Executive Summary
Housing Authority of the County of Santa Clara

The Fiscal Year 2005 Annual and 5-Year Plans for the Housing Authority of the County of Santa Clara has been prepared in compliance with Section 511 of the *Quality Housing and Work Responsibility Act (QHWRA) of 1998* and the ensuing HUD requirements.

The Annual and 5-Year Plans outline a comprehensive approach to describing the agency, its mission and stated objectives for addressing the housing needs of low-income and very low-income families in Santa Clara County. Both Plans are consistent with the Consolidated Plans of the City of San Jose and City of Sunnyvale, the two largest cities in our 12-city community.

The primary objective of the Housing Authority as stated in its 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.*

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

The following information describes the four fundamental goals the Housing Authority pursued during the last five years and its accomplishments. These goals will remain the main objective during this next 2005-2009 Plan segment.

1999-2004 Accomplishments

1. Goal: To increase the availability of decent, safe and affordable housing by improving the quantity, quality, and variety of housing choices in the community
The Housing Authority successfully applied for and received new voucher funding
Developed and constructed tax-credit units in Santa Clara County.
Implemented project base assistance for families using section 8 vouchers.
Collaborated with the Social Services Agency and administered an innovative rent subsidy program called "RAP".
2. Goal: Improve the community quality of life and economic vitality by participating in work force investment activities.

Worked closely with the Social Services Agency in administering the Welfare to Work program.
Established agreement with NOVA in the installation of an information kiosk as a source for job training, employment and housing resources - benefiting the public, clients and staff
As of 1/1/03, there are two homeowners who are utilizing the Section 8 Housing Assistance Payments Program to augment their mortgage payment. Both homeowners participated in first time homebuyers workshops and received general homebuyer education.
The FSS program has 67 graduates who are homeowners, two of whom are Section 8 Homeownership households, with an additional family in position to close escrow this month and another family in their final stages of purchasing a home.
3. Goal: Promote self-sufficiency and asset development of families and individuals – supporting the FSS 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.
Since 1999, the Housing Authority has awarded 199 scholarships totaling approximately $116,300.00 in scholarship money given.
An electronic communications connection with the County Social Services Agency was established in order to streamline daily business interactions.
4. Goal: 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 Housing Authority supported affirmative housing goals through; ▪ Staff training ▪ Owner education and outreach ▪ Maintaining good working relationships with fair housing groups and task forces such as Bay Area Legal Aid and Mid Peninsula Citizens for Fair Housing ▪ Participation in Bay Area Fair Housing Task Force.

Goals and Objectives
2005-2009

1. Goal: To increase the availability of decent, safe and affordable housing by improving the quantity, quality, and variety of housing choices in the community

Should they become available, the Housing Authority will apply for voucher funding.
Construct and manage Opportunity Center and Fairgrounds Housing. Maximize housing development opportunities pending available resources.
Continue utilizing project-based assistance.
Work with the City of San Jose and County of Santa Clara on 10-year plan to end homelessness. If available, set aside vouchers for homeless.
2. Goal: Improve the community quality of life and economic vitality by participating in work force investment activities.
*Apply for Moving to Work designation.
Participate in Workforce Board activities
Continue partnership with Citibank and SVNHS, reputable homeownership counseling agencies and mortgage lenders.
Increase the number of families participating in the homeownership program by partnering with developers, counselors, realtors and banks.
3. Goal: Promote self-sufficiency and asset development of families and individuals – supporting the FSS 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.
Continue Scholarship Program, seeking broader community support and a permanent source of funds.
Continue to be active partners with NOVA and SVWIB.
Expand the Lenzen Gardens "wrap around" service model to other sites.
4. Goal: 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 Housing Authority will continue to support affirmative housing goals through;

- Staff training
- Owner education and outreach
- Maintaining good working relationships with fair housing groups and task forces such as Bay Area Legal Aid and Mid Peninsula Citizens for Fair Housing
- Continue participating in Bay Area Fair Housing Task Force.

*The Housing Authority desires to participate in the National HUD Moving to Work Program (MTW). Currently there are thirty-two Housing Authorities across the country participating in the program. The program would allow the Housing Authority to test innovative methods to meet the needs of our community. It would provide flexibility to be able to design a program for Section 8 participants and Public Housing tenants, reducing bureaucracy and increasing opportunities for enhanced self-sufficiency.

A thorough examination of housing rent policy would include incentives for those who have moved from welfare to work. A reduction of non-essential employee tasks with a prioritization on timely and effective service to our community would be a goal. Continued participation in homeownership activities through community partnerships remains a goal.

