

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

PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004

Annual Plan for Fiscal Year 2003

PHA Plan Agency Identification

PHA Name: Housing Authority of the City of San Jose

PHA Number: CA056

PHA Fiscal Year Beginning: 7/1/2003

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting:

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices

Display Locations for PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at:

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices
- Main administrative office of the local government
- Main administrative office of the County government
- Main administrative office of the State government
- Public library
- PHA website
- Other (list below)
 1. Great Oaks Office, 100 Great Oaks Blvd., San Jose, CA 95119
 2. Parrott Office, 521 Parrott St., San Jose, CA 95112

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- Main business office of the PHA
- PHA development management offices
- Other (list below)

5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004

A. Mission

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

The PHA's mission is:

The MISSION of the Housing Authority of the City of San Jose is to improve the lives of low-income families, persons with disabilities and seniors in Santa Clara County by providing affordable, high-quality housing.

Our philosophy, goals and professional commitment are dedicated toward fulfilling this mission.

B. Goals

HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.

PHA Goal: Expand the supply of assisted housing
Objectives:

- Apply for additional rental vouchers: **Successfully compete for the maximum amount of allocations through all notice of Funding Availability.**
- Reduce public housing vacancies: **Currently 1% vacancy level**
- Leverage private or other public funds to create additional housing opportunities:
- Acquire or build units or developments: **At least 3 significant projects each year.**
- Other (list below)

PHA Goal: Improve the quality of assisted housing
Objectives:

- Improve public housing management: (PHAS score) **PHA scored 91% and is a high performer.**
- Improve voucher management: (SEMAP score) **maintain MTCS High Performer Score, complete 100% annual inspections and recertifications on time.**
- Increase customer satisfaction: **Established Customer Support Team in the Housing Programs Department. Information regarding the**

Housing Authority can be accessed on the web at [http://hacsc/about the agency.htm](http://hacsc/about_the_agency.htm).

- Concentrate on efforts to improve specific management functions:
(list; e.g., public housing finance; voucher unit inspections)
- Renovate or modernize public housing units: **See 5 Year Action Plan for Capital Fund**
- Demolish or dispose of obsolete public housing:
- Provide replacement public housing:
- Provide replacement vouchers:
- Other:
 - **Maintain 3 months of operating expenses in cash reserves;**
 - **Establish a revenue-generating, in-house training and development entity;**
 - **Identify appropriate administrative facility expansion plan for staff and clients;**
 - **Attract and maintain a large pool of highly qualified, diverse staff;**

- PHA Goal: Increase assisted housing choices
 - Objectives:
 - Provide voucher mobility counseling: **Provide owner outreach workshops and continue to present information at briefings.**
 - Conduct outreach efforts to potential voucher landlords
 - Increase voucher payment standards
 - Implement voucher homeownership program: 2002 implemented homeownership program; 1 family has closed escrow
 - Implement public housing or other homeownership programs: **Below Market Rate Purchase Program**
 - Implement public housing site-based waiting lists:
 - Convert public housing to vouchers:
 - Other:
 - **Complete 3 Significant projects each year**
 - **Project Base up to 20% of allocation**
 - **Owner Advisory Group meet 2x a year**

HUD Strategic Goal: Improve community quality of life and economic vitality

- PHA Goal: Provide an improved living environment
 - Objectives:
 - Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:

- Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
- Implement public housing security improvements: Prioritize Capital Needs Assessments
- Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
- Other:
 - **Participate in Work Force Board Investment activities as a mandatory partner**
 - **Increase income levels for 30% of clients**
 - **Utilize voucher program for homeownership – there are currently 2 homeowners that utilize housing assistance payments for homeownership.**

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

- PHA Goal: Promote self-sufficiency and asset development of assisted households
 - Objectives:
 - Increase the number and percentage of employed persons in assisted families: **Refer 100% of unemployed TANF to CalWorks and WIA**
 - Provide or attract supportive services to improve assistance recipients' employability: **Serve as a mandated partner for Workforce Investment Act, co-partner with CalWorks for WTW Clients**
 - Provide or attract supportive services to increase independence for the elderly or families with disabilities.
 - Other:
 - **Support the Family Self-Sufficiency Program**
 - **Expand the number of people assisted by the scholarship fund by 100%**
 - **Establish a scholarship endowment fund of \$1 million.**

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing
 - Objectives:
 - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:

- Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
- Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
- Other: (list below)

Other PHA Goals and Objectives:

- **Apply for all funding which supports case management for Section 8 tenants and public housing residents.**
- **Educate surrounding C.D.B.G partners in County about Housing Authority in general homeownership program in particular.**
- **Continue to support Social Services partnerships with all programs that assist Public Housing, Section 8 clients and clients on the wait lists.**

Annual PHA Plan
PHA Fiscal Year 2002
[24 CFR Part 903.7]

I. Annual Plan Type:

Standard Plan

Streamlined Plan:

- High Performing PHA**
- Small Agency (<250 Public Housing Units)**
- Administering Section 8 Only**
- Troubled Agency Plan**

II. Executive Summary of the Annual PHA Plan

The Housing Authority of the City of San Jose's Executive Summary is provided as Attachment A.

III. Annual Plan Table of Contents

Table of Contents Annual Plan

- A. Housing Authority of the City of San Jose Executive Summary
- B. Organizational Charts
- C. Resolution No. 03--- PHA Certification of Compliance with the PHA Plans and Related Regulations Board Resolution to Accompany the PHA Plan
- D. State/Local Government Certification of Consistency with the Consolidated Plan
- E. List of Consolidated Plans for the Jurisdictions of the Housing Authority of the City of San Jose
- F. Fiscal Year Ending 6/30/2002 Operating Budget for the Section 8 Program
- G. Table of Contents for the Section 8 Administrative Plan
- H. Housing Authority of the County of Santa Clara and City of San Jose Single Audit Year Ended June 30, 2001
- I.
 - 1. Procurement Policy for Equipment, Materials and Supplies,
 - 2. Procurement Policy for Professional Services
 - 3. Disposition Policy
 - 4. Protests and Appeals Policy
 - 5. Investment Policy and Guidelines
- J. Housing Needs of Families in the Housing Authority's Jurisdictions
- K. Programs Administered at the Housing Authority of the City of San Jose
- L. Resident Advisory Board Meetings and Public Comments

Required Attachments:

- Admissions Policy for Deconcentration
- FY 2002 Capital Fund Program Annual Statement
- Most recent board-approved operating budget (Required Attachment for PHA's that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- PHA Management Organizational Chart
- FY 2002 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- Other (List below, providing each attachment name)

(i) List of Supporting Documents Available for Review		
Applicable & On Display	(b) Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
	Fair Housing Documentation:	5 Year and Annual Plans

(i) List of Supporting Documents Available for Review		
Applicable & On Display	(b) Supporting Document	Applicable Plan Component
X	Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
N/A	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant	Annual Plan: Capital Needs

(i) List of Supporting Documents Available for Review		
Applicable & On Display	(b) Supporting Document	Applicable Plan Component
	Program Annual Statement (HUD 52837) for the active grant year	
N/A	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
X	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
N/A	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
N/A	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
N/A	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
N/A	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
N/A	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
N/A	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
SEE TABLE OF CONTENT	Addendum for Project Based Units Addendum for Homeownership	Annual Plan:

1. Statement of Housing Needs

Housing needs will be addressed through attrition, application for new funding and building new affordable housing units.

The Section 8 program has approximately 600 turnovers per year. Public Housing has approximately 57 turnovers per year.

Over the past 10 years the Housing Authority of the City of San Jose has developed over 2,200 units of affordable housing. Also the purchase and rehabilitation of available buildings that are suitable for low income tenants is a goal. Additionally, the Housing Authority of the City of San Jose will make every effort to preserve existing affordable housing through purchase or partnerships with non-profits.

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supp-ly	Quality	Access-ibility	1)	Loca-tion
Income =0 to 50% of AMI	69,986					2)	
Income <= 30% of AMI	37,872	5	5	4	3	4	4
Income >30% but <=50% of AMI	32,114	5	5	4	3	4	4
Income >50% but <80% of AMI	24,536	5	5	4	3	4	4
Moderate Income 81 to 95% of AMI	22,225						
Elderly	23,002	5	5	4	4	2	4
Families with Disabilities	N/A	N/A	N/A	N/A	N/A	N/A	N/A
White	157,859	5	5	4	3	3	4
Hispanic	33,451	5	5	4	3	4	4
Black	8,204	5	5	4	3	3	4
Other	19,971	5	5	4	3	3	4

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction/s
Indicate year: 2000-2005
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)

B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

Housing Needs of Families on the Waiting List			
Waiting list type: (select one) <input checked="" type="checkbox"/> Section 8 tenant-based assistance <input type="checkbox"/> Public Housing <input type="checkbox"/> Combined Section 8 and Public Housing <input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/subjurisdiction:			
Waiting list total	9,361		
Extremely low income <=30% AMI	8,205	88%	
Very low income (>30% but <=50% AMI)	1,108	12%	
Low income (>50% but <80% AMI)	48	1%	
Families with children	6,842	73%	
Elderly families	796	9%	
Families with Disabilities	1,372	15%	
Race-White	5,271	56%	
Race-Black	1,762	19%	
Race American Indian	262	3%	
Race-Asian	1,998	21%	
Ethnicity – Hispanic	3,718	40%	
Ethnicity-Non-Hispanic	5,575	60%	
Characteristics by Bedroom Size (Public Housing Only)			

Housing Needs of Families on the Waiting List			
1BR	2,108	2117	
2 BR	2,380	2357	
3 BR	2,312	2274	
4 BR	N/A		
5 BR	N/A		
5+ BR	N/A		
Is the waiting list closed (select one)? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes If yes: How long has it been closed (# of months)? 48 MONTHS Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			

Waiting list type: (select one) <input type="checkbox"/> Section 8 tenant-based assistance <input checked="" type="checkbox"/> Public Housing - SUNSET GARDENS <input type="checkbox"/> Combined Section 8 and Public Housing <input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/sub-jurisdiction:			
Housing needs of families on the wait list			
	# of families	% of total families	Annual Turnover
Waiting list total	670		
Extremely low income <=30% AMI	429		
Very low income (>30% but <=50% AMI)	241		
Low income (>50% but <80% AMI)	0		
Families with children	0		
Elderly families	351		
Families with Disabilities	319		
Hispanic	245		
White	260		
Asian	141		
Black	24		
Characteristics by Bedroom Size (Public			

Housing Only)			
1 BR	670		
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

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

Waiting list type: (select one)
 Section 8 tenant-based assistance
 Public Housing - CYPRESS GARDENS
 Combined Section 8 and Public Housing
 Public Housing Site-Based or sub-jurisdictional waiting list (optional)
If used, identify which development/sub-jurisdiction:

Housing needs of families on the wait list			
	# of families	% of total families	Annual Turnover
Waiting list total	197		
Extremely low income <=30% AMI	197		
Very low income (>30% but <=50% AMI)	0		
Low income (>50% but <80% AMI)	0		
Families with children	0		
Elderly families	145		
Families with Disabilities	52		
Hispanic	17		
White	82		
Asian	90		
Black	8		
Characteristics by Bedroom Size (Public Housing Only)			
1 BR	197		
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

Is the waiting list closed (select one)? No Yes
If yes:
ii) How long has it been closed (# of months)? **36 MONTHS**
Does the PHA expect to reopen the list in the PHA Plan year? No Yes
Does the PHA permit specific categories of families onto the waiting list, even if generally closed?
 No Yes

Waiting list type: (select one)

Section 8 tenant-based assistance

Public Housing FAMILY

Combined Section 8 and Public Housing

Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/sub-jurisdiction:

Housing needs of families on the wait list

	# of families	% of total families	Annual Turnover
Waiting list total	837		
Extremely low income <=30% AMI	799		
Very low income (>30% but <=50% AMI)	38		
Low income (>50% but <80% AMI)	0		
Families with children	83		
Elderly families	742		
Families with Disabilities	74		
Hispanic	358		
White	96		
Asian	286		
Black	97		
Characteristics by Bedroom Size (Public Housing Only)			
1 BR	118		
2 BR	337		
3 BR	382		
4 BR	0		
5 BR	0		
5+ BR	0		

Is the waiting list closed (select one)? No Yes

If yes:

 iii) How long has it been closed (# of months)? **36 MONTHS**

Does the PHA expect to reopen the list in the PHA Plan year? No Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed?

No Yes

Waiting list type: (select one)

Section 8 tenant-based assistance

Public Housing –LENZEN GARDENS

Combined Section 8 and Public Housing

Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/sub-jurisdiction:

Housing needs of families on the wait list

	# of families	% of total families	Annual Turnover
Waiting list total	150		
Extremely low income <=30% AMI	149		

Very low income (>30% but <=50% AMI)	1		
Low income (>50% but <80% AMI)	0		
Families with children	0		
Elderly families	106		
Families with Disabilities	44		
Hispanic	24		
White	35		
Asian	89		
Black	2		
Characteristics by Bedroom Size (Public Housing Only)			
1 BR	84		
2 BR	66		
3 BR			
4 BR			
5 BR			
5+ BR			

Is the waiting list closed (select one)? No Yes

If yes:

iv) How long has it been closed (# of months)? **36 MONTHS**

Does the PHA expect to reopen the list in the PHA Plan year? No Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed?
 No Yes

Waiting list type: (select one)

Section 8 tenant-based assistance

Public Housing - RINCON

Combined Section 8 and Public Housing

Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/sub-jurisdiction:

Housing needs of families on the wait list

	# of families	% of total families	Annual Turnover
Waiting list total	369		
Extremely low income <=30% AMI	339		
Very low income (>30% but <=50% AMI)	30		
Low income (>50% but <80% AMI)	0		
Families with children	0		
Elderly families	277		
Families with Disabilities	92		
Hispanic	46		
White	97		
Asian	201		
Black	25		
Characteristics by Bedroom Size (Public Housing Only)			
1 BR	269		
2 BR			

3 BR			
4 BR			
5 BR			
5+ BR			

Is the waiting list closed (select one)? No Yes

If yes:

v) How long has it been closed (# of months)? **36 MONTHS**

Does the PHA expect to reopen the list in the PHA Plan year? No Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed?

No Yes

C. Strategy for Addressing Needs

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other

Project based up to 20% of the total allocation for the County

Strategy 2: Increase the number of affordable housing units by:

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Section 8 tenant-based assistance: Schwab Foundation, Low Income Housing Tax Credits, and Office of Migrant Services, see the Agency's website http://hacsc/financing_practices.htm
- Other: (list below)

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- Employ admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below)

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other: (list below)

(c) Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other: (list below) Agency website <http://hacsc/>

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- Other: (list below) Agency website <http://hacsc/>

Strategy 2: Conduct activities to affirmatively further fair housing

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- Market the section 8 program to owners outside of areas of poverty /minority concentrations
- Other: **Provide ongoing staff training conducted by fair housing agencies; the Housing Authority’s website refers to HUD’s link <http://www.hud.gov/fairhsg1.html>.**

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA’s selection of the strategies it will pursue:

- Funding constraints
- Staffing constraints
- Limited availability of sites for assisted housing
- Extent to which particular housing needs are met by other organizations in the community
- Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- Influence of the housing market on PHA programs
- Community priorities regarding housing assistance
- Results of consultation with local or state government
- Results of consultation with residents and the Resident Advisory Board
- Results of consultation with advocacy groups
- Other: (list below)

Statement of Financial Resources

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2003 grants)		
a) Public Housing Operating Fund	871,835	
b) Public Housing Capital Fund	1,060,748	
c) HOPE VI Revitalization	N/A	
d) HOPE VI Demolition	N/A	

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
e) Annual Contributions for Section 8 Tenant-Based Assistance	121,884,470	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	N/A	
g) Resident Opportunity and Self-Sufficiency Grants	N/A	
h) Community Development Block Grant	N/A	
i) HOME	N/A	
Welfare to Work Grant (section 8)		Include in 1.e above
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income	1,645,792	Public Housing Programs Ops.
4. Other income (list below)		
Washer/Dryer Revenue	9,484	Public Housing Programs Ops.
4. Non-federal sources (list below)		
Public Housing Investments Income	25,000	Public Housing Programs Ops.
Sec. 8 Admin Fee Investment Income	76,725	Section 8 program operations
Total resources	125,574,054	We specifically reserve the right to change this financial resources statement based on later better information.

