes it difficult to predict how many persons 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 increased its outreach efforts, and expanded its

### Section 3: Program Summary

HOPWA-funded services to persons with the HIV virus but not diagnosed with AIDS. Such persons are eligible for assistance under HOPWA regulations. However, the outreach effort did not result in any increase in persons served by San Benito County’s program.

## 4. Emergency Solutions Grant (ESG)

**Table 9: ESG FY 2013-14 Allocations**

Uses of ESG Funds for 2013-14			
Uses	Total Expected Funding per FY 2013-14	Expenditures 2013-14	Difference
Street Outreach	\$249,023	\$233,682	\$15,341
Services to Youth and Families	\$357,348		\$357,348
Shelter		\$126,332	
Homeless Prevention		\$72,136	
HMIS	\$90,000	\$87,945	\$2,055
Administrative Costs	\$56,462	\$42,898	\$13,564
<b>TOTAL</b>	<b>\$752,833</b>	<b>\$562,993</b>	<b>\$388,308</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 2013-2014. 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 2013-2014, five programs were awarded ESG funds. In compliance with HUD regulations, all funds obligated in FY 2013-2014 must be expended within 24 months from the date HUD signed the City of San José’s grant agreement.

### Homeless Outreach and Engagement

Approximately forty one percent (\$234,000) 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% were unsheltered; 1230 homeless persons were residing in encampments (along waterways, in

### Section 3: Program Summary

parks, in abandoned buildings, on freeway off ramps, under bridges, in parking lots, and in RV's). ESG funds were allocated to homeless outreach and engagement services with homeless persons in encampments, and offered case management, housing search and placement, rental assistance, transportation and temporary shelter beds. As a result of ESG funded outreach effort, there were 2,345 outreach contacts were made at 98 distinct outreach locations. Outreach and engagement teams were the "first responders" to any calls regarding an encampment or homeless individual on the streets. The outreach and engagement teams provided information, referrals, and connection to shelter, housing and supportive services. They are often the first point of contact for unsheltered single individuals, transition age youth and families. 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 gaining stability. As a result of ESG outreach, 110 single individuals received shelter and case management services. While the City's primary outcome for ESG grantees is rapid re-housing and maintenance, ensuring interim housing solutions is critical. ESG funded over 2,029 personal shelter days while homeless individuals engaged with a case manager and secured permanent supportive housing (rather than remaining outdoors).

The Outreach Teams were also able to connect individuals to other appropriate supportive housing programs, including the local Housing 1000 Campaign and TBRA programs. Goals attained by the outreach funded agencies are:

- 70% of clients involved in intensive case management achieved 2 goals of their individual case plan
- 75% of homeless clients who participate in three or more search sessions will obtain permanent housing

The goal of 70% was achieved by the end of the FY, demonstrating that it takes time for individuals experiencing homelessness to achieve goals of attaining income and housing. In regards to connecting to permanent housing, 89% of clients that participated in 3 or more housing search sessions obtained permanent housing. Staff and clients were able to exceed this goal due to concerted efforts from individuals involved in intensive case management and case manager's knowledge of affordable housing for singles. In assessing maintenance of housing over time, the goal was for 65% of clients who participated in intensive case management and located housing remained housed for 6 months. The actual percentage attained was 91% for the subset of clients who obtained permanent housing.

## Section 3: Program Summary

Outreach, case management and shelter services were augmented by CDBG and Housing Trust Fund services for FY 2013-14. Many of the grantees received blended funding. As a result, these projects made an additional 4,928 outreach contacts to an additional 258 outreach locations throughout the city, provided 366 individuals with case management, and 15,742 personal shelter days. Outcomes for these specific services are:

- 70% of those enrolled in case management will obtain permanent housing in 30 days
- 65% of clients who are enrolled in case management for at least 30 days will exit with adequate income to meet their basic needs

The actual percentage to obtain permanent housing was 17% of those enrolled in case management. This outcome is quite under goal due to significant challenge to obtain sufficient income and find affordable housing quickly in a tight rental market. This outcome will be revised in FY 14-15 contracts. As with the previous measure, the goal for those exiting case management with adequate resources was also not met (actual was 28%). It was discovered that when only analyzing exited clients was capturing data only on those who quit the program, were incarcerated or passed away. The majority of the clients served who obtained housing remained in the program. This outcome will be revised for FY 2014-15. To demonstrate that point, 92% of clients who received case management and were housed maintained their housing for 6 months or more, goal was 80%.

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

Approximately thirty five percent (\$198,000) of ESG funds were allocated to shelter and homeless prevention 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 serving 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, street outreach efforts, hotlines and other

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

community based programs. For FY 2013-14, 313 family members received 223 housing search sessions and rental assistance and 64 rental assistance payments were made. Outcomes attained by the ESG funded Youth and Family Collaborative was: 83% of clients who obtained permanent housing were able to maintain it for 6 months or more, exceeding the goal of 70% due to ongoing case management, gradual decreased rental assistance and family's strong commitment to maintaining gains made while in shelters. All other homeless family services were funded by CDBG.

The Domestic Violence Collaborative also assisted victims made homeless as a result of fleeing from violence and accessed DV shelters. In FY 2013-14, 444 individuals were provided shelter and case management services, 6033 case management sessions were provided, 15,849 personal shelter days provided, 16 individuals were connected to transitional housing and seventeen individuals received rental subsidies to secure and maintain permanent housing. The goal is that 40% of families will maintain permanent housing; the actual percentage attained permanent housing is 61%. This ability to exceed the goal is due to cooperation amongst the shelter providers to maximize length of shelter stays for these families to allow them to access services, financial stability and locate alternate housing.

As with the Outreach programs, Services to families and youth were augmented by CDBG funds for FY 2013-14. All of the ESG grantees received CDBG funds for case management and shelter services. As result of CDBG funding, 313 homeless family members benefitted from this mix of funds. Outcomes for the CDBG funded services are: 85% of families who participate in intensive case management will reach 2 case plan goal, actual percentage attained is 88%; 70% of families participating in intensive case management will obtain permanent housing, actual percentage achieved is 79%, reflecting that families committed to regaining stability with help from experienced case managers along with rental supports can locate permanent housing. The reasons some families are not locating permanent housing are due to tight market for larger family units, low wage employment, and personal issues such as mental health and substance use. Lastly, the goal was for 70% of clients who participate in case management and obtain housing remain housed for 6 months, percentage that achieved this goal is 85%, demonstrating stability of the families as result of ongoing case management, graduated rental assistance from city and families commitment to maintaining self sufficiency.

## Section 3: Program Summary

### Homeless Management Information System (HMIS)

Approximately fifteen percent (\$87,000) 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 10: HMIS Accomplishments**

Measure	Goal	Actual	% Goal
Homeless Outreach (# of clients served)	135	110	81.5%
Services to Families and Youth, including Victims of Domestic Violence (# of clients served)	424	745	175.7%
HMIS (# of users)	450	455	101.1%
<b>Total</b>	<b>1,009</b>	<b>1,310</b>	<b>129.8%</b>

### Self-Evaluation

As noted above, in FY 2013-2014, 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

### Section 3: Program Summary

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.

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. Neighborhood Stabilization Program (NSP 1 & NSP 2)

**Table 11: NSP FY 2013-14 Allocations**

Uses of NSP 2 Funds for 2013-14			
Uses	Total Expected Funding per FY 2013-14	Expenditures 2013-14	Difference
25% Set-Aside	\$4,400,000	\$18,610	<b>\$4,381,390</b>
Dream Home Program	\$800,000	\$296,047	<b>\$503,953</b>
Administrative Costs	\$333,000	\$194,238	<b>\$138,762</b>
<b>TOTAL</b>	<b>\$5,533,000</b>	<b>\$508,895</b>	<b>\$5,024,105</b>

Starting in October of 2009, the City of San José began 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 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.

## Section 3: Program Summary

In early 2009, while planning the implementation of the NSP1, 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.

### Self-Evaluation

#### *Neighborhood Stabilization Program I (HERA)*

After successfully meeting the expenditure requirements a year in advance, program staff purchased the last NSP1 Property in February 2010. Since that time Program staff had worked toward completing rehabilitation and selling the remaining Single-family properties as well as completing repairs on the two four unit apartment buildings purchased to meet the 25% Set-aside requirements.

During this performance period the Program staff focused its efforts on two priorities:

- Preparing for Grant Closeout – having fully expended the Grant allocation and all but a small amount of Program Income, staff focused on identifying an eligible use for the small remaining balance of Program Income and spending down the total in preparation for the grant closeout. The remaining balance of Program Income was too small to purchase an additional property yet significant enough to provide positive impact in

## Section 3: Program Summary

conjunction with other projects. During this performance period staff allocated the balance of NSP 1 Program Income to assist with rehabilitation on three NSP 2 properties. Rehabilitation was completed on the three properties at the end of the 2013-14 fiscal year.

- In June 2012, the City leased two four unit apartment buildings purchased through NSP1, to Downtown Streets Team, a non-profit organization dedicated to assisting homeless individuals with job and housing opportunities. During this performance period, Program staff focused on completing repairs and providing property management guidance to these two NSP 1 funded properties. In February 2014, one of the two buildings sustained fire damage as a result of a fire in one of the four units. City staff has worked in coordination with several other City departments and outside agencies, including the insurer, to restore the building from the fire damage. The estimated completion and re-occupancy of the building is December 2014.

### *Neighborhood Stabilization Program II (ARRA)*

#### *San José Dream Home Program*

At the end of the 2012-13 fiscal year the NSP 2 Consortium consisting of the Housing Trust of Silicon Valley (HTSV), Neighborhood Housing Services of Silicon Valley (NHSSV), and the City of San José modified the original goals of the NSP2 grant in an effort to adjust to market conditions and community needs. The goals for the City operated Dream Home Program were changed from 64 to 41 single-family homes acquired and rehabilitated. The Housing Trusts Purchase Assistance Loan program goals were also modified from 101 to 51 homebuyer assistance loans. The balance of funds were reallocated to support additional multi-family units serving Very Low income (below 50% AMI) residents.

With the reduced goals of the Dream Home Program, City staff focused much of its efforts on completing the rehabilitation and resale of the remaining single family properties in 2013-14. During this performance period five (5) of the seven (7) remaining Dream Home Properties were fully rehabilitated and sold to low and moderate income families. The remaining two Dream Home Properties began construction late in the 2013-14 FY and will be completed and resold early in the 2014-15.

#### *NSP Set-Aside Requirements*

With the expansion of the 25% set-aside program the NSP 2 Consortium issued a new Notice of Funding Availability (NOFA) seeking new development or acquisition/rehabilitation

## Section 3: Program Summary

opportunities with the balance of uncommitted Program Income. By the end of this reporting period the Consortium had not received a viable proposal for these funds. The Consortium will continue to seek new viable projects that support the funding objectives and community needs. Construction on the 20 unit (19 restricted units) Ford Road Supportive Housing development was completed and leased and construction began on 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 156 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.

## 6. BEDI Grants and Section 108 Loans

### FMC Purchase

Adopted in November 2003, San José's Economic Development Strategy (EDS) details a vision and outlines a 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,

## Section 3: Program Summary

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 which included new shops and restaurants. The City continues to work on meeting the proposed 836 jobs creation goal. In 2013-2014 342 new jobs were created of which 244 were full time equivalents. To date, 697 jobs have been created, of which 499.5 were full-time equivalent (FTE) jobs. Of those 499.5 FTE jobs, 402.1 jobs were held by low- and moderate-income persons.

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. The City of San José sold 14 acres for the major league soccer specific stadium of the 23.23 acres on November 7, 2012. The City remitted to HUD \$4.97 million in sales proceeds to pay down the principle balance of the HUD Section 108 loan. This HUD Section 108 loan will be paid off in 2024.

## 7. 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 16,904 households under Section 8 contracts as of July 30, 2014.

### Section 3: Program Summary



**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%)	5,086	2,975	1,553	1,184	728	318	143	28	12,015
VLI (31-50%)	254	318	372	270	154	69	8	2	1,447
LI (51-80%)	36	69	64	43	35	15	2	1	265
MOD+ (>80%)	4	7	7	12	4	2	0	1	37
<b>TOTAL</b>	<b>5,380</b>	<b>3,369</b>	<b>1,996</b>	<b>1,509</b>	<b>921</b>	<b>404</b>	<b>153</b>	<b>32</b>	<b>13,764</b>

Ethnicity	Total	Percent
Hispanic	4,547	33%
Non-Hispanic	9,217	67%
<b>Total</b>	<b>13,764</b>	<b>100%</b>
Race	Total	Percent
Caucasian	6,404	47%
Black/African American	1,931	14%
American Indian/Alaskan Native	270	2%
Asian	5,092	37%
Native Hawaiian/Other Pacific Islander	67	0%
<b>Total*</b>	<b>13,764</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.

**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%)	1,187	634	336	250	124	84	26	14	2,655
VLI (31-50%)	58	79	71	62	27	12	6	2	317
LI (51-80%)	12	24	12	11	8	4	0	0	71
MOD+ (>80%)	2	2	2	2	3	2	1	0	14
<b>TOTAL</b>	<b>1,259</b>	<b>739</b>	<b>421</b>	<b>325</b>	<b>162</b>	<b>102</b>	<b>33</b>	<b>16</b>	<b>3,057</b>

## Section 3: Program Summary

Ethnicity	Total	Percent
Hispanic	1,011	33%
Non-Hispanic	2,046	67%
<b>Total</b>	<b>3,057</b>	100%
Race	Total	Percent
Caucasian	1,771	58%
Black/African American	361	12%
American Indian/Alaskan Native	32	1%
Asian	879	29%
Native Hawaiian/Other Pacific Islander	14	0%
<b>Total*</b>	<b>3,057</b>	100%

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 21,256 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 July 30, 2014 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	3,801	27%
Non-Hispanic	7,699	55%
Unknown	2,527	18%
<b>Sub-total</b>	<b>14,027</b>	<b>100%</b>
American Indian/Alaskan Native	362	3%
Black	1,026	7%
Hawaiian/Pacific Islander	2	0%
White	3,374	24%

### Section 3: Program Summary

Asian	5,897	42%
Unknown	3,366	24%
<b>Sub-total</b>	<b>14,027</b>	<b>100%</b>
<b>Sex</b>		
Male	4,634	33%
Female	7,411	53%
Unknown	1,982	14%
<b>Sub-total</b>	<b>14,027</b>	<b>100%</b>
<b>Total Registrants from San José</b>		<b>14,027</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. The final allocation of 25 CHDR vouchers was awarded to three different Project Based Voucher contracts that are under development. Once these projects have completed construction, the remaining allocation of 25 vouchers will be attached to these properties to house chronically homeless individuals and families. HACSC continues to work in close collaboration with its CHDR case management providers and community partners. As of June 2014, 64 of the 75 vouchers in use have been successfully leased.

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 FY2014, HACSC received approval from HUD to a modification of its previous approval and disposed of 16 of the remaining 20 public housing units. Four public housing units remain.

## Section 3: Program Summary

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 2015 Annual Plan was adopted by the HACSC Board of Commissioners in Summer 2014.

### 3.2 Leveraging of Resources

All of the projects carried out during FY 2013-2014 involved the leveraging of other funding sources.

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 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 2013-2014 and has satisfied it by forgiving annually property taxes on major rental projects that have been assisted with HOME funds.

### 3.3 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

## Section 3: Program Summary

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 2013-14.

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.

- Train property management staff on all relevant Fair Housing regulations and provisions.

## Section 3: Program Summary

- 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.
- Provide reasonable accommodations to all disabled persons pursuant to the City's municipal ordinance for reasonable accommodations.
- 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 one 8-hour homebuyer education class every month plus one non-English class per quarter to individuals interested in purchasing homes using City-funded downpayment assistance.. Each class averages just over 21 households. In addition to English, classes are regularly held in Spanish and Vietnamese.

### 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.

Since FY 2010-2011, all sub-recipients of grant funding from the City of San José to local nonprofit agencies have been required to develop and implement a LAP. Housing Department staff provides guidance to the agencies in order to facilitate their LAP. All agencies must provide a year-end narrative on the steps taken to outreach to their limited English proficient clients. All grant contracts include a requirement that sub-recipients have a valid LAP in order to receive federal funding. The Department continues to support efforts by grantees to monitor and improve their LAP.

## Section 3: Program Summary

### 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 [www.scchousingsearch.org](http://www.scchousingsearch.org), that provides detailed information about affordable rental properties in Santa Clara County. The service can be accessed at no cost online 24 hours a day or through a toll-free, multi-lingual 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 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**

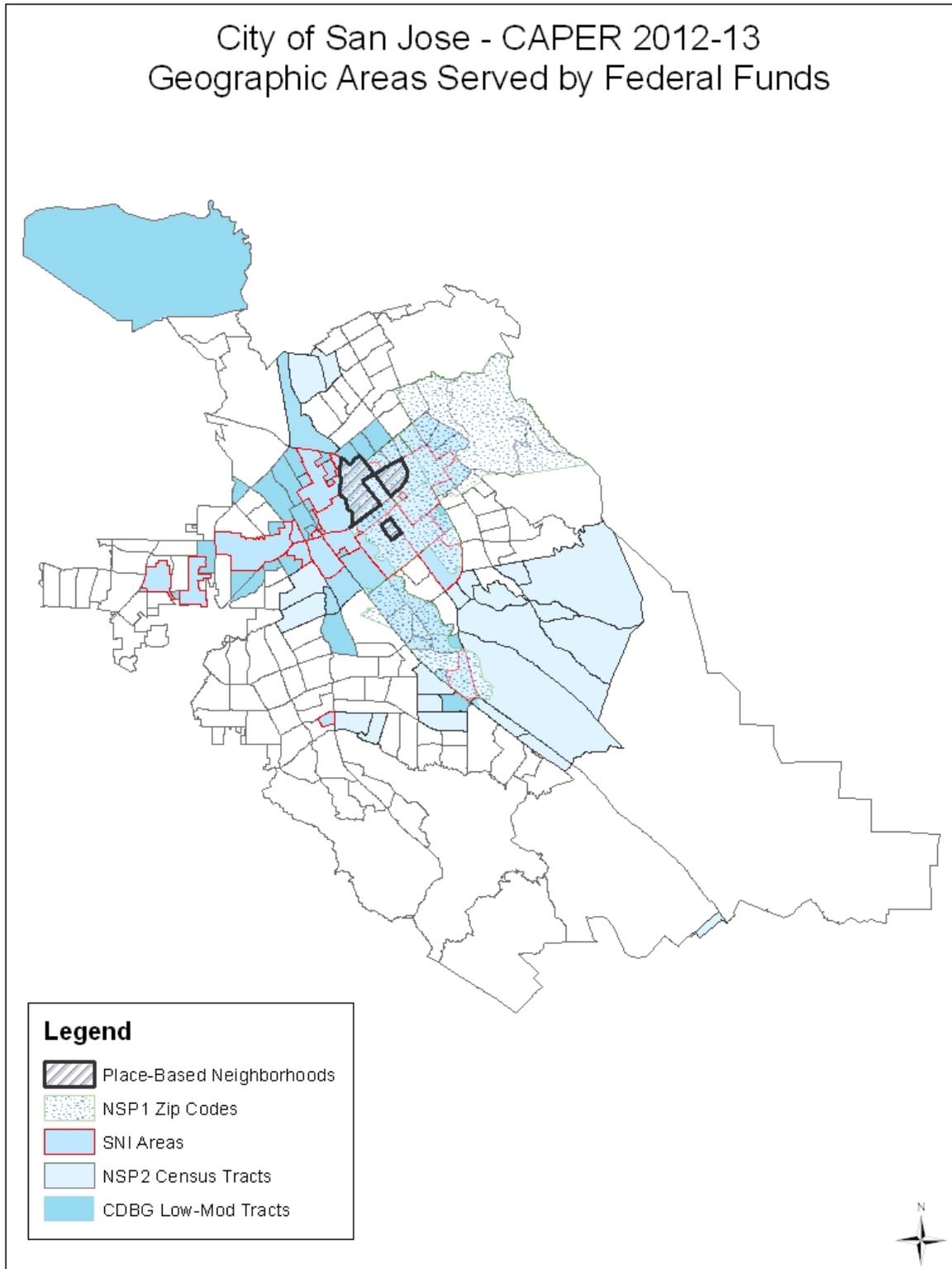
## Section 4: Geographic Areas Served

### 4.1 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. 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.

In January 2012, the City Council approved the Housing Departments proposal to narrow the focus of its CDBG funding to a placed based, neighborhood-focused strategy. The placed 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, which include measures of performance that tie into the goals of a cleaner, safer and more engaged community. 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						
Outcome Code	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</i>
Annual Plan Goal	105	705	249	397	233	1,689	1309.3%
Actual Annual Outcome	354	74	36	669		1,133	878.3%

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

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

### *Accomplishments / Impact*

In 2013-2014, City support will make possible 669 new affordable apartments in four forthcoming 100% affordable projects. The Metropolitan Apartments (North Phase), Second Street Studios and North San Pedro Apartments have City subsidy investments, while the City held a TEFRA hearing for the issuance of tax-exempt bonds by a statewide conduit bond issuer for Charlotte Drive and Lexington Apartments, in which there are no additional public subsidies other than bonds and 4% LIHTCs.