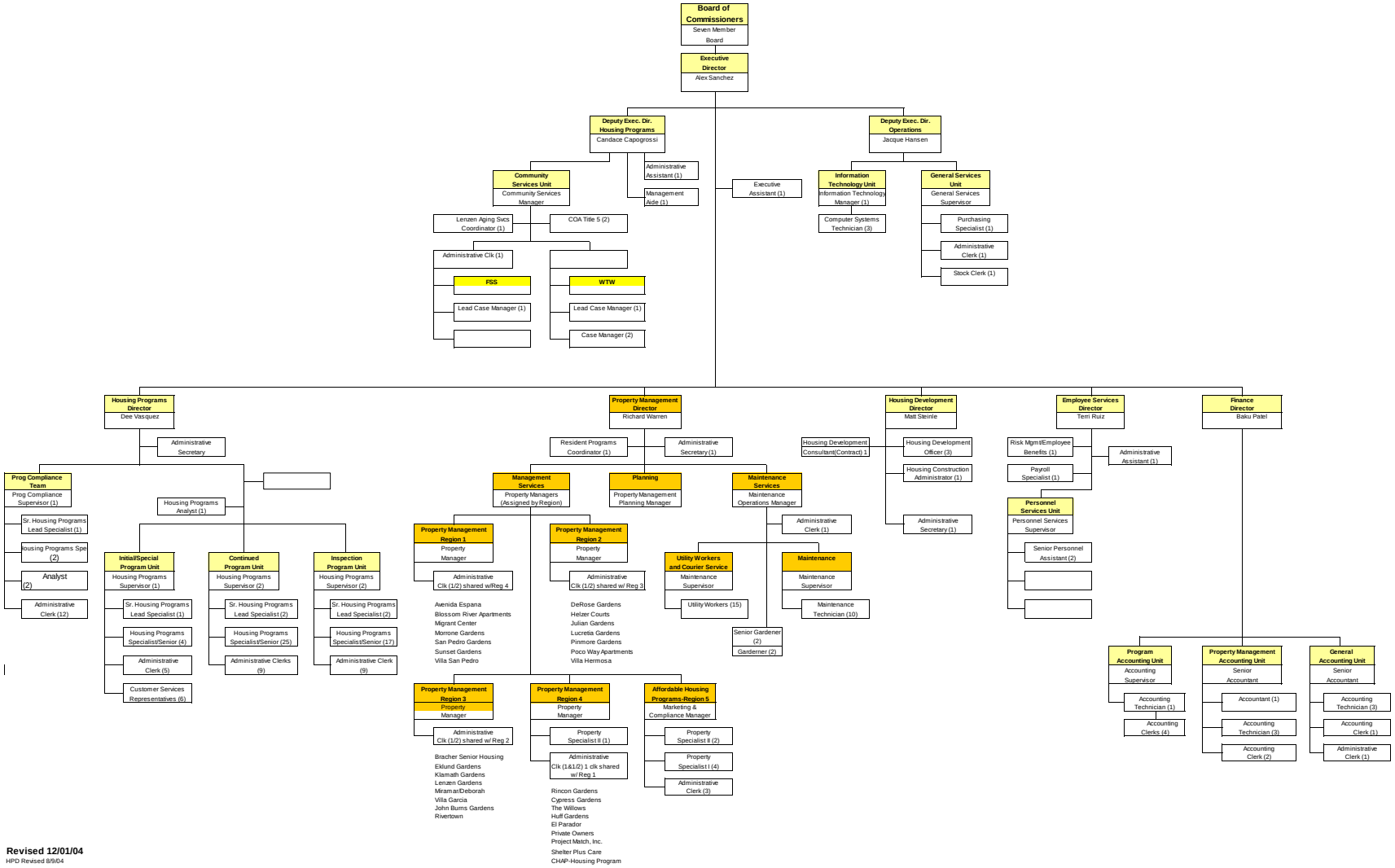
The process to seek designation as an MTW agency will commence with Board approval during FY05.

Additionally, Public Housing will seek designation of Rincon Gardens, Lenzen Gardens, Sunset Gardens and Cypress Gardens as Senior Communities for those seniors 62 years of age and older. No current residents will be required to move. The site based wait lists would be open to those age 62 and older. Analysis of the benefits of "voucherizing" public housing will take place.

Due to continued federal changes in funding for housing programs, we anticipate further funding changes that will impact the administrative policies for Section 8 and Public Housing. Clarification and updating of the Section 8 Administrative Plan and the Public Housing Occupancy Plan will be completed as needed.

During 2005, a leadership initiative resulting from surveys and a retreat was born. The project focuses on morale, accountability, problem solving and communication. During the next fiscal year, cross-functional teams representing the four leadership elements will review the current status and engage the entire staff in planned leadership development.

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA
AGENCY ORGANIZATIONAL CHART



Revised 12/01/04

HPD Revised 8/9/04

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

I, *Annabel Yurutucu* the *Housing Officer* certify that the Five Year and Annual PHA Plan of the *Housing Authority City of San Jose* is consistent with the Consolidated Plan of *the City of Sunnyvale* prepared pursuant to 24 CFR Part 91.

4.14.05

Signed / Dated by Appropriate State or Local Official

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

I, *Annabel Yurutucu* the *Housing Officer* certify that the Five Year and Annual PHA Plan of the *Housing Authority County of Santa Clara* is consistent with the Consolidated Plan of *the City of Sunnyvale* prepared pursuant to 24 CFR Part 91.

4.14.05

Signed / Dated by Appropriate State or Local Official

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

I, *Leslye Corsiglia* the *City of San Jose Housing Dept. Director* certify that the Five Year and Annual PHA Plan of the Housing Authority City of San Jose & County of Santa Clara is consistent with the Consolidated Plan of *2005-2010* prepared pursuant to 24 CFR Part 91.

Signed / Dated by Appropriate State or Local Official

List of Consolidated Plans for the Jurisdictions of the Housing Authority of the County of Santa Clara

The Housing Authority of the County of Santa Clara 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
2005 - 2010

Housing Authority of the County of Santa Clara
Annual and 5-Year Plan

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA

ADMISSIONS AND CONTINUED OCCUPANCY PLAN
FOR PUBLIC HOUSING

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CAPITAL FUND PROGRAM TABLES

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRH

PHA Name: Housing Authority of the County of Santa Clara	**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A