3. PHA Policies Governing Eligibility, Selection, and Admissions

A. Public Housing

(1) Eligibility

- a. When does the PHA verify eligibility for admission to public housing? (Select all that apply)

- When families are within a certain number of being offered a unit: (state number)
- When families are within a certain time of being offered a unit: (state time)
- Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- Criminal or Drug-related activity
- Rental history
- Housekeeping
- Other: **Screen public records for criminal activity**

c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- Community-wide list
- Sub-jurisdictional lists
- Site-based waiting lists
- Other (describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office
- PHA development site management office
- Other

Persons interested in placing their name on the waiting list are given an opportunity to complete an interest list form by calling or going to the Housing Authority's main office or any of its housing complexes. A public notice will be placed in the local newspapers, minority publications, local agencies, the agency website (http://hacsc.org/interest_lists.htm) and media entities when any public housing waiting list reopens. Any person asking to be placed on a waiting list for rental assistance will be given the opportunity to complete an interest list form. When the interest list form is submitted to the Housing Authority the family's date and time of application for placement order on that property's waiting list is established.

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection

(3) Assignment

1. How many site-based waiting lists will the PHA operate in the coming year?5
2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists? 1
3. Yes No: Many families may be on more than one list simultaneously?
If yes, how many lists? 5
4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?
 - PHA main administrative office
 - All PHA development management offices
 - Management offices at developments with site-based waiting lists
 - At the development to which they would like to apply
 - Other (list below) The Housing Authority's website
http://hacsc/interest_lists.htm

(3) Assignment

- a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list?
 - One
 - Two
 - Three or More
- b. Yes No: Is this policy consistent across all waiting list types?
- c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

- a. Income targeting:
 - Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?
- b. Transfer policies:
In what circumstances will transfers take precedence over new admissions? (list below)
 - Emergencies
 - Overhoused
 - Underhoused
 - Medical justification
 - Administrative reasons determined by the PHA (e.g., to permit modernization work)

- Resident choice: (state circumstances below)
- Other: (list below)

c. Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection

(5) Occupancy)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences:

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

1 Date and Time

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences:

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s)

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers
- Not applicable: **The pool of applicant families ensures that the PHA will meet income-targeting requirements.**

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing

- The PHA-resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source

b. How often must residents notify the PHA of changes in family composition?

- At an annual reexamination and lease renewal
- Any time family composition changes
- At family request for revision
- Other

(6) Deconcentration and Income Mixing

a. Yes No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. Yes No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

- Adoption of site-based waiting lists
If selected, list targeted developments below
- Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments

If selected, list targeted developments below: **Miramar Way Apartments, Deborah Drive Apartments, Eklund Gardens I, Eklund Gardens 2, Julian Gardens and Lucretia Gardens**

Employing new admission preferences at targeted developments
If selected, list targeted developments below:

Other (list policies and developments targeted below)

d. Yes No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to D was yes, how would you describe these changes?

- Additional affirmative marketing
 Actions to improve the marketability of certain developments
 Adoption or adjustment of ceiling rents for certain developments
 Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
 Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families?

- Not applicable: results of analysis did not indicate a need for such efforts
 List (any applicable) developments below:

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families?

- Not applicable: results of analysis did not indicate a need for such efforts
 List (any applicable) developments below: **Deborah Drive Apartments, Miramar Way Apartments, Eklund Gardens 1 and Eklund Gardens 2**

B. Section 8

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

- Criminal or drug-related activity only to the extent required by law or regulation
 Criminal and drug-related activity, more extensively than required by law or regulation
 More general screening than criminal and drug-related activity (list factors below)
 Other (list below)

b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

- c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
- e. Indicate what kinds of information you share with prospective property owners?
- Criminal or drug-related activity
- Other (describe below)

(2) Waiting List Organization

- a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)
- None
- Federal public housing
- Federal moderate rehabilitation
- Federal project-based certificate program
- Other federal or local program (list below)

- b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)
- PHA main administrative office
- Other

The list is currently closed. When the list reopens the Housing Authority will advertise through public notice in the newspaper, minority publications, local agencies, our website http://hacsc/section_8_wait_list.htm, and media entities. When the waiting list is open, any family asking to be placed on the waiting list for Section 8 Rental Assistance will be given the opportunity to complete an interest list form. When the interest list form is submitted to the Housing Authority it establishes the family's date and time of registration for the placement order on the waiting list. If the current wait list is exhausted for set aside programs such as W2W, the wait list may be opened to families who meet the specific criteria.

(3) Search Time

- a. Yes No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

Due to lack of affordable housing we routinely give 120 days for search. We sill extend beyond 120 days based on accommodation for special needs, verified medical issues and other extenuating circumstances demonstrating the need for more time and the reason housing was not located during 120 days.

(4) Admissions Preferences

a. Income targeting

- Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

b. Preferences

1. Yes No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent (5) **Special purpose section 8 assistance programs**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition) **Limited to 100 vouchers**
- Victims of domestic violence
- Substandard housing
- Homelessness – *Attachment W*
- High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s)
Family Unification Program, Project Based, Welfare to Work, and Moderate Rehabilitation.

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences

1. Involuntary Displacement (Disaster, Government Action, Action of Housing
2. Owner, Inaccessibility, Property Disposition)

3. Victims of domestic violence
4. Substandard housing
5. Homelessness
6. High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s)

Project Based, Project Mainstream, W2W, FUP, Homelessness

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- Date and time of application
- Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction” **N/A**

- This preference has previously been reviewed and approved by HUD
- The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: **N/A**

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- The Section 8 Administrative Plan
- Briefing sessions and written materials
- Other (list below) The Housing Authority's website
http://hacsc/section_8_wait_list.htm

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- Through published notices

Other (list below)

4. PHA Rent Determination Policies

A. Public Housing

(1) Income Based Rent Policies

a. Use of discretionary policies:

The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent?

- \$0
 \$1-\$25
 \$26-\$50

2. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1. Yes No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

- For the earned income of a previously unemployed household member
 For increases in earned income
 Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:

- For household heads
- For other family members
- For transportation expenses
- For the non-reimbursed medical expenses of non-disabled or non-elderly families
- Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income)
(select one)

- Yes for all developments
- Yes but only for some developments
- No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- For all developments
- For all general occupancy developments (not elderly or disabled or elderly only)
- For specified general occupancy developments
- For certain parts of developments; e.g., the high-rise portion
- For certain size units; e.g., larger bedroom sizes
- Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- Market comparability study
- Fair market rents (FMR)
- 95th percentile rents
- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The "rental value" of the unit
- Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent?

- Never
- At family option

- Any time the family experiences an income increase
- Any time a family experiences an income increase above a threshold amount or percentage: **\$40.00 a month**
- Other

g. Yes No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability?

- The section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood
- Other (list/describe below)
The Fiscal Year 2002 Fair Market Rents based on the 40th percentile, which the U.S Department of Housing and Urban Development published

B. Section 8 Tenant-Based Assistance

(1) Payment Standards

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other: The Housing Authority's payment standard is currently at 90% of the FMR.

d. How often are payment standards reevaluated for adequacy? (select one)

- Annually
 Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- Success rates of assisted families
 Rent burdens of assisted families
 Other (list below)
Rental data comparability studies

(2) Minimum Rent

a. What amount best reflects the PHA’s minimum rent? (select one)

- \$0
 \$1-\$25
 \$26-\$50

b. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

5. Operations and Management

A. PHA Management Structure

- An organization chart showing the PHA’s management structure and organization is attached.
 A brief description of the management structure and organization of the PHA follows:

B. HUD Programs Under PHA Management

Program Name	Units or Families Served at Year Beginning 7/01/02	Expected Turnover
Public Housing	555	55
Section 8 Vouchers	10179	720
Section 8 Mod Rehab	207	20
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)	N/A	

Other Federal Programs(list individually)		
Project Based Section 8	49	
Welfare to Work	1003	15
Shelter Plus Care	102	

C. Management and Maintenance Policies

(1) Public Housing Maintenance and Management: (list below)

- **Property Management Policies and Procedures Manual**
- **Public Housing Admissions and Continued Occupancy Plan**

(2) Section 8 Management: (list below)

- **Section 8 Administrative Plan**

6. PHA Grievance Procedures

A. Public Housing

1. Yes No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- PHA main administrative office
- PHA development management offices
- Other (list below)

B. Section 8 Tenant-Based Assistance

1. Yes No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office
 Other (list below)

7. Capital Improvement Needs

A. Capital Fund Activities

(1) Capital Fund Program Annual Statement

Select one:

- The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name) **Attachment J**

-or-

- The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

(2) Optional 5-Year Action Plan

- a. Yes No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

- The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name) **Attachment K**

-or-

- The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

- Yes No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- Revitalization Plan under development
 Revitalization Plan submitted, pending approval

- Revitalization Plan approved
- Activities pursuant to an approved Revitalization Plan underway

Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
If yes, list development name/s below:

Yes No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?
If yes, list developments or activities below:

Yes No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?
If yes, list developments or activities below:

8. Demolition and Disposition

1. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

2. Activity Description

Yes No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

Demolition/Disposition Activity Description
1a. Development name:
1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. Number of units affected:
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

7. Timeline for activity:
- Actual or projected start date of activity:
 - Projected end date of activity:

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

1. Yes No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description
 Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

Designation of Public Housing Activity Description
1a. Development name:
1b. Development (project) number:
2. Designation type: Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA’s Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected:
7. Coverage of action (select one)

- Part of the development
 Total development

10. Conversion of Public Housing to Tenant-Based Assistance

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. Yes No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

- Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

Conversion of Public Housing Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. What is the status of the required assessment?	<input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)	
4. Status of Conversion Plan (select the statement that best describes the current status)	<input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)	<input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent

<input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)
--

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937

11. Homeownership Programs Administered by the PHA

A. Public Housing

1. Yes No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

Public Housing Homeownership Activity Description (Complete one for each development affected)
1a. Development name:
1b. Development (project) number:
2. Federal Program authority:
<input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one)
<input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)
5. Number of units affected:

6. Coverage of action: (select one)

Part of the development

Total development

B. Section 8 Tenant Based Assistance

1. Yes No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program **From 5-100 depending on resources, market and participation by families and lenders**

Yes No: Will the PHA limit the number of families participating in the Section 8 homeownership option ? **Minimum goal of 5 to a maximum of 100**

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

25 or fewer participants

26 - 50 participants

51 to 100 participants

more than 100 participants

b. PHA-established eligibility criteria

Yes No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria? If yes, list criteria below:

- **Family Self-Sufficiency participant or graduate**
- **Persons with disabilities who are not part of the FSS program.**

12. PHA Community Service and Self-sufficiency Programs

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

Yes No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? **04/23/99**

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- Client referrals
- Information sharing regarding mutual clients (for rent determinations and otherwise)
- Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- Jointly administer programs
- Partner to administer a HUD Welfare-to-Work voucher program
- Joint administration of other demonstration program
- Other (describe)

Using CalWorks Incentive Funds, create a Landlord Outreach Program;

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- Public housing rent determination policies
- Public housing admissions policies
- Section 8 admissions policies
- Preference in admission to section 8 for certain public housing families
- Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- Preference/eligibility for public housing homeownership option participation
- Preference/eligibility for section 8 homeownership option participation
- Other policies (list below)

b. Economic and Social self-sufficiency programs

- Yes No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following table; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or

		selection/specific criteria/other)		both)
<i>Tenant Scholarships</i>	30+	<i>Application</i>	<i>Main Office</i>	<i>Both</i>
Work Force Investment Act Mandatory Partner		Other	Information regarding job training will be shared with tenants and residents main office sites	Both
Partnership w/ CalWorks/SSA	1066+80+ 100 = 1246 total	Ongoing	Community Services	Section8
Technology Training (Senior Public Housing Residents)	60	Application	Resident Programs Coordinator, Senior Public Housing Complexes	Public Housing

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2003 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing	37	4
Section 8	400	296

b. Yes No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?

If no, list steps the PHA will take below:

Housing Authority will seek additional FSS Coordinator Funds when HUD NOFA is announced.

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

As of Jan. 1, 2002, public housing residents are not required to perform community service in adherence to section 12 of the United States Housing Act of 1937.

13. PHA Safety and Crime Prevention Measures

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other (describe below)

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- Other (describe below)

3. Which developments are most affected?

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake:

- Contracting with outside and/or resident organizations for the provision of crime-and/or drug-prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program

Other (describe below)

2. Which developments are most affected?

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- Other activities (list below)

2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

- Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment. (Attachment Filename: ____)

14. RESERVED FOR PET POLICY

HUD published the Final Pet Rule per the directions of QWHRA. Changes were made to Chapter 10 of the Housing Authority of the County of Santa Clara's Public Housing Admissions and Continued Occupancy Plan to reflect the rule which became effective August 9, 2000. Chapter 10 explains the Housing Authority's policies on the keeping of pets and any criteria or standards pertaining to the policy. The purpose of this policy is to establish procedures in accordance with the Final Rule for the ownership of pets in elderly and disabled units and to ensure that no applicant or resident is discriminated against regarding admission or continued occupancy because of ownership of pets. It also establishes rules governing the keeping of common household pets.

15. Civil Rights Certifications

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

1. Yes No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
(If no, skip to component 17.)
2. Yes No: Was the most recent fiscal audit submitted to HUD?
3. Yes No: Were there any findings as the result of that audit?
4. Yes No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____
5. Yes No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)? **N/A**

17. PHA Asset Management

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)
 Not applicable
 Private management
 Development-based accounting
 Comprehensive stock assessment
 Other: (list below)
3. Yes No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
 Attached at Attachment (File name) **Attachment P**
 Provided below:
3. In what manner did the PHA address those comments? (select all that apply)

- Considered comments, but determined that no changes to the PHA Plan were necessary.
- The PHA changed portions of the PHA Plan in response to comments
List changes below:
- Other: (list below)

B. Description of Election process for Residents on the PHA Board

1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- Candidates were nominated by resident and assisted family organizations
- Candidates could be nominated by any adult recipient of PHA assistance
- Self-nomination: Candidates registered with the PHA and requested a place on ballot
- Other: **Appointed by Santa Clara County Board of Supervisors**

b. Eligible candidates: (select one)

- Any recipient of PHA assistance
- Any head of household receiving PHA assistance
- Any adult recipient of PHA assistance
- Any adult member of a resident or assisted family organization
- Other :

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- Representatives of all PHA resident and assisted family organizations
- Other: **Appointed by Santa Clara County Board of Supervisors**

B. Statement of Consistency with the Consolidated Plan

1. Consolidated Plan jurisdiction: **City of San Jose, Housing Department, 2000 - 2005 Consolidated Plan, 2002 Update**
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of Sunnyvale, Consolidated Plan, 2000 - 2005**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

D. Other Information Required by HUD

Executive Summary

Housing Authority of the City of San Jose

The Housing Authority of the City of San Jose has prepared its Agency Plan in compliance with both Section 511 of the *Quality Housing and Work Responsibility Act (QHWRA) of 1998* and the ensuing requirements of the U.S. Department of Housing and Urban Development. The original 5 year plan was approved in 1999. This is year 5 of the plan.

The Housing Authority of the City of San Jose has adopted the following mission statement to guide its activities:

The mission of the Housing Authority of the City of San Jose is to improve the lives of low-income families, persons with disabilities and seniors in Santa Clara County by providing affordable, high-quality housing.

Our philosophy, goals and professional commitment is dedicated toward fulfilling this mission.