The Metropolitan (North) consists of 70 new affordable one-, two- and three-bedroom apartments. All homes will be affordable to those at or below 45% of Area Median Income (AMI) and 18 will be affordable to those at or below 30% AMI.

Second Street Studios will offer 134 affordable apartments—128 studios and five one-bedrooms, plus one unrestricted manager's unit—all of which will be affordable to those at or below 50% AMI, including 32 apartments affordable at or below 30% AMI. Forty-seven units will be set aside for special needs residents, primarily developmentally disabled tenants capable of independent living with services provided by Housing Choices Coalition.

North San Pedro Apartments will offer 134 affordable apartments—118 studios and 16 one-bedrooms plus one unrestricted manager's unit—affordable to residents between 30% and 60% AMI. This development will economically integrate a new neighborhood that is to be built in Downtown San José with a total of between 875 and 925 new homes. Forty-five (45) of the units will serve special needs populations, likely including people with developmental disabilities.

Early in FY 2014-2015, the City will also commit HOME funding to the Donner Lofts project, which will begin construction in fall 2014 on 101 affordable apartments—including 20 apartments for the homeless—in Downtown San José. The City's commitment of its locally-funded construction/permanent loan and its ground lease already occurred in early 2013, and the project has fortunately received a highly-competitive 9% LIHTC allocation—therefore, the final HOME commitment will be made in August 2014 shortly before construction closing.

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

In addition, in the past year, staff oversaw the completion of 399 new affordable apartments in five new developments that had received City funding. All four are transit-oriented: both Rosemary projects are located on a light rail line; Ford and Monterey is close to regional CalTrain; and, Mayfair is on a major East/West bus route through the center of San José.

**Table 16: Fiscal Year 2013-14 New Commitments for Rental Housing**

Name	Type	ELI Units	VLI units	LI units	Total Affordable
Metropolitan Apartments - North Phase	Family	18	52	0	70
Second Street Studios	SRO	49	84	0	133
North San Pedro	Studios	47	88	0	135
Charlotte Drive	Family	0	0	198	198
Lexington Apartments	Family	0	0	133	133
<b>TOTAL COMMITMENTS</b>		<b>114</b>	<b>224</b>	<b>331</b>	<b>669</b>

**Table 17: Fiscal Year 2013-14 Completions for Rental Housing**

Name	Type	ELI Units	VLI units	LI units	Total Affordable
Ford and Monterey – Phase I	Special Needs	19	1	0	20
Mayfair Court Apartments	Family	46	46	0	92
Rosemary Seniors	Seniors	11	20	74	105
Rosemary Family	Family	0	19	163	182
<b>TOTAL COMPLETIONS</b>		<b>76</b>	<b>86</b>	<b>237</b>	<b>399</b>

**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							
Performance Measure	Number of lower-income units with recorded restrictions						
5-Year Plan Goal	150						
FY 2013-14 Funding Source	Private Developers' 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	0	0	354	477	378	1,209	806.0%
Actual Annual Outcome	0	0	185	331		516	344.0%

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

### *Accomplishments / Impact*

The rising rents and sales prices in the San José market have induced thousands of market-rate rental units to start construction in the last couple of years. In FY 2013-14, the City issued building permits for over 4,700 residential units, making it among the highest-volume permit years in the past 20 years. The vast majority of these projects were planned as rental developments. 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.

San José’s Citywide Inclusionary Housing Ordinance, approved in 2010, requires affordable housing obligations on all new developments of 20 or more units. It was scheduled to take effect on January 1, 2013 but was challenged by the California Building Industry Association (CBIA). Its implementation has been stayed since May 2012. In 2013, the City’s appeal to the Sixth District Appellate Court on an adverse trial court ruling was successful, but the CBIA filed for review with the California Supreme Court, where it is now pending with a decision expected in 2015. Until or unless the Ordinance takes effect, the City’s Policy continues to be administered on for-sale developments in former redevelopment project areas.

In the past year, four of the five residential developments subject to the City’s negotiated affordability agreements on the former Hitachi site in the Edenvale area moved forward. For two developments listed below—Lennar with ROEM, and City Ventures with ROEM—ROEM is building two standalone rental affordable complexes with a total of 331 low-cost apartments. (As the City held TEFRA hearings for those standalone developments—Charlotte and Lexington—the affordable units are also listed in Table 1.A.1.) Lennar’s development includes 640 new for-sale homes, City Ventures will develop 143 for-sale homes, and ROEM will also build 387 market-rate apartments in addition to their affordable apartments, for a total of 1,170 market-rate homes. Two other negotiated affordable projects in Hitachi—by Shea Homes and St. Anton—continued their construction progress in the past year. Once completed, these projects will create a total of 155 affordable homes and 768 market-rate homes. In total, more than 486 affordable homes and 1,938 market-rate homes are in progress in this new neighborhood—2,424 in all.

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



**Table 19: Fiscal Year 2013-14 Projects with Recorded Affordability Restrictions for Inclusionary and Negotiated Housing**

Name	Type	ELI Units	VLI units	LI units	Total Affordable
Lennar & ROEM	For-Sale	0	0	198	198
City Ventures & ROEM	For-Sale and Rental	0	0	133	133
<b>TOTAL UNITS</b>		<b>0</b>	<b>0</b>	<b>331</b>	<b>331</b>

**Leveraging of Resources**

Both commercial and private financing of residential developments is sufficiently available in the San José market, particularly for market-rate rental developments, given significant escalations in Bay Area real estate prices. Low Income Housing Tax Credit (LIHTC) equity pricing continues to be stable and relatively high in the San José market given the underlying strength of the rental market and the demand for Community Reinvestment Act credit in this market. In the past year, the State also made some new awards for the Transit Oriented Development program and the Infrastructure Infill Grant program for the first time in several years. Affordable Housing Program (AHP) and California State tax credits continue to be available, although are more competitive to obtain than in the past. State-authorized Mental Health Services Act (MHSA) funds for real estate development, however, are no longer available in Santa Clara County, which disadvantages the production of units for the homeless.

Overall, the Housing Department made very efficient use of the new construction funding available in the past year to support the Department’s goal of increasing the affordable housing supply. It leveraged its programmatic funds by more than 6.5 times with available outside funding. For the three City-subsidized projects in the list below, the leveraging ratio of other funders’ money to the City’s investment is 3.4 to 1— slightly higher than the City’s historical standard of approximately 3 to 1. In general, lower leveraging ratios are more likely at this time than in history due to the shortage of other funding programs, so this relatively high leveraging ratio given current market conditions indicates the City’s continued judiciousness in committing funds.

**Table 20: FY 2013-14 Housing Production - Leveraging of Resources**

Project	City Funds	Project Cost	Leveraging Ratio
The Metropolitan – North Phase	\$15,045,000	\$36,198,608	1.41

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

Second Street Studios	\$8,000,000	\$40,739,492	4.09
North San Pedro	\$1,600,000	\$31,608,429	18.76
Charlotte Drive	\$0	\$44,282,876	N/A
Lexington Apartments	\$0	\$33,155,062	N/A
<b>Total</b>	<b>\$24,645,000</b>	<b>\$185,984,467</b>	<b>6.55</b>

### 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 2014. The San José-Sunnyvale-Santa Clara area was identified as the ninth least affordable area in the nation (217<sup>th</sup> out of 225 metropolitan areas) with only 27% of the homes sold being affordable to those earning the area’s median income of \$101,900. Note that this figure is similar to the State’s income limit that identifies a median income of \$105,500 for a household of four.

When this need was identified in 2009-10, the ongoing housing market downturn led to lower home sales prices in virtually all the Entitlement Jurisdictions. However, NAHB data indicated that ownership housing in much of Santa Clara County—including parts of San José—remained largely unaffordable to lower-income households. At the time, prices dropped significantly in certain submarkets in San José, and credit was significantly reduced due to heightened tight lending standards. Housing values have now rebounded back to pre-recession levels, bringing back with it the traditional challenges of becoming a homeowner in high-cost San Jose.

#### 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:

- *NSP2 Acquisition Activities* – Eligible homebuyers may purchase newly rehabilitated homes acquired through the NSP2 funded Dream Home Program. Homebuyers with a household income between 81% and 120% of the (AMI) Areas Median Income (up to \$121,500 for a family of four) receive a secondary mortgage loan of up to 10% of the purchase price of the home. Households earning 80% or less of the AMI may receive up to 20% in mortgage assistance.

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

- *Building Equity and Growth in Neighborhoods Program (“BEGIN”)* – The State 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 State 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.

### 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	5	262	73.4%
<b>Actual Annual Outcome</b>	39	65	21	1		126	35.3%

\* An additional 11 moderate-income homebuyers were also provided with assistance to purchase homes

### *Accomplishments / Impact*

As shown in Action 1.B.1 above, 5% percent of the annual goal was met for the homebuyer direct down payment assistance programs. This was primarily due to the decline in overall housing resources, requiring scarce HOME funds to be invested in other programs based on priority.

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

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

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						
	<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>	417	720	636	450	275	2,498	109.3%
<b>Actual Annual Outcome</b>	422	514	675	380		1,991	87.1%

### *Accomplishments / Impact*

As shown in Action 1.B.2 above, over 87% of the annual goal was met for the number of lower-income households participating in homebuyer education classes and counseling. 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

In the past year, the City provided \$750,000 in HOME funding to Habitat for Humanity to acquire and rehabilitate up to six homes over a two-year period. Those homes will be income restricted to low-income families.

**Table 23: Fiscal Year 2013-14 New Commitments for Ownership Housing**

Project Name	NC / A/R	Council District	ELI, VLI, LI Units	Mod Units
Habitat for Humanity	Acq/Rehab	Various	6	0
<b>TOTAL</b>			<b>6</b>	<b>0</b>

**Table 24: Fiscal Year 2013-14 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>

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

### Inclusionary and Negotiated Affordable Ownership Homes

In the recent two to three years, the San José market has seen a steep price escalation in for-sale home prices, and even steeper increases in rents. While the vast majority of residential construction starts has been for market-rate rental projects, some new for-sale project construction starts also have occurred recently. In the past year, three builders that are subject to the City's Inclusionary Housing Policy opted to pay in-lieu fees instead of building BMR homes; the City received a total of \$7,764,000 instead of 74 BMR units. Although the fee income is very welcome and will be used to subsidize apartments for ELI and VLI households, its presence is correlated with the absence of new forthcoming BMR for-sale units. There have been no for-sale ownership projects on which the City recorded affordability restrictions in the past year.

One inclusionary high-rise ownership project that was completed in Spring 2008, but has been temporarily renting units for the past five years, finally started selling homes in 2013-2014. While no BMR homes have been sold yet, 24 homes are required under the Inclusionary Policy that are expected to be sold over the coming two years.

As noted in the rental Inclusionary section near Table 5, several hundred for-sale units are expected to start construction over the coming months under a previously-negotiated development agreement for affordability on the former Hitachi site. However, as noted above, the developers have opted to provide two 100% affordable standalone rental projects instead of BMR homes, as was an allowable option in the Development Agreements.

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 in FY 2013-2014. However, the program gives the right for developers to pay an in-lieu fee instead of develop affordable for-sale units. Given recent history as an indication, and given that prices continue to escalate in the San José market—so that selling homes below market prices will be an increasingly large reduction to revenues—the current fee levels will likely continue to be the preferred choice. Therefore, staff projects that no new commitments will be made to build ownership units to moderate-income buyers in the coming year.

### **Table 25: Fiscal Year 2013-14 New Inclusionary and Negotiated Affordable Ownership Housing**

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



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 experienced employment problems, which impacted their ability to obtain mortgage financing. The economic recovery that occurred during FY 2013-2014 increased local employment. However, it is unclear whether this will improve the ability of potential clients to obtain financing, as the economic recovery has created high-wage and low-wage jobs, and little middle-class jobs. Thus, while it is possible that the improved economy could result in more applicants being approved for their first mortgage financing, it could also result in more households in low-income jobs who are unable to obtain credit.

In the past year, the Department leveraged its programmatic funds by six times with available outside funding. The Department provided \$1,000,000 in homebuyer loans and was able to leverage this with \$6,000,000 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. In 2010, 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 were 11,891 low-income and moderate-income senior households in San José with housing problems, 6,323 of which were homeowners.

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

### General Context / Background

Historically, the Housing Department's Home Repair Program has provided 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 once provided grants up to \$15,000 and loans up to \$150,000. Beginning in 2012-13, the Housing Department drastically reduced the program services, eliminating the mobilehome and single family grant programs. Only residents within the existing program pipeline received grants. Primarily through the use of State Calhome funds, the Housing Department continues to provide home improvement loans to lower income residents. Loans funded within San José's former 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 minimum housing standards, ensuring that the property is left in a decent, safe, and sanitary condition upon completion of the work. In addition to funding repairs and improvements, 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 2013-14, the City's Home Repair Program utilized CDBG funds to address existing commitments within the program pipeline. All new program applications have been funded with the City's CalHome funds since 2012-13.

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.

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

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							
<b>Performance Measure</b>	Number of lower-income homeowners assisted						
<b>5-Year Plan Goal</b>	1,271						
<b>FY 2013-14 Funding Source</b>	CalHome, 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>	262	210	223	320	135	1,150	90.5%
<b>Actual Annual Outcome</b>	391	435	543	411		1,780	140.0%

### *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 2013-14, 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, 411 unduplicated low-income households were assisted with housing repairs or improvements utilizing various funding sources. This outcome exceeds the overall annual goal of 320 by 91 units. Collectively the programs have achieved 140% of the 5-year goal by the end of year four. Assistance was provided through the following Programs:

**Table 27: FY 2013-14 Rehabilitation Program Households Served**

Program	Total Unduplicated Households
Rebuilding Together Silicon Valley Program (Including Minor Repair)	189
CSJ Home Repair Program	42

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

CSJ Mobilehome Seismic Program (low-income) <sup>1</sup>	180
<b>Total</b>	<b>411</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	50	795	79.5%
Actual Annual Outcome	266	239	288	229		1,022	102.2%

### *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 2013-14. 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 including the City operated Housing Rehabilitation Program. As a result of these funding challenges, the City’s repair program limited its CDBG funding to its existing pipeline.

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 \$24,000 per property, the Program continued to provide longer term, sustainable repairs or improvements.

<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

Through their Safe at Home Programs Rebuilding Together Silicon Valley has provided support to 189 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 189 unduplicated households Rebuilding Together completed 1404 repairs.

The combined program total of 229 households receiving rehabilitation enabled by CDBG funding through the City and through Rebuilding Together significantly exceeded the overall program goal of 162 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 2013-2014 fiscal year, the Housing Department utilized its existing allocations of State Calhome grants to fund 15 new Home Repair loans. With an average of \$50,000 per home, these leveraged funds provide opportunities for longer term repairs and improvements.

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

Additionally, the Rebuilding Together Silicon Valley project was matched with an additional \$212,806 for a total project cost of \$612,806.

### 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.

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

### 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

**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)							
Performance Measure	Number of lower-income units with funding committed						
5-Year Plan Goal	29						
FY 2013-14 Funding Source	HOME, Affordable Housing Investment Fund						
Outcome Code	DH-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	15	324	89	211	56	695	2396.6%
Actual Annual Outcome	143	23	0	92		258	889.7%

### *Accomplishments / Impact*

The Department is very conscious of the local need for disabled, large family, and senior units identified in the 2010 Census. As noted above, two of the three projects to which the City committed funds last year will include a total of 92 special needs units. Second Street Studios has made a commitment to set aside 45 units for special needs occupancy, and North San Pedro plans to set aside 47 units. Both are sponsored by the City's CHDO, First Community Housing, which will enter into agreements with Housing Choices Coalition and other supportive service providers to ensure that appropriate on-site services are available for the special needs populations.

Through a preservation strategy for existing affordable units, last year, the Department awarded more than \$2.8 million for rehabilitation work and to ensure that 69 existing restricted affordable apartments would be made available for five years to the homeless. In addition, last year, the Department teamed with a nonprofit service provider in San José that focuses on the disabled

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

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)							
Performance Measure	Number of homeowners assisted						
5-Year Plan Goal	254						
FY 2013-14 Funding Source	CalHome, Affordable Housing Investment Fund, 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	52	107	98	25	-	282	111.0%
Actual Annual Outcome	190	33	200	21		444	174.8%

### *Accomplishments / Impact*

The Housing Rehabilitation Program and Rebuilding Together Program provided assistance to 21 seniors and disabled homeowners with housing repair or improvement needs in 2013-2014.

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**

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



Action 1.D.2 Pursue funding opportunities to improve condition of housing stock for lower-income renters							
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.

### 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 6.5 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 close to \$200,000 in support services to our senior community. Programs such as the Senior Isolation to Inclusion Project and the Meals on Wheels provide critical services to seniors in San José.