Original Annual Statement Reserve for Disasters/ Emergencies Revised Annual Statement (revision no:)
Performance and Evaluation Report for Period Ending: Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		T
		Original	Revised	Obligated
1	Total non-CFP Funds	$0.00		
2	1406 Operations	$200,000.00		
3	1408 Management Improvements	$43,000.00		
4	1410 Administration	$51,850.00		
5	1411 Audit	$4,635.00		
6	1415 Liquidated Damages	$0.00		
7	1430 Fees and Costs	$79,000.00		
8	1440 Site Acquisition	$0.00		
9	1450 Site Improvement	$22,250.00		
10	1460 Dwelling Structures	$485,125.00		
11	1465.1 Dwelling Equipment—Nonexpendable	$0.00		
12	1470 Nondwelling Structures	$0.00		
13	1475 Nondwelling Equipment	$10,000.00		

20	1502 Contingency	$5,000.00		
21	Amount of Annual Grant: (sum of lines 2 – 20)	**$1,279,160.00**		
22	Amount of line 21 Related to LBP Activities	$0.00		
23	Amount of line 21 Related to Section 504 compliance	$0.00		
24	Amount of line 21 Related to Security – Soft Costs	$0.00		
25	Amount of Line 21 Related to Security – Hard Costs	$0.00		
26	Amount of line 21 Related to Energy Conservation Measures	$0.00		

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRH
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal**
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		To
				Original	Revised	Fund Obliga
Rincon Gardens	Modernize residential units	1460		$140,000.00		
CA39 PO59-004	Replace unit stoves	1460		$13,875.00		
	Refurbish doors/jambs	1460		$60,000.00		
	Install ceiling fans in 3rd floor units	1460		$10,000.00		
	Replace HVAC ventilation over dining room area	1460		$60,000.00		
Sunset Gardens	Install A/C units for 2BR units	1460		$2,000.00		
CA39 PO59-005						

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRH
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal**
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		To
				Original	Revised	Fund Obliga
Lenzen Gardens	Install 2" overlay in parking area	1450		$22,250.00		
CA39 PO59-007	Modernize residential units	1460		$80,000.00		
	Install bypass valves at baseboard	1460		$11,250.00		
Cypress Gardens	Modernize residential units	1460		$80,000.00		
CA39 PO59-008						

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRH
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal**
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		To
				Original	Revised	Fund Obliga
Lucretia/Julian	Replace unit kitchen appliances	1460		$15,000.00		
CA39 PO59-012						
Halford/Poinciana CA39 PO59-014	Replace water heaters and fan coils (both sites)	1460		$13,000.00		

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRH
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal**
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		To
				Original	Revised	Fund Obliga
Miramar/Deborah	None			$0.00		
CA39 PO59-016						
HA-Wide	See following supporting pages			$771,785.00		

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRH
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal**
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		To
				Original	Revised	Fund Obliga
Operations	Public housing operating expenses	1406		$200,000.00		
			Total 1406	**$200,000.00**		
Management	CFP staff training	1408		$1,500.00		
Improvements	Resident initiative computer training	1408		$7,500.00		
	Computer software	1408		$10,000.00		
	Senior Housing Service Coordinator	1408		$24,000.00		
			Total 1408	**$43,000.00**		
Administration	Salaries & Benefits	1410		$51,000.00		
	Travel	1410		$700.00		
	Recording Fees	1410		$150.00		
			Total 1410	**$51,850.00**		

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRH
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal**
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		To
				Original	Revised	Fund Obliga
Fees & Costs	Consultant fees	1430		$25,000.00		
	Architect/inspection fees	1430		$54,000.00		
			Total 1430	**$79,000.00**		
Nondwelling	Computer hardware	1475		$10,000.00		
Equipment			**Total 1475**	**$10,000.00**		
Relocation	Relocation	1495		$25,000.00		
			Total 1495	**$25,000.00**		
Collaterization or	Bond financing approved FY2004***	1501		$353,300.00		
Debit Service			**Total 1501**	**$353,300.00**		

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRH
Part III: Implementation Schedule

PHA Name: Housing Authority of the County of Santa Clara	**Grant Type and Number** Capital Fund Program No: CA39PO5950105 Replacement Housing Factor No: N/A	**Federal FY of Grant**

Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons
	Original	Revised	Actual	Original	Revised	Actual	
04/Rincon Gardens	9/13/07			9/12/09			
05/Sunset Gardens	9/13/07			9/12/09			
07/Lenzen Gardens	9/13/07			9/12/09			
08/Cypress Gardens	9/13/07			9/12/09			
12/Lucretia-Julian	9/13/07			9/12/09			
14/Halford-Poinciana	9/13/07			9/12/09			
16/Miramar-Deborah	9/13/07			9/12/09			
HA-Wide							
Operations	9/13/07			9/12/09			
Management Improvements	9/13/07			9/12/09			
Administration	9/13/07			9/12/09			
Audit	9/13/07			9/12/09			
Fees & Costs	9/13/07			9/12/09			
Nondwelling Equipment	9/13/07			9/12/09			

Capital Fund Program Five-Year Action Plan
Part I: Summary

PHA Name Housing Authority of the County of Santa Clara				☒ **Original 5-Year Plan** ☐ **Revision No:**	
Development Number/Name/HA-Wide	Year 1 2004	Work Statement for Year 2 FFY Grant: 2005 PHA FY: 2005	Work Statement for Year 3 FFY Grant: 2006 PHA FY: 2006	Work Statement for Year 4 FFY Grant: 2007 PHA FY: 2007	Work Statement for Year 5 FFY Grant: 2008 PHA FY: 2008
	Annual Statement				
04/Rincon Gardens		$223,875.00	$246,000.00	$281,150.00	$443,500.00
05/Sunset Gardens		$2,000.00	$0.00	$0.00	$87,500.00
07/Lenzen Gardens		$113,500.00	$82,800.00	$396,000.00	$224,000.00
08/Cypress Gardens		$80,000.00	$119,500.00	$115,225.00	$130,000.00
12/Lucretia-Julian		$15,000.00	$51,250.00	$0.00	$96,250.00
14/Halford-Poinciana		$13,000.00	$7,200.00	$80,000.00	$80,000.00
16/Miramar-Deborah		$0.00	$12,000.00	$24,000.00	$80,000.00
HA-Wide		$776,559.00	$779,842.00	$783,222.00	$786,704.00
CFP Funds Listed for 5-year planning		**$1,223,934.00**	**$1,298,592.00**	**$1,679,597.00**	**$1,927,954.00**
Replacement Housing Factor Funds		$0.00	$0.00	$0.00	$0.00