Over the next five years the Housing Authority of the City of San Jose will have pursued the following primary goals:

- **Increase the availability of decent, safe and affordable housing by improving the quantity, quality, and variety of housing choices in the community;**
- **Improve the community quality of life and economic vitality by participating in work force investment activities, by increasing income levels for 30% of clients and by utilizing the voucher program for homeownership;**
- **Promote self-sufficiency and asset development of families and individuals by supporting the Family Self-Sufficiency Program, by linking TANF recipients to CalWORKS and other appropriate programs and by increasing the number of families served by the agency's existing educational scholarship fund;**
- **Take affirmative measures to ensure Equal Opportunity in Housing for all families living in assisted housing regardless of race, color, religion, national origin, sex, familial status and disability.**

The Annual Plan of the Housing Authority of the City of San Jose is based on the premise that accomplishing the above five-year goals will move the Housing Authority in a direction consistent with its mission. The policies, procedures, plans and budgets set forth in the Annual Plan all support and promote the accomplishment of the stated goals and objectives. Both the Agency Plan and the Annual Plan outline a comprehensive approach to meeting these goals and objectives, and they are consistent with the Consolidated Plans of the County of Santa Clara and City of Sunnyvale.

A Resident Advisory Council has thoroughly reviewed both the Five-Year Plan and the Annual Plan. This representative group met and discussed the plans on three separate occasions. Their comments have been summarized and are included in the documents.

The Housing Authority of the County of Santa Clara has implemented project based assistance for 71 families during the past fiscal year. A total of 200 were approved last year. We intend to publish a notice of funding availability for new construction for 150 units within the County of Santa Clara.

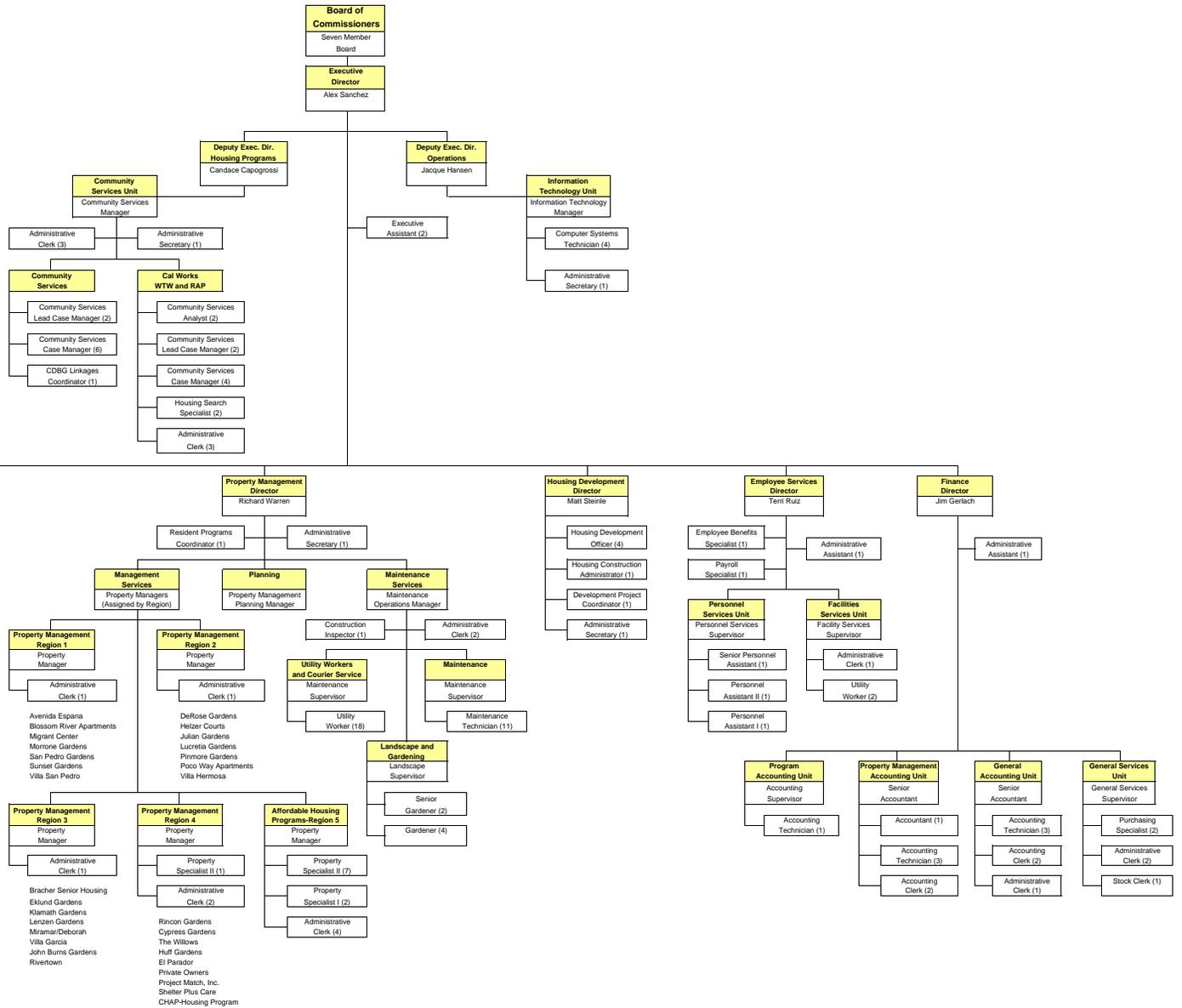
The Housing Authority of the County of Santa Clara plans to investigate the possibility of a voluntary conversion of a 200 unit public housing property to the Section 8 program.

Finally, limited Section 8 preference for special needs populations will be established.

PHA Annual and Five Year Plan
Submission CA059/056 2003
Section: A

HOUSING AUTHORITY OF THE CITY OF SAN JOSE

AGENCY ORGANIZATIONAL CHART



List of Consolidated Plans for the Jurisdictions of The Housing Authority of the City of San Jose

The Housing Authority of the City of San Jose has ensured consistency of its plan with the Consolidated Plans for the following jurisdictions:

City of San Jose
Housing Department
2000 - 2005 Consolidated Plan

City of Sunnyvale
Consolidated Plan
2000 - 2005

OPERATING BUDGET FOR SECTION 8 PROGRAM - CITY OF SAN JOSE

FOR THE FISCAL YEAR ENDING JUNE 30, 2002

Revenue:

Operating Revenue:

HUD Administrative Fees

\$4,383,967

Interest Income

10,021

Total Operating Income

\$4,393,988

Operating Expenditures:

Administrative Salaries and Benefits

\$3,473,706

Other Administrative Expenses

665,215

Utilities

57,027

Maintenance & Operations

80,720

Tenant Services

2,031

General Expenses

95,907

Total Operating Expenditures

4,374,606

Operating Surplus

\$19,382

COUNTY-2002

OPERATING BUDGET FOR COUNTY OF SANTA CLARA
 (NOT INCLUDING SECTION 8 OPERATING BUDGET FOR THE CITY OF SAN JOSE)
 FOR THE FISCAL YEAR ENDING JUNE 30, 2002

Revenue:

Operating Revenue:

HUD Administrative Fees	\$6,636,619
Conventional Low Rent Subsidy	695,000
Dwelling Rental Income	1,677,612
Maintenance Contracts	1,649,412
Management Fees	2,671,594
Project Management & Development Fees	565,936
Cost Allocation Use Charge	895,286
Rincon Meal Program	294,624
Interest Income	202,243
Other Income	275,288

Total Operating Income	275,288	\$15,563,614
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Operating Expenditures:

Administrative Salaries and Benefits	\$8,358,391
Other Administrative Expenses	2,013,530
Utilities	631,723
Maintenance & Operations	3,472,856
Tenant Services	314,802
General Expenses	450,565

Total Operating Expenditures	450,565	15,241,867
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Operating Surplus		\$321,747
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OPERATING BUDGET FOR SECTION 8 PROGRAM - CITY OF SAN JOSE FOR THE FISCAL YEAR ENDING JUNE 30, 2003

Revenue:

Operating Revenue:

HUD Administrative Fees	\$5,180,445
Cost Allocation Use Charge	69,565
Interest Income	<u>56,498</u>

Total Operating Income	\$5,306,508
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Operating Expenditures:

Administrative Salaries and Benefits	\$2,829,210
Other Administrative Expenses	506,823
Utilities	6,476
Maintenance & Operations	4,339
Tenant Services	4,860
General Expenses	21,460
Indirect Charges	<u>1,671,243</u>

Total Operating Expenditures	<u>5,044,411</u>
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Operating Surplus	<u><u>\$262,097</u></u>
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OPERATING BUDGET FOR COUNTY OF SANTA CLARA (NOT INCLUDING SECTION 8 OPERATING BUDGET FOR THE CITY OF SAN JOSE) FOR THE FISCAL YEAR ENDING JUNE 30, 2003
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Revenue:

Operating Revenue:

HUD Administrative Fees	\$8,422,949
Conventional Low Rent Subsidy	871,835
Dwelling Rental Income	1,645,792
Maintenance Contracts	2,048,416
Management Fees	2,691,219
State Office of Migrant Services	376,802
Project Management & Development Fees	1,352,986
Cost Allocation Use Charge	530,903
Rincon Meal Program	295,000
Interest Income	162,002
Allocated Salaries	918,788
Grants and Capital Fund	3,190,748
Other Income	384,564

Total Operating Income

\$22,892,004

Operating Expenditures:

Administrative Salaries and Benefits	\$8,633,532
Other Administrative Expenses	1,015,577
Utilities	493,741
Maintenance & Operations	3,215,697
Tenant Services	405,527
General Expenses	193,950
Grants and Capital Fund	2,978,598
Indirect Charges	5,252,457

Total Operating Expenditures

22,189,079

Operating Surplus

\$702,925

**HOUSING AUTHORITY OF THE CITY OF SAN JOSE
ADMINISTRATIVE PLAN**

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STATEMENT OF PROCUREMENT POLICY

Established for the Housing Authority of the City of San Jose by Board action on November 19, 1996. This Statement of Procurement Policy complies with Housing and Urban Development Annual Contributions Contract (ACC), HUD Handbook 7460.8, "Procurement Handbook for Public Housing Agencies," and the procurement standards of 24 CFR 85.36.

I. GENERAL PROVISIONS

A. PURPOSE

The purpose of this Statement of Procurement Policy is to provide for the fair and equitable treatment of all persons or firms involved in purchasing by the Housing Authority of the City of San Jose; assure that supplies, services, and construction are procured efficiently, effectively, and at the most favorable prices available to the Housing Authority of the City of San Jose; promote competition in contracting; provide safeguards for maintaining a procurement system of quality and integrity; and assure that the Housing Authority of the City of San Jose purchasing actions are in full compliance with applicable Federal standards, HUD regulations, and State and local laws.

B. APPLICATION

This Statement of Procurement Policy applies to all contracts for the procurement of supplies, services, and construction entered into by the Housing Authority of the City of San Jose after the effective date of this Statement. It shall apply to every expenditure of funds by the Housing Authority of the City of San Jose for public purchasing, irrespective of the source of funds, including contracts which do not involve an obligation of funds (such as concession contracts); however, nothing in this statement shall prevent the Housing Authority of the City of San Jose from complying with the terms and conditions of any grant, contract, gift or bequest that is otherwise consistent with law. The term "procurement," as used in this Statement, includes both contracts and modifications (including change orders) for construction or services, as well as purchase, lease, or rental of supplies and equipment.

C. PUBLIC ACCESS TO PROCUREMENT INFORMATION

Procurement information shall be a matter of public record to the extent provided by law.

II. PROCUREMENT AUTHORITY AND ADMINISTRATION

- A. All procurement transactions shall be administered by the Contracting Officer, who shall be the Executive Director or another individual he or she has authorized in writing. The Executive Director shall issue operational procedures to implement this Policy.
1. The Executive Director or his/her designee shall ensure that:
 - a) procurement requirements are subject to an annual planning process to assure efficient and economical purchasing;
 - b) contracts and modifications are in writing, clearly specifying the desired supplies, services, or construction, and are supported by sufficient documentation regarding the history of the procurement, including as a minimum the method of procurement chosen, the selection of the contract type, the rationale for selecting or rejecting offers, and the basis for the contract price;
 - c) for procurements other than small purchases, public notice is given of each upcoming procurement at least 10 calendar days before a solicitation is issued; responses to such notice are honored to the maximum extent practical; a minimum of 15 calendar days is provided for preparation and submission of bids or proposals; and notice of contract, awards is made available to the public;
 - d) an independent cost estimate is prepared before solicitation issuance and is appropriately safeguarded for each procurement above the small purchase limitation, and a cost or price analysis is conducted of the responses received for all procurements;
 - e) contract award is made to the responsive and responsible bidder offering the lowest price (for sealed bid contracts) or contract award is made to the offeror whose proposal offers the greatest value to the Housing Authority of the City of San Jose, considering price, technical and other factors as specified in the solicitation (for contracts awarded based on competitive proposals); unsuccessful firms are notified within ten days after contract award;
 - f) there are sufficient unencumbered funds available to cover the anticipated cost of each procurement before contract award or

modification (including change orders), work is inspected before payment, and payment is made promptly for contract work performed and accepted; and

- g) the Housing Authority of the City of San Jose complies with applicable HOD review requirements.

- B. Changes to this policy shall be submitted to the Board of Commissioners for approval.

III. PROCUREMENT METHODS

A. SELECTION OF METHOD

The Housing Authority of the City of San Jose will directly purchase the required items, one of the following procurement methods shall be chosen, based on the nature and anticipated dollar value of the total requirement.

B. SMALL PURCHASE PROCEDURES

1. **General** - Any contract not exceeding \$100,000 may be made in accordance with the small purchase procedures authorized in this section. Contract requirements shall not be artificially divided so as to constitute a small purchase under this section (except as may be reasonably necessary to comply with Section VIII of this Statement).
2. **For small Purchases over \$25,000 and less than \$100,000**, no less than three offerors shall be solicited to submit price quotations, which may be obtained orally, by telephone. or in writing, allowed by State or local laws. Award shall be made to the offeror providing the lowest acceptable quotation, unless justified in writing based on price and other specified factors, such as for architect-engineer contracts. If non-price factors are used, they shall be disclosed to all those solicited. The names addresses and/or telephone numbers of the offerors and persons contacted, and the date and amount of each quotation shall be recorded and maintained as a public record.
3. **For small purchases below \$25,000**, only one quotation need be solicited if the price received is considered reasonable. Such purchases must be distributed equitably among qualified sources. If practicable, a quotation shall be solicited from other than the previous source before placing a repeat order.

4. **Petty Cash Purchases** - Small purchases under Fifty Dollars [\$50.00] which can be satisfied by local sources may be processed through the use of a petty cash account.

C. **SEALED BIDS (NOT APPLICABLE TO PROFESSIONAL SERVICES CONTRACTS)**

1. **Conditions for Use** Contracts shall be awarded based on competitive sealed bidding if the following conditions are present: a complete, adequate, and realistic specification or purchase description is available; two or more responsible bidders are willing and able to compete effectively for the work; the procurement lends itself to a firm fixed price contract; and the selection of the successful bidder can be made principally on the basis of price. Sealed bidding is the preferred method for construction procurement. For procurements under the Comprehensive Grant Program (CGP), sealed bidding shall be used for all construction and equipment contracts exceeding the small purchase limitation.
2. **Solicitation and Receipt of Bids** - An invitation for bids shall be issued including specifications and all contractual terms and conditions applicable to the procurement, including a statement that award will be made to the lowest responsible and responsive bidder whose bid meets the requirements of the invitation for bids. The invitation for bids shall state the time and place for both the receipt of bids and the public bid opening. All bids received shall be time-stamped but not opened and shall be stored in a secure place until bid opening. A bidder may withdraw its bid at any time prior to bid opening.
3. **Bid Opening and Award** - Bids shall be opened publicly and in the presence of at least one witness. An abstract of bids shall be recorded and the bids shall be available for public inspection. Award shall be made as provided in the invitation for bids by written notice to the successful bidder. If equal low bids are received from responsible bidders, award shall be made by drawing lots or similar random method, unless otherwise stated in the invitation for bids. If only one responsive bid is received from a responsible bidder, award shall not be made unless a cost or price analysis verifies the reasonableness of the price.
4. **Mistakes in Bids**
 - a) Correction or withdrawal of inadvertently erroneous bids may be permitted, where appropriate, before bid opening by written or telegraphic notice received in the office designated

in the invitation for bids prior to the time set for bid opening. After bid opening, corrections in bids shall be permitted only if the bidder can show by clear and convincing evidence that a mistake of a nonjudgmental character was made, the nature of the mistake, and the bid price actually intended. A low bidder alleging a nonjudgmental mistake may be permitted to withdraw its bid, if the mistake is clearly evident on the face of the bid document but the intended bid is unclear or the bidder submits convincing evidence that a mistake was made.