### 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 on any given night, 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. In 2013, the City funded targeted encampment and outreach efforts to historically hard-to-count populations (i.e. youth and encampment residents).

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

### 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 offer 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**

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	276	708	248.4%
Actual Annual Outcome	65	211	240	211		727	255.1%

### *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, 155 unduplicated households received tenant-based rental assistance. 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

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

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 55 unduplicated individuals with monthly rental subsidies and/or rental deposits in FY13-14. This program was operated on behalf of the City, by Abode Services, a non-profit agency. Abode operates similarly 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, San José Streets Team and the County of Santa Clara's Department of Alcohol and Drug Services with the goal to end homelessness.

Included in the 55 unduplicated individuals were 14 households/individuals once living in targeted encampments in San José. The City targeted two San José encampments (Selma-Olinder and Kelly Park) for cleanup in the summer of 2012. All of the people living there were offered housing. Those who maintained contact with the outreach worker/case manager were provided motel stays and eventually a TBRA coupon. In total, 14 people followed through with services by three non-profit agencies - HomeFirst, Downtown Streets Team and Bill Wilson Center - resulting in 12 subsidies (2 couples) from TBRA. All secured housing between October 2012 and March 2013 and continue to receive case management services from the three agencies mentioned.

### 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	N/A	12,200	203.3%
Actual Annual Outcome	7,830	14,104	N/A	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	N/A	2,400	120.0%
Actual Annual Outcome	1,496	685	N/A	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)**

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



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	N/A	24,600	82.0%
Actual Annual Outcome	7,998	N/A	1,682	2,000		11,680	38.9%

*Accomplishments / Impact*

As noted above, in FY 2013-2014, CDBG and ESG modified its funding strategy to focus its funding on key strategic service categories. In total, 2,000 individuals were assisted. Two examples of these services include:

- HomeFirst’s (formerly Emergency Housing Consortium) Homeless Outreach program provided 1,270 outreach contacts, 8,282 person shelter days, 848 housing placement case management sessions, and 1,708 housing maintenance case management sessions to 354 unduplicated participants. 67% of clients enrolled in case management attain permanent housing.
- Bill Wilson Center’s Homeless Families and Youth program provided 1,384 case management sessions, 7,460 shelter bed-nights, 76 deposit/rental assistance, and 140 housing search/placement sessions to 648 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 49, 785 unduplicated homeless records to 455 HMIS users in San José.

**Five-Year Goal**

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

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



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	1,873	12,364	77.3%
Actual Annual Outcome	18,783	16,437	N/A	1,145		36,365	227.3%

*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**

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						
	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 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**

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

Action 2.A.6 Seek additional resources for County-wide efforts to end homelessness							
<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						
	<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>	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.

### Five-Year Goal

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

Action 2.A.7 Seek additional resources for housing and services for recently emancipated youth							
<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						
	<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>	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.

### 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 ending and preventing homelessness; and researching best practices to better serve the

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

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. Destination: Home is a convener, advocate, and driving force in bringing Santa Clara County to systematically reduce its most vulnerable homeless populations. Destination: Home is leading the Housing 1000 Campaign with a host of community partners, which is dedicated to finding 1,000 of the County's most vulnerable and long-term homeless individuals and placing them in permanent supportive housing by 2014.

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

### *Partnership with Destination Home*

In FY 2013-2014 the City of San José, in partnership with Destination: Home, continued to make significant progress in implementing several key community objectives and initiatives, including

- Participating on the Destination: Home Leadership Board and Care Coordination Stakeholders Meeting and chairing its Housing Committee.
- Granting \$500,000 in the City's Housing Trust Funds to Destination: Home to fund five intensive case managers to support up to 100 persons on the Housing 1000 Registry.
- Supporting \$135,000 of 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 2013-2014, the City continued to work with the Medical Respite Center administrators to utilize a grant 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. The Respite Center has an expected completion date in August of 2014.
- Partnering with Destination: Home to develop the Community Plan to End Homelessness – the new community-wide homeless strategy for Santa Clara County – with an expected approval date in the fall of 2014.

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

### *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 2013-2014, the Housing Department continued to fund a Downtown Outreach Team to provide outreach to homeless persons living in San José's downtown and connect them with supportive services. Additional components of the program include transportation, reserved shelter beds, and a hotline for community members to report encampments and request assistance for homeless persons residing in the downtown area. Since its inception, HomeFirst's (formerly EHC LifeBuilders) Downtown Homeless Outreach and Engagement Program, funded by the City's local Housing Trust Funds 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 HomeFirst's Downtown Homeless Outreach and Engagement Program provided case management services to 237 homeless individuals and placed 33 of them in permanent housing and engaged with 7,289 homeless contacts in San José's downtown core.

### *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 2013-2014, the City continued coordinating with the County's Office on Women's Policy and Correctional System. 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,

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

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.

The City also embarked on planning for a new AB109 Central County Reintegration Pilot Project with the County and several other partners. Over the next two years, the Project will serve 20 homeless individuals with involvement with the criminal justice system.

### *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.

Since its inception, the UPLIFT program has provided thousands of homeless residents with access to transportation. In FY 2013-2014, the program gave out 6,520 UPLIFT Transit Passes of which 2,170 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 unincorporated association Santa Clara County Collaborative on Housing and Homeless Issues (Collaborative), including its various committees. In September 2013, Santa Clara County's local Continuum of Care (CoC) implemented a significant change to its governance structure. Following a six-months long planning process, the Collaborative recommended that the Destination: Home Leadership Board serve as the CoC Board. Since 1995, the Steering Committee of the Collaborative has served as the local CoC Board. The Destination: Home Leadership Board agreed to accept this new role because of the overwhelming need for a unified and community-wide strategy to end and prevent homelessness, especially chronic homelessness, which is a priority locally and nationally. Stakeholders agreed that the Destination: Home Leadership Board was better positioned to

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

ensure that the local CoC fully implemented the requirements and intent of The Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH).

The CoC Board acts on behalf of the entire CoC and is supported by the County of Santa Clara, which serves as the Collaborative Applicant. The CoC Board is responsible for 1) setting strategic priorities regarding affordable housing and homelessness; 2) identifying resources to support strategic priorities, to make long-term systemic changes, including the implementation of an effective coordinated assessment system; 3) ensuring that the CoC undertakes effective work, meets HUD requirements, and maximizes local, State, Federal and private resources; 4) substantially engaging the private sector in supporting strategic priorities; and 5) reviewing, on a quarterly basis, progress toward goals and CoC requirements.

The Collaborative Applicant oversees the day-to-day coordination, planning and evaluation of effective homeless services, which includes up to \$12M annually in CoC and Emergency Solutions Grant (ESG) Programs. The new governance structure was developed and implemented in FY 2013-2014.

### *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 2013-2014, the City in coordination with the program's administrator HomeFirst (formerly 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 2013-2014, the program provided 47 security deposits and 7 one-way Greyhound bus tickets to those clients who had stable housing facilities elsewhere.

In October 2013, the City in coordination with HomeFirst, amended the contract to include services for the Sequester Eviction Prevention Program (SEPP) is to prevent the eviction of up to 300 households impacted by the recent, unprecedented sequestration. SEPP will provide emergency financial assistance to households impacted by the federal reduction of housing subsidies under the Section 8 program, and to help families stabilize their housing by assisting with new rental security deposit requirements.

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

### *Place-Based Rapid Re-Housing*

San José's City Council allocated \$2M from the General Fund for a pilot program that provides rapid re-housing, employment placement, and case management to homeless individuals living in an encampment in San José. In FY 2013-2014, the City identified 247 distinct encampments of varying size in San José with 66 identified adjacent to waterways, dispersed primarily along Coyote Creek. The City chose to target the encampment with the highest concentration of homeless persons, trash, crime, and damage to the environment. In order to make a measurable and long-term beneficial impact on the people living there, as well as the surrounding neighborhoods, businesses, and environment, the City will close the encampment by 2014 by providing supportive housing to everyone living there and implementing site remediation measures.

### **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 2013-2014, 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 regional 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 2013-2014, the Department was very successful at leveraging its federal funding sources committed to homeless and homeless prevention services. Leveraged funds include other federal 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 2013-2014 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

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



- 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**

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	N/A	26,825	89.4%
Actual Annual Outcome	18,673	0	N/A	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	1,500	23,368	32.9%
Actual Annual Outcome	14,630	31,255	1,360	1,782		49,027	69.1%

*Accomplishments / Impact*

In FY 2013-2014, CDBG did not fund 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

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

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**

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						
	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	4,557	2,884	N/A	N/A	600	8,041	36.6%
Actual Annual Outcome	3,269	3,517	577	786		8,149	37.0%

In FY 2013-2014, 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 provided 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 trips 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						
	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	1,410	875	1,736	N/A	N/A	4,021	57.4%
Actual Annual Outcome	1,718	1,604	N/A	N/A		3,322	47.5%

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

### *Accomplishments / Impact*

Legal services are 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

### 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							
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	N/A	N/A	14,000	N/A
Actual Annual Outcome	0	0	0	N/A			N/A

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



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

Action 3.B.2 Physical improvement and rehabilitation of public facilities							
<b>Performance Measure</b>	Number of individuals assisted in low-mod areas						
<b>5-Year Plan Goal</b>	28,000						
<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>	5,115	5,115	32,061	NA	NA	42,291	151.0%
<b>Actual Annual Outcome</b>	0	0	0	30,816		30,816	110.1%

*Accomplishments / Impact*

In FY 2013-2014, CDBG funded 7 street/neighborhood facility/street improvements. Unfortunately, one project was cancelled and the remaining six did not commence construction in FY 13-14. Completion of these projects is expected to take place in FY 2014-2015 and will be reported in that fiscal year’s CAPER.

Further, some projects funded in the fiscal years prior to FY 2013-14 remain open and/or were completed in FY 2013-14. The projects and commensurate status are as follows:

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

Project	Status	Next Steps
<u>Neighborhood Facility Centers</u> 1. CDI-12-012 McKinley Neighborhood Center Rehabilitation. 2.	1. Project is still in discussion phase. PRNS staff and FMSD working on Agreement on lease terms, use restrictions, who will operate center and how it will be used.	Housing department staff will work with PRNS and FMSD on lease terms.
<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 –	1. Project is closed out and the beneficiary data has been entered in IDIS.	1. No next step action is required.

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

Meridian Facility Rehabilitation	<p>2. Project is still open and has yet to begin construction</p> <p>3. Project is closed out and the beneficiary data has been entered in IDIS</p>	<p>2. Housing department staff will determine whether this project needs to be cancelled.</p> <p>3. No next step action is required</p>
<p><u>Street Improvements</u></p> <p>1. CDI-12-007 LED Lights in FiveWounds/Mayfair/Santee.</p> <p>2. CDI-12-008 ADA Curb Ramp</p> <p>3. CDI-12-006 FiveWounds/Brookwood Terrace Pedestrian Improvements</p>	<p>1. Project is complete</p> <p>2. Project is complete</p> <p>3. Project under construction</p>	<p>1.No next step action is required.</p> <p>2.No next step action is required.</p> <p>3.Housing department staff is working with PW to complete the construction.</p>

### Five-Year Goal

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

Action 3.B.3 Code enforcement activities that eliminate blight and strengthen neighborhoods							
Performance Measure	Number of households / businesses assisted						
5-Year Plan Goal	11,000						
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	2,360	2,360	8,048	6,921	6,921	26,610	241.9%
Actual Annual Outcome	14,707	16,328	3,081	1,598	////	35,714	324.7%

### *Accomplishments / Impact*

In FY 2013-2014, 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 1,598 inspections and re-inspections and the delivery of 1,135 code violation

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

notices. In addition to the code enforcement activities funded in FY 2013-2014, 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 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.

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<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**



**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							
<b>Performance Measure</b>	Number of properties inspected						
<b>5-Year Plan Goal</b>	1,215						
<b>FY 2013-14 Funding Source</b>	NSP, Rehab Program, First-time Homebuyer Program						
<b>Outcome Code</b>	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>
<b>Annual Plan Goal</b>	270	114	105	30	50	569	46.8%
<b>Actual Annual Outcome</b>	131	68	71	29		299	24.6%

*Accomplishments / Impact*

In Fiscal Year 2013-2014, the City’s Department of Housing tested 29 homes for lead-based paint (LBP). Having limited program intake for much of the year, the majority of completed in 2013-14 projects were those already within the program pipeline and tested for lead the previous year.

**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							
<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-1,3, 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>	Continue to implement program						
<b>Actual Annual Outcome</b>	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)

Between 2007 and 2010, San José has experienced a significant number of homes in foreclosure as a result of the housing downturn caused by subprime lending. This caused a significant reduction in home values, displacement families and households, and increased unemployment. With entire neighborhoods being affected by the foreclosure crisis, San José actively invested to stabilize vulnerable communities and to reduce blight in targeted areas hardest hit by the foreclosure crisis. In FY 2013-14, the economic recovery has restored much of the housing values lost, which means that homes in negative equity situations or in short-sale situations have dropped significantly. Additionally, the rate of foreclosures have returned to pre-recession levels.

#### *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 2014, meeting the adjusted program goals. In addition to a lending and acquisition/rehabilitation program, the City funded a Housing Counseling program to assist homeowners challenged with possible foreclosures through its CDBG program.

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

### 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.

### Five-Year Goal

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

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



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	5		39	43.3%

### 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. It is anticipated that the City will close out the NSP1 grant in 2013-14.

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. In February 2013, one of the two four-plex buildings experienced a significant fire in one of the four units displacing all of the residents. The clean-up and restoration began immediately. Restoration is expected to be completed before the end of the 2014 calendar year.

#### 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

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

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*

Given the continued recovery in the housing market and challenges acquiring new properties, the NSP2 Consortium re-evaluated the NSP2 program funding strategy in 2012-13. 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.

Program staff continued to manage the rehabilitation and resale of the 7 remaining single-family properties in the 2013-14. Rehabilitation was completed on 5 properties and sold with two properties under construction at the end of the 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 initially 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. Construction was completed in the fall of 2012. 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 through NSP2 was the construction of 19 new supportive housing units located near Ford and Monterey Roads. The Ford Road Supportive Construction was completed in late 2013 and fully converted to permanent financing.

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

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

bringing the total NSP2 VLI units to 152. Completion is expected in 2014-15. Additionally, the NSP2 Consortium published a new \$4 million NSP2 NOFA soliciting proposals for new multi-family development or Acquisition Rehab projects. The NOFA will continue to remain open until a viable project is selected.

### 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	New 25% set-aside project	\$300,000	\$0
HTSCC	Dream Home Property Acquisition	\$1,00,000	\$1,200,000
HTSCC	25% set-aside - Taylor Oaks	\$500,000	\$500,000
City	In-kind staffing costs	\$250,000	\$250,540
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**

<b>Performance Measure</b>	Number of individuals assisted							
<b>5-Year Plan Goal</b>	N/A*							
<b>FY 2013-14 Funding Source</b>	CDBG							
<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>	N/A*	N/A*	200	396	N/A	596	N/A	
<b>Actual Annual Outcome</b>	N/A*	N/A*	142	107		249	N/A	

### *Accomplishments / Impact*

In 2013-2014, 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. The Center served 107 households instead

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

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						
	<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 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 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							
Performance Measure	Continue to implement program						
5-Year Plan Goal	N/A						
FY 2013-14 Funding Source	N/A						
Outcome Code	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>
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*

Housing Department staff monitors the status of foreclosures in San José by updating the website with 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)**

During the five-year Consolidated Plan period, San Jose and the Santa Clara County were significantly impacted by the economic recession. 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. Since then, the County's unemployment rate as of July 2014 declined to 5.9 percent due to an improving economy. However, this recovery has yielded divided results, with many high-come and low-income jobs produced. As a result funding for workforce development and training focused on those most in need, in particular helping the homeless and formerly individuals to obtain and hold a job. Given the relative scarcity of local funding, these services are often best addressed at a county or regional scale.

### **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	50	208	83.2%
<b>Actual Annual Outcome</b>	41	41	0	110		192	76.8%

*Accomplishments / Impact*

In 2013-2014, the Department funded San José Streets Team (SJST), a Community Based Development Organization (CBDO) to assist homeless and formerly homeless individuals to provide job opportunities and gain work experience. In 2013-14, SJST provided employment opportunities for 110 homeless individuals utilizing CDBG funds.

**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	N/A	1,280	42.7%
<b>Actual Annual Outcome</b>	524	570	N/A	N/A		1,094	36.5%

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

### *Accomplishments / Impact*

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

### Leveraging of Resources

Not applicable.

## 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 2013-2014.

### 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						
	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	52	42	42	56	56	248	N/A
Actual Annual Outcome	56	56	84	52		248	N/A

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

### *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 52 fair housing presentations and 78 fair housing investigations to 546 unduplicated clients in FY 2013-14. 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 from each of the deed-restricted affordable housing developments in its portfolio, information 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 San José have never been higher and 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 – 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 has received an increased number of calls regarding landlord-tenant issues during this reporting cycle and 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							
<b>Performance Measure</b>	Number of tests in rental units						
<b>5-Year Plan Goal</b>	N/A						
<b>FY 2013-14 Funding Source</b>	N/A						
<b>Outcome Code</b>	DH-1						
	<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>	0	80	60	60	60	260	N/A
<b>Actual Annual Outcome</b>	134	111	14	18		277	N/A

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

### *Accomplishments / Impact*

The San José Fair Housing Consortium conducted 18 fair housing tests as part of 78 fair housing investigations to determine whether housing discrimination occurred in San José-based rental properties in FY 2013-2014. Of the 18 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**

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						
	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						

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

### *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 issues regarding fair housing compliance as related to San José’s ordinances were identified or brought to the attention of the Housing Department staff in FY 2013-2014.

### 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 accomodation 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. One request to increase the number of occupants in a residential facility was denied in April 2014, because the potential increase in residents using the outdoor activity areas would not be in keeping with the single-family residential nature of the neighborhood. The proposed site was also not adequate in size and shape to accommodate the yards, walls, fences, parking and loading facilities, landscaping and other development features prescribed in the request, or as is otherwise required in order to integrate said use with the uses in

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

the surrounding areas. No other cases regarding reasonable accommodation were brought forth in FY 2013-2014.

### Five-Year Goal

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

Action 5.B.3 Language assistance for limited-English speaking residents							
<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>							
	<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*

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 2013-2014, each agency was required, as part of their contract with the City, to continue 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. This will help ensure that all HUD-funded agencies are marketing and advertising their services to populations with limited English proficiency mark.

The City of San José implements its own LAP through a wide variety of actions. For example, the Housing Department manages the Rental Rights and Referrals Program (RRRP) and provides all of its materials in English, Spanish, and Vietnamese. In FY 2013-2014, 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

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

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**

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							
	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*

In 2010, City staff completed its 2010-2015 Consolidated Plan and its accompanying Analysis of Impediments to Fair Housing report. No updates have been made to the AI since it was created in 2010. Staff is currently in the process of developing the 2015-20 Consolidated Plan and will update the AI as part of that process.