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1 2004	Activities for Year : 2 FFY Grant: 2005 PHA FY: 2005			Activities for Year: 3 FFY Grant: 2006 PHA FY: 2006		
	Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See Annual	04/Rincon Gardens	Modernize residential units	$140,000.00	04/Rincon Gardens	Modernize residential units	$140,000.00
Statement		Replace unit stoves	$13,875.00		Replace lobby/hall furniture	$75,000.00
		Refurbish doors/jambs	$60,000.00		Replace common area carpeting	$25,000.00
		Install ceiling fans in 3rd floor units	$10,000.00		Install courtyard door canopies (2)	$6,000.00
		Subtotal	**$223,875.00**		**Subtotal**	**$246,000.00**
	05/Sunset Gardens	Install A/C units for 2BR units	$2,000.00	05/Sunset Gardens	None	$0.00
		Subtotal	**$2,000.00**		**Subtotal**	**$0.00**
		Total CFP Estimated Cost	**$225,875.00**			**$246,000.00**

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year : 4 FFY Grant: 2007 PHA FY: 2007			Activities for Year: 5 FFY Grant: 2008 PHA FY: 2008		
Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
04/Rincon Gardens	Modernize residential units	$80,000.00	04/Rincon Gardens	Modernize residential units	$80,000.00
	Paint common area hallways and doors	$16,150.00		Replace built-up roof	$350,000.00
	Paint exterior	$185,000.00		Replace baseboard heater shut-off valves	$13,500.00
	Subtotal	**$281,150.00**		**Subtotal**	**$443,500.00**
05/Sunset Gardens	None	$0.00	05/Sunset Gardens	Paint exterior	$65,000.00
				Replace trellises	$22,500.00
	Subtotal	**$0.00**		**Subtotal**	**$87,500.00**
	Total CFP Estimated Cost	**$281,150.00**			**$531,000.00**

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1 2004	Activities for Year : 2 FFY Grant: 2005 PHA FY: 2005			Activities for Year: 3 FFY Grant: 2006 PHA FY: 2006		
	Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See Annual	07/Lenzen Gardens	Install 2" overlay in parking area	$22,250.00	07/Lenzen Gardens	Replace fence and gate	$2,800.00
Statement		Modernize residential units	$80,000.00		Modernize residential units	$80,000.00
		Install bypass valves at baseboard	$11,250.00			
		Subtotal	**$113,500.00**		**Subtotal**	**$82,800.00**
	08/Cypress Gardens	Modernize residential units	$80,000.00	08/Cypress Gardens	Install 2" overlay in parking area	$32,000.00
					Modernize residential units	$80,000.00
					Replace flooring on stairs	$7,500.00
		Subtotal	**$80,000.00**		**Subtotal**	**$119,500.00**
		Total CFP Estimated Cost	**$193,500.00**			**$202,300.00**

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year : 4 FFY Grant: 2007 PHA FY: 2007			Activities for Year: 5 FFY Grant: 2008 PHA FY: 2008		
Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
07/Lenzen Gardens	Modernize residential units	$80,000.00	07/Lenzen Gardens	Replace ground cover and modernize irrigation system	$105,000.00
	Modernize HVAC system	$290,000.00		Modernize residential units	$80,000.00
	Replace common area carpeting	$14,000.00		Paint common area hallways	$18,000.00
	Replace boiler pumping system	$12,000.00		Replace boilers	$21,000.00
	Subtotal	**$396,000.00**		**Subtotal**	**$224,000.00**
08/Cypress Gardens	Reseal and restripe parking area	$17,875.00	08/Cypress Gardens	Modernize common areas and offices	$11,000.00
	Modernize residential units	$80,000.00		Replace dual glazed windows	$102,500.00
	Replace metal railings and gates	$1,600.00		Paint common area hallways	$16,500.00
	Replace common area carpeting	$15,750.00			
	Subtotal	**$115,225.00**		**Subtotal**	**$130,000.00**
	Total CFP Estimated Cost	**$511,225.00**			**$354,000.00**

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1 2004	Activities for Year : 2 FFY Grant: 2005 PHA FY: 2005			Activities for Year: 3 FFY Grant: 2006 PHA FY: 2006		
	Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See Annual	12/Lucretia-Julian	Replace unit kitchen appliances	$15,000.00	12/Lucretia-Julian	Replace roofs (both sites)	$45,000.00
Statement					Replace hot water heaters	$6,250.00
		Subtotal	**$15,000.00**		**Subtotal**	**$51,250.00**
	14/Halford-Poinciana	Replace water heater and fan coils (both sites)	$13,000.00	14/Halford-Poinciana	Replace washers/dryers (both sites)	$7,200.00
		Subtotal	**$13,000.00**		**Subtotal**	**$7,200.00**
		Total CFP Estimated Cost	**$28,000.00**			**$58,450.00**