- b) All decisions to allow correction or withdrawal of bid mistakes shall be supported by a written determination signed by the Contracting Officer. After bid opening, no changes in bid prices or provisions prejudicial to the interest of the Housing Authority of the City of San Jose or fair competition shall be permitted.

5. **Bonds** - In addition to the other requirements of this Policy, the following will apply:

- a) For construction contracts exceeding \$25,000, other than those specified in 5 (b) below, contractors shall be required to submit the following, unless otherwise required by State or local laws or regulations:
 - 1) a bid guarantee from each bidder equivalent to 5% of the bid price; and
 - 2) a performance bond for 100% of the contract price; and
 - 3) a payment bond for 100% of the contract price.

- b) In the case of construction of conventional development projects funded pursuant to the U .S. Housing Act of 1937. the contractor shall be required to submit the following, unless otherwise required by State or local laws or regulations:
 - 1) bid guarantee from each bidder equivalent to 5% of the bid price; and
 - 2) one of the following:
 - i. a performance and payment bond for 100% of the contract price; or
 - ii. a 20% cash escrow; or
 - iii. a 25% irrevocable letter of credit.

D. COMPETITIVE PROPOSALS

1. **Conditions for Use** Competitive proposals (including turnkey proposals for development) may be used if there is an adequate method of evaluating technical proposals and where the HACSC determines that conditions are not appropriate for the use of sealed bids. An adequate number of qualified sources shall be solicited.
2. **Solicitation** The request for proposals (RFP) shall clearly identify the relative importance of price and other evaluation factors and subfactors, including the weight given to each technical factor and subfactor.
3. **Negotiations** Unless there is no need for negotiations with any of the offerors, negotiations shall be conducted with offerors who submit proposals determined to have a reasonable chance of being selected for award, based on evaluation against the technical and price factors as specified in the RFP. Such offerors shall be accorded fair and equal treatment with respect to any opportunity for negotiation and revision of proposals. The purpose of negotiations shall be to seek clarification with regard to and advise offerors of the deficiencies in both the technical and price aspects of their proposals so as to assure full understanding of and conformance to the solicitation requirements. **No offeror shall be provided information about any other offeror's proposal, and no offeror shall be assisted in bringing its proposal up to the level of any other proposal.** Offerors shall not be directed to reduce their proposed prices to a specific amount in order to be considered for award. A common deadline shall be established for receipt of proposal revisions based on negotiations.
4. **Award.** After evaluation of proposal revisions, if any, the contract shall be awarded to the responsible firm whose qualifications, price and other factors considered, are the most advantageous to the HACSC.
5. **Architect/Engineer Services** Architect/engineer services in the excess of the small purchase limitation may be obtained by either the competitive proposals method or qualifications-based selection procedures. Sealed bidding shall not be used to obtain architect/engineer services. Under qualifications-based selection procedures,

competitors' qualifications are evaluated and the most qualified competitor is selected, subject to the negotiation of fair and reasonable compensation. Price is not used as a selection factor under this method. Qualifications-based selection procedures shall not be used to purchase other types of services even though architect/engineer firms are potential sources.

E. NONCOMPETITIVE PROPOSALS

- 1. Conditions for use** Procurements shall be conducted competitively to the maximum extent possible. Procurement by noncompetitive proposals may be used only when the award of a contract is not feasible using small purchase procedures, sealed bids, or competitive proposals, and one of the following applies:
 - a) The item is available only from a single source, based on a, good faith review of available sources;
 - b) An emergency exists that seriously threatens the public health, welfare, or safety, or endangers property, or would otherwise cause serious injury to the HACSC, as may arise by reason of a flood, earthquake, epidemic, riot, equipment failure, or similar event In such cases, there must be an immediate and serious need for supplies, services, or construction such that the need cannot be met through any other procurement methods, and the emergency procurement shall be limited to those supplies, services, or construction necessary to meet the emergency;
 - c) HUD authorizes the use of noncompetitive proposals; or
 - d) After solicitation of a number of sources, competition is determined inadequate.
- 1. Justification.** Each procurement based on noncompetitive proposals shall be supported by a written justification for using such procedures. The justification shall be approved in writing by the Contracting Officer.

3. **Price reasonableness** The reasonableness of the price for all procurements based on noncompetitive proposals shall be determined by performing a cost analysis, as described in paragraph III F.

F. COST AND PRICE ANALYSIS

1. **General** A cost or price analysis shall be performed for all procurement actions, including contract modifications. The method of analysis shall be determined as follows. The degree of analysis shall depend on the facts surrounding each procurement.
2. **Submission of Cost or Pricing Information** If the procurement is based on noncompetitive proposals, or when only one offer is received, or for other procurements as deemed necessary by the Housing Authority of the City of San Jose (e.g. when contracting for professional, consulting. Or architect/engineer services) the offeror shall be required to submit:
 - a) a cost breakdown showing projected costs and profit;
 - b) commercial pricing and sales information, sufficient to enable the Housing Authority of the City of San Jose to verify the reasonableness of the proposed price as a catalog or market price of a commercial product sold in substantial quantities to the general public; or
 - c) documentation showing that the offered price is set by law or regulation.
3. **Cost Analysis** - Cost analysis shall be performed if an offeror/contractor is required to submit a cost breakdown as part of its proposal. When a cost breakdown is submitted: cost analysis, shall be performed of the individual cost elements; the Housing Authority of the City of San Jose shall have a right to audit the contractor's books and records pertinent to such costs and profit shall be analyzed separately. Costs shall be allowable only to the extent that they are consistent with applicable Federal cost principles (for commercial firms, Subpart 31.2 of the Federal Acquisition Regulation, 48 CFR Chapter 1). In establishing profit, the Housing Authority of the City of San Jose shall consider factors such as the complexity and risk of the work involved, the contractor's investment and productivity, the

amount of subcontracting, the quality of past performance, and industry profit rates in the area for similar work.

4. A comparison of prices shall be used in all cases other than described in **III F**.

G. CANCELLATION OF SOLICITATIONS

1. An invitation for bids, request for proposals, or other solicitation may be canceled before offers are due if: the Housing Authority of the City of San Jose no longer requires the supplies, services or construction; the Housing Authority of the City of San Jose can no longer reasonably expect to fund the procurement; proposed amendments to the solicitation would be of such magnitude that a new solicitation would be desirable; or similar reasons.
 - 1.2 solicitation may be canceled and all bids or proposals that have already been received may be rejected if: the supplies, services, or construction are no longer required; ambiguous or otherwise inadequate specifications were part of the solicitation; the solicitation did not provide for consideration of all factors of significance to the Housing Authority of the City of San Jose; prices exceed available funds and it would not be appropriate to adjust quantities to come within available funds; there is reason to believe that bids or proposals may not have been independently arrived at in open competition, may have been collusive, or may have been submitted in bad faith; or for good cause of a similar nature when it is in the best interest of the Housing Authority of the City San Jose.
3. The reasons for cancellation shall be documented in the procurement file and the reasons for cancellation and/or rejection shall be provided upon request to any offeror solicited.
4. A notice of cancellation shall be sent to all offerors solicited and, if appropriate, shall explain that they will be given an opportunity to compete on any re-solicitation or future procurement of similar items.
6. If all otherwise acceptable bids received in response to an invitation for bids are at unreasonable prices. or only one bid

is received and the price is unreasonable the Housing Authority of the City of San Jose shall cancel the solicitation and either:

- a) re-solicit using a request for proposals; or
- b) complete the procurement by using the competitive proposals method, following paragraphs **III (D) (3)** and **III (D) (4)** above (when more than one otherwise acceptable bid has been received), or by using the non-competitive proposals method and following paragraph **III (E) (2)** when only one bid is received at an unreasonable price provided, that the Contracting Officer determines in writing that such action is appropriate, all bidders are informed of the Housing Authority of the City of San Jose intent to negotiate and each responsible bidder is given a reasonable opportunity to negotiate.

H. COOPERATIVE PURCHASING

The Housing Authority of the City of San Jose may enter into State and local intergovernmental agreements to purchase or use common goods and services. The decision to use an intergovernmental agreement or conduct a direct procurement shall be based on economy and efficiency. If used, the intergovernmental agreement shall stipulate who is authorized to purchase on behalf of the participating parties and shall specify inspection, acceptance, termination, payment, and other relevant terms and conditions. The Housing Authority of the City of San Jose is encouraged to use Federal or State excess and surplus property instead of purchasing new equipment and property whenever such use is feasible and reduces project costs.

IV. CONTRACTOR QUALIFICATIONS AND DUTIES

A. CONTRACTOR RESPONSIBILITY

Procurements shall be conducted only with responsible contractors, i.e., those who have the technical and financial competence to perform and who have a satisfactory record of integrity. Before awarding a contract, the Housing Authority shall review the proposed contractor's ability to perform the contract successfully, considering factors such as the contractor's integrity, compliance with public policy, record of past performance and financial and

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

B. SUSPENSION AND DEBARMENT

Contracts shall not be awarded to debarred, suspended, or ineligible contractors. Contractors may be suspended, debarred, or determined ineligible by HUD in accordance with HUD regulations (24 CFR Part 24) when necessary to protect the Housing Authority of the City of San Jose in its business dealings. ("List of Parties Excluded from Federal Procurement and Nonprocurement Programs" is published by the U. S. General Services Administration).

C. QUALIFIED BIDDER'S LISTS

Interested businesses shall be given an opportunity to be included on qualified bidder's lists. Any pre-qualified lists of persons, firms, or products which are used in the procurement of supplies and services shall be kept current and shall include enough qualified sources to ensure competition. Firms shall not be precluded from qualifying during the solicitation period. Solicitation mailing lists of potential contractors shall include, but not be limited to, such pre-qualified suppliers.

V. TYPES OF CONTRACTS, CLAUSES, AND CONTRACT ADMINISTRATION

A. CONTRACT TYPES

Any type of contract which is appropriate to the procurement and which will promote the best interests of the Housing Authority of the City of San Jose may be used, provided that the cost-plus-a-percentage-of-cost and percentage of construction cost methods are prohibited. All procurements shall include the clauses and provisions necessary to define the rights and responsibilities of the parties. A cost reimbursement contract shall not be used unless it is likely to be less costly or it is impracticable to satisfy the HACSC1s needs otherwise, and the proposed contractor's accounting system is adequate to allocate costs in accordance with applicable cost principles. A time and material contracts may be used only if a written determination is made that no other contract type is suitable, and the contract includes a ceiling price that the contractor exceeds at its own risk.

B. OPTIONS

Options for additional quantities or performance periods may be included in contracts, provided that:

- (i) the option is contained in the solicitation;
- (ii) the option is a unilateral right of the HACSC;
- (iii) the contract states a limit on the additional quantities and the overall term of the contract;
- (iv) the options are evaluated as part of the initial competition;
- (v) the contract states the period within which the options may be exercised;
- (vi) the options may be exercised only at the price specified in or reasonably determinable from the contract; and
- (vii) the options may be exercised only if determined to be more advantageous to the HACSC than conducting a new procurement.

C. CONTRACT CLAUSES

In addition to containing a clause identifying the contract type, all contracts shall include any clauses required by Federal statutes, executive orders, and their implementing regulations, as provided in 24 CFR 85.36(i), such as the following;

- 1. Termination for convenience
- 2. Termination for default
- 3. Equal Employment Opportunity
- 4. Anti-Kickback Act
- 5. Davis-Bacon Act
- 6. Contract Work Hours and Safety Standards Act, reporting requirements,
- 7. Patent rights
- 8. Rights in data
- 9. Examination of records by Comptroller General, retention of records for three years after closeout
- 10. Clean air and water
- 11. Energy efficiency standards
- 12. Bid protests and contract claims

13. Value engineering, and
14. Payment of funds to influence certain Federal transactions

The operational procedures of this policy shall contain the text of all clauses and required certifications (such as required non-collusive affidavits) used by the Housing Authority of the City of San Jose.

D. CONTRACT ADMINISTRATION

A contract administration system designed to insure that contractors perform in accordance with their contracts shall be maintained. The operational procedures shall contain guidelines for inspection of supplies, services, or construction, as well as monitoring contractor performance, status reporting on construction contracts, and similar matters. For cost reimbursement contracts with commercial firms, costs are allowable only to the extent that they are consistent with the cost principles in FAR Subpart 31.2.

VI. SPECIFICATIONS

A. GENERAL

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

B. LIMITATIONS

The following specification limitations shall be avoided: geographic restrictions not mandated or encouraged by applicable Federal law (except for architect-engineer contracts, which may include geographic location as a selection factor if adequate competition is available); unnecessary bonding or experience requirement; brand name specifications (unless a written determination is made that only the identified item will satisfy the Housing Authority of the City of San Jose's needs); brand name or equal specifications (unless

they list the minimum essential characteristics and standards to which the item must conform to satisfy its intended use). Nothing in this Procurement Policy shall preempt any State licensing laws. Specifications shall be scrutinized to ensure that organizational conflicts of interest do not occur (for example, having a consultant perform a study of the Housing Authority of the City of San Jose's computer needs and then allowing that consultant to compete for the subsequent contract for the computers).

VII. APPEALS AND REMEDIES

A. GENERAL

It is the Housing Authority of the City of San Jose's policy to resolve all contractual issues informally at the Housing Authority of the City of San Jose level, without litigation. Disputes shall not be referred to HUD until all administrative remedies have been exhausted at the Housing Authority of the City of San Jose level. When appropriate, the Housing Authority of the City of San Jose may consider the use of informal discussions between the parties by individuals who did not participate substantially in the matter in dispute, to help resolve the differences. HUD will only review protests in cases of violations of Federal law or regulations and failure of the Housing Authority of the City of San Jose to review a complaint or protest.

B. BID PROTESTS

Any actual or prospective contractor may protest the solicitation or award of a contract for serious violations of the principles of this Policy. Any protest against a solicitation must be received before the due date for receipt of bids or proposals, and any protest against the award of a contract must be received within ten (10) calendar days after contract award, or the protest will not be considered. All bid protests shall be in writing, submitted to the Contracting Officer or designee, who shall issue a written decision on the matter. The Contracting Officer may, at his or her discretion, suspend the procurement pending resolution of the protest, if warranted by the facts presented.

C. CONTRACT CLAIMS

All claims by a contractor relating to performance of a contract shall be submitted in writing to the Contracting Officer or designee for a written decision. The contractor may request a conference on the claim.

VIII. ASSISTANCE TO SMALL AND OTHER BUSINESSES

A. REQUIRED EFFORTS

Consistent with Presidential Executive Orders 11625, 12138, and 12432, and Section 3 of the HUD Act of 1968, the Housing Authority of the City of San Jose shall make efforts to ensure that small and minority- owned businesses, women's business

enterprises, labor surplus area businesses, and individuals or firms located in or owned in substantial part by persons residing in the area of a Housing Authority of the City of San Jose project are used when possible. Such efforts shall include, but shall not be limited to:

1. Including such firms, when qualified, on solicitation mailing lists;
2. Encouraging their participation through direct solicitation of bids or proposals whenever they are potential sources;
3. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by such firms;
4. Establishing delivery schedules, where the requirement permits, which encourage participation by such firms;
5. Including in contracts a clause requiring contractors, to the greatest extent feasible, to provide opportunities for training and employment for lower income residents of the project area, and to award subcontracts for work in connection with the project to business concerns which are located in, or owned in substantial part, by persons residing in the area of the project;
6. Requiring prime contractors, when subcontracting is anticipated, to take the positive steps listed in A1 through A6 above.