## 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

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

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 and diversity instead of dispersion. Staff anticipates updating the Dispersion Policy in FY 2015-16. Additionally, 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						

### *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 2013-14 to formulate an urban village strategy:

- Continued to participate in the Citywide Urban Village Technical Advisory Committee to develop Urban Village plans and implementation/finance strategies for The Alameda, West San Carlos, and South Bascom. Approved plans include Alum Rock and Five Wonds/Brookwood Terrace.

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

- Provided support to a study session to City Council in March 2014 on Urban Villages.
- Housing staff participation in 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. Supported AB 639 and AB 532 to repurpose existing State housing funds to respond more effectively to affordable housing needs.
- Developed a draft nexus study to explore a local housing impact fee.
- Increased participation in the HUD Regional Housing the Workforce process as a co-chair of the Housing Work Group.
- Continue to update of the City’s Housing Investment Plan.

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. Staff anticipates that several new Urban Village plans will be completed during the next fiscal year.

### 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>	Continue to implement program						

### *Accomplishments / Impact*

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

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

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 explored anti-displacement strategies as part of the City’s Urban Village strategy. Additionally, staff is currently in the process of updating the State-required Housing Element and is exploring a variety of strategies to achieve equitable, urban development.

## 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 2013-2014, the City continued to use CDBG funds for the 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**

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



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						
	<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>	813	0	249	397	233	1,692	178.9%
<b>Actual Annual Outcome</b>	354	74	211	680		1,319	139.4%

### *Accomplishments / Impact*

All homes 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. The 680 apartments to which the City committed funds and facilitated financing in Table 1.A.1 will all meet green building standards.

### 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							
<b>Performance Measure</b>	Number of units meeting Build It Green standards						
<b>5-Year Plan Goal</b>	250						
<b>FY 2013-14 Funding Source</b>	CDBG						
<b>Outcome Code</b>	SL-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>	50	18	50	12		130	52.0%
<b>Actual Annual Outcome</b>	39	16	16	10		81	32.4%

### *Accomplishments / Impact*

As shown in Action 6.A.2, 10 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.

## 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.

In 2010-11 the Housing Department accepted a \$370,000 Innovator Pilot grant from PG&E to implement a Municipal Whole House Rehab Pilot Program. The Program was implemented from 2010 to 2013. The Program was completed early this fiscal year. Six homes received funding through this grant in 2013-14 to augment the Housing Rehabilitation Program grants.

### 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							
<b>Performance Measure</b>	Number of units meeting Build It Green standards						
<b>5-Year Plan Goal</b>	35						
<b>FY 2013-14 Funding Source</b>	HOME, Affordable Housing Investment Fund						
<b>Outcome Code</b>	SL-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>	5	37	0	0	0	42	120.0%
<b>Actual Annual Outcome</b>	30	5	20	1		56	160.0%

### *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 2013-2014, 19 BEGIN loans were approved and closed.

### Five-Year Goal

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

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



Action 6.A.3 CDBG sponsored energy efficiency improvements							
<b>Performance Measure</b>	Number of energy efficiency improvements						
<b>5-Year Plan Goal</b>	1,600						
<b>FY 2013-14 Funding Source</b>	CDBG						
<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>	325	0	544		1,040	1,909	119.3%
<b>Actual Annual Outcome</b>	0	497	0	559		1,056	66.0%

### *Accomplishments / Impact*

In FY 12-13, the City funded an LED retrofit project for streetlights within the three place-based neighborhoods with CDBG funds. This fiscal year the City completed the conversion of 559 streetlights to LED.

### **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.

## **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 2013-2014

### 6.1 Public Policies to Foster and Maintain Affordable Housing

Annual Goal	Annual Accomplishment
<p>Continue implementation of a public outreach effort for affordable housing</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 groundbreakings and grand openings at <a href="http://www.sanjoseca.gov/index.aspx?NID=3171">http://www.sanjoseca.gov/index.aspx?NID=3171</a> <i>does this belong here?</i></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</p>

**Section 6: Housing Support Activities**



Annual Goal	Annual Accomplishment
	<p>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 one class per month and one multi-lingual class per quarter.</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>Provide an ongoing, dedicated source of revenue for affordable housing efforts and direct homeless services</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 and is consistent with the City’s <i>Five-Year Housing Investment Plan (2007-12)</i> to increase the funding available for affordable housing. In FY 2013-14, 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. If adopted, the fee would place a per-square-foot or per-unit 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. During FY 2013-14, the consultant was selected, who conducted public/stakeholder outreach meetings and developed a first and updated draft of the nexus study. As of the writing of this report, the City is in the first month of a three month public comment period. Staff anticipates bringing a fee proposal to City Council in November 2014 for consideration. .</li> <li>• Support legislation and programs to fund affordable housing programs:             <ul style="list-style-type: none"> <li>○ SB 391, the California Jobs and Housing Act of 2013, that would create a dedicated revenue source for affordable</li> </ul> </li> </ul>

**Section 6: Housing Support Activities**



<i>Annual Goal</i>	<b>Annual Accomplishment</b>
	<p>housing through a \$75 document recording fee on real estate transactions minus point-of-sale transactions. The bill failed in FY 2013-14.</p> <ul style="list-style-type: none"> <li>• AB 639, The Veterans Housing and Homeless Bill, which was approved on the June 2014 ballot as Proposition 41 to repurpose \$600 million of funding for the development of multifamily housing and permanent supportive housing for veterans.</li> <li>• AB 532, which repurposed existing funding to be accessible to existing housing trust funds rather than being limited to only new trust funds.</li> <li>• Cap &amp; Trade: Governor Brown signed the 2014 Budget Act, which included a one-time funding provision of \$65 million for transit-oriented and infill affordable housing in FY 2014-15, as well as 10% of Cap &amp; Trade revenues on an ongoing basis. Staff has and will continue to monitor and participate in Cap &amp; Trade revenue efforts to ensure that the program design of the affordable housing components will benefit San José.</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.</p>
Educate residents on the life-threatening hazard of fixed window bars, and encourage	<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</p>

## Section 6: Housing Support Activities



Annual Goal	Annual Accomplishment
replacement bars on sleeping-room windows	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.

## 6.2 Actions to Eliminate Gaps in Institutional Structure

Annual Goal	Annual Accomplishment
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 other need factors, such as expensive housing markets)	<p>Ongoing: 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 differences in the cost of housing around the nation.</li> <li>• Advocating for modernizing poverty standards to account for high-cost areas</li> <li>• Providing comments to HUD on the HOPWA allocation formula.</li> </ul>
Improve coordination between local, State, and Federal Housing agencies to facilitate improved funding availability, create uniform income qualifications and	<p><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</p>

## Section 6: Housing Support Activities



Annual Goal	Annual Accomplishment
similar guidelines	coordination on the State and federal legislative processes.
<p>Improve San José's position in applying for scarce public dollars for affordable housing</p>	<p>Complete and Ongoing: The Housing Department continues to seek future funding for affordable housing through the following strategies:</p> <ul style="list-style-type: none"> <li>• <b>Housing Trust Fund</b> – The City of San José established a Housing Trust Fund in June 2003. The fund is currently being utilized for homelessness response activities.</li> <li>• <b>Legislation</b> – See above.</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 seven years of the current RHNA cycle, affordable housing constituted about 15% of the City's total number of residential units receiving building permits. San José's commitment to and accomplishments in affordable housing allow it qualify for State housing and community development funds, as well as increases the competitiveness of Santa Clara County for regional transportation dollars. In the Fall of 2013, City staff from the Planning, Building and Code Enforcement Department (PBCE) and the Housing Department began planning for the 2014-22 housing needs projection period and the 2015-23 planning period by holding a series of community meetings and focus groups to provide information on the process, and to receive input on how to plan for those future needs. A draft of the proposed Housing Element will be available in August 2014.</li> </ul>
Implement a first-time homebuyer program	<p><b>Completed and Ongoing:</b> The Housing Department offers the WelcomeHOME first-time homebuyer program, which uses CalHOME</p>

## Section 6: Housing Support Activities



Annual Goal	Annual Accomplishment
	<p>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 &amp; 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 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>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%</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>Implement an aggressive surplus land acquisition program, and use this land for affordable housing.</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 former Redevelopment Agency’s 20% Housing 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, to which the City plans to commit HOME funds in 2014-15. This parcel is fully entitled and the developer has obtained financing commitments from the City including a predevelopment loan and construction permanent loan. The developer has received a tax credit allocation and will begin construction in fall 2014.</li> <li>• The City made a funding commitment and plans to enter into a long-term ground lease of City-owned 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 other financing and, if successful, will plan to start construction in 2015.</li> <li>• Development of a six-acre parcel on Evans Lane that the City owns continued on hold in 2013-2014. 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 2014-2015.</li> </ul>

## Section 6: Housing Support Activities



Annual Goal	Annual Accomplishment
	<ul style="list-style-type: none"> <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 continues to seek funds to remediate the site.</li> </ul>

### 6.3 Homelessness

Annual Goal	Annual Accomplishment
<p>Continue to support the implementation of a jobs program and focus on job development for the homeless in San José</p>	<p><b>Complete and Ongoing:</b></p> <p>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>In March 2014, the City, through Destination: Home, funded an employment strategy consultant to conduct research and analysis to inform the development of an overall employment strategy for homeless populations in Santa Clara County. A plan will be completed by December 2014 to drive and support the county’s overall employment strategy. The goal is to gain an understanding of what it will take to implement the strategy, including identification of key partners,</p>

**Section 6: Housing Support Activities**



Annual Goal	Annual Accomplishment
	<p>delineation of major milestones and metrics, and discussion of all system barriers and financial implications.</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 expanded its partnership with San José Streets Team (an affiliate of Downtown Streets Team) in FY 2013-14 to provide appropriate job development, coupled with permanent supportive housing, for a targeted homeless population in San José. San José Streets Team specializes in working with the homeless population and addressing their particular special needs for job placement. This expanded endeavor not only included San José Streets Team's receiving designation as a Community Based Development Organization, but also becoming a lead in the Place-Based Rapid Rehousing Program. Both efforts increased opportunities for the agency and for San José's employable homeless population in specific areas of San José, including in one of its largest homeless encampments.</p>

**Section 6: Housing Support Activities**



Annual Goal	Annual Accomplishment
<p>Develop a Five-Year Homeless Strategy for the City of San José</p>	<p><b>Complete and Ongoing:</b></p> <p>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 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>There is not one entity that monitors the community’s plan as a whole to end homelessness, Since all plans follow overlapping strategies that focus on permanent supportive and affordable housing, the City worked with Destination: Home in FY 2013-2014 to develop a new community-wide strategic plan to end homelessness. The process is being led by Destination: Home and expected to be completed in early 2015.</p>

## Section 6: Housing Support Activities



### 6.4 Seniors

Annual Goal	Annual Accomplishment
<p>Pursue the establishment of a centralized waiting list for all subsidized senior housing</p>	<p><b>Ongoing:</b> In FY 2013-2014, the City continued to successfully contract with the Non-Profit Industries, Inc. for operation of the countywide housing locator services website that can be located at <a href="http://www.scchousingsearch.org">www.scchousingsearch.org</a>. The website 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 on the website.</p>

## **Section 7:**

# **Monitoring and Compliance**

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

### **7.1 Monitoring**

In FY 2013-2014, 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.

#### **TBRA Program**

Abode Services provided 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 performed a full audit of all case files that Abode was administering in anticipation of transferring the administrative duties to a new non-profit: The Health Trust. 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.

### **7.2 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

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

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 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 Outcome Table**

**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	669		1,133	129	878.3%
Inclusionary Goal	# lower-income units with recorded restrictions		0	0	185	331		516	150	344%
<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	1		126	357	35.3%

**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.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	380		1,991	2,285	87.1%
<b>1.C.1 - Rehabilitation assistance for lower-income homeowners inclusive of all funding sources</b>	# lower income home-owners assisted	SL 3	391	435	543	411		1,780	1,271	140%
<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	229		1,022	1,000	102.2%
<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			Continue to implement	N/A
<b>1.D.1 - Housing goal for seniors, disabled and special needs individuals</b>										

**Section 8: HUD Tables**

<i><b>Action</b></i>	<i><b>Performance Measure</b></i>	<i><b>Outcome Code **</b></i>	<i><b>Year 1 2010-11</b></i>	<i><b>Year 2 2011-12</b></i>	<i><b>Year 3 2012-13</b></i>	<i><b>Year 4 2013-14</b></i>	<i><b>Year 5 2014-15</b></i>	<i><b>Cumulative Total</b></i>	<i><b>Five-Year Goal</b></i>	<i><b>% Achieved</b></i>
Production Goal (subset of 1.A.1 above)	# lower-income units with funding commitments	DH 1,2,3	143	23	0	92		258	29	889.7%
Rehabilitation Goal	# homeowners assisted	SL 3	190	33	200	21		444	254	174.8%
<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			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	211		727	285	255.1%
<b>2.A.2 - Short-term emergency shelter program</b>	# individuals assisted	DH 1	7,830	14,104	N/A	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	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	2,000		11,680	30,000	38.9%
CDBG*			18,783	16,437	N/A	1,145		36,365	16,000	227.3%
<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			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			Continue to implement	N/A
<b>2.A.7 - Seek 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			Continue to implement	N/A

**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	N/A		18,673	30,000	62%
CDBG			14,630	31,255	1360	1,782		49,027	71,000	69.1%
<b>3.A.3 - Assist lower-income residents to access healthcare**</b>	# individuals assisted	SL 1,3	3,269	3,517	577	786		8,149	22,000	37%
<b>3.A.4 - Assist lower-income residents to access legal services***</b>	# individuals assisted	SL 1,3	1,718	1,604	N/A	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		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	30,816		30,816	28,000	110.1%

## 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.B.3 - Code enforcement activities that eliminate blight and strengthen neighborhoods</b>	# households / businesses assisted	SL 1,3	14,707	16,328	3,081	1,598		35,714	11,000	324.7%
<b>3.C.1 - Inspect affordable housing for lead-based paint</b>	# properties inspected	SL 1,3	131	68	71	29		299	1,215	24.6%
<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	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	5		39	90	43.3%
<b>3.D.2 - Provide support to the City's Foreclosure Help Initiative</b>	# individuals assisted	DH 2,3	Continue to Implement	Continue to Implement	142	107		249	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	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	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.

## Section 8: HUD Tables

\*\* 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	110		192	250	76.8%
<b>4.A.2 - Small business development and training</b>	# individuals assisted	EO 1,3	524	570	N/A	N/A		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	52		248	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	18		277	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	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.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	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	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	Continue to implement	N/A
<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	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	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>
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**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>6.A.1 - Energy efficiency in multifamily new homes</b>	# completed affordable units meeting Build It Green standards	SL 3	354	74	211	680		1,319	946	139.4 %
<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	10		81	250	32.4%
Inclusionary/Homebuyer assistance programs	# new construction green homes purchased by lower-income homebuyers		30	5	20	1		56	35	160%
<b>6.A.3 - CDBG sponsored energy efficiency improvements</b>	# energy efficiency improvements	SL 3	0	497	0	559		1,056	1,600	66%

## Section 8: HUD Tables

\* 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 2013-2014 CAPER and City Responses

##### Summary of Public Hearing

September 11, 2014

Housing and Community Development Advisory Commission

<u>Comment</u>	<u>Response</u>
No comments were received	Not Applicable

##### Summary of Public Hearing

September 16, 2014

San José City Council

<u>Comment</u>	<u>Response</u>
Mayor Reed requested that the City consider providing periodic summary reports to the City Council that highlight Housing Department performance from all funding sources including federal, state and private leveraging opportunities. The CAPER tells only part of the story related to federal funding sources.	Director Corsiglia agreed to look in to developing appropriate reports.
Councilmember Liccardo asked to be contacted when HCD starts accepting comments on the distribution of funds for Veterans Housing. With over 700 veterans living in San José, he expressed the critical need for housing Veterans in high cost areas such as San José	
Mr David Wall mentioned that Gov Brown	

## Section 9: Appendices

<p>shut down Redevelopment agencies. He commented that housing should not be considered an entitlement or a right that needs to be supported at the taxpayers' expense. He also mentioned that Directors should not sit on the boards of non-profits as it may create a conflict of interest.</p>	
<p>Mr. Russ Signorino commented that the Redevelopment agency was shut down because schools were not getting the funds, as was originally envisioned.</p>	

### Other Public Comments (Public Comment period from 8/25/14 to 9/11/14)

*No comments were received.*

## Section 9: Appendices

### 2. Certifications

The City of San José certifies that its annual FY 2014-15 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 2014-15 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 PROGRAM REPORTS**
- 3. SECTION 3 REPORTS**
- 4. MBE/WBE REPORTS**
- 5. HOPWA PROGRAM ATTACHMENTS**

## **1. Public Notice & Publications**

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 CHAR  
SANTA CLARA STREET, 2N  
SAN JOSE CA 95113  
**FILE NO. S.Roussel**

In the matter of

The San Jose Mercury News

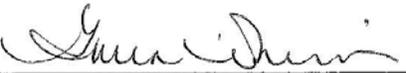
The undersigned, being first duly sworn, deposes that he is the principal clerk publisher of the San Jose Mercury News, a newspaper of general circulation printed and published daily in the city and County of Santa Clara, State of California, and that said San Jose Mercury News is a newspaper of general circulation as defined by Sections 6000 and following, of the Code of the State of California and, as provided by said Code, published for the dissemination of local or telegraphic intelligence of a general character, having a bona fide list of paying subscribers, and is not devoted to the publication of the entertainment or instruction of a professional, trade, calling, race or denomination. The said newspaper has been established, printed and published in the said city of San Jose in said County and State of California for more than one year preceding the date of the notice herein mentioned. Said decree has not been vacated or set aside.

I declare that the notice, of which the annexed copy, has been published in each regular or extra issue of said newspaper and not in any supplement thereof, and that the said notice was published on the dates, to wit:

8/22/2014

Dated at San Jose, California  
08/22/14

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. 0005268990

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**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 2013-14 Consolidated Annual Performance and Evaluation Report (CAPER) for public review beginning August 25, 2014.** 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 25, 2014	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 25, 2014 - September 11, 2014	Public review and comment period
September 11, 2014	Housing and Community Development Advisory Commission Public Hearing 200 East Santa Clara St., Wing 118-119 San Jose, CA 95113 5:45 PM
September 16, 2014	City Council Public Hearing and Consideration of Plan Approval 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: James Stagi. Comments may also be submitted via e-mail to [james.stagi@sanjoseca.gov](mailto:james.stagi@sanjoseca.gov) or via telephone at (408) 535-8238. 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, at least three business days before the meeting.

**Para residentes que hablan Español:** Este anuncio es con respecto al documento CAPER 2013-14. 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 Eric Calleja al 408-975-3650

**Đối với cư dân nói tiếng Việt:** Thông báo này liên quan đến tài liệu CAPER 2013-14. 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 Therese Trần tại 408-793-5549.