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year : 4 FFY Grant: 2007 PHA FY: 2007			Activities for Year: 5 FFY Grant: 2008 PHA FY: 2008		
Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
12/Lucretia-Julian	None	$0.00	12/Lucretia-Julian	Replace exterior trim	$31,250.00
				Paint exterior (both sites)	$65,000.00
	Subtotal	**$0.00**		**Subtotal**	**$96,250.00**
14/Halford-Poinciana	Modernize residential units	$80,000.00	14/Halford-Poinciana	Modernize residential units	$80,000.00
	Subtotal	**$80,000.00**		**Subtotal**	**$80,000.00**
	Total CFP Estimated Cost	**$80,000.00**			**$176,250.00**

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1 2004	Activities for Year : 2 FFY Grant: 2005 PHA FY: 2005			Activities for Year: 3 FFY Grant: 2006 PHA FY: 2006		
	Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See	16/Miramar-Deborah	None	$0.00	16/Miramar-Deborah	Replace second floor decks (Miramar)	$4,500.00
Annual					Replace metal railings	$7,500.00
Statement		**Subtotal**	**$0.00**		**Subtotal**	**$12,000.00**
	HA-Wide	Operations	$200,000.00	HA-Wide	Operations	$200,000.00
		CFP staff training	$1,500.00		CFP staff training	$1,500.00
		Resident initiative computer training	$7,500.00		Resident initiative computer training	$7,500.00
		Computer software	$10,000.00		Computer software	$10,000.00
		Senior Housing Service Coordinator	$24,000.00		Senior Housing Service Coordinator	$24,000.00
		Salaries & Benefits	$50,901.00		Salaries & Benefits	$52,428.00
		Travel	$700.00		Travel	$700.00
		Recording fees	$150.00		Recording fees	$150.00
		Audit	$4,635.00		Audit	$4,775.00
		Consultant fees	$25,000.00		Consultant fees	$25,000.00
		Architect/ inspection fees	$53,873.00		Architect/ inspection fees	$55,489.00
		Computer hardware	$10,000.00		Computer hardware	$10,000.00
		Relocation	$25,000.00		Relocation	$25,000.00
		Collaterization or Debt Service	$353,300.00		Collaterization or Debt Service	$353,300.00
		Contingency	$10,000.00		Contingency	$10,000.00
		Total CFP Estimated Cost	**$776,559.00**			**$779,842.00**

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year : 4 FFY Grant: 2007 PHA FY: 2007			Activities for Year: 5 FFY Grant: 2008 PHA FY: 2008		
Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
16/Miramar-Deborah	Paint exterior (both sites)	$17,500.00	16/Miramar-Deborah	Modernize residential units	$80,000.00
	Replace boiler systems	$6,500.00			
	Subtotal	**$24,000.00**		**Subtotal**	**$80,000.00**
HA Wide	Operations	$200,000.00	HA Wide	Operations	$200,000.00
	CFP staff training	$1,500.00		CFP staff training	$1,500.00
	Resident initiative computer training	$7,500.00		Resident initiative computer training	$7,500.00
	Computer software	$10,000.00		Computer software	$10,000.00
	Senior Housing Service Coordinator	$24,000.00		Senior Housing Service Coordinator	$24,000.00
	Salaries & Benefits	$54,001.00		Salaries & Benefits	$55,621.00
	Travel	$700.00		Travel	$700.00
	Recording fees	$150.00		Recording fees	$150.00
	Audit	$4,918.00		Audit	$5,065.00
	Consultant fees	$25,000.00		Consultant fees	$25,000.00
	Architect/ inspection fees	$57,153.00		Architect/ inspection fees	$58,868.00
	Computer hardware	$10,000.00		Computer hardware	$10,000.00
	Relocation	$25,000.00		Relocation	$25,000.00
	Collaterization or Debt Service	$353,300.00		Collaterization or Debt Service	$353,300.00
	Contingency	$10,000.00		Contingency	$10,000.00
	Total CFP Estimated Cost	**$783,222.00**			**$786,704.00**

STATEMENT OF PROCUREMENT POLICY

Established for the Housing Authority of the County of Santa Clara (HACSC) 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 of24 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 HACSC; assure that supplies, services, and construction are procured efficiently, effectively, and at the most favorable prices available to the HACSC; promote competition in contracting; provide safeguards for maintaining a procurement system of quality and integrity; and assure that HACSC 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 HACSC after the effective date of this Statement. It shall apply to every expenditure of funds by the HACSC 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 HACSC 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 HACSC, 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 HACSC 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 HACSC 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 $lO0,OOO,** 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 sha1l 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 sha1l 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 HACSC 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:

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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 HACSC (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 HACSC 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 HACSC 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 HACSC 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 HACSC no longer requires the supplies, services or construction; the HACSC 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 HACSC; 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 HACSC.

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.

5. 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 HACSC 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 HACSC's intent to negotiate and each responsible bidder is given a reasonable opportunity to negotiate.

H. COOPERATIVE PURCHASING

The HACSC 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 HACSC 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 HACSC 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 HACSC 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 HACSC 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;
(ill) 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;

I. 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 HACSC.

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 HACSC'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 HACSC'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 HACSC’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 HACSC's policy to resolve all contractual issues informally at the HACSC level, without litigation. Disputes shall not be referred to HUD until all administrative remedies have been exhausted at the HACSC level. When appropriate, the HACSC 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 HACSC 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 HACSC 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 HACSC 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 films;

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.

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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 HACSC 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

HACSC 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 HACSC 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

The following estimates are derived from 2002 projection data. The data project the following:

The change in the number of households in this jurisdiction from 1990 to 2002 is estimated at +6.81%.