B. DEFINITIONS

1. A small business is defined as a business which is: independently owned, not dominant in its field of operation, and not an affiliate or subsidiary of a business dominant in its field of operation.
2. A minority-owned business is defined as a business which is at least 51% owned by one or more minority group members; or, in the case of a publicly-owned business, one in which at least 51% of its voting stock is owned by one or more minority group members, and whose management and daily business operations are controlled by one or more such individuals. Minority group members include, but are not limited to Black Americans, Hispanic Americans, Native

Americans, Asian Pacific Americans and Asian Indian Americans, and Hasidic Jewish Americans.

3. A women's business enterprise is defined as a business that is at least 51% owned by a woman or women who are U.S. citizens and who also control or operate the business.
4. A labor surplus area business is defined as .a business which, together with its immediate subcontractors, will incur more than 50% of the cost of performing the contract in an area of concentrated unemployment or underemployment.
5. A business concern located in the area of the project, is defined as an individual or firm located within the relevant Section 3 covered project area, as determined pursuant to 24 CFR 135.15, listed on HUD's registry of eligible business concerns, and meeting the definition of small business above. A business concern owned in substantial part by persons residing in the area of the project is defined as a business concern which is 51% or more owned by persons residing within the Section 3 covered project, owned by persons considered by the U.S. Small Business Administration to be socially or economically disadvantaged and meeting the definition of small business above.

IX. ETHICS IN PUBLIC CONTRACTING

GENERAL

The HACSC shall adhere to the following code of conduct, consistent with applicable State or local law.

A. CONFLICT OF INTEREST

No employee, officer or agent of this Housing Authority of the City of San Jose shall participate directly or indirectly in the selection or in the award or administration of any contract if a conflict, real or apparent, would be involved. Such conflict would arise when a financial or other interest in a firm selected for award is held by:

1. An employee, officer or agent involved in making the award;
2. His/her relative (including father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother- in-law, sister-in-law, stepfather,

stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, or half sister);

3. His/her partner; or;
4. An organization which employs, is negotiating to employ, or has an arrangement concerning prospective employment of any of the above.

B. GRATUITIES, KICKBACKS, AND USE OF CONFIDENTIAL INFORMATION

Housing Authority of the City of San Jose officers, employees or agents shall not solicit or accept gratuities, favors, or anything of monetary value from contractors, potential contractors, or parties to subcontracts, and shall not knowingly use confidential information for actual or anticipated personal gain.

C. PROHIBITION AGAINST CONTINGENT FEES

Contractors shall not retain a person to solicit or secure a Housing Authority of the City of San Jose contract for a commission, percentage, brokerage, or contingent fee, except for bona fide employees or bona fide established commercial selling agencies.

PROCUREMENT POLICY REVISED 11/04/96

CHAS Table 1C - All Households									
<p>The following estimates are derived from 2002 projection data. The data project the following:</p>									
<p>The change in the number of households in this jurisdiction from 1990 to 2002 is estimated at +6.81%.</p>									
<p>The renter occupied households in 2002 is estimated at 41.47% of all occupied units. The</p>									

The change in elderly is estimated to be +0.40% from 1990 to 2002.										
Name of Jurisdiction: Source of Data Data is Adjusted per Community 2020 Projections for the Year:										
City of San Jose, CA CHAS Data Book 2002										
Renters Owners										
Household by	Elderly	Small	Large Related	All Other	Total Renters	Elderly	All Other Owners	Total Owners		Total
Type, Income, &	1 & 2 member	Related	(5 or more)	Households					Households	
Housing Problem	households	(2 to 4)								
	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	
1. Very Low Income (0 to 50% MFI)	14,762	23,157	13,180	18,887	69,986	21,026	15,481	36,507	106,493	
2. 0 to 30% MFI	9,966	11,506	6,397	10,003	37,872	10,658	6,372	17,030	54,902	
6. 31 to 50% MFI	4,796	11,651	6,783	8,884	32,114	10,368	9,109	19,477	51,591	
10. Other Low-Income	2,169	9,890	4,575	7,902	24,536	7,520	10,724	18,244	42,780	

Chapter 19

FAMILY SELF-SUFFICIENCY

INTRODUCTION:

The purpose of the Family Self-Sufficiency (FSS) program is to promote the development of local strategies to coordinate the use the Section 8 and public housing programs with public and private resources to enable eligible families to achieve economic independence and self-sufficiency.

HISTORICAL PROGRAM REQUIREMENT:

Beginning in Fiscal Year (FY) 1993, all Housing Authorities receiving new increments of Section 8 certificates and vouchers or funds for new public housing rental units had to implement an FSS program unless granted an exception by HUD. For the public housing and Section 8 programs, the minimum FSS program size that must be established and operated is cumulative and is based on the number of new units funded in FY 1993 and subsequent years plus the number of any FY 1991 and 1992 FSS Incentive Award Units. (24CFR 984.105)

The Quality Housing and Work Responsibility Act of 1998 (QHWRA) revised this requirement clarifying that effective October 21, 1998, a PHA's mandatory minimum FSS program size will not increase with the receipt of incremental Section 8 funding or public housing units; and permits PHA's to maintain a smaller than minimum FSS program size obligation as families successfully complete FSS Contracts.

TENANT SELECTION PLAN:

HUD requires FSS programs match each new allocation by recruiting families from the existing Section 8 (except Mod-Rehab and Project Based) and Public Housing populations.

Under the 1991 FSS Family Selection guidelines, families were accepted from the waiting list, and could lose their housing if they were housed ahead of others on the waiting list and then failed to meet their commitment.

In May of 1999 the FSS Family Selection guidelines no longer permitted Housing Authorities to accept families from the waiting list. Housing Authorities were given the opportunity to target families. A Tenant Selection Plan was approved by the Program Coordinating Committee and that plan was submitted to HUD on July 12, 1994. However, the implementation of that Tenant Selection plan has been delayed until the FSS program is 50 from its match requirement. This delay is due to the fact that the required match is so great that currently any eligible family is accepted on a first come first serve basis.



ELIGIBLE APPLICANTS:

1. Any family receiving housing assistance through the Public Housing or the Section 8 housing assistance programs may volunteer for FSS without consideration of race, color, religion, sex, disability, familial status or national origin.
2. In addition to currently participating in the Section 8 housing assistance program or the Public Housing Program, families also must meet the following additional requirements:
 - a. The Head of Household must agree to seek and maintain employment.
 - b. The Head of Household must sign an FSS Contract of Participation.
 - c. The Head of Household must agree to set short and long term goals (called an Individual Training and Services Plan), and commit to working towards meeting those goals.
 - d. The Head of Household agrees to meet annually with his/her case manager to review these goals.
 - e. Families may participate only once.

TERM OF CONTRACT:

Family Self Sufficiency is a five year voluntary program. Extensions of up to two years can be made for hardship purposes. "Hardship" is defined as a situation that has occurred that negatively affects one's employment situation through no fault of the head of household. An example may be a layoff or a temporary disability (excluding pregnancy), etc. Extensions will not be approved solely for the purpose of qualifying for the escrow.

ESTABLISHMENT OF AN ESCROW ACCOUNT:

An escrow account will be established in accordance with HUD guidelines, when the head of household increases their earned income from when they initially joined FSS due to a promotion, a change in employment, or the addition of earned income from another member of the family.

FSS participants may request an interim recertification at any time to evaluate the possibility of their escrow increasing due to increases in earned income.

LOANS AGAINST ESCROW ACCOUNTS:



FSS participants may borrow against their escrow accounts if they are compliant, and the loan is consistent with their service plan. Participants may be required to pay back loans against their escrow accounts if they later fail to complete their Contract of Participation.

RELEASE OF ESCROW:

It is the goal of the FSS program to support families who wish to become self-sufficient. Those families who are compliant and can leave sooner than five years are encouraged to do so. They may qualify for the escrow as long as they have maintained work in the past 12 months, and can certify that no family member has received any welfare assistance (welfare assistance includes cash benefits, food stamps; not Medi-Cal in the past 12 months).

TERMINATION FOR NON-COMPLIANCE:

Families failing to respond to schedule an annual review of their goals may be terminated from the FSS Program.

Families may be terminated from the FSS Program when the head of household or a family member participates in acts inconsistent with the purpose of FSS. Such acts may include fraudulent acts, non cooperative behavior, or failure to seek or maintain employment.

Families terminated from the FSS Program will not lose housing assistance.

GRIEVANCE PROCEDURES:

Since the subsidized rental assistance is not affected, the Grievance Procedure for FSS has been modified from the regular procedures of Section 8 or Public Housing due to the sensitivity and confidentiality of the content of the FSS Service Plans. An FSS Participant may request an Informal Conferences with the Community Services Coordinator. The decision of the Community Services Coordinator is final, unless the two parties agree that the case should be referred to the FSS Grievance Committee. Cases may go through that Committee before and/or in lieu of a meeting with the Community Services Coordinator.

Request for reconsideration of termination may go through the Grievance Committee of the Program Coordinating Committee. Members of this Committee must include the Community Services Coordinator of the Housing Authority and the family's case-manager; and at least two of the following:

- Service Providers from the Department of Social Services CALWorks Program,
- The City of San Jose or other City/County Homeless Coordinators
- Member of the PILOT Committee
- Current FSS participant



Every effort will be made to accommodate any person with a disability. Requests need to be made in writing when able; or verbal, with a written confirmation from FSS of the request. Accommodations must be related to a person's service plan, and that person's ability to perform that service plan.

FORFEITURE OF ESCROW:

Families terminated for non-compliance forfeit any accrued escrow.

REINSTATEMENT POLICY:

Persons who wish to leave the FSS Program may do so at any time. Reinstatement of that person will not be permitted unless an unexpected hardship has occurred. Exceptions will be reviewed by the Grievance Committee on a case by case basis.

Persons who are terminated for non-compliance will not be permitted to come back onto the FSS program after a 30 day grace period has elapsed.

Chapter 20

SHELTER PLUS CARE PROGRAM

INTRODUCTION:

The Shelter Plus Care program is authorized by Title IV of the Stewart B. McKinney Homeless Assistance Act and is administered by the Federal Department of Housing and Urban Development (HUD).

Shelter Plus Care is designed to link rental assistance to supportive services for hard-to-serve homeless persons with disabilities. Qualifying disabilities include serious mental illness, alcohol and drug abuse, as well as Human Immunodeficiency Virus (HIV) and Acquired Immunodeficiency Syndrome (AIDS). Referred clients must have one or more of these conditions.

The grants for rental assistance are matched by supportive services that are equal in value and appropriate to the needs of the population. Shelter Plus Care recipients are chosen on a competitive nationwide basis. The County of Santa Clara has received several grants, renewable as applicable.

As of October, 2002 we have approximately 140 current program participants and a Housing Priority List with 20 current prospective tenants. Current agencies referring for this program are



Santa Clara County Department of Drug and Alcohol Services, County of Santa Clara Department of Mental Health Services, Health Connections and St. Joseph Cathedral.

HOUSING AUTHORITY RESPONSIBILITIES:

- Process applications to determine financial eligibility, using applicable income limits (all Shelter Plus Care program applicants come by referral and acceptance of the program committee and bypass any other Housing Authority wait list process).
- Conduct initial unit inspections and establish contract rent, keeping in mind fair market rents and Housing Quality Standards.
- Provide contract and lease documents for program landlords and tenants.
- Pay monthly subsidy payments to participating landlords (supply annual 1099 misc. income forms to landlords)
- Complete annual inspections.
- Complete annual eligibility processes.
- Conduct interim rent adjustments.
- Process notices from landlords (including notices to terminate subsidy, and notices of rent increase).
- Carry out special requests as made by the Shelter Plus Case MST committee.
- Provide a Housing Authority representative to attend weekly Shelter Plus Care MST committee meetings.
- Provide weekly list of program participants and addresses to committee.
- Provide program issues and concerns memo to SPC committee on a weekly basis for discussion at weekly meeting.
- Provide applicable accounting reports.
- Participate as a panel representative for quarterly case manager training sessions.
- Request monthly payment allocations from the Program Manager at the County of Santa Clara Housing and Community Development Program.
- Handle payment of initial program security deposit and follow-up of deposit return when participants leave the program.
- Provide a representative to attend the monthly SPC Executive Committee meetings.

Chapter 21

HOMEOWNERSHIP

[24 CFR 982.625]



Introduction

The Section 8 Homeownership Program provides eligible Section 8 Housing Choice Voucher participants the option of purchasing a home with their assistance rather than renting.

The Housing Authority of the County of Santa Clara will offer the homeownership option only to participating families who:

1. Are currently enrolled in the Family Self-Sufficiency (FSS) Program and in compliance with the FSS contract.
2. Are graduates of the Family Self-Sufficiency (FSS) Program.
3. Are elderly families or disabled families.

A. Family Eligibility Requirements [24 CFR 982.627]

Participation in the Section 8 Homeownership Program is voluntary. Current Section 8 participants who are enrolled in the FFS program; graduated from the program; or are elderly/disabled families.

1. Must meet the general requirements for admission or continued participation in the Section 8 Choice Voucher Program. Potential participants must have been in the Section 8 Program for a minimum of one year.
2. Must be in full compliance with their lease and Section 8 program requirements.
3. Must be a first time homeowner; have a member who is a person with disability.
4. Must meet minimum requirement.
5. At least one adult must be employed full time (an average of 30 hours per week) and have been continuously employed during the year before commencement in home ownership.
6. Must have completed the Home Ownership Counseling Programs.
7. Must have fully repaid any outstanding debt to the Housing Authority.
8. Must not have defaulted on a mortgage security debt to purchase a home under the home ownership option.
9. Must not have any member who has a present ownership interest in the residence at the commencement of home ownership assistance.

B. First Time Homeowner

Participants in the homeownership program must be “first time homeowners” except families



with a disabled member. “First-time homeowners” means that no member of the household has had an ownership interest in any residence during the three years preceding commencement of home ownership assistance (regardless of whether the home was the family’s principal residence). However, a single parent or displaced homemaker who, while married, owned a home with a spouse (or resided in a home owned by spouse) is considered a “first-time homeowner” for the purpose of the Section 8 Homeownership Program. Under certain prescribed circumstances, a “lease-purchase agreement” may be considered an ownership option.

C. Minimum Income Requirement

Amount of Earned Income:

- 1) The minimum gross income is 2000 hours per year, of full-time employment at federal minimum wage standards.

Exclusion of Welfare Assistance Income:

With the exception of elderly and disabled families, the Housing Authority will disregard any “welfare assistance” income in determining whether the family meets the minimum income requirements for the homeownership program. “Welfare assistance includes but not limited to Temporary Assistance for Needy Families (TANF); Supplemental Security Income (SSI); or other welfare assistance specified by HUD.

“Welfare Assistance” does not affect the calculation of the family’s total tenant payment or the calculation for the amount of home ownership assistance payment.

D. Employment History

Families must demonstrate that one or more adult members have been continuously employed full time (an average of 30 hours per week) for at least 1 year prior to commencement of homeownership program participation.

Elderly and Disabled families are exempt from the employment requirements. In the case of an elderly or disabled family, the Housing Authority will consider income from all sources including welfare assistance.

E. Home Ownership Counseling Program [24 CFR 982.630]

A family’s participation in the homeownership program is a condition of the family successfully completing Home Ownership Counseling sessions conducted by a homebuyer education and counseling agency approved by the Housing Authority.