**對說華語的聖荷西市民:** 2013-14 綜合年度報告。廣述市府依據聯邦對城市綜合計畫的要求，在住房和社區發展目標上，所達成的年度進展概況。若需詳細資料，請聯絡 華語 Ann Tu (408)975-4450

**PARA SA RESIDENTE NA ANG WIKANG TAGALOG:** Paunawa tungkol sa "CAPER" sa taong 2013-14. Ang "CAPER" ay kasulatan ng gobyerno ng "housing and community development" para sa isang taon na plano ukol sa pangangailangan ng komunidad. Para sa karagdagang impormasyon, tawagan si Arlene Silverio sa 408-793-5542



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**NOTIFICACION DE DISPONIBILIDAD DEL INFORME CONSOLIDADO ANUAL DE GESTION DE DESEMPEÑO Y EVALUACION (CAPER, SIGLAS EN INGLÉS) Y EL CALENDARIO DE AUDIENCIAS PÚBLICAS**

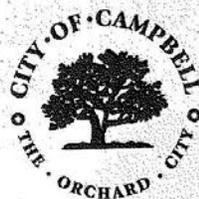
ESTA NOTIFICACIÓN es para dar a conocer la disponibilidad del Reporte Anual Consolidado del Año Fiscal 2013-14 y el Informe de Evaluación (CAPER, siglas en inglés) para la revisión pública, comenzando el 25 de agosto de 2014.

CAPER es un informe anual sobre el progreso de la Ciudad en relación con las metas obtenidas sobre los objetivos la Vivienda y Desarrollo Comunitario delineados en el Plan Consolidado y federalmente requerido de la Ciudad y cubre el Programa de Subvención de Desarrollo Comunitario (CDBG, siglas en inglés), Programa de Asociación e Inversión (HOME, siglas en inglés), el Programa de Subvención de las 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 para el proceso de revisión pública y aprobación de los documentos:

Fecha	Acción
25 de agosto del 2014	Liberación de documentos preliminares para revisión pública Departamento de Vivienda de la Ciudad de San José 200 East Santa Clara St., 12th Piso San José, CA 95113 Teléfono: 408-535-3860 <a href="http://www.sanjoseca.gov/index.aspx?NID=1293">http://www.sanjoseca.gov/index.aspx?NID=1293</a>
25 de agosto del 2014- 11 de septiembre del 2014	Período de revisión y comentarios del público.
11 de septiembre del 2014	Audiencia Pública de la Comisión Asesora de Desarrollo Comunitario y Vivienda 200 East Santa Clara St., Wing 118-119 San José, CA 95113 5:45 PM
16 de septiembre del 2014	Audiencia Pública del Concilio de la Ciudad y Consideración de Aprobación del Plan 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 sus comentarios por escrito dirigidos al Departamento Vivienda de la Ciudad de San José, 200 E. Santa Clara Street, San José, CA 95113, Atención: James Stagi. Comentarios también pueden enviarse por correo electrónico a [james.stagi@sanjoseca.gov](mailto:james.stagi@sanjoseca.gov) o por teléfono al (408) 535-8238. 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 llame (408) 294-9337 (TTY, siglas en inglés) con por lo menos tres días hábiles antes de la reunión.



**Noticia Legal**  
**Nominaciones para Oficinas Públicas – Ciudad de Campbell**

POR LA PRESENTE SE DAAVISO que las siguientes personas han sido nominadas para las oficinas mencionadas a continuación y que deberán llenarse en la Elección Municipal

## Section 9: Appendices

**Paul Resnikoff**  
Chủ sở hữu doanh nghiệp nhỏ

**Phil Reynolds, Jr.**  
Sơ i quang Kỹ sư thiết kế

**Liz Gibbons**  
Kiến trúc sư

**Jeffrey Cristina**  
Thành phố Campbell Nghị

**Richard Waterman**  
Campbell Hội Đồng Thành Phố

**Celeste Flores**  
Chủ sở hữu doanh nghiệp nhỏ

ANNE BYBEE, THƯ KÝ THÀNH PHỐ  
THÀNH PHỐ CAMPBELL

Xuất bản: 22 tháng 8, 2014



### THÔNG BÁO VỀ SẴN CỦA HỢP NHẤT NĂM THỰC HIỆN VÀ ĐÁNH GIÁ BÁO CÁO (BẠCH HOA) VÀ BIỂU TRẦN CÔNG

THÔNG BÁO NÀY là thông báo sự sẵn có của hiệu suất hàng năm hợp nhất và Báo cáo đánh giá (bạch hoa) cho công chúng xem xét Bắt đầu từ ngày 25 tháng tám năm 2014 Năm là báo cáo năm tài chính 2013-14 Caper hàng năm về sự tiến bộ của Thành phố trong việc đáp ứng các mục tiêu về nhà ở và phát triển cộng đồng phức tạp trong liên bang bắt buộc của kế hoạch hợp nhất của thành phố, và bao gồm Phát triển Cộng đồng (CDBG) Chương trình, Chương trình Trang chủ đầu tư đối tác (Trang chủ), các giải pháp khẩn cấp Grant (ESG) Chương trình, và các cơ hội nhà ở cho người sống với HIV (HOPWA) Chương trình.

Ngày	Sự Việc
Ngày 25 tháng 8, 2014	Phát hành các dự thảo văn bản ra công chúng Thành phố San José Bộ Gia Cư 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>
Ngày 25 tháng 8, 2014 - Ngày 11 tháng 9, 2014	Công chúng xem xét và thời gian góp ý
Ngày 11 tháng 9, 2014	Điều trần công cộng Ủy Ban Tư Vấn Phát Triển Gia Cư và Cộng Đồng 200 East Santa Clara St, Wing 118-119 San Jose, CA 95113 5:45 giờ chiều
Ngày 16 tháng 9, 2014	Điều trần Hội Đồng Thành Phố công cộng và xem xét kế hoạch phê duyệt Phòng họp Hội Đồng Thành Phố, Tòa Thị Chính San José, 200 East Santa Clara St. San José, CA 95113 1:30 PM

Công chúng được mời để mong đợi Bất kỳ của các cuộc họp được liệt kê hoặc đánh dấu các giá trị để cung cấp ý kiến bằng văn bản cho các thành phố của Bộ Nhà ở San Jose, 200 E. Clara phố Santa, San Jose, CA 95113, Attn: James Stagi. Bình luận thể gửi qua e-mail hoặc thông qua điện thoại để [james.stagi@sanjoseca.gov](mailto:james.stagi@sanjoseca.gov) (408) 535-8238. Các địa điểm cuộc họp có sẵn cho người khuyết tật. Đối với người khuyết tật nói / nghe hoặc cho người Yêu cầu hỗ trợ thông dịch viên, xin vui lòng gọi (408) 294-9837 (TTY) càng sớm càng tốt, ít nhất là ba ngày làm việc trước khi họp.

was touched by the genuine efforts of the three to interact with and entertain them with a true showcase of world-class Filipino talent. Karylle, a vision in red dress, bravely

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

ANG PAUNAWANG ITO ay upang ipahayag ang pagkakaroon ng FY 2013-14 Consolidated Annual Performance and Evaluation Report (CAPER) para sa pampublikong pagsusuri simula ng Agosto 25, 2014. Ang CAPER ay isang taunang ulat ng pag-unlad ng Lungsod sa pagtugon ng pabahay at mga layunin ng pag-unlad ng komunidad na nakabalangkas sa mga pederal na-kinakailangan ng Pinagsama-samang Plano ng Lungsod, at sumasaklaw sa Community Development Block Grant (CDBG) Program, HOME Investment Partnership Program (HOME), ang Emergency Solutions Grant (ESG) Program, at ang Housing Opportunities for People with AIDS (HOPWA) Program.

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

PETSA	AKSYON
Agosto 25, 2014	Paglabas ng draft na mga dokumento para sa pampublikong pagsusuri Lungsod ng San José Housing Department 200 East Santa Clara St., Ika-12 palapag San José, CA 95113 Tel: 408-535-3860 <a href="http://www.sanjoseca.gov/index.aspx?NID=1293">http://www.sanjoseca.gov/index.aspx?NID=1293</a>
Agosto 25, 2014- Setyembre 11, 2014	Panahon ng pampublikong pagsusuri ay komento
Setyembre 11, 2014	Housing and Community Development Advisory Commission Pampublikong Paglilitis 200 East Santa Clara St., Wing 118-119 San José, CA 95113 5:45 ng hapon
Setyembre 16, 2014	Pampublikong Paglilitis at Konsiderasyon ng Konseho ng Lungsod ng Pagaprubang Plano City Council Chambers, San José City Hall, 200 East Santa Clara St. San José, CA 95113. 1:30 ng hapon

Iniiimbitahan ang publiko na dumalo sa alinman mga pulong na nakalista sa itaas o upang magbigay ng nakasulat na komento sa Lungsod ng San José Housing Department, 200 E. Santa Clara Street, San José, CA 95113, Attn: James Stagi. Ang mga komento ay maaari ring isumite sa pamamagitan ng e-mail sa [james.stagi@sanjoseca.gov](mailto:james.stagi@sanjoseca.gov) o sa pamamagitan ng telepono sa (408) 535-8238. Ang mga lokasyon ng mga pulong ay naa-access sa mga taong may mga kapansanan. Para sa mga taong may pananalita/pandinig na kapansanan o para sa mga taong nangangailangan ng tulong ng interpreter, mangyaring tumawag sa (408) 294-9337 (TTY) sa lalong madaling panahon, hindi bababa sa tatlong araw ng negosyo bago ang pulong.

## **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.	This report is for period (mm/dd/yyyy)		Date Submitted (mm/dd/yyyy)
Send one copy to the appropriate HUD Field Office and one copy to: HOME Program, Rm 7176, 451 7th Street, S.W., Washington D.C. 20410	Starting 10/01/2013	Ending 09/30/2014	09/30/2014

### Part I Participant Identification

1. Participant Number M-13-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 \$713,695.97	2. Amount received during Reporting Period \$2,811,791.84	3. Total amount expended during Reporting Period \$1,172,399.49	4. Amount expended for Tenant-Based Rental Assistance \$885,698.93	5. Balance on hand at end of Reporting Period (1 + 2 - 3) = 5 \$2,353,088.32
---------------------------------------------------------------------	--------------------------------------------------------------	--------------------------------------------------------------------	-----------------------------------------------------------------------	---------------------------------------------------------------------------------

### 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)			f. White Non-Hispanic
		b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	
<b>A. Contracts</b>					
1. Number	2	0	0	0	0
2. Dollar Amount	\$1,563,116				
<b>B. Sub-Contracts</b>					
1. Number					
2. Dollar Amount					
	a. Total	b. Women Business Enterprises (WBE)	c. Male		
<b>C. Contracts</b>					
1. Number	2	0	2		
2. Dollar Amount	\$1,563,116				
<b>D. Sub-Contracts</b>					
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	2	0	0	0	0	0
2. Dollar Amount	\$5,921,458.76	0	0	0	0	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>			<b>Match Contributions for Federal Fiscal Year (yyyy) 2013</b>
1. Participant No. (assigned by HUD) M-13-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	\$	12,951,170.07
2. Match contributed during current Federal fiscal year (see Part III.9.)	\$	2,403,958.83
3. Total match available for current Federal fiscal year (line 1 + line 2)		\$ 15,344,128.90
4. Match liability for current Federal fiscal year		\$ 619,667.92
5. Excess match carried over to next Federal fiscal year (line 3 minus line 4)		\$ 14,735,461.75

<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	1/1/2014		\$92,275.64					\$92,275.64
The Verandas	1/1/2014		\$170,670.24					\$170,670.24
Willow Glen Sr.	1/1/2014		\$119,806.76					\$119,806.76
Curtner Gardens	1/1/2014		\$206,039.94					\$206,039.94
Markham Plaza I	1/1/2014		\$219,157.71					\$219,157.71
Markham Plaza II	1/1/2014		\$212,517.75					\$212,517.75
Homesafe	1/1/2014		\$69,481.67					\$69,481.67
Canoas Terrace	1/1/2014		\$264,815.09					\$264,815.09
Edenvale	1/1/2014		\$374,407.67					\$374,407.67
Bill Wilson	1/1/2014		0					0
98 Archer	1/1/2014		\$150,833.17					\$150,833.17



## 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, CGHF  
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. [§92.102]

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. [§92.503(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)]

2. **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.
3. **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)]
4. **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)]

5. **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)]
6. **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)]
7. **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)]
8. **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.

9. **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:

1. Contributions made with or derived from Federal resources e.g. CDBG funds [§92.220(b)(1)]
2. Interest rate subsidy attributable to the Federal tax-exemption on financing or the value attributable to Federal tax credits [§92.220(b)(2)]
3. Contributions from builders, contractors or investors, including owner equity, involved with HOME-assisted projects. [§92.220(b)(3)]
4. Sweat equity [§92.220(b)(4)]
5. Contributions from applicants/recipients of HOME assistance [§92.220(b)(5)]
6. 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)]
7. Administrative costs

## **3. Section 3 Reports**



## Section 9: Appendices



### Part II: Contracts Awarded

#### 1. Construction Contracts:

A. Total dollar amount of all contracts awarded on the project	\$ \$5,885,606
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	\$ 0
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.

In every contract/agreement entered into with any agency, Section 3 Requirements are stipulated and reporting requirements are noted. No new construction agreements were entered into during the fiscal year. The funds disbursed are based on agreements from previous reporting periods.

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**



**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 95113-1905</b>		2. Federal Identification: (grant no.) <b>B-13-MC-06-0021</b>	3. Total Amount of Award: <b>\$304,420</b>
		4. Contact Person: <b>James Stagi</b>	5. Phone: (Include area code) <b>1-408-535-8238</b>
		6. Length of Grant: <b>12 months</b>	7. Reporting Period: <b>10/1/13 - 9/30/14</b>
8. Date Report Submitted: <b>September 24, 2014</b>		9. Program Code: (Use separate sheet for each program code) <b>7</b>	10. Program Name: <b>CDBG - Housing Rehabilitation Program</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	0	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: **25 contracts awarded to Section 3 businesses**

A. Total dollar amount of all contracts awarded on the project	39 total contracts awarded	\$ 304,420
B. Total dollar amount of contracts awarded to Section 3 businesses		\$ 203,961
C. Percentage of the total dollar amount that was awarded to Section 3 businesses		67 %
D. Total number of Section 3 businesses receiving contracts		25

2. Non-Construction Contracts:

A. Total dollar amount all non-construction contracts awarded on the project/activity		\$ 25,000
<b>Lead Testing -</b>		
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 majority of Housing Rehabilitation work performed during this period was contracted with small local contractors which met the Section 3 Business concerns.

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.

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

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

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.

## **4. MBE/WBE Reports**

November 10, 2014

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 2013-14 MBE/WBE forms for the City of San José, California

Dear Mr. Tom:

Please find attached the 2013-2014 MBE/WBE forms for the City of San José, California. These cover CDBG, HOME, Rehab, ESG, HOPWA and NSP programs for the time period October 1, 2013 – September 30, 2014.

A summary of the amount and number of contracts awarded by ethnic code is also attached. During 2013-14, a total of **20** contracts that met the MBE/WBE guidelines were awarded **\$2.426** million. Two (2) contracts totaling \$2.1 million were awarded to nonprofits, which are not required to certify ethnicity or MBE/WBE status. The remaining eighteen (18) contracts, totaling \$326,072, were awarded to for-profit organizations that are required to certify ethnicity and MBE/WBE status. Of the 18 contracts:

- 2 contracts totaling \$54,096 were awarded to White Americans (HUD Ethnic code #1)
- 7 contracts totaling \$124,230 were awarded to Hispanic Americans (HUD Ethnic code #4) and
- 9 contracts totaling \$147,746 were awarded to Asian Pacific Americans (HUD Ethnic code #5).
- No contracts were awarded to Women-Owned-Businesses.

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

**Form 2516 - Contract and Subcontract Activity Report - Summary**  
**City of San Jose California**  
**FY 2013-14 (Oct 1, 2013 to Sept 30, 2014)**

Contract Type	Number of Contracts (#)		Amount of Contracts (\$)	
	#	%	\$	%
<i>Non-profit contracts</i> (need not certify ethnicity or MBE/WBE status)	2	10%	\$2,100,000	87%
<i>For-Profit Contracts / Subcontracts</i> by ethnic code:				
1 - White American	2	10%	\$54,096	2%
4 - Hispanic American	7	35%	\$124,230	5%
5 - Asian Pacific American	9	45%	\$147,746	6%
<b>TOTAL</b>	<b>20</b>	<b>100%</b>	<b>\$2,426,072</b>	<b>100%</b>

3a. Name of Contact Person Grant/Project Number or HUD Case Number or other identification of property, subdivision, dwelling unit, etc. 7a.	Amount of Contract or Subcontract 7b.	Type of Trade Code (See below) 7c.	Contractor or Subcontractor Business Racial/Ethnic (See below) 7d.	3b. Phone Number (including Area Code)  Woman Owned Business (Yes or No) 7e.	Prime Contractor Identification (ID) Number 7f.	4. Reporting Period			Name	Street	City	State	Zip	Group
						Sec. 3 7g.	Subcontractor Identification (ID) Number 7h.	Sec. 3 7i.						
									Name	Street	City	State	Zip	
Z-12-059	\$39,532	3	1	No	548-37-7652	No	N/A	N/A	Danna Builders	520 McGinney Ln. #17	Campbell	CA	95008	Rehab
Z-13-010	\$15,000	3	4	No	720-21-4781	No	N/A	N/A	RM Fantastic Company	1268 Cathay Dr.	San Jose	CA	95122	Rehab
Z-12-034	\$14,810	3	4	No	720-21-4781	No	N/A	N/A	RM Fantastic Company	1268 Cathay Dr.	San Jose	CA	95122	Rehab
Z-13-004	\$11,200	3	5	No	586-36-0993	No	N/A	N/A	Tony Tran Construction	3591 Cour De Charles	San Jose	CA	95148	Rehab
M-12-027	\$14,971	3	5	No	800-42-7541	No	N/A	N/A	Custom Home Construction	2579 Amaryl Drive	San Jose	CA	95132	Rehab
M-11-054	\$14,971	3	5	No	800-42-7541	No	N/A	N/A	Custom Home Construction	2579 Amaryl Drive	San Jose	CA	95132	Rehab
Z-12-054	\$22,136	3	5	No	611-44-7207	No	N/A	N/A	Jimmy Construction	2856 Donizetti Ct.	San Jose	CA	95132	Rehab
Z-12-056	\$15,000	3	5	No	611-44-7207	No	N/A	N/A	Jimmy Construction	2856 Donizetti Ct.	San Jose	CA	95132	Rehab
H-12-010	\$13,650	3	5	No	611-44-7207	No	N/A	N/A	Jimmy Construction	2856 Donizetti Ct.	San Jose	CA	95132	Rehab
G-12-082	\$12,000	3	5	No	611-44-7207	No	N/A	N/A	Jimmy Construction	2856 Donizetti Ct.	San Jose	CA	95132	Rehab
G-12-080	\$14,230	3	5	No	605-48-0644	No	N/A	N/A	Le Construction	1919 Farragut Way	San Jose	CA	95133	Rehab
Z-12-055	\$29,588	3	5	No	605-48-0644	No	N/A	N/A	Le Construction	1919 Farragut Way	San Jose	CA	95133	Rehab
G-13-006	\$13,420	3	4	No	77-0478677	No	N/A	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116	Rehab
Z-11-027	\$15,000	2	4	No	77-0478677	No	N/A	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116	Rehab
Z-13-008	\$15,000	2	4	No	77-0478677	No	N/A	N/A	Flores Remodeling	781 Jasper St.	San Jose	CA	95116	Rehab
M-13-010	\$14,564	3	1	No	590-72-0925	No	N/A	N/A	Central Cal Construction	1630 Bowling Green Drive	San Jose	CA	95121	Rehab
CDH-12-001B	\$45,000.00	3	4	No		No	N/A	N/A	Danel Roofing	900 Henderson Ave,	Sunnyvale	CA	94086	Minor Repair
CDH-12-001B	\$6,000.00	3	4	No		No	N/A	N/A	Pro Pep Painting	16840 Joleen Way	Morgan Hill	CA	95037	Minor Repair
M-13-MC-06-0215	\$2,000,000.00	0		N/A - Non Profits need not certify MBE-WBE	94-6050231	No	N/A	N/A	The Health Trust	3180 Newberry Drive, #200	San José	CA	95118	HOME
M-13-MC-06-0215	\$100,000.00	0		N/A - Non Profits need not certify MBE-WBE	77-0119210	No	N/A	N/A	First Community Housing	75 E. Santa Clara Street, #1300	San José	CA	95113	HOME