The renter occupied households in 2002 is estimated at 41.47% of all occupied units. The owner occupied households in 2002 is estimated at 58.53% of all occupied units. The change in elderly is estimated to be +0.40% from 1990 to 2002.

Name of Jurisdiction: **Santa Clara County, CA**			Source of Data **CHAS Data Book**			Data is Adjusted per Community 2020 Projections for the Year: **2002**			
	Renters					Owners			
Household by Type, Income, & Housing Problem	Elderly 1 & 2 member households	Small Related (2 to 4)	Large Related (5 or more)	All Other Households	Total Renters	Elderly	All Other Owners	Total Owners	Total Households
	(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 (51 to 80% MFI)**	2,169	9,890	4,575	7,902	24,536	7,520	10,724	18,244	42,780
14. **Moderate Income (81 to 95% MFI)**	1,472	9,218	3,461	8,074	22,225	5,301	13,077	18,378	40,603
18. Total Households**	23,002	92,660	32,021	83,549	231,232	64,315	262,042	326,357	557,589

** Includes all income groups -- including those above 95% MFI

Housing problems and cost burden data is not available for the year 2002

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 of 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 was delayed until the FSS program is 50 families 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.

   f. FSS participants porting into Santa Clara County must sign a new FSS contract and review and update, as necessary, their Service Plan within 90 days of written notification from Community Services that a request to port in has been made.

   g. Remaining family members of a family who participated in the FSS Program are not eligible to participate in the FSS Program.

   h. Interested persons, who are scheduled to attend an orientation and fail to show or call to cancel and reschedule within 14 days of their initial appointment, may be denied participation in FSS.

   i. The Head of Household agrees to attend an exit interview within 90 days of completing their five-year FSS Contract of Participation.

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 U.S. 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 program recipients are chosen on a competitive nationwide basis. The County of Santa Clara has received several grants, renewable as applicable.

As of October, 2002 there are approximately 140 current program participants and a Housing Priority List with 20 current prospective clients. 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. Shelter Plus Care program applicants are referred and accepted by the program committee and they bypass any other Housing Authority waiting list process.
- Conduct initial unit inspections and establish contract rent, in reference to fair market rents and Housing Quality Standards.
- Provide contract and lease documents for program landlords and tenants.
- Pay monthly subsidy payments to participating landlords (provide 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 Care Multi-Service Team (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 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 Voucher Program, 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 decision was based on the fact that these select families have an opportunity to receive the WtW housing assistance ahead of the other 28,000 registrants on the Section 8 waiting list.

E. Grievance Procedures

The Grievance Procedure for the WtW Housing Program is different 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. Staff of WtW collaborating agencies are welcome to attend as relevant.

Efforts 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 26**

PROJECT BASED VOUCHER ASSISTANCE PROGRAM – EXISTING HOUSING

INTRODUCTION

The HA first established a project-based assistance program under 1999 HUD regulations (24 CFR Part 983 Project-Based Certificates) for rehabilitation and new construction projects. Based on the new regulations implemented in January 2001 for project-basing **existing** housing (meaning a project with rehab expenditures of less than $1,000, or no rehab), the agency has chosen to engage in additional project-based assistance for existing housing. This program is being implemented 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 new regulations allow the HA to project-base up to 20% of the Section 8 vouchers under the HA 's Annual Contribution Contracts (ACC). The new regulations also place a cap of 25% on the number of units in any one building that may have project-based voucher assistance. However, projects for seniors, single family homes and buildings with 4 or fewer units may be project-based at more than 25%.

The policies described in this chapter pertain to the new 2001 PBA Program for existing housing that will be project-based at 25% or less only. (The policy for project-basing existing housing for seniors at more than 25% and all rehabilitation and new construction projects will follow the unit selection policy described in Chapter 25).

A. Advertisement Policy for Soliciting Owners

1) All advertisements will be placed in a newspaper(s) of general circulation in Santa Clara County (currently, *The San Jose Mercury News)*. The advertisement will run once a week for a period of three (3) consecutive weeks and indicate the number of vouchers available to be project based and the type of units that will be considered for the project based program. Interested owners will have at least 30 days from the date of last publication to apply.

2) A separate advertisement will be placed for existing non-elderly and/or non-disabled units that must comply with a 25% PBA unit limitation (the 25% limit does not apply to single-family homes or buildings with 4 or fewer units). This advertisement shall include the HA 's selection policy.

3) All advertisements for the PBA Program will contain a statement that participation in the PBA Program requires compliance with Fair Housing and Equal Opportunity Requirements.

4) Only applications received in response to Request for Proposals (RFP) will be considered for the PBA Program.

5) For senior/disabled housing to be project-based at more than 25%, new construction and rehabilitated housing, HUD must pre-approve the advertisement and unit selection policy (See Chapter 25 for unit selection policies for these types of housing projects).

B. Unit Selection – Existing Housing to be Project-Based at 25% or Less.

1) Eligible Housing. Only existing housing will be considered. Existing housing is housing that requires LESS THAN $1,000 per unit of rehabilitation (or no rehabilitation) to meet Housing Quality Standards. Each unit must pass an HQS inspection before project-based assistance can begin.

2) Expanding Housing and Economic Opportunities. Projects must be located in census tracts with a poverty rate of 20% or less (projects located in areas with higher poverty rates may also be considered, but the owner must submit justification for the need to project-base their development in such an area. These projects will be submitted to HUD for review and approval). Projects should also be located in areas that are in close proximity (.5 mile or less) to public transportation and in close proximity (3 miles or less) to the following: employment centers, schools or colleges, health facilities, parks and recreational areas. Deconcentration of poverty in addition to enhanced employment and education opportunities is a critical selection factor.