The following topics will be included in the homeownership counseling sessions:

Budgeting and money management;

Credit counseling;



Home maintenance (including care of the grounds);

How to negotiate the purchase price of a home;

How to obtain homeownership financing and loan preapprovals, including a description of types of financing that may be available, and the pros and cons of different types of financing;

How to find a home, including information about homeownership opportunities.

F. Eligible Units [24 CFR 982.628]

The unit must meet all of the following requirements:

1. The unit was already existing or under construction at the time the family was determined eligible for homeownership assistance.
2. The unit is a one-unit property or a single dwelling unit in a cooperative or condominium.
3. Manufactured homes as defined in the federal register. The manufactured home and the real property upon which the home sits must be eligible for purchase. Or the program may consider purchase of a manufactured home where the family will not own title to the real property if the home is located on a permanent foundation and the family has the right to occupy the manufactured home site for a period of at least 30 years.

G. Purchase Requirements [24 CFR 982.629]

The Housing Authority has established the maximum time that will be allowed for a family to locate and purchase a home.

The family's deadline date for locating a home to purchase will be 120-days from the date the family's eligibility for the homeownership option is determined.

The Housing Authority of the County of Santa Clara will require periodic reports on the family's progress in finding and purchasing a home. The family will provide such reports on a monthly basis to their Family Self-Sufficiency case manager in Community Services.

If the family is unable to purchase a home within the maximum time limit, the Housing Authority of the County of Santa Clara will issue the family a voucher to lease a unit.

H. Contract [24 CFR 982.631]

The family must enter into a contract of sale with the seller of the unit. A copy of the contract must be given to the Housing Authority. The contract of sale must specify the price and terms of sale, and provide that the purchaser will arrange for a pre-purchase independent inspection of the



home. The contract shall also state that the purchaser is not obligated to buy the unit unless the inspection is satisfactory and that the purchaser is not obligated to pay for necessary repairs.

I. Inspection [24 CFR 982.631]

Two types of physical inspections must be completed on the unit. One inspection must be completed by the Housing Authority to verify HUD's Housing Quality Standards (HQS). The other inspection must be completed by an independent professional inspector, selected and paid for by the family.

The Professional Property Inspector's inspection must cover major building systems and components. The inspector must be qualified to identify physical defects and report on property conditions, including major building systems and components. These systems and components include, but are not limited to:

Foundation and structure;

Housing interior and exterior;

Roofing;

Plumbing, electrical and heating systems.

Copies of the independent inspection report will be provided to the family and the Housing Authority of the County of Santa Clara. Based on the information in this report, the family and the Housing Authority of the County of Santa Clara will determine whether any pre-purchase repairs are necessary.

The Housing Authority of the County of Santa Clara may disapprove the unit for homeownership assistance because of information in the report. The Housing Authority's own Housing Quality Standards inspection may disqualify the unit.

J. Financing [24 CFR 982.632]

The family is responsible for securing financing. The Housing Authority of the County of Santa Clara has established financing requirements, listed below, and may disapprove proposed financing if the Housing Authority of the County of Santa Clara determines that the debt is unaffordable. The Housing Authority of the County of Santa Clara may prohibit the following forms of financing:

1. Balloon payment mortgages



2. Variable interest rate loans
3. Seller financing on a case-by-case basis

The Housing Authority of the County of Santa Clara will require a minimum cash down payment of 3% percent of purchase price to be paid by the participating household. At least one percent of the three percent has to come directly from the family's resources.

K. Partnerships

The Housing Authority has created partnerships with agencies and lenders to assist eligible families obtain homeownership via the Section 8 Program. The partners include City of San Jose Redevelopment Agency and Housing Agency, Fannie Mae, Freddie Mac, Washington Mutual Neighborhood Housing Services of Silicon Valley etc.

L. Continued Assistance [24 CFR 982.633]

Homeownership assistance may only be paid while the family is residing in the home. The family or lender is not required to refund homeownership assistance for the month when the family moves out.

The family must comply with the following obligations:

The family must comply with the terms of the mortgage securing debt incurred to purchase the home, or any refinancing of such debt.

The family may not convey or transfer ownership of the home, except for purposes of financing, refinancing, or pending settlement of the estate of a deceased family member. Use and occupancy of the home are subject to CFR 982.551 (h) and (i).

The family must supply information to the Housing Authority as specified in CFR 982.551(b). The family must further supply any information required by the Housing Authority of the County of Santa Clara or HUD concerning mortgage financing or refinancing, sale or transfer of any interest in the home, or homeownership expenses.

The family must notify the Housing Authority before moving out of the home.

The family must notify the Housing Authority if the family defaults on the mortgage used to purchase the home.

No family member may have any ownership interest in any other residential property.

Before commencement of homeownership assistance, the family must execute a statement in which the family agrees to comply with all family obligations under the homeownership option.



M. Maximum Term of Homeownership Assistance [24 CFR 982.634]

Except in the case of elderly or disabled families, the maximum term of homeownership assistance is:

15 years, if the initial mortgage term is 20 years or longer, or

10 years in all other cases.

The elderly exception only applies if the family qualified as elderly at the start of homeownership assistance. The disabled exception applies if, at any time during receipt of homeownership assistance, the family qualifies as disabled.

If the family ceases to qualify as elderly or disabled during the course of homeownership assistance, the maximum term becomes applicable from the date assistance commenced.

N. Homeownership Assistance Payments [24 CFR 982.635]

The Housing Authority may offer two types of Homeownership Assistance Payments:

The monthly homeownership assistance payment is the lower of: the voucher payment standard minus the total tenant payment, or the monthly homeownership expenses minus the total tenant payment.

O. Homeownership Expenses [24 CFR 982.635]

In determining the amount of the homeownership assistance payment, the Housing Authority will use the same payment standard schedule, payment standard amounts, and subsidy standards as those described in this plan for the Housing Choice Voucher program.

The Housing Authority will pay the homeownership assistance payment to the family or to the lender at the discretion of the Housing Authority.

Some homeownership expenses are allowances or standards determined by the Housing Authority in accordance with HUD regulations. These allowances are used in determining expenses for all homeownership families and are not based on the condition of the home.

Homeownership expenses include:

1. Principal and interest on mortgage debt.
2. Mortgage insurance premium.
3. Taxes and insurance.
4. The Housing Authority utility allowance used for the voucher program.
5. The Housing Authority allowance for routine maintenance costs
6. The Housing Authority allowance for major repairs and replacements.



7. Principal and interest on debt for improvements.
8. Homeownership Association dues.

P. Portability [24 CFR 982.636, 982.353(b) and (c), 982.552, 982.553]

Subject to the restrictions on portability included in HUD regulations. The family may exercise portability if the receiving Housing Authority is administering a voucher homeownership program and accepting new homeownership families.

The receiving Housing Authority may absorb the family into its voucher program, or bill the initial Housing Authority. The receiving Housing Authority homeownership policies apply.

Q. Moving With Continued Assistance [24 CFR 982.637]

A family receiving homeownership assistance may move with continued tenant-based assistance. The family may move with voucher rental assistance or with voucher homeownership assistance. Continued tenant-based assistance for a new unit cannot begin so long as any family member holds title to the prior home.

R. Denial or Termination of Assistance [24 CFR 982.638]

Termination of homeownership assistance is governed by the policies for the Housing Choice Voucher program.

The Housing Authority will terminate homeownership assistance if the family is dispossessed from the home due to a judgment or order of foreclosure.

The Housing Authority of the County of Santa Clara will terminate homeownership assistance if the family violates any of the family obligations, or transfer or conveyance of the ownership of the home, or fails to provide requested information to the Housing Authority or commits fraud in relation to the Section 8 Program or Homeownership Option Program.

S. Automatic Termination of Homeownership Assistance [24 CFR 982.635 (e)]

Homeownership assistance for a family terminates automatically 180 calendar days after the last housing assistance payment on behalf of the family. However, a PHA has the discretion to grant relief from this requirement in cases where automatic termination would result in hardship for the family.

Chapter 22

FAMILY UNIFICATION PROGRAM

INTRODUCTION:



The Family Unification Program (FUP) was established by the National Affordable Housing Act of 1990. It is a five-year program being sponsored by HUD, the Child Welfare League and Vanderbilt University.

FUP was established to promote family unification by providing housing assistance to families for whom the lack of adequate housing is a primary factor in the separation, or imminent separation, of children from their families.

CalWORKS Unification Program (CUP) will start September 1, 2002. The duration of the program is approximately 24 months and is projected to end in June 2004. If clients remain compliant with the program, they may be able to continue to receive a housing subsidy after the program ends.

ELIGIBILITY:

1. Families who are in danger of having their child(ren) placed in out-of-home care due to lack of adequate housing.
2. Families whose child(ren) are delayed in returning to the family from out-of-home care due to a lack of adequate housing.
3. Families who are recent victims of domestic violence, who are at high risk, and need housing.
4. Clients who have been in the FUP (Family Unification Program) are not eligible for UCP.

REQUIREMENTS:

- Have an open child welfare case
- Meet Section 8 housing assistance eligibility requirements
- Be able to be reunified with their child(ren) within six months from the date a referral is made into the FUP Program.

To participate in the Family Unification Program, eligible families must be referred to the Housing Authority from the Department of Family and Children's Services at the Social Services Agency. Family Unification is a voluntary program.

- a) Families on the waiting list who qualify under the eligibility criteria must be considered first for participation in the FUP Program. At the time that a family is given an opportunity to participate in the FUP Program, they must decide whether



they want to remain on the waiting list to be housed under the routine process or to enter the FUP Program. Families entering FUP are giving up their place on that current waiting list.

- b) Once qualified families from the waiting list have been assisted, referrals may be accepted through the Department of Family and Children's Services for families not on the Waiting List.

FAMILY COMMITMENT:

As a participant of the Family Unification Program, families agree to sign an FUP Contract with the Housing Authority. The Contract outlines the family's obligations which include the following:

- The family must complete a service plan established with an FUP Social Worker outlining short and long term goals.
- Clients must have an active CalWORKS case and must be compliant with the CalWORKS program when the UCP voucher is issued.
- Families must be willing to participate in and meet CalWORKS, Housing Authority, and DFCS requirements.
- The family must follow routine Section 8 Program requirements.
- The family must agree to seek and maintain employment.
- The family must cooperate with an assigned Family Resource Center Social Worker after their child welfare case is closed by reviewing their goals and making monthly contact.
- The family must remain in Santa Clara County during the five-year program or lose their housing assistance. This requirement is due to the fact that no other FUP Program provides a total of five years of case management services even after the children's case/cases have been closed by the Department of Family and Children's Services.

GROUNDINGS FOR TERMINATION:

Termination for Noncompliance

- a) Families are given numerous opportunities to remain with their FUP Contract. Failure to maintain contact with their FUP Social Worker is grounds for termination.



- b) Child(ren) not returned to the head of household within six months from the date of the referral will no longer qualify for FUP.
- c) Families who have children removed from their household may no longer qualify for housing assistance.

If part of the Section 8 Contract conflicts with the Family Unification Contract of Participation, the Family Unification Contract of Participation will prevail.

GRIEVANCE PROCEDURE:

Families are given an opportunity to discuss terminations with the FUP Department of Family and Children’s Services liaison to the Housing Authority of the County of Santa Clara and the Community Services Coordinator. The decision of this conference by the Community Services Coordinator is final due to the sensitivity and confidentiality of the information included in these conferences.

Chapter 23

RENTAL ASSISTANCE PROGRAM (R.A.P.)

INTRODUCTION

The Rental Assistance Program (R.A.P.) was established through a partnership agreement with the Santa Clara County Department of Social Services – CalWORKS unit and the Housing Authority.

This CalWORKS program was designed as an incentive program for use by active, non-sanctioned CalWORKS recipients receiving cash aid. The assistance is provided through payment of a monthly housing stipend.

A. TIME FRAME

This program is designed to run for a three year period (July, 2001 through July, 2004). The goal is to assist a minimum of 500 families over this three year time frame. As of October, 2002, 435 CalWORKS clients have received assistance from this program.



B. ELIGIBILITY

Phase 1 – Clients must be cross-matched as receiving cash aid AND appearing on the Housing Authority’s Section 8 housing wait list.

Phase 2 – Clients are referred directly to the Housing Authority’s Community Services Department by CalWORKs staff.

Phase 3 – Clients receive a program orientation during Job Club sessions. Eligible Job Club participants may schedule home visits and receive rental assistance.

All recipients must be compliant with CalWORKs criteria.

Clients paying less than \$250.00 per month in rent, already living in subsidized or Section 8 housing, or renting directly from relatives (blood or marriage) do not qualify.

This program is designed to help those families most in need of housing assistance in order to stay housed and meet their CalWORKs goals. Exempt cases that are eligible include domestic violence, drug and alcohol, mental health and pregnancy.

C. ASSISTANCE PROVIDED

Each eligible family can have a \$250.00 per month stipend paid on their behalf to their landlord/payment recipient each month.

NOTE: The housing stipend cannot be paid to the client. The \$250.00 monthly amount is the same for all participants regardless of family size, family income, unit size or type.

Assistance will be terminated if the client becomes ineligible for any reason.

D. HOUSING AUTHORITY RESPONSIBILITIES

The Housing Authority’s Community Services Department will provide the following services:

- Pre-screening of all potential participants
- Perform information orientations for potential participants
- Conduct a home visit
- Establish a case management plan by conducting a needs assessment with the family
- Verify monthly eligibility status
- Assist Phase 1 clients with “Section 8 Housing & Application Readiness”
- Provide Housing Search workshops, tools and skills, as applicable
- Provide monthly stipend checks payable to the payment recipients (as designated by the program participant)
- Provide year-end 1099 miscellaneous income documents to payment recipients



- Provide on-going case management to families, as applicable
- Provide monthly or as-needed reports to CalWORKs

Chapter 24

Welfare to Work Housing Assistance Program

INTRODUCTION

The purpose of the Section 8 Welfare-to-Work Rental Voucher program, herein called the Welfare to Work Housing Assistance Program (WtW Housing Program), is threefold: 1.) to provide tenant-based rental assistance that will help eligible families make the transition from welfare to work; 2.) to link families to already existing employment services such as the CALworks Connections, the One Stop Centers, the Neighborhood Self-Sufficiency sites, the community based job training programs, and the community colleges; and 3.) to assist families to become economically self sufficient by providing them with the opportunity to come into the Family Self Sufficiency Program.

A. Eligible Applicants

The term “Section 8 Welfare to Work rental voucher program eligible family” means a family that, in addition to meeting the eligibility requirements of the regular tenant-based Section 8 assistance program, also meets the following additional requirements:

- a) When initially selected for welfare-to-work rental voucher assistance, families must be eligible to receive, be currently receiving, *or* shall have received within the preceding two years, cash assistance or services funded under the TANF/CalWORKs program and currently enrolled in an approved CalWORKS activity.
- b) Tenant-based housing assistance must be determined to be critical to the family’s ability to successfully obtain or retain employment, and
- c) The family shall not already be receiving tenant-based assistance under Section 8 of the United States Housing Act of 1937, **unless they are participants in the Family Unification Program.**
- d) Families must make a commitment to seek and maintain employment.
- e) Families must agree to attend mandatory workshops and to participate in those workshops to show their commitment, or demonstrate that they do not need to attend such workshops,
- f) Families must agree to develop a self-sufficiency plan with a collaborating agency of the Welfare to Work Housing Collaborative.



To be eligible for selection for the Section 8 Welfare-to-Work Rental Voucher Program, families must be on the waiting list of the Housing Authority for its tenant-based Section 8 program. Once this list is exhausted, referrals may be accepted from the CalWORKs Program.