## **5. HOPWA Program Attachments**



# **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

# 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-H13-0005		<b>Operating Year for this report</b> From (mm/dd/yy) 07/07/13 To (mm/dd/yy) 07/06/14 <input checked="" type="checkbox"/> Yr 1; <input type="checkbox"/> Yr 2; <input 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: 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: Gilroy, Los Gatos, Milpitas, Morgan Hill, Mt. View, San Jose, Santa Clara, Sunnyvale		Counties: Santa Clara	
<b>Organization's Website Address</b> <a href="http://www.housing.org">www.housing.org</a> , (Dept. of Housing)		Is there a waiting list(s) for HOPWA Housing Subsidy Assistance Services in the Grantee service Area? <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>  9/23/14
<b>Name and Title of Contact at Grantee Agency</b> (person who can answer questions about the report and program) James Stagi, Housing Policy and Planning Administrator	<b>Email Address</b> James.stagi@sanjoseca.gov
<b>Phone Number (include area code)</b> (408) 535-8238	<b>Fax Number (include area code)</b> (408) 289-9418

## Section 9: Appendices

### 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)	
NA			
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			

### 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.

## Section 9: Appendices

In fiscal year 2013-14, a total of one hundred (100) households were assisted with this HOPWA competitive grant (HOPWA PSH) in the form of rental subsidies (TBRA) and support services, including case management. All 100 households received case management, while twenty (20) households received housing subsidies. These results exceeded contract goals of 75 households assisted with support services and 19 households receiving TBRA.

The subsidies and support services were distributed throughout Santa Clara County. The majority (84%) of clients assisted live in the city of San Jose with the others distributed in Gilroy, Los Gatos, Milpitas, Morgan Hill, Mountain View, Santa Clara and Sunnyvale.

Clients receiving a housing subsidy are contacted at least annually by the housing services staff person assigned to their case. The purposes of these scheduled contacts are to conduct annual unit inspections and ensure that the residence continues to meet housing quality standards, and 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 PSH 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 PSH -funded case managers represented by Benefits Specialists, Medical Social Workers and Registered Nurses. The level of assistance is driven by the clients' medical and psychosocial condition 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

## Section 9: Appendices

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 showed that 97% of clients receiving a PSH subsidy maintained housing stability in FY13-14, which exceeded the goal of 85%. For all clients receiving support services, 97% remained housed at the end of the measurement year. Also, as noted in the section above, the units occupied by clients were inspected by housing program staff initially and at least once annually to ensure they were safe, decent, sanitary, and met the housing needs of clients as required. Ninety-seven (97%) of the 100 clients receiving support services accessed routine medical care available to them during the year. The stated program goals were exceeded during the fiscal year due to the ongoing, coordinated team efforts of the case management and housing staff. They consistently maintained regular contact with clients to ensure their needs were met in a timely fashion so that issues were immediately addressed rather than allowing them to become overwhelming over time. These efforts will continue during FY14-15 to ensure program goals are achieved.

## Section 9: Appendices

**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	

**Comments in this section are provided by the project sponsor.**

**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 housing clients than HOPWA-PSH funds allow. We will continue to provide this level of support as long as other funding is available to fund this vital assistance to our more acute clients. We know that providing housing alone is only part of the equation of keeping the HIV/AIDS client stable. Continued supportive services and in particular nurses and medical case managers help keep the clients engaged in medical care and stably-housed. For FY 13-14, 97% of clients receiving HOPWA PSH assistance maintained or had access to medical care during the year. We hope that this vital assistance of supportive services, especially for our more acute clients, continues.

**Housing Availability/Affordability.** The Bay area housing market will continue to be tight and one of the tightest in the nation. As the market rate unit prices increase, it is becoming more

## Section 9: Appendices

challenging to find landlords willing to work with the lower program rents and in several cities in Santa Clara County, subsidized rents are non-existent for our clients. 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. More often than not, when a unit is available, it may be available only for a matter of hours. To address this issue we have assigned a dedicated housing specialist to continuously search for available units and stay in closer contact with the landlords. Despite these challenges THT will continue to maintain an excellent level support services to keep clients stably housed and continue the competitive search for available 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

## **Section 9: Appendices**

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

<p>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></p>	<input checked="" type="checkbox"/>
<p>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></p>	<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.

<p>1. Total number of households that have unmet housing subsidy assistance need.</p>	<p>141</p>
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## Section 9: Appendices

<p>2. From the total reported in #1, identify the number of households with unmet housing needs by type of housing subsidy assistance:</p> <p>a. Tenant-Based Rental Assistance (TBRA)</p> <p>b. Short-Term Rent, Mortgage and Utility payments (STRMU)</p> <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> <p>c. Housing Facilities, such as community residences, SRO dwellings, other housing facilities</p>	<p>141</p>
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### 3. Recommended Data Sources for Assessing Unmet Need (check all sources used)

= Data as reported in the area Consolidated Plan, e.g. in Table 1B, CPMP charts, and related narratives
= 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)
X = Data from project sponsors or housing providers, including waiting lists for assistance or other assessments on needs
= Data from prisons or jails in the community on persons being discharged with HIV/AIDS, if mandatory testing is conducted
= 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 related care assessments, e.g. local health department or CDC surveillance data

**End of Part 2**

## 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*

## Section 9: Appendices

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	20

\*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.	<u>Continuing</u> to receive HOPWA housing subsidy assistance from the prior operating year	19
<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.	<b>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)</b>	0
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	

## Section 9: Appendices

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	1
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>	20

### 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.

## Section 9: Appendices



### 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)	20
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	3
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	22
<b>4. TOTAL Number of ALL <u>Beneficiaries</u> Served with HOPWA Housing Subsidy Assistance (Sum of Rows 1, 2, &amp; 3)</b>	45

## 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.

<b>HOPWA Eligible Individuals (Chart a, Row 1)</b>						
		<b>A.</b>	<b>B.</b>	<b>C.</b>	<b>D.</b>	<b>E.</b>
		<b>Male</b>	<b>Female</b>	<b>Transgender M to F</b>	<b>Transgender F to M</b>	<b>TOTAL (Sum of Columns A-D)</b>
1.	Under 18					
2.	18 to 30 years		1			1
3.	31 to 50 years	4	8			12
4.	51 years and Older	5	2			7
5.	<b>Subtotal (Sum of Rows 1-4)</b>	9	11			20
<b>All Other Beneficiaries (Chart a, Rows 2 and 3)</b>						
		<b>A.</b>	<b>B.</b>	<b>C.</b>	<b>D.</b>	<b>E.</b>
		<b>Male</b>	<b>Female</b>	<b>Transgender M to F</b>	<b>Transgender F to M</b>	<b>TOTAL (Sum of Columns A-D)</b>
6.	Under 18	9	7			16
7.	18 to 30 years	2	3			5
8.	31 to 50 years	1	2			3
9.	51 years and Older	1				1
10.	<b>Subtotal (Sum of Rows 6-9)</b>	13	12			25
<b>Total Beneficiaries (Chart a, Row 4)</b>						
11.	<b>TOTAL (Sum of Rows 5 &amp; 10)</b>	22	23			45

## 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	2	1	8	7
6.	American Indian/Alaskan Native & White	1	1	3	3
7.	Asian & White				
8.	Black/African American & White			3	
9.	American Indian/Alaskan Native & Black/African American				
10.	Other Multi-Racial –UNREPORTED	6	6		
11.	Column Totals (Sum of Rows 1-10)	20	8	25	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.

## Section 9: Appendices

**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.

<b>Percentage of Area Median Income</b>		<b>Households Served with HOPWA Housing Subsidy Assistance</b>
1.	0-30% of area median income (extremely low)	19
2.	31-50% of area median income (very low)	1
3.	51-80% of area median income (low)	
4.	<b>Total (Sum of Rows 1-3)</b>	20

### 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

**Section 9: Appendices**



[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	\$368,966	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

## Section 9: Appendices



			Assistance <input type="checkbox"/> Other Support
Other Private: Donations	\$622	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	\$26,195		
<b>TOTAL (Sum of all Rows)</b>	<b>\$395,783</b>		

### 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)	\$2,050
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>	\$2,050

**Section 9: Appendices**



**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.

<b>Program Income and Resident Rent Payment Expended on HOPWA programs</b>		<b>Total Amount of Program Income Expended (for this operating year)</b>
1.	Program Income and Resident Rent Payment Expended on Housing Subsidy Assistance costs	\$2,050
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>	\$2,050

## 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	20	\$231,000
2a.	<b>Permanent Housing Facilities:</b> Received Operating Subsidies/Leased units		
2b.	<b>Transitional/Short-term Facilities:</b> Received Operating Subsidies/Leased units		
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		
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>	20	\$231,000
<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>

## Section 9: Appendices



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 <i>(as reported in Part 5D, 1a.)</i>	100	\$94,998
11b.	Supportive Services provided by project sponsors/subrecipients that only provided supportive services <i>(as reported in Part 5, D, 1b.)</i>		
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>	100	\$94,998
<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		\$1,040
17.	Technical Assistance (if approved in grant agreement)		
18.	Project Outcomes/Program Evaluation (if approved in grant agreement)		

**Section 9: Appendices**



19.	Grantee Administration (maximum 3% of total of HOPWA grant)		\$11,907
20.	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)		\$27,759
21.	Other Activity (if approved in grant agreement). Specify:		
22.	<b>TOTAL Grant Administration and Other Activities (Sum of Rows 16-21)</b>		\$40,706
<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>		\$366,704

**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
<b>Tenant-based Rental Assistance</b>	20	15	1 Emergency Shelter/Streets		<i>Unstable Arrangements</i>
			2 Temporary Housing		<i>Temporarily Stable, with Reduced Risk of Homelessness</i>
			3 Private Housing	2	<i>Stable/Permanent Housing (PH)</i>
			4 Other HOPWA	1	
			5 Other Subsidy	2	
			6 Institution		
			7 Jail/Prison		<i>Unstable Arrangements</i>
			8 Disconnected/Unknown		
			9 Death		<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		
			7 Jail/Prison		<i>Unstable Arrangements</i>
			8 Disconnected/Unknown		
			9 Death		<i>Life Event</i>

##### B. Transitional Housing Assistance

## Section 9: Appendices

	[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
<b>Transitional /Short-term Housing Facilities /Units</b>		Total number of households that will continue in residences:		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		<i>Life Event</i>
				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 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

**Section 9: Appendices**



	<p><b>Maintain private housing without subsidy</b> <i>(e.g. Assistance provided/completed and client is stable, not likely to seek additional support)</i></p>		<p><i>Stable/Permanent Housing (PH)</i></p>
	<p><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></p>		
	Other HOPWA Housing Subsidy Assistance (PH)		
	Other Housing Subsidy (PH)		
	<p><b>Institution</b> <i>(e.g. residential and long-term care)</i></p>		
	Likely that additional STRMU is needed to maintain current housing arrangements		<p><i>Temporarily Stable, with Reduced Risk of Homelessness</i></p>
	<p><b>Transitional Facilities/Short-term</b> <i>(e.g. temporary or transitional arrangement)</i></p>		
	<p><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></p>		
	Emergency Shelter/street		<p><i>Unstable Arrangements</i></p>
	Jail/Prison		
	Disconnected		
	Death		<p><i>Life Event</i></p>
<p>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).</p>			
<p>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).</p>			

## 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.*

<b>Total Number of Households</b>	
<b>1. For Project Sponsors/Subrecipients that provided HOPWA Housing Subsidy Assistance:</b> 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	20
b. Case Management	100
c. Adjustment for duplication (subtraction)	-20
<b>d. Total Households Served by Project Sponsors/Subrecipients with HOPWA Housing Subsidy Assistance (Sum of Rows a. &amp; b. minus Row c.)</b>	<b>100</b>
<b>2. For Project Sponsors/Subrecipients did NOT provide HOPWA Housing Subsidy Assistance:</b> 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*

## Section 9: Appendices

*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.*

<i>Categories of Services Accessed</i>	<b>[1] For project sponsors/subrecipients that provided HOPWA housing subsidy assistance, identify the households who demonstrated the following:</b>	<b>[2] For project sponsors/subrecipients that did NOT provide housing subsidy assistance, identify the households who demonstrated the following:</b>	<b>Outcome Indicator</b>
1. Has a housing plan for maintaining or establishing stable on-going housing	100		<i>Support for Stable Housing</i>
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)	100		<i>Access to Support</i>
3. Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan	100		<i>Access to Health Care</i>
4. Accessed and maintained medical insurance/assistance	75		<i>Access to Health Care</i>
5. Successfully accessed or maintained qualification for sources of income	88		<i>Sources of Income</i>

**Chart 1b., Row 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>
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**Chart 1b., Row 5: Sources of Income include, but are not limited to the following (*Reference only*)**

## Section 9: Appendices



<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>
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### 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	2	

**End of Part 4**

**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 sub-recipient 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**

## Section 9: Appendices



<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 NonProfits-San Jose, 1400 Parkmoor Ave., Suite 230		
<b>City, County, State, Zip,</b>		San Jose	Santa Clara	CA 95126
<b>Phone Number (with area code)</b>		408-961-9835		<b>Fax Number (with area code)</b> 408-961-9856
<b>Employer Identification Number (EIN) or Tax Identification Number (TIN)</b>		94-6050231		
<b>DUN &amp; Bradstreet Number (DUNs)</b>		011506016		
<b>Congressional District of Sponsor's Business Address</b>		15		
<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, Gilroy, Los Gatos, Milpitas, Mt. View, San Jose, Santa Clara, Sunnyvale		Counties: Santa Clara County
<b>Total HOPWA contract amount for this Organization for the operating year</b>		\$420,615		
<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>Is the sponsor a nonprofit organization?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No				
<b>Please check if yes and a faith-based organization</b> <input type="checkbox"/>				
<b>Please check if yes and a grassroots organization</b> <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 <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:

## Section 9: Appendices



<b>Total HOPWA Subcontract Amount of this Organization for the operating year</b>	
<b>Organization's Website Address</b>	<b>Does your organization maintain a waiting list?</b> <input 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 type="checkbox"/> Yes <input type="checkbox"/> No  <b>Please check if yes and a faith-based organization</b> <input type="checkbox"/> <b>Please check if yes and a grassroots organization</b> <input type="checkbox"/>	<b>Does your organization maintain a waiting list?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No  <b>If yes, explain in the narrative section how this list is administered.</b>

**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.

<b>HOPWA Housing Subsidy Assistance Category: RA</b>		<b>[1] Output: Number of Households Served</b>	<b>[2] Output: Total HOPWA Funds Expended during Operating Year by Project Sponsor/Subrecipient</b>
a.	Tenant-based rental assistance (TBRA)	20	\$231,000
b.	Other Rental Assistance (RA) Programs (if approved in grant agreement)		
c.	Direct program delivery costs (e.g., program staff time)		\$94,998
d.	<b>TOTAL Rental Housing Assistance (For Column [1] sum of Row a. &amp; Row b., for Column [2] sum of rows a. – c.)</b>	20	\$325,998

**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

## Section 9: Appendices

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.

<b>Housing Subsidy Assistance Categories (STRMU)</b>		<b>[1] Output: Number of <u>Households</u> Served</b>	<b>[2] Output: Total HOPWA Funds Expended on STRMU during Operating Year</b>
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.		
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.

<b>HOPWA Housing Subsidy Assistance Category: Permanent Housing Placement Assistance</b>	<b>[1] Output: Number of Households Served</b>	<b>[2] Output: Total HOPWA Funds Expended during Operating Year by Project</b>

## Section 9: Appendices



		<b>Sponsor/Subrecipient</b>	
a.	Permanent Housing Placement Services		
b.	Direct program delivery costs (e.g., program staff time)		
c.	<b>TOTAL Permanent Housing Placement Services (sum of Rows a. and b.)</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 <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>

## Section 9: Appendices

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 = _____ Total Units = _____
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:

	<b>Number Designated for the Chronically Homeless</b>	<b>Number Designated to Assist the Homeless</b>	<b>Number of Energy-Star Compliant</b>	<b>Number 504 Accessible</b>
Rental units constructed (new) and/or acquired <u>with or without</u> rehab				
Rental units rehabbed				
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.