3) Number of units to be project-based. Non-elderly, non-disabled projects (with more than 4 units per building) are subject to a 25% limit of PBA units in each building. Single-family homes and buildings with 4 or fewer units may be project-based up to 100%.

4) Project Readiness. Projects must be ready for occupancy under the Project-Based Assistance Program within a reasonable period of time (90 days or less from the date of application submission).

5) Vacancy Rate. In order to maximize lease-up of project-based units by persons on the waiting list, the HA will give higher consideration to projects with a large number of vacant units (at least 10%).

6) Contract Term. The HA will enter into a contract for 10 years to provide rent subsidies for designated PBA units at selected projects. Projects that request a contract for less than 10 years will not be considered.

7) Supportive Services. The HA will give higher consideration to those projects that provide on-site supportive services, i.e., case management, educational and/or life skills courses, after-school tutoring, etc.

8) Occupied units. Tenants currently residing in units selected for the PBA program must be eligible for the Section 8 Rental Subsidy Program. The HA may not select a unit for project-based assistance if it is occupied by persons who are not eligible for participation in the program.

9) The HA may limit the total number of applications accepted from any one entity.

C. Tenant Selection and Waiting List

The HA will maintain a separate waiting list for the PBA Program. Participants must be selected from this list. The list will be established and maintained as follows:

1) Tenants currently residing in units that are selected for the PBA Program will not be displaced and will be given the opportunity, if eligible, to receive rental assistance under the PBA Program without being placed on the waiting list.

2) Persons on the regular Section 8 waiting list will be given an opportunity to be placed on the PBA Wait List when it is open without penalty to any other application for assistance they have pending.

3) Applicants referred by the owners of PBA projects will be placed on the project-based wait list when it is open.

4) An applicant cannot be removed from the waiting list because the owner does not select them or because the family does not accept the unit; they maintain their position on the waiting list as though no offer was made.

5) Income targeting requires that no less than 75% of the families admitted annually to the Section 8 Voucher Program (including PBA) must have incomes that are less than 30% of the area median.

D. HAP Contract Term

The initial term of the HAP Contract under the project-based assistance program will be 10 years and is subject to future availability of appropriations and future availability of funding under the HA's Annual Contribution Contracts.

Any renewal of project-based HAP Contracts will be determined at the time of expiration of the initial contract and is subject to future availability of funding under the HA 's Annual Contribution Contracts.

E. Vacancy Payments

Owners may continue to receive the HA 's portion of the rent for up to thirty (30) days after a unit becomes vacant. However, the owner must show that they are not at fault for the vacancy and are taking every action to minimize the likelihood and length of the vacancy.

F. Family Choice to Move with Continued Assistance

A family who resides in a Project Based Voucher unit for at least twelve (12) months may move with continued assistance with a tenant-based Housing Choice Voucher or its equivalent, if funding is available.

G. Rent Calculation

1) HUD regulations provide that the PBA rents must be rent reasonable, as initially determined by a qualified State-Certified Appraiser.

2) Contract rents are limited to 110% of the established FMR and include the utility allowance for both the initial rent and annual adjustments.

3) HUD must approve the rent amounts for projects owned or substantially controlled by the HA and for projects subject to a Subsidy Layering Review by HUD (this includes projects utilizing Low-Income Housing Tax Credits).

4) For projects utilizing Low Income Housing Tax Credits (LIHTC) and which are located OUTSIDE a Qualified Census Tract or QCT (QCTs have a poverty rate of 25% or more), the rent limit may be the higher of:

   - the amount charged for an LIHTC rent-restricted unit in the project;
   - 110% of FMR; or
   - HUD approved exception payment standard.

   In all cases, however, the rents approved must be reasonable in relation to rents charged in the private market for comparable unassisted units in the area.

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA
Annual Plan
Resident Advisory Board Meeting Minutes
January 12, 2005, 505 W. Julian Street

1. INTRODUCTIONS

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

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

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

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

Section 8 and Public Housing Tenants, Ida Holliman, Edna Elkins, Verna Hayden, Sheila Foote and Sam Young

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. 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.

4. COMMENTS

Candace Capogrossi welcomed everyone to the first Resident Advisory Board 2005 meeting. This meeting was held at the Housing Authority of the County of Santa Clara's main office and it is the 5th year of the 5-year plan process.

The following questions and/or comments were made by members of the Resident Advisory Board and are hereby noted:

- *Accomplishments and challenges of 2003-2004 -* Candy Capogrossi presented information and/or a recap of topics concerning the Housing Authority's challenges and accomplishments over the past year. Key topics that were discussed were as follows:
  - *Homeownership program* – Due to the economy, the San Jose Redevelopment Agency was unable to commit funds to our homeownership program. However, the Housing Authority has been working with Washington Mutual and other lenders along with Silicon Valley Neighborhood Housing Services in providing counseling assistance and resources to clients that are interested in the program.
  - *Funding for the Housing Choice Voucher Program* – due to voucher and public housing funding being controlled by HUD and an anticipated reduction in funding seemed imminent.
  - *Section 8 over-leasing* – with intense effort from our Executive Director and Housing Authority Staff, we were able to face and take control of the over leasing situation.
  - *Section 8 Fraud Unit* – The Housing Authority introduced a new fraud unit for the HCV program.
  - *Section 8 Wait List* – the Housing Authority wait list is now below 4000 names.