In addition, families must sign the Welfare to Work Housing Program Contract, which outlines the following:

1. Families must make a commitment to seek and maintain employment.
2. Families must agree to attend mandatory workshops and participate in those workshops, or demonstrate that they understand and have no need to attend such workshops.
3. Families must agree to develop a self-sufficiency plan with a collaborating member of the Welfare to Work Collaborative. This plan must include any existing CalWORKs Plan, in addition to those developed by Drug and Alcohol, the Community Colleges or Universities, Department of Family and Children's Services, Drug Court, or the One Stops, or Neighborhood Self-Sufficiency sites. The purpose of this requirement is to ensure that participants are working "one" inclusive plan rather than competing ones.
4. Families must be compliant with CalWORKs. Families sanctioned by CalWORKs may not qualify for the Welfare to Work Housing Program. Ten percent of the total eligible families sanctioned by CalWORKs may be eligible, if they can demonstrate that they can be self-sufficient without CalWORKs services and have a self-sufficiency plan that overcomes identified barriers.
5. Once housed, families will be encouraged to volunteer for the Family Self-Sufficiency Program to provide families an opportunity to earn escrow by focusing efforts to remain on the job, seek promotions, and augment their skills so that they may reach a self sufficiency wage such that they will be able to leave all forms of welfare and governmental assistance.

B. Term of Contract

The Welfare to Work Housing Program is a voluntary program that encourages families to become economically self-sufficient. Families may receive housing assistance as long as they are compliant with the Welfare to Work Housing Contract, maintain employment, and are income-eligible for Section 8 housing assistance.

C. Portability

Families must remain in Santa Clara County during the term of their participation unless they can show that the move is part of their employment plan, or unless the safety of a participant is a



concern. Such exceptions will be reviewed by a multi-disciplinary team of representatives to include a member of the Social Services CalWORKs Agency, a member of the Pilot Committee of the FSS Program, and other significant members.

D. Failure to Comply with Welfare to Work Contract

The Welfare to Work Housing Collaborative determined that families who obtain the housing and then chose not to seek or maintain employment, can lose their housing. This was decided due to the fact that these select families will have an opportunity to receive the WtW housing assistance ahead of the other 28,000 on the Section 8 waiting list.

E. Grievance Procedures

The Grievance Procedure for the WtW Housing Program has been modified from the regular Section 8 process due to the sensitivity and confidentiality of the content of the WtW Service Plans. A WtW Participant may grieve an action taken by a case manager or other Community Services staff member by requesting a conference with the Community Services Coordinator and the CALworks liaison. The decision of the two is final unless the parties agree that the case should be referred to the WtW Housing Grievance Committee. Cases may go through that Committee before and/or in lieu of a meeting with the two coordinators.

Members of this Grievance Committee must include the Community Services Coordinator of the Housing Authority, the Social Services CALworks liaison, and at least one member of the FSS Pilot Committee. Staffs of WtW collaborating agencies are welcome to attend as relevant.

Every effort will be made to accommodate persons with disabilities. Requests need to be made in writing when able; or verbal, with a written confirmation of receipt of the request by the CS staff. Accommodations must be related to a person's service plan, and that person's ability to perform that service plan.

Chapter 25

PROJECT-BASED CERTIFICATE PROGRAM

(NOTE: The Housing Authority implemented the Project-Based Certificate Program in 1998. Subsequently, in January 2001, HUD issued partial new regulations for a Project-Based Voucher Program. While all project-based certificates have been converted to vouchers pursuant to the certificate-voucher merger regulation, these subsidies are still administered under the original project-based certificate regulations per HUD's guidance on the matter.)



The Housing Authority has implemented the Project-Based Assistance Program for the purpose of providing a resource of stable affordable housing units in the volatile economic market of Santa Clara County and to help increase participation by private owners in providing affordable housing.

The Housing Authority's Unit Selection Policy under the Project-Based Certificate Program was established in compliance with 24 CFR Section 938.51, and outlines the procedures by which the Housing Authority of the County of Santa Clara (Housing Authority) will select units to receive rental assistance through its Project Based Certificate (PBC) Program. Per Section 983.4, this policy has been reviewed and approved by the HUD Field Office. The procedures outlined in this policy include:

1. Advertising procedures
2. Application Requirements and Evaluation Criteria
3. Ranking and Selection Factors

1. ADVERTISING PROCEDURES

The Housing Authority will advertise in a newspaper of general circulation that the Housing Authority will accept applications for assistance under a PBC Program (24 CFR Section 983) for specific projects. The advertisement must be approved by the HUD field office and may not be published until after the later of HUD authorization to implement a project-based program or ACC execution.

The Housing Authority will use one or more of the following Bay Area newspapers:

- San Jose Mercury News
- Gilroy Dispatch
- El Observador (Spanish)
- Vietnam, The Daily News (Vietnamese)
- Other local community newspapers (i.e., Saratoga News and Cupertino Courier)



The advertisement will be published once a week for three consecutive weeks and will state the following:

- Application Deadline (at least 30 days after the last published date of advertisement).
- Number of units the Housing Authority estimates it will be able to assist under the funding it is making available for this purpose.
- Only applications submitted in response to the advertisement will be considered.

The following format will be used for all notices advertising Housing Authority acceptance of applications for the PBC Program:

PUBLIC NOTICE

The Housing Authority of the County of Santa Clara (HACSC) will be accepting applications from property owners for the Section 8 Project Based Certificate (PBC) Program. This Request for Proposals (RFP) is established pursuant to Title 24, Chapter VIII of the Code of Federal Regulations, 24 CFR, and Section 983.

Under the PBC Program, the HACSC will attach a Section 8 Housing Assistance Payments Contract to a structure if the owner agrees to rehabilitate or construct the structure *other than* with assistance provided under the United States Housing Act of 1937. The rent for each unit in the selected structure(s) will be subsidized by HACSC when the owner leases the unit to an eligible family. The purpose of this program is to encourage property owners to construct standard or upgrade substandard rental housing stock, and make it available to low-income families at rents within the Section 8 existing housing fair market rents.

Rehabilitation or new construction of selected projects cannot begin until the Housing Authority and the owner(s) have executed an Agreement.

The HACSC estimates that up to _____ units in the City of San Jose and up to _____ units in the rest of Santa Clara County will be assisted under the funding available for this purpose.

RFP packets will be available at the Housing Authority office at 505 WEST JULIAN STREET, SAN JOSE, CA 95110, between the hours of 8:00 a.m. and 5:00 p.m. from (Initial Date) through (Closing Date). The application submission deadline is (Deadline Date) (30 days after the date the advertisement is *last published*).

Only applications submitted in response to this advertisement will be considered.

For additional information, please contact _____ at (408) _____.



Pursuant to 24 CFR, Section 983.51(e), the Housing Authority may select units to which assistance is to be attached, without advertising and without applying the selection factors otherwise required, if attachment of project-based assistance would further the purposes of the sale of a public housing project to a resident management corporation under Section 21 of the U.S. Housing Act of 1937 (42 U.S. C. 1437s).

2. APPLICATION REQUIREMENTS AND EVALUATION CRITERIA

Applications for the City of San Jose will be reviewed and ranked **separately** from applications for the rest of Santa Clara County. Applications for both jurisdictions are subject to the same application requirements, evaluation criteria, review guidelines and ranking factors as described below.

The following procedures will be followed by the Housing Authority in accepting and screening owner applications submitted for the PBC.

A. Application Submission Deadline

Owner applications will be accepted until the published deadline at the Housing Authority Office indicated on the RFP. The Housing Authority will date and time stamp all applications upon receipt. Applications received after the published deadline date will not be accepted. Postmarks are not acceptable.

B. Application Format

Owner applications are to be completed using the forms and/or format described in the Request for Proposals.

C. Incomplete Applications

If a supporting document required by the RFP is not under the control of the applicant and cannot be obtained within the filing deadline, the applicant must include a written explanation in the application detailing the cause of the delay and the anticipated date the document will be delivered. The Housing Authority will review the information provided and accept the application, but classify it as non-responsive pending receipt of the document. The application will be re-dated upon receipt of the document. In no case will documentation be accepted more than ten (10) days after the final deadline.

If, after Housing Authority review, an application is found to be non-responsive or non-compliant with the RFP, written selection criteria and procedures, or HUD program regulations, it will be identified as deficient and will be returned to the applicant with notification listing the deficiencies. The Housing Authority will give the applicant ten (10) working days to correct the deficiency. The application will not be further considered until the missing information is submitted.



In cases where the application meets the minimum information requirements, but is defective through typographical or minor calculation errors, the application will be processed.

The Housing Authority reserves the right to reject applications at any time for misinformation, errors, or omissions of any kind, no matter how far they have been processed.

D. Application Content

The RFP will list the property requirements for both rehabilitated and new construction projects, including the site and neighborhood standards (983.6), zoning requirements, eligible/ineligible properties (983.7), per unit minimum cost factor (rehab only; 983.8), FMR limitations (882.714), and other Federal Requirements (983.11).

The RFP will require that applications from owners must meet the requirements listed above and must contain the following information:

1. A detailed description of the housing to be constructed or rehabilitated, including:
 - a. The number of units by size (square footage), bedroom count, and bathroom count;
 - b. Sketches of the proposed new construction or rehabilitation;
 - c. Unit plans;
 - d. A listing of amenities and services; and
 - e. The estimated date of completion;

For rehabilitation, the description must describe the property as is and must also describe the proposed rehabilitation.

2. Evidence of site control.

For new construction, must include identification and description of the proposed site, site plan and neighborhood.

3. Evidence that the proposed new construction or rehabilitation is permitted by current zoning ordinances or regulations, or evidence to indicate that the needed rezoning is likely to be obtained and will not delay the project.
4. The proposed contract rent per unit, including an indication of which utilities, services, and equipment are included in the rent and which are not included. For those utilities that are not included in the rent, an estimate of the average monthly cost of each unit type for the first year of occupancy.



5. A statement identifying:
- a. The number of persons (families, individuals, businesses and nonprofit organizations) occupying the property on the date of the submission of the application;
 - b. The number of persons to be displaced, temporarily relocated or moved permanently within the building or complex;
 - c. The estimated cost of relocation payments and services, and the sources of funding;
 - d. The organization(s) that will carry out the relocation activities; and
 - e. Information regarding the owner and other project principals, including:
 - (i) the identity of the owner and other project principals and the names of officers and principal members, shareholders, investors, and other parties having a substantial interest;
 - (ii) certification showing that the above-mentioned parties are not on the U.S. General Services Administration list of parties excluded from Federal procurement and non-procurement programs;
 - (iii) a disclosure of any possible conflict of interest by any of these parties that would be a violation of the Agreement or the HAP contract; and
 - (iv) information on the qualifications and experience of the principal participants.

Information concerning any participant who is not known at the time of the owner's submission must be provided to the HA as soon as the participant is known.

- f. The owner's plan for managing and maintaining the units.
- g. Evidence of financing or lender interest and the proposed terms of financing.
- h. The proposed term of the HAP contract; and
- i. Such other information as the HA believes necessary as identified in the Public Notice, RFP/application, or in the selection and/or ranking criteria.

E. Application Review Panel

If there are no Housing Authority-owned or controlled applicants, the Executive Director of the Housing Authority, his designee, or a PBC Selection Panel appointed by the Housing Authority will review, evaluate, rank, and select the applications according to the approved Unit Selection Policy.



If the Housing Authority administering the ACC or an entity substantially controlled by the Housing Authority administering the ACC submits an application, all applications received in response to the advertisement, including the Housing Authority's, will be forwarded to the HUD field office. The HUD field office will review the owner applications and make final selection based on criteria in the Housing Authority's Unit Selection Policy approved by the HUD field office.

F. Application Review

The Housing Authority (or HUD if there are Housing Authority-owned or controlled applications) will review all applications. Before selecting units, the Housing Authority will determine that each application is responsive to and in compliance with the Housing Authority's written selection criteria and procedures, and in conformity with HUD program regulation and requirements, including the following items:

1. Evidence of site control.
2. Certification that the owner and other project principles are not on the U.S. General Services Administration list of parties excluded from Federal procurement and non-procurement programs.
3. Proposed initial gross rents must be within the fair market rent limitation as described in Section 882.714 of the regulations.
4. Property must meet eligibility requirements under § 983.7 (Eligible and ineligible properties and HA-owned units), § 983.11 (Other Federal requirements) and § 983.6 (Site and Neighborhood Standards).
5. Property will be rehabilitated or constructed with other than assistance under the U.S. Housing Act of 1937 in accordance with § 983.9.
6. No rehabilitation or construction has begun (as evidenced by Housing Authority inspection).
7. FOR REHAB ONLY: Property meets the \$1000 per assisted unit requirement under § 983.8 of the regulations (as evidenced by Housing Authority inspection).

If the property meets this requirement, the HA will determine the specific work items needed to bring each unit to be assisted up to the HQS as described in § 983.5, other repairs needed to meet the \$1000 requirement, and in the case of projects of **five or more units**, any work items necessary to meet the accessibility requirements of Section 504 of the Rehabilitation Act of 1973).

8. FOR NEW CONSTRUCTION ONLY: For projects of **four or more units**, the HA will determine whether any work items necessary to meet the accessibility requirements of Section 504 of the Rehabilitation Act of 1973 and the Fair Housing Amendments Act of 1988 will be completed.



9. The number of current tenants (for Rehab projects) that are low-income families. The HA may not select a unit, or enter into an Agreement with respect to a unit, if the unit is occupied by persons who are not eligible for participation in the program.

If a proposal does not meet the requirements as indicated above, it will be designated as non-responsive and a notice to that effect, identifying the disqualifying factor, will be sent to the applicant (See Section 2C. Incomplete Applications).

Proposals that meet the requirements will be evaluated and ranked by the PBC panel. A PBC Ranking List will be prepared according to points awarded to each proposal. The Housing Authority may, at its discretion, select one or more of the proposals submitted, or none of the proposals submitted.

FOR NEW CONSTRUCTION PROJECTS ONLY: The Housing Authority must submit to the HUD field office **for the site and neighborhood review** only those applications determined by the Housing Authority to be eligible for further processing pursuant to paragraph (a) of § 983.55. The applications will be submitted to the HUD field office with a certification stating that the unit or units were selected in accordance with the Housing Authority's approved unit selection policy. The Housing Authority's submission will not exceed the number of uncommitted units for which the Housing Authority is authorized to designate as project-based assistance in connection with new construction. If the number of units contained in applications the Housing Authority has determined to be eligible for further processing exceeds the number for which the Housing Authority is authorized to designate as project-based assistance, the HA may submit only the top-ranked applications.

G. Other Requirements

1. Before executing an Agreement with any selected owner, the Housing Authority must:
 - a. Contract with a State-certified general appraiser and establish the rents in accordance with § 983.12, or seek and obtain the HUD-determined initial contract rents for any HA-owned or controlled units or projects financed with a HUD insured or co-insured multifamily mortgage.
 - b. Obtain subsidy layering contract rent reviews from HUD or a Housing Credit Agency.
 - c. Obtain environmental clearance in accordance with § 983.11.
 - d. Submit a certification to the HUD field office stating that the unit or units were selected in accordance with the Housing Authority's approved unit selection policy.
2. The HUD field office must establish initial contract rents for any Housing Authority-owned units or projects financed with a HUD insured or co-insured multifamily mortgage. HUD (or a Housing Credit Agency) must also conduct subsidy layering contract rent reviews.



3. For rehabilitation projects, the owner must prepare work write-ups and, where determined necessary by the Housing Authority, specifications and plans. The Housing Authority has flexibility to determine the appropriate documentation to be submitted by the owner based on the nature of the identified rehabilitation. The work write-ups must address the specific work items identified by the Housing Authority under § 983.52 (a).
4. Before an Agreement is executed for new construction units, the owner must submit the design architect's certification that the proposed new construction reflected in the working drawings and specifications complies with housing quality standards local codes and ordinances, and zoning requirements.

3. RANKING AND SELECTION FACTORS

The following factors will be used by the Housing Authority to rank and select applications for the PBC Program. Each factor is comprised of several components with an associated point value. The Housing Authority may include additional factors to address local objectives for the specific RFP being published. The total points awarded to an application will be aggregate of the component subtotals for each factor.