## Section 9: Appendices

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/Studi o/0 bdrm	1 bdrm	2bdr m	3 bdrm	4 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:	Output: Number of Households	Output: Total
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**Section 9: Appendices**



<b>Facility Based Housing</b>		<b>Served</b>	<b>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) <b>Specify:</b>		
e.	Adjustment to eliminate duplication (subtract)		[Patterned Box]
f.	<b>TOTAL Facility-Based Housing Assistance</b>		

## 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		

## Section 9: Appendices

3.	Case management	100	\$94,998
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). <b>Specify:</b>		
15.	<b>Sub-Total Households receiving Supportive Services (Sum of Rows 1-14)</b>		
16.	<b>Adjustment for Duplication (subtract)</b>		
17.	<b>TOTAL Households receiving Supportive Services (unduplicated) (Column [1] equals Row 15 minus Row 16; Column [2] equals sum of Rows 1-14)</b>	100	\$94,998

### 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>		

## Section 9: Appendices



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	[REDACTED]	\$1,040
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)		\$27,759
24.	Other Activity (if approved in grant agreement) <b>Specify:</b>		
25.	<b>TOTAL Grant Administration and Other Activities</b>		\$28,799
26.	<b>TOTAL Supportive Services and Grant Administration Expenditures (Sum of Chart 2, Row 17 and Chart 3, Rows 20 and 25)</b>	[REDACTED]	\$123,797

## 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)	<b>Operating Year for this report</b> <i>From (mm/dd/yy) To (mm/dd/yy)</i> <input type="checkbox"/> <b>Final Yr</b>  <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)	

## Section 9: Appendices

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
<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. 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.*

<b>Name &amp; Title of Authorized Official of the organization that continues to operate the facility:</b>  <input type="text"/>	<b>Signature &amp; Date (mm/dd/yy)</b>
<b>Name &amp; Title of Contact at Grantee Agency</b> <i>(person who can answer questions about the report and program)</i>  <input type="text"/>	<b>Contact Phone (include area code)</b>

**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)				
Permanent Facility-Based Housing Assistance/Units				
Transitional/Short-term Facility-Based Housing Assistance/Units				
Total Permanent HOPWA Housing Assistance				
<b>Reduced Risk of</b>	<b>Stable/Permanent</b>	<b>Temporarily Stable, with Reduced Risk of</b>	<b>Unstable</b>	<b>Life Events</b>

## Section 9: Appendices

Homelessness: Short-Term Assistance	Housing	Homelessness	Arrangements	
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

## Section 9: Appendices

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.

**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

## Section 9: Appendices

is the sum of number of households reported under housing status: Emergency Shelter; Jail/Prison; and Disconnected.

**End of Part 6**



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

## **Annual Progress Report (APR) Measuring Performance Outcomes**

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

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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

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.

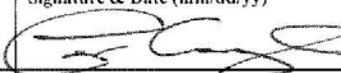
*Note: Report all general information pertaining to project sponsors and subrecipients that perform housing and supportive services in Part 5A: Summary of Project Sponsor/Subrecipient Information.*

**1. Grantee Information**

<b>HUD Grant Number</b> CA-H10-0004		<b>Operating Year for this report</b> <i>From (mm/dd/yy)</i> 07/07/13 <i>To (mm/dd/yy)</i> 06/30/14 <input type="checkbox"/> Yr 1; <input type="checkbox"/> Yr 2; <input type="checkbox"/> Yr 3; <input checked="" 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: 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>		<b>Cities:</b> Gilroy, Los Gatos, Milpitas, Morgan Hill, Mt. View, San Jose, Santa Clara, Sunnyvale	<b>Counties:</b> Santa Clara
<b>Organization's Website Address</b> <a href="http://www.sbjhousing.org">www.sbjhousing.org</a> (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>  9/23/14
<b>Name and Title of Contact at Grantee Agency</b> (person who can answer questions about the report and program) James Stagi, Housing Policy and Planning Administrator	<b>Email Address</b> James.stagi@sanjoseca.gov
<b>Phone Number (include area code)</b> (408) 535-8238	<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.*

<b>Organization</b>		<b>Parent Company (if applicable)</b>	
NA			
<b>Name and Title of Contact at Sub-recipient Organization</b>			
<b>Email Address</b>			
<b>Business Address</b>			
<b>City, State, Zip, County</b>			
<b>Phone Number (include area code)</b>	<b>Fax Number (include area code)</b>		
<b>Employer Identification Number (EIN) or Tax Identification Number (TIN)</b>			
<b>DUN &amp; Bradstreet Number (DUNs)</b>			
<b>North American Industry Classification System (NAICS) Code</b>			
<b>Congressional District of Sub-recipient's Business Address</b>			
<b>Congressional District(s) of Primary Service Area</b>			
<b>City(ies) and County(ies) of Primary Service Area</b>	<b>Cities:</b>	<b>Counties:</b>	

## Section 9: Appendices



Total HOPWA Subcontract Amount of this Organization for the operating year	
----------------------------------------------------------------------------	--

### 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 fiscal year 2013-14, a total of one hundred (100) households were assisted with this HOPWA competitive grant (HOPWA SPNS) in the form of support services, including case management. These results exceeded the contract goal of 70 households assisted with support services.

The support services were distributed throughout Santa Clara County. The majority (84%) of clients assisted live in the City of San Jose with the others distributed in Gilroy, Los Gatos, Milpitas, Morgan Hill, Mountain View, Santa Clara and Sunnyvale.

Clients receiving a housing subsidy are contacted at least annually by the housing services staff person assigned to their case. The purposes of these scheduled contacts are to conduct annual unit inspections and ensure that the residence continues to meet housing quality standards, and to complete an annual income review and housing subsidy eligibility re-certification for each client.

## Section 9: Appendices

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 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 -funded case managers represented by Benefits Specialists, Medical Social Workers and Registered Nurses. The level of assistance is driven by the clients' medical and psychosocial condition 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.

## Section 9: Appendices

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 showed that 97% of clients receiving a SPNS subsidy maintained housing stability in FY13-14, which exceeded the goal of 85%. For all clients receiving support services, 97% remained housed at the end of the measurement year. Also, as noted in the section above, the units occupied by clients were inspected by housing program staff initially and at least once annually to ensure they were safe, decent, sanitary, and met the housing needs of clients as required. Ninety-seven (97%) of the 100 clients receiving support services accessed routine medical care available to them during the year. The stated program goals were exceeded during the fiscal year due to the ongoing, coordinated team efforts of the case management and housing staff. They consistently maintained regular contact with clients to ensure their needs were met in a timely fashion so that issues were immediately addressed rather than allowing them to become overwhelming over time. These efforts will continue during FY14-15 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	

**Comments in this section are provided by the project sponsor.**

## Section 9: Appendices

**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 housing clients than HOPWA SPNS funds allow. We will continue to provide this level of support as long as other funding is available to fund this vital assistance to our more acute clients. We know that providing housing alone is only part of the equation of keeping the HIV/AIDS client stable. Continued supportive services and in particular nurses and medical case managers help keep the clients engaged in medical care and stably-housed. For FY 13-14, 97% of clients receiving HOPWA SPNS assistance maintained or had access to medical care during the year. We hope that this vital assistance of supportive services, especially for our more acute clients, continues.

**Housing Availability/Affordability.** The Bay area housing market will continue to be tight and one of the tightest in the nation. As the market rate unit prices increase, it is becoming more challenging to find landlords willing to work with the lower program rents and in several cities in Santa Clara County, subsidized rents are non-existent for our clients. 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. More often than not, when a unit is available, it may be available only for a matter of hours. To address this issue we have assigned a dedicated housing specialist to continuously search for available units and stay in closer contact with the landlords. Despite

## Section 9: Appendices

these challenges THT will continue to maintain an excellent level support services to keep clients stably housed and continue the competitive search for available 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

<p>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></p>	<input checked="" type="checkbox"/>
<p>c. Program operates in an area that is not eligible for HOPWA formula funds <i>[This group of competitive grantees must complete Chart 2]</i></p>	<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.

<p>1. Total number of households that have unmet housing subsidy assistance need.</p>	<p>141</p>
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## Section 9: Appendices

<p>2. From the total reported in #1, identify the number of households with unmet housing needs by type of housing subsidy assistance:</p> <p style="padding-left: 40px;">c. Tenant-Based Rental Assistance (TBRA)</p> <p style="padding-left: 40px;">b. Short-Term Rent, Mortgage and Utility payments (STRMU)</p> <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> <p style="padding-left: 40px;">c. Housing Facilities, such as community residences, SRO dwellings, other housing facilities</p>	<p>141</p>
----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------

### 3. Recommended Data Sources for Assessing Unmet Need (check all sources used)

= Data as reported in the area Consolidated Plan, e.g. in Table 1B, CPMP charts, and related narratives
= 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)
X = Data from project sponsors or housing providers, including waiting lists for assistance or other assessments on needs
= Data from prisons or jails in the community on persons being discharged with HIV/AIDS, if mandatory testing is conducted
= 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 related care assessments, e.g. local health department or CDC surveillance data

**End of Part 2**

## 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*

## Section 9: Appendices

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	

\*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. <u>Continuing</u> to receive HOPWA housing subsidy assistance from the prior operating year	
<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. <b>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)</b>	0
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	

## Section 9: Appendices

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	
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>	

### 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.*

## Section 9: Appendices



### 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)	
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	
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	
<b>4. TOTAL Number of ALL <u>Beneficiaries</u> Served with HOPWA Housing Subsidy Assistance (Sum of Rows 1, 2, &amp; 3)</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 Chart a., Row 4.

<b>HOPWA Eligible Individuals (Chart a, Row 1)</b>						
		<b>A.</b>	<b>B.</b>	<b>C.</b>	<b>D.</b>	<b>E.</b>
		<b>Male</b>	<b>Female</b>	<b>Transgender M to F</b>	<b>Transgender F to M</b>	<b>TOTAL (Sum of Columns A-D)</b>
1.	Under 18					
2.	18 to 30 years					
3.	31 to 50 years					
4.	51 years and Older					
5.	<b>Subtotal (Sum of Rows 1-4)</b>					
<b>All Other Beneficiaries (Chart a, Rows 2 and 3)</b>						
		<b>A.</b>	<b>B.</b>	<b>C.</b>	<b>D.</b>	<b>E.</b>
		<b>Male</b>	<b>Female</b>	<b>Transgender M to F</b>	<b>Transgender F to M</b>	<b>TOTAL (Sum of Columns A-D)</b>
6.	Under 18					
7.	18 to 30 years					
8.	31 to 50 years					
9.	51 years and Older					
10.	<b>Subtotal (Sum of Rows 6-9)</b>					
<b>Total Beneficiaries (Chart a, Row 4)</b>						
11.	<b>TOTAL (Sum of Rows 5 &amp; 10)</b>					

## 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				
2.	Asian				
3.	Black/African American				
4.	Native Hawaiian/Other Pacific Islander				
5.	White				
6.	American Indian/Alaskan Native & White				
7.	Asian & White				
8.	Black/African American & White				
9.	American Indian/Alaskan Native & Black/African American				
10.	Other Multi-Racial –UNREPORTED				
11.	Column Totals (Sum of Rows 1-10)				
<i>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.</i>					

\*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.

## Section 9: Appendices

**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.

<b>Percentage of Area Median Income</b>		<b>Households Served with HOPWA Housing Subsidy Assistance</b>
1.	0-30% of area median income (extremely low)	
2.	31-50% of area median income (very low)	
3.	51-80% of area median income (low)	
4.	<b>Total (Sum of Rows 1-3)</b>	

### Part 3: Summary Overview of Grant Activities

#### B. Sources of Leveraging and Program Income

##### 3. 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

## Section 9: Appendices



[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	\$368,966	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

**Section 9: Appendices**



			Assistance <input type="checkbox"/> Other Support
Other Private: Donations	\$622	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
<b>Other Funding</b>			
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	\$26,195		
<b>TOTAL (Sum of all Rows)</b>	<b>\$395,783</b>		

**4. 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**

<b>Program Income and Resident Rent Payments Collected</b>		<b>Total Amount of Program Income (for this operating year)</b>
4.	Program income (e.g. repayments)	
5.	Resident Rent Payments made directly to HOPWA Program	
6.	<b>Total Program Income and Resident Rent Payments (Sum of Rows 1 and 2)</b>	

**Section 9: Appendices**



**d. 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.

<b>Program Income and Resident Rent Payment Expended on HOPWA programs</b>		<b>Total Amount of Program Income Expended (for this operating year)</b>
1.	Program Income and Resident Rent Payment Expended on Housing Subsidy Assistance costs	
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>	

## 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		
2a.	<b>Permanent Housing Facilities:</b> Received Operating Subsidies/Leased units		
2b.	<b>Transitional/Short-term Facilities:</b> Received Operating Subsidies/Leased units		
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		
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>		
<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>

## Section 9: Appendices



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 <i>(as reported in Part 5D, 1a.)</i>		
11b.	Supportive Services provided by project sponsors/subrecipients that only provided supportive services <i>(as reported in Part 5, D, 1b.)</i>	100	\$79,423
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>	100	\$79,423
<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)		

**Section 9: Appendices**



19.	Grantee Administration (maximum 3% of total of HOPWA grant)		\$0
20.	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)		\$2,143
21.	Other Activity (if approved in grant agreement). Specify:		
22.	<b>TOTAL Grant Administration and Other Activities (Sum of Rows 16-21)</b>		\$2,143
<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>		\$81,566

**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)

#### B. 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
<b>Tenant-based Rental Assistance</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		
			7 Jail/Prison		<i>Unstable Arrangements</i>
			8 Disconnected/Unknown		
			9 Death		<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		
			7 Jail/Prison		<i>Unstable Arrangements</i>
			8 Disconnected/Unknown		
			9 Death		<i>Life Event</i>

#### B. Transitional Housing Assistance

## Section 9: Appendices

	[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
<b>Transitional /Short-term Housing Facilities /Units</b>		Total number of households that will continue in residences:		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		<i>Life Event</i>
				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 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

**Section 9: Appendices**



	<b>Maintain private housing without 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 (PH)		
	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		<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		
	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).			
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.*

<b>Total Number of Households</b>	
<b>3. For Project Sponsors/Subrecipients that provided HOPWA Housing Subsidy Assistance:</b> Identify the total number of households that received the following <u>HOPWA-funded</u> services:	
a. Housing Subsidy Assistance(duplicated)- TBRA, STRMU, PHP, Facility-Based Housing, and Master Leasing	
b. Case Management	
c. Adjustment for duplication (subtraction)	
<b>d. Total Households Served by Project Sponsors/Subrecipients with HOPWA Housing Subsidy Assistance (Sum of Rows a. &amp; b. minus Row c.)</b>	
<b>4. For Project Sponsors/Subrecipients did NOT provide HOPWA Housing Subsidy Assistance:</b> Identify the total number of households that received the following <u>HOPWA-funded</u> service:	
a. Case Management	<b>100</b>
<b>b. Total Households Served by Project Sponsors/Subrecipients without Housing Subsidy Assistance</b>	<b>100</b>

#### 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*

**Section 9: Appendices**

*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	<b>[1] For project sponsors/subrecipients that provided HOPWA housing subsidy assistance, identify the households who demonstrated the following:</b>	<b>[2] For project sponsors/subrecipients that did NOT provide housing subsidy assistance, identify the households who demonstrated the following:</b>	<b>Outcome Indicator</b>
1. Has a housing plan for maintaining or establishing stable on-going housing		100	<i>Support for Stable Housing</i>
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)		100	<i>Access to Support</i>
3. Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan		100	<i>Access to Health Care</i>
4. Accessed and maintained medical insurance/assistance		75	<i>Access to Health Care</i>
5. Successfully accessed or maintained qualification for sources of income		88	<i>Sources of Income</i>

**Chart 1b., Row 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>
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**Chart 1b., Row 5: Sources of Income include, but are not limited to the following (*Reference only*)**

## Section 9: Appendices



<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>
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### 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		2

**End of Part 4**

**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 sub-recipient 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**

## Section 9: Appendices



<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>		leslie@healthtrust.org		
<b>Business Address</b>		Sobrato Center for NonProfits-San Jose, 1400 Parkmoor Ave., Suite 230		
<b>City, County, State, Zip,</b>		San Jose	Santa Clara	CA 95126
<b>Phone Number (with area code)</b>		408-961-9835		<b>Fax Number (with area code)</b> 408-961-9856
<b>Employer Identification Number (EIN) or Tax Identification Number (TIN)</b>		94-6050231		
<b>DUN &amp; Bradstreet Number (DUNs)</b>		011506016		
<b>Congressional District of Sponsor's Business Address</b>		15		
<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, Gilroy, Los Gatos, Milpitas, Mt. View, San Jose, Santa Clara, Sunnyvale		Counties: Santa Clara County
<b>Total HOPWA contract amount for this Organization for the operating year</b>		\$83,346		
<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>Is the sponsor a nonprofit organization?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No				
<b>Please check if yes and a faith-based organization</b> <input type="checkbox"/>				
<b>Please check if yes and a grassroots organization</b> <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 <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:

## Section 9: Appendices



<b>Total HOPWA Subcontract Amount of this Organization for the operating year</b>	
<b>Organization's Website Address</b>	<b>Does your organization maintain a waiting list?</b> <input 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 type="checkbox"/> Yes <input type="checkbox"/> No  <b>Please check if yes and a faith-based organization</b> <input type="checkbox"/> <b>Please check if yes and a grassroots organization</b> <input type="checkbox"/>	<b>Does your organization maintain a waiting list?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No  <b>If yes, explain in the narrative section how this list is administered.</b>

## 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)		
b.	Other Rental Assistance (RA) Programs (if approved in grant agreement)		
c.	Direct program delivery costs (e.g., program staff time)		
d.	<b>TOTAL Rental Housing Assistance (For Column [1] sum of Row a. &amp; Row b., for Column [2] sum of rows a. – c.)</b>		

##### 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

## Section 9: Appendices

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.

<b>Housing Subsidy Assistance Categories (STRMU)</b>		<b>[1] Output: Number of <u>Households</u> Served</b>	<b>[2] Output: Total HOPWA Funds Expended on STRMU during Operating Year</b>
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.		
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.

<b>HOPWA Housing Subsidy Assistance Category: Permanent Housing Placement Assistance</b>	<b>[1] Output: Number of Households Served</b>	<b>[2] Output: Total HOPWA Funds Expended during Operating Year by Project</b>

## Section 9: Appendices



		<b>Sponsor/Subrecipient</b>	
a.	Permanent Housing Placement Services		
b.	Direct program delivery costs (e.g., program staff time)		
c.	<b>TOTAL Permanent Housing Placement Services (sum of Rows a. and b.)</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."*

	<b>Type(s) of Development this operating year</b>	<b>HOPWA Funds Expended this operating year <i>(if applicable)</i></b>	<b>Non-HOPWA funds Expended <i>(if applicable)</i></b>	<b>Name of Facility:</b>
<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>

## Section 9: Appendices

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 = _____ Total Units = _____
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:

	<b>Number Designated for the Chronically Homeless</b>	<b>Number Designated to Assist the Homeless</b>	<b>Number of Energy-Star Compliant</b>	<b>Number 504 Accessible</b>
Rental units constructed (new) and/or acquired <u>with or without</u> rehab				
Rental units rehabbed				
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.