FACTOR DESCRIPTION AND POINTS

FACTOR	POINTS
A. Site	25
B. Design	30
C. Previous Experience of Owner and Participants in Development, Marketing and Management of affordable low-income housing	35
D. Feasibility of the Project as a Whole (including likelihood of financing and marketability)	50
E. Local Objectives	45
TOTAL POINTS:	185



FACTOR COMPONENTS:

A. SITE		
1.	Residential in nature (based on zoning).	5
2.	Adequate in size, exposure and contour to accommodate the # and type of units proposed; adequate utilities (water, sewer, gas, electricity) and streets available to serve the site.	5
3.	Promotes greater choice of housing opportunities and avoids undue concentration of assisted persons in areas containing a high proportion of low-income persons.	5
4.	Accessible to social, recreational, educational, commercial, and health facilities and services equivalent to those typically found in similar, unassisted neighborhoods.	5
5.	Does not require excessive time or cost to travel to places of employment providing a range of jobs for lower-income workers. (Less rigid for elderly projects).	5
POINT SUBTOTAL		25*
*For NEW CONSTRUCTION projects only (item #6 & #7):		
6.	Site is not located in area of minority concentration OR meets HUD's requirements regarding sites with minority concentration. (If this criteria is NOT MET subtract 2.5 points from total)	
7.	Neighborhood is not seriously detrimental to families and is not predominated by substandard dwellings or other undesirable conditions unless there is actively in progress a concerted program to remedy such situations. (If this criteria is NOT MET subtract 2.5 points from total)	
TOTAL POINTS		25



B. DESIGN		
1.	Design or rehab plans improve livability, viability and safety of home for residents.	5
2.	Design is appropriate for planned use (considering needs of special tenant population, etc.).	5
3.	(Design or) Rehab plans remove existing design hazards or flaws.	5
4.	Adequate utilities, parking and street access.	5
5.	A portion or all of units will be made accessible to the handicapped.	10
TOTAL POINTS		30

C. PREVIOUS EXPERIENCE OF APPLICANT AND RELATED PARTICIPANTS IN DEVELOPMENT, MARKETING AND MANAGEMENT		
1.	Number of housing projects/units developed (as primary or co-sponsor).	5
2.	Number of low-income/affordable housing projects/units developed.	5
3.	Number of housing project/units marketed and current occupancy rate.	5
4.	Number of low-income/affordable housing projects/units marketed and current occupancy rate.	5
5.	Number of years of project management experience, including number of projects and units. (If applicant uses a property management company, include same info for that company).	5
6.	Number of years of low-income/affordable housing management experience (If applicant uses a property management company, include same info for that company).	5
7.	Evidence of minority and/or women owning 50% or more of business.	5
TOTAL POINTS		35



D. FEASIBILITY OF THE PROJECT AS A WHOLE (Including likelihood of financing and marketability)		
1.	Evidence that financing is secured, or notes of commitment obtained.	20
2.	Evidence that PBC will be utilized, or that existing tenants qualify for assistance if under PBC.	10
3.	Evidence that local Fair Market Rents will provide sufficient funds to assist financial stability.	20
TOTAL POINTS		50

E. LOCAL OBJECTIVES		
1.	Rehabilitation can be completed within 12 months of approval/Execution of Agreement to Enter into HAP.	20
2.	Emphasis on meeting priority needs of the community.*	20
3.	Supportive Services offered to tenants.	5
TOTAL POINTS		45

*Priority Needs would be those indicated in the Consolidated Plan for a particular community or any other official document that indicates a community's needs as it relates to housing. Applicants will be asked for justification/documentation of how their project meets priority needs.

Examples of priority needs:

From the *Consolidated Plan for Santa Clara County*: One of the strategic plan objectives of the Urban County is to provide housing opportunities for special needs populations. These include; frail elderly, agricultural workers, single parents with children, the newly immigrated, and those afflicted with permanent physical or emotional disorders.

From the *Consolidated Plan for the City of San Jose*: In the City of San Jose, 21% of all households are ELI and VLI (0 - 51% of median). Large households show the highest overall percentage of housing problems (85%), and non-senior owners show the highest incidence of housing problems (42%)... 97% of all EVL large renter households have some type of housing problem, especially related to overcrowding and/or rent burden.



HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA

Annual Plan

Resident Advisory Board Meeting Minutes

January 13, 2003 Rincon Gardens

1. INTRODUCTIONS

Present: Richard Warren, Property Management Director
Housing Authority of the County of Santa Clara

Candace Capogrossi, Deputy Executive Director
Housing Authority of the County of Santa Clara

Kristine Kane, Planning Coordinator
Housing Authority of the County of Santa Clara

Frank Wall, Housing Construction Administrator
Housing Authority of the County of Santa Clara

Emily Neff, Development Project Coordinator
Housing Authority of the County of Santa Clara

Abby Pacheco, Executive Administrative Assistant
Housing Authority of the County of Santa Clara

Suzanne Jones, Tom Seccombe, Verna Hayden, Linda Sloan, and Jon Wheeler
Section 8 and Public Housing Tenants

2. PURPOSE

In 1998, Section 511 of the Quality Housing and Work Responsibility Act (QHWRA) formed the public housing agency Five-Year and Annual Plan requirement. The Plan provides details about the Housing Authority's immediate operations and programs including information of program participants, its services, and the Housing Authority's strategy for handling operational concerns, residents' concerns and needs, programs and services for the upcoming fiscal year.

3. CAPITAL FUND PLAN

Through HUD's Comprehensive Grant Program, capital funds are distributed to large PHA's for major capital improvements/investments. PHA's are required to submit a 5-year Action Plan for these funds describing each large capital item and indicating the amount of grant funds anticipated to be spent for the upcoming plan year.

4. OVERVIEW

The Resident Advisory Board (RAB) provides the PHA and the residents with a forum for sharing information about the agency's annual plan. This meeting and within the forthcoming meetings the RAB and PHA will review last year's plan, its primary goals, and present suggestions for this year's plan.

5. MISSION STATEMENT

The Housing Authority's mission is to improve the lives of low-income families, persons with disabilities and seniors in Santa Clara County by providing affordable, high-quality housing.

6. COMMENTS

Incoming year funding to PHA's will be effected by HUD's cut-back proposal of 30%, due to budget miscalculations that will result in a possible \$250 million dollar shortfall this year. HUD notified PHA's that it will borrow from the FY 2003 appropriations, rather than approach congress for additional monies, and will fund operating subsidy at only 70%. These budget pressures will undoubtedly affect the Housing Authority's ability to serve its clients.

Affordable Housing Need in Santa Clara County – to date, the Housing Authority of the County of Santa Clara has processed the majority of its clients that were registered on its wait list. There are currently less than 8,000 clients waiting to be served. The current "soft" housing market has created a unique situation for available and affordable housing, whereas in previous years affordable housing was a hard to come by.

6. RESIDENT QUESTIONS

Q: In regards to project based developments, why isn't the Housing Authority using more project based assistance, as it will help fund more developments.

A: The Housing Authority has chosen to implement the Project Based Voucher program. Up to 20% the Section 8 vouchers under the Housing Authority Annual Contribution Contracts for the County of Santa Clara will be made available for project-based assistance. By the end of the current year there will be approximately 184 units receiving project based assistance. Within the next two years, the Housing Authority will set aside up to 500 vouchers for this program.

Q: Are people on the regular Section 8 wait list given an opportunity to participate in the project-based assistance program?

A: Although, criteria for this program is still being finalized, clients on the Section 8 wait list will receive notice of the opportunity to participate in the project-based assistance program as soon as it is made available.

Q: Does this type of assistance apply to every property?

A: No, the Housing Authority, in compliance with 24 CFR Section 938.51, will select units to receive rental assistance through its Project Base Voucher program. However, developments that are awarded the assistance will be located in cities that are within the County of Santa Clara and specific areas (to be targeted) will be those areas with less than 20% poverty concentration.

Q: In regards to the Capital Fund budget and disbursements, how is it decided which project is more important?

A: Work items/projects related to health and safety take priority over all other projects.

In conclusion, Candy Capogrossi requested that the Resident Advisory Board review last year's plan and prepare to present questions or suggestions for this year's plan at the next meeting scheduled on 1/24/03.

Meeting Adjourned.

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA
Annual Plan
Resident Advisory Board Meeting Minutes
January 24, 2003 Rincon Gardens

1. INTRODUCTIONS

Present: Richard Warren, Property Management Director
Housing Authority of the County of Santa Clara

Candace Capogrossi, Deputy Executive Director
Housing Authority of the County of Santa Clara

Kristine Kane, Planning Coordinator
Housing Authority of the County of Santa Clara

Frank Wall, Housing Construction Administrator
Housing Authority of the County of Santa Clara

Emily Neff, Development Project Coordinator
Housing Authority of the County of Santa Clara

Abby Pacheco, Executive Administrative Assistant
Housing Authority of the County of Santa Clara

Suzanne Jones, Tom Seccombe, Verna Hayden, Linda Sloan, and Jon Wheeler
Section 8 and Public Housing Tenants

2. MISSION STATEMENT

The new mission statement of the Housing Authority of the County of Santa Clara is as follows:

To improve the lives of low-income families, persons with disabilities and seniors in Santa Clara County by providing affordable, high-quality housing.

Our philosophy and commitment is dedicated towards fulfilling this mission.

3. CAPITAL FUND PLAN

Emily Neff and Frank Wall provided copies of the draft Capital Fund Five-Year Action Plan and the Annual Statement/Performance Evaluation report, including the tentative 2003 Project Priority List. A final draft of the proposed expenses will be submitted to the Board of Commissioners for approval. Further explanation entailed how the proposed 30% HUD budget cut will affect the monies for the Capital Fund Plan.

4. RESIDENT ADVISORY BOARD COMMENTS/QUESTIONS

After discussion of the capital fund plan and budget crisis that could affect public housing special programs and services at senior complexes, the following questions and suggestions were presented as an approach to cost reduction.

- ⌚ The Rincon Gardens meal program – researching catering businesses instead of onsite staff, reducing costs for replacement of tableware by changing to paper/plastic.
- ⌚ Sunset Gardens – suspend plans to “modernize” residential units (i.e. carpets) if there is no need to replace item(s).

Comments regarding maintenance staff, costly maintenance charges and the response/turn-around time for maintenance request orders were as follows:

- ⌚ A request submitted for a clogged bathtub drain due to hair that fell in the drain from the previous tenant was not repaired until 1 ½ month after the new tenant moved in to the unit. The unit had previously failed an inspection for the same clogged drain. The new tenant then received a costly bill for the charges. However, the bill was disputed and the charges withdrawn.
- ⌚ A request for a handrail(s) to be placed at the front walkway up 2 steps for a senior tenant was submitted. After 5 months of no response, the tenant approached the Property Management Director. The tenant feels that it was only after the meeting with the Director that the request was completed.
- ⌚ A request to repair a closet door that becomes stuck/lodged was submitted and finally repaired 3 months later.

All incidents reported occurred recently. Due to the current rental market, there is a high volume of property vacancies resulting in a larger workload for maintenance workers. Work order requests are now prioritized by importance and nature with health and welfare at first priority. Tenants are requesting that out of courtesy, a letter should be sent stating that the request was received with an estimated time of completion noted.

Additional Questions:

Q: Sheila Foote asked if the apartment complexes will be upgraded with better light fixtures, medicine chests, etc.

A: The project for modernization of residential units has been listed under the 2003 capital fund tentative project list. However, all projects are subject to the availability of funds.

Q: There is a concern with low-mounted shower rods at the Sunset complex. Is there anything that property management could do to raise the rod?

A: Tenants that are experiencing problems with their unit should submit a maintenance work order request.

Q: Ida Holliman, resident of the Rincon Gardens complex requested if one of the large community rooms that is currently being used as a storage facility could be converted to an exercise room.

A: Richard Warren, Property Management Director stated that use of the room will be considered, however, insurance liability concerns will need to be researched and addressed first.

In conclusion, Candy stated that the final resident advisory board meeting will be held on February 4th at Sunset Gardens, Gilroy.

Meeting Adjourned.

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA

Annual Plan

Resident Advisory Board Meeting Minutes

February 4, 2003 Sunset Gardens

1. INTRODUCTIONS

Present: Richard Warren, Property Management Director
Housing Authority of the County of Santa Clara

Candace Capogrossi, Deputy Executive Director
Housing Authority of the County of Santa Clara

Frank Wall, Housing Construction Administrator
Housing Authority of the County of Santa Clara

Emily Neff, Development Project Coordinator
Housing Authority of the County of Santa Clara

Residents Verna Hayden, Sheila Foote, Ida Holliman and Nick Crispino

2. CAPITAL FUND PLAN

Emily Neff presented the final draft of the Capital Fund and 5 Year Action Plan that will be presented to the Board of Commissioners for approval. In reviewing the 5 year action plan, some residents stated their concerns with some of the items listed for improvement such as canopies and questioned how much money is given and how is it distributed. It was reiterated, that all items submitted on the capital fund and 5 year action plan are subject to funding availability with health and safety projects taking precedence over others. The normal budget stipend for the Capital fund is 1.1 million dollars. This amount is then budgeted to cover all public housing project expenses including administrative fees.

Additional concerns expressed by the residents.

Nick Crispino, resident of Sunset Gardens Apartments, stated that some residents have concerns with the property being un-secured. Currently there are no barriers (i.e. secured gate) to keep outside pedestrians or trespassers off the property. Nick stated that the development is too "open" and it is common to see pedestrians walking through the complex making it difficult to determine whether the person is there to visit someone or is a contractor. Candy Capogrossi and Richard Warren addressed the request for consideration of a secured gate, stating that although the gate may provide a "barrier" it would not completely deter thieves. There have been incidents reported at other complexes where large furniture pieces have been stolen from the second floor. Ida Holliman, resident of Rincon Gardens stated that she's observed and has heard of several incidents of the gate being manipulated to open without appropriate authorization. Candy

Capogrossi stated that there are also additional methods that residents can carry out such as forming a neighborhood watch, making sure that contractor's are wearing their visitor badges and teaching the residents to be watchful of their surroundings and if a situation looks unusual then it should be reported. Nick Crispino also suggested an alarm system should be installed in the digital club house, as there are many computers and valuable equipment inside the room and the glass door presents an opportunity to potential thieves. Residents of Sunset and Rincon expressed their interest in additional senior community activities. All residents are encouraged to participate in resident activities. Nick Crispino expressed interest in forming a Senior Resident Association where residents from different complexes could participate in activities and field trips.

In conclusion, Candy Capogrossi thanked all of the residents for their participation in this year's resident advisory board. Their comments and suggestions will be noted in the minutes and added as part of the annual and five year plan submission to HUD.

Meeting adjourned.

Housing Authority of the County of Santa Clara Annual and Five Year Plan

ATTACHMENTS

- A. Housing Authority of the City of San Jose Executive Summary
- B. Organizational Charts
- C. Resolution No. 03-6E PHA Certification of Compliance with the PHA Plans and Related Regulations
Board Resolution to Accompany the PHA Plan
- D. State/Local Government Certification of Consistency with the Consolidated Plan
- E. List of Consolidated Plans for the Jurisdictions of the Housing Authority of the City of San Jose
- F. Fiscal Year Ending 6/30/2002 Operating Budget for the Section 8 Program
- G. Table of Contents for the Section 8 Administrative Plan
- H. Housing Authority of the County of Santa Clara and City of San Jose Single Audit Year Ended June 30, 2001
- I.
 - 1. Procurement Policy for Equipment, Materials and Supplies,
 - 2. Procurement Policy for Professional Services
 - 3. Disposition Policy
 - 4. Protests and Appeals Policy
 - 5. Investment Policy and Guidelines
- J. Housing Needs of Families in the Housing Authority's Jurisdictions
- K. Programs Administered at the Housing Authority of the City of San Jose
- L. Resident Advisory Board Meetings and Public Comments