## Section 9: Appendices

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/Studi o/0 bdrm	1 bdrm	2bdr m	3 bdrm	4 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:	Output: Number of Households	Output: Total
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**Section 9: Appendices**



<b>Facility Based Housing</b>		<b>Served</b>	<b>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.	Adjustment to eliminate duplication (subtract)		[Patterned Box]
f.	<b>TOTAL Facility-Based Housing Assistance</b>		

## 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		

## Section 9: Appendices

3.	Case management	100	\$79,423
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). <b>Specify:</b>		
15.	<b>Sub-Total Households receiving Supportive Services (Sum of Rows 1-14)</b>		
16.	<b>Adjustment for Duplication (subtract)</b>		
17.	<b>TOTAL Households receiving Supportive Services (unduplicated) (Column [1] equals Row 15 minus Row 16; Column [2] equals sum of Rows 1-14)</b>	100	\$79,423

### 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>		

## Section 9: Appendices



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)		\$2,143
24.	Other Activity (if approved in grant agreement) <b>Specify:</b>		
25.	<b>TOTAL Grant Administration and Other Activities</b>		\$2,143
26.	<b>TOTAL Supportive Services and Grant Administration Expenditures (Sum of Chart 2, Row 17 and Chart 3, Rows 20 and 25)</b>		\$81,566

## 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)	<b>Operating Year for this report</b> <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

#### 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)	

## Section 9: Appendices

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. 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.*

<b>Name &amp; Title of Authorized Official of the organization that continues to operate the facility:</b>  <input type="text"/>	<b>Signature &amp; Date (mm/dd/yy)</b>
<b>Name &amp; Title of Contact at Grantee Agency</b> <i>(person who can answer questions about the report and program)</i>  <input type="text"/>	<b>Contact Phone (include area code)</b>

**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.

<b>Permanent Housing Assistance</b>	<b>Stable Housing</b> (# 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)				
Permanent Facility-Based Housing Assistance/Units				
Transitional/Short-term Facility-Based Housing Assistance/Units				
Total Permanent HOPWA Housing Assistance				
<b>Reduced Risk of</b>	<b>Stable/Permanent</b>	<b>Temporarily Stable, with Reduced Risk of</b>	<b>Unstable</b>	<b>Life Events</b>

## Section 9: Appendices

Homelessness: Short-Term Assistance	Housing	Homelessness	Arrangements	
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

## Section 9: Appendices

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.

**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

## **Section 9: Appendices**

is the sum of number of households reported under housing status: Emergency Shelter; Jail/Prison; and Disconnected.

**End of Part 6**



# **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)

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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

**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>  CAH13F0004	<b>Operating Year for this report</b> <i>From (mm/dd/yy)</i> 07/01/13 <i>To (mm/dd/yy)</i> 06/30/14
<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) <u>and</u> 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

## Section 9: Appendices

<p><b>Organization's Website Address</b></p> <p>www.sjhousing.org</p>	<p><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</p> <p><b>If yes, explain in the narrative section what services maintain a waiting list and how this list is administered.</b></p>
-----------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

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

## Section 9: Appendices

### 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 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>	\$795,250	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>	

## Section 9: Appendices

### Project Sponsor #2

<b>Project Sponsor Agency Name</b> County of San Benito Health and Human Services Agency		<b>Parent Company Name, if applicable</b>	
<b>Name and Title of Contact at Project Sponsor Agency</b>		Enrique Arreola, Deputy Director	
<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> 831-637-0996
<b>DUN &amp; Bradstreet Number (DUNs):</b>		784683757	
<b>Congressional District of Project Sponsor's Business Address</b>		17	
<b>Congressional District(s) of Primary Service Area(s)</b>		17	
<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>		\$63,065	Counties: San Benito
<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  Please check if yes and a faith-based organization. <input type="checkbox"/> Please check if yes and a grassroots organization. <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.*

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

## 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 and 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) and 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 1,000,576 persons in January 2014. In FY 2013-14 the City received \$838,752 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 2013-2014, the City's HOPWA programs provided tenant-based rental subsidies, supportive services, and housing placement assistance to 183 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 2013-14 the City's renewal application for \$1.3 million for the Housing Opportunities for Persons with AIDS (HOPWA) Permanent Supportive Housing (PSH) in partnership with the Health Trust was approved for an additional three years (through FY 2015-16). This funding supported affordable housing opportunities and supportive services to very low- and low-income Santa Clara County residents disabled by HIV/AIDS. It also provided funds for resource identification to establish, coordinate and develop housing assistance resources. The funds were allocated in approximately three equal amounts for each program year with the exception of the resource identification funds which were allocated primarily in the second year. The City's HOPWA program is directed by James Stagi and he can be reached via email at [James.stagi@sanjoseca.gov](mailto:James.stagi@sanjoseca.gov) or via telephone at 408-535-8238.*

#### **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.

## **Section 9: Appendices**

### The Health Trust (THT)

During FY 2013-14, HOPWA formula funds assisted 153 unduplicated clients financially or through support services in the form of subsidies, placement assistance, and case management.

Of these clients, 90 households within Santa Clara County were assisted with housing subsidies, 18 households received permanent housing placement assistance in the form of housing deposits or other move-in costs, and 143 households received supportive services.

One of the challenges of housing the very low income clients that make up the majority of THT clientele is the fact that they are competing with everyone else for the few available units on the open market in a very expensive housing area. According to the Mercury News, April 14, 2014, the average rent increased 9.9% and the average rent is at an all-time high. Our HOPWA subsidies mirrored this rate and increased on average approximately 5%. In addition to the ongoing rent increases, THT subsidy dollars was reduced by a little over 3% due to a budget sequestration in FY 2013-14.

The subsidies and support services were distributed throughout Santa Clara County: 87% of clients assisted live in the City of San Jose with the others distributed from Mountain View in the North to Gilroy in the South, and Milpitas, Sunnyvale and Santa Clara in between. Contrary to the prior year, there was no representation in Campbell, Cupertino, Los Gatos, and Morgan Hill.

Clients receiving a housing subsidy are contacted at least quarterly by the housing case management specialist assigned to their case. 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 dwellings continue to meet housing quality standards and to verify the annual income and family composition of the household to confirm program eligibility. 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 case managers, 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 37 clients who showed some interest in self-sufficiency, 13 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 Housing for Health 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

## Section 9: Appendices

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 referral 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 Program Coordinator; 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 those with the highest needs first.

### San Benito County

During FY 2013-14, San Benito County served six (6) unduplicated clients compared to a goal of 10. The County also fell short in meeting both its TBRA and supportive services goals. This was the result of the County's small population (55,000 according to the 2010 Census data) which makes it difficult to predict how many persons will request assistance from the program. Assistance was provided in the form of rental assistance, utility subsidies, food vouchers and dental assistance. In order to increase the number of persons served by the program in FY 2013-14, San Benito County increased its outreach efforts, and expanded its HOPWA funded services to persons with the HIV virus, but not diagnosed with AIDS. However, the outreach effort did not result in any increase in persons served by San Benito County's program.

All eligible households received services, thereby eliminating the need for wait lists. Because there is not a large client turnover rate, limiting the program's capacity to distribute direct client services has not been necessary. Five (5) clients received housing subsidies, 3 received utility assistance, 4 received food vouchers and 3 clients received dental assistance. Forty (40) rental assistance claims, 17 utility assistance claims, 36 food vouchers, and 4 dental assistance claims were processed.

**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 contributed to program successes.

### The Health Trust (THT)

A review of the program database and client files showed that 98% of clients receiving a HOPWA subsidy remained in stable housing at the end of FY 2013-14. This exceeded the program stated goal of 90% with the same high retention rate as the prior year. In addition, 94% of clients receiving financial housing placement assistance 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 THT 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

## Section 9: Appendices

to remain housed without considerable supportive assistance. 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. Because of these efforts, THT continues to maintain a high rate of stable housing for its clients receiving HOPWA subsidies.

### San Benito County

In FY 2013-14, 83% of HOPWA clients seeking services were able to maintain stable housing and avoid homelessness and therefore improve their access to care. This exceeds the program stated goal of 75%. Project staff was able to serve all local clients seeking services.

**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 (THT)

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 provided by HOPWA PSH. The use of these funds provided a broad range of basic and essential case management needs for the homeless and much needed services for 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 HIV/AIDS 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 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

## Section 9: Appendices

Case Manager also coordinates additional services with other community based organizations. Lastly, San Benito County is a partner with the San Benito/Salinas/Monterey County Continuum of Care (COS).

**4. Technical Assistance.** Describe any program technical assistance needs and how they would benefit program beneficiaries.

Regularly scheduled technical assistance meetings (perhaps on a bi-annual basis) with the staff of the Housing Dept. 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 achieve the objectives and outcomes discussed in the previous section.

1. 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.

- |                                                           |                                                        |                                                          |                                                                   |
|-----------------------------------------------------------|--------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------------------|
| <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   |                                                                   |

## Section 9: Appendices

### The Health Trust (THT)

**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.

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 for 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, especially for the homeless, 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.**

As discussed in section 1, the Bay area housing market will continue to be tight and one of the worst in the nation. As the market rate unit prices increase, it is becoming more challenging to find landlords willing to work with the lower program rents and in several cities in Santa Clara County, subsidized rents are non-existent for our clients. 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. More often than not, when a unit is available, it may be available only for a matter of hours. To address this issue we have assigned a dedicated housing specialist to

## Section 9: Appendices

continuously search for available units and stay in closer contact with the landlords. Despite these challenges THT will continue to maintain an excellent level support services to keep clients stably housed and continue the competitive search for available 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. 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 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.

### San Benito County

The program was challenged to recruit a few more clients. Outreach efforts were made through different venues, but did not result in the enrollment of additional clients. Staff will continue to provide outreach to this population. As a small rural community, it is very challenging identifying eligible clients. In addition, one project client passed away, which lowered the total client count of the program.

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 that are willing to rent to clients who have poor credit or criminal backgrounds. This is going to be a trend in the community that affects not just the clients in this program, but across other HUD housing programs. The Fair Market Rents should 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 availability of newer, better and more tolerated drugs that have recently become available. Following new medication regimes

## Section 9: Appendices

has increased life expectancy, thus allowing 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, as it directly impacts their rental portion, or they may no longer be income eligible for the program. This year we have seen on average, that the client's share of rent has remained unchanged while the subsidy portion has increased approximately 9%. There are many clients that have been on the program for a number of years with a lack of progress towards self-sufficiency. If the program were to end for any reason, they could easily 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 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.	141
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## Section 9: Appendices

<p>2. From the total reported in Row 1, identify the number of households with unmet housing needs by type of housing subsidy assistance:</p> <p>e. Tenant-Based Rental Assistance (TBRA)</p> <p>f. Short-Term Rent, Mortgage and Utility payments (STRMU)</p> <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> <p>g. Housing Facilities, such as community residences, SRO dwellings, other housing facilities</p>	<p>141</p>
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## 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>	= 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>X</b>	= Data from prisons or jails on persons being discharged with HIV/AIDS, if mandatory testing is conducted
	= 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	\$37,071	STRMU	<input type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Ryan White-Housing Assistance	\$108,507	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: State (Low-Income Heating Energy Assistance)	\$2,000	Utility Assistance	<input 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
Private Funding			
Grants			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support

## Section 9: Appendices

In-kind Resources

Housing Subsidy Assistance

Other Private: Donations

Other Support

Other Private:

Housing Subsidy Assistance

Other Support

Other Funding

Housing Subsidy Assistance

Other Support

Grantee/Project Sponsor/Subrecipient (Agency) Cash

Housing Subsidy Assistance

Other Support

Resident Rent Payments by Client to Private Landlord \$251,782

**TOTAL (Sum of all Rows) \$399,360**

## 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

<b>Program Income and Resident Rent Payments Collected</b>		<b>Total Amount of Program Income (for this operating year)</b>
7.	Program income (e.g. repayments)	\$5,374
8.	Resident Rent Payments made directly to HOPWA Program	
9.	<b>Total Program Income and Resident Rent Payments (Sum of Rows 1 and 2)</b>	\$5,374

#### 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.

<b>Program Income and Resident Rent Payment Expended on HOPWA programs</b>		<b>Total Amount of Program Income Expended (for this operating year)</b>
1.	Program Income and Resident Rent Payment Expended on Housing Subsidy Assistance costs	\$5,374
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>	\$5,374

## Section 9: Appendices



**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	93	95			\$564,892	\$548,040
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				35		
5.	Permanent Housing Placement Services	19	18			\$10,000	-\$458
6.	Adjustments for duplication (subtract)		-14				
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)		99			\$574,892	\$547,582
<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 78 & 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	82	129			\$225,686	\$102,058

## Section 9: Appendices

	HOPWA housing subsidy assistance					
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	129		\$225,686	\$102,058
	<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

Grant Administration and Other Activities		[1] Output Households				[2] Output: Funding	
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)						\$18,756
19.	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)					\$58,010	\$52,006
20.	<b>Total Grant Administration and Other Activities (Sum of Rows 17 – 20)</b>						
<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>					\$858,588	\$701,646

### 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.

Supportive Services		[1] Output: Number of <u>Households</u>	[2] Output: Amount of HOPWA Funds Expended
1.	Adult day care and personal assistance		
2.	Alcohol and drug abuse services		
3.	Case management	129	\$97,708
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	2	\$1,750
8.	Legal services		
9.	Life skills management (outside of case management)		
10.	Meals/nutritional services	4	\$2,600
11.	Mental health services		
12.	Outreach		
13.	Transportation		

## Section 9: Appendices

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>	135	
16.	<b>Adjustment for Duplication (subtract)</b>	6	
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>	129	\$102,058

### 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 <u>Households</u> 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.		

## Section 9: Appendices

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.		
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)		

**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

	[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>	95	68	1 Emergency Shelter/Streets	1	<i>Unstable Arrangements</i>
			2 Temporary Housing	2	<i>Temporarily Stable, with Reduced Risk of Homelessness</i>
			3 Private Housing	10	<i>Stable/Permanent Housing (PH)</i>
			4 Other HOPWA	8	
			5 Other Subsidy	0	
			6 Institution	0	<i>Unstable Arrangements</i>
			7 Jail/Prison	1	
			8 Disconnected/Unknown	1	
			9 Death	4	<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		

## Section 9: Appendices

			9 Death		<i>Life Event</i>
<b>B. Transitional Housing Assistance</b>					
Transitional/ Short-Term Housing Facilities/ Units	[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
			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		
			7 Jail/Prison		<i>Unstable Arrangements</i>
			8 Disconnected/unknown		
			9 Death		<i>Life Event</i>
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

**Section 9: Appendices**



[1] Output: Total number of households	[2] Assessment of Housing Status		[3] HOPWA Client Outcomes
	<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		<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		
	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).			
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. 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.*

<b>Total Number of Households</b>	
<b>1. For Project Sponsors/Subrecipients that provided HOPWA Housing Subsidy Assistance:</b> 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	108
b. Case Management	129
c. Adjustment for duplication (subtraction)	-54
<b>d. Total Households Served by Project Sponsors/Subrecipients with Housing Subsidy Assistance (Sum of Rows a.b. minus Row c.)</b>	<b>183</b>
<b>2. For Project Sponsors/Subrecipients did NOT provide HOPWA Housing Subsidy Assistance:</b> Identify the total number of households that received the following HOPWA-funded service:	
a. HOPWA Case Management	
<b>b. Total Households Served by Project Sponsors/Subrecipients without Housing Subsidy Assistance</b>	

#### 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.*

## Section 9: Appendices

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:	Outcome Indicator
1. Has a housing plan for maintaining or establishing stable on-going housing	94		<i>Support for Stable Housing</i>
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)	102		<i>Access to Support</i>
3. Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan	101		<i>Access to Health Care</i>
4. Accessed and maintained medical insurance/assistance	102		<i>Access to Health Care</i>
5. Successfully accessed or maintained qualification for sources of income	94		<i>Sources of Income</i>

### 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> </ul>	<ul style="list-style-type: none"> <li>Veterans Affairs Medical Services</li> <li>AIDS Drug Assistance Program (ADAP)</li> </ul>	<ul style="list-style-type: none"> <li>Ryan White-funded Medical or Dental Assistance</li> </ul>
<ul style="list-style-type: none"> <li>MEDICARE Health Insurance Program, or use local program name</li> </ul>	<ul style="list-style-type: none"> <li>State Children's Health Insurance Program (SCHIP), or use local program name</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>
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## Section 9: Appendices

### 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	1	2

**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)				
Permanent Facility-based Housing Assistance/Units				
Transitional/Short-Term Facility-based Housing Assistance/Units				
<b>Total Permanent HOPWA Housing Subsidy Assistance</b>				
<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**

## Section 9: Appendices

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.

**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

## Section 9: Appendices

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 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 (mm/dd/yy)

### 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
<b>If the site is not confidential:</b> Please provide the contact information, phone,	

## Section 9: Appendices

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.*

<b>Name &amp; Title of Authorized Official of the organization that continues to operate the facility:</b>	<b>Signature &amp; Date (mm/dd/yy)</b>
<b>Name &amp; Title of Contact at Grantee Agency</b> <i>(person who can answer questions about the report and program)</i>	<b>Contact Phone (with area code)</b>

**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.

<b>Individuals Served with Housing Subsidy Assistance</b>	<b>Total</b>
Number of individuals with HIV/AIDS who qualified their household to receive HOPWA housing subsidy assistance.	101

## Section 9: Appendices

### 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	99
<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.	<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	
12.	Rented room, apartment, or house	2
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 without emergency shelter voucher	
16.	Other	
17.	Don't Know or Refused	
18.	<b>TOTAL Number of HOPWA Eligible Individuals (sum of Rows 1 and 5-17)</b>	101

### 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.

## Section 9: Appendices

Category	Number of Homeless Veteran(s)	Number of Chronically Homeless
HOPWA eligible individuals served with HOPWA Housing Subsidy Assistance	1	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.)	101
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	5
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	22
<b>4. TOTAL number of ALL <u>beneficiaries</u> served with Housing Subsidy Assistance (Sum of Rows 1,2, &amp; 3)</b>	128

## 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	2	1	0		3
3.	31 to 50 years	35	7	6		48
4.	51 years and Older	41	8	1		50
5.	<b>Subtotal (Sum of Rows 1-4)</b>	78	16	7		101
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	1	9			10
7.	18 to 30 years	5	4			9
8.	31 to 50 years	3	3			6
9.	51 years and Older	1	1			2
10.	<b>Subtotal (Sum of Rows 6-9)</b>	10	17			27
Total Beneficiaries (Chart a, Row 4)						
11.	<b>TOTAL (Sum of Rows 5 &amp; 10)</b>	88	33	7		128

## 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	4	0	0	
2.	Asian	6	0	5	
3.	Black/African American	18	1	6	
4.	Native Hawaiian/Other Pacific Islander	0			
5.	White	51	18	12	12
6.	American Indian/Alaskan Native & White	0	0		
7.	Asian & White				
8.	Black/African American & White			1	0
9.	American Indian/Alaskan Native & Black/African American	2	1		
10.	Other (Refused to report)	30	30	3	3
11.	Column Totals (Sum of Rows 1-10)	101	50	27	15
<b>Data Check:</b> 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.

## Section 9: Appendices

Percentage of Area Median Income		Households Served with HOPWA Housing Subsidy Assistance
1.	0-30% of area median income (extremely low)	95
2.	31-50% of area median income (very low)	5
3.	51-80% of area median income (low)	1
4.	<b>Total (Sum of Rows 1-3)</b>	101

## 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	\$	\$	

## Section 9: Appendices

<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 <span style="float: right;"><input type="checkbox"/> No</span> <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

### 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.**

## Section 9: Appendices

### 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
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.

Housing Assistance Category: Facility Based Housing		Output: Number of Households	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)		
f.	<b>TOTAL Facility-Based Housing Assistance</b> (Sum Rows a. through d. minus Row e.)		