- *2005 Provisional Changes* – topics discussed:
  - Public Housing – Elderly housing no longer is defined as the requirement to house persons with disabilities who are not elderly.
  - Wait lists – closing, opening and purging
  - Termination of Section 8 assistance due to lack of funding – What would happen? Is there a contingency policy in place? possible reform and massive changes are expected.
  - Criminal background checks – current tenants and residents
  - Fraud/Criminal activities – partnerships with local agencies
  - Set asides
  - Up-front income verification rights

- *Capital Fund and 5 Year Action 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. Emily Neff, Development Project Coordinator, explained to the RAB the process in which the projects that are currently being worked on are selected (i.e. Cypress). There is a group that consists of staff from the Property Management Department and the Development Department that meet on a regular basis in order to determine which projects will be selected to be worked, always keeping in mind funding availability and health and safety projects taking precedence over others. Suggestions or proposals for capital improvements are submitted through different sources, one of them being requests submitted from tenants to top management via property managers and resident managers. The requests are then "cataloged", reviewed, and discussed at the annual and monthly meetings.

Additional Comments: Ms. Capogrossi commented on the challenges that the Housing Authority of the County of Santa Clara has faced and will be facing in the coming year. Although the above listed topics were briefly discussed due to time limitations, Ms. Capogrossi will keep the RAB informed of all pertinent information related to these topics.

Meeting adjourned.

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA
Annual Plan
Resident Advisory Board Meeting Minutes
February 10, 2005, 505 W. Julian Street

4. INTRODUCTIONS

Present: 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

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

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

Section 8 and Public Housing Tenants, Ida Holliman, Linda Sloan, Verna Hayden, Nick Crispino, Sam Young, Sylvia Franco and Joe Torsisi.

5. 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.

6. 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.

4. COMMENTS

Candace Capogrossi welcomed everyone to the second RAB meeting held at the Housing Authority of the County of Santa Clara's main office.

The following questions and/or comments were made by members of the Board and are hereby noted:

- *Air conditioning units at the Sunset Gardens complexes*. Residents at Sunset Gardens received new air conditioning units in place of the old units that were in the apartments; however, some residents returned theirs, as they did not need them. Resident Sheila Foote asked if it was possible to borrow additional air condition units from those that were returned to storage. Frank Wall stated that although the extra units in storage are not currently being used, they are being stored for use by potential new tenants. However, there is always likelihood that the stored air units could be used, if necessary. Candy advised that extra units could be purchased to have on-hand when needed; the cost of the extra units could be budgeted for the upcoming fiscal year.
- *Stove/Oven problem in some unit* – Resident Sheila Foote stated that she has had problems with her oven, the oven becoming to hot and burning the food she bakes. Resident Verna Hayden also stated that her over varies in temperature – it heating up too high as well. Frank Wall stated that the ovens should be recalibrated. A work order will need to be submitted to the maintenance department.
- *Heating issues at Rincon Gardens*. Resident Linda Sloan stated that although she does not experience in problems with her unit maintaining a cool temperature, in the winter time she experiences problems with keeping the unit warm. Ms. Sloan stated that she received a small heating unit from the front office – and it helps a little. Also noted as a possibility for the reason the units on the third floor do no maintain a steady, warm temperature is that they all have high ceilings and heat rises, therefore making the lower half of the unit cold. Frank Wall stated that part of the problem could possibly be resolved by installing ceiling fans, but that

would be another cost that would have to be added to the upcoming fiscal year budget. Sandi Mendez, asked the residents to please bring it to the resident manager's attention so that they may report the problems back to the regional managers and it could be noted and reviewed when time to do the budgets

- *Furniture at Rincon Gardens*. Resident Ida Holliman stated that she was told that Rincon was one of the oldest buildings built by the Housing Authority of the County of Santa Clara. Ms. Holliman feels that Rincon has the worst looking entrance compared to other Housing Authority owned buildings. Ms. Holliman stated that the furniture was very old, some pieces that are possibly over 22 years old – since the building has opened and that it is very unwelcoming. Ms. Holliman stated that she's tried to re-arrange the furniture to make it look different, and would like us to note that the chairs that were located near the elevators were removed as well as other furniture throughout the building. Sheila Foote, resident at Sunset Gardens who formerly resided at Rincon Gardens stated that a request for new furniture had been submitted by her (or residents of Rincon) and it the request should be listed on the Capital Fund register. However, there are other projects that are of higher priority such as window replacement due to leaking at the windows, which will be a large and costly project. Candy Capogrossi suggested that another alternative to locating furniture would be to approach large corporations that have gone out of business or that have relocated, to contact them and ask them to donate. The donation could be made to PRIDE and then would be a tax write off for the business. Candy suggested that the residents form a small task force and approach different Rotary clubs, in search of additional help. Sandi Mendez suggested that the residents contact Pat Ryle, Regional Manager for additional assistance.
- *Section 8 over-lease situation* – Candy Capogrossi provided an update to the situation the Housing Authority is currently facing in reference to the Section 8 Voucher Program's over lease status. The Housing Authority is avidly working with HUD to resolve this situation. Executive Director, Alex Sanchez and Chair, Sherry Simmons will be traveling to Washington, D.C. to speak with two of the Assistant Secretaries of HUD in regards to this sensitive situation.

Additional Comments: Ms. Capogrossi informed the R.A.B. that she would keep them up to date on the changes in HUD programs that are being proposed. Ms. Capogrossi also thanked the RAB for their participation.

Meeting adjourned.

HOUSING AUTHORITY OF THE CITY OF SAN JOSE

PUBLIC HEARING – March 21, 2005

The Housing Authority of the City of San Jose held its Public Hearing on Monday, March 21, 2005. The Housing Authority of the City of San Jose has updated its Agency Five Year and Annual Plan in compliance with the Quality Housing and Work Responsibility Act of 1998. The Five-Year Plan describes the mission of the agency and

the agency's long-range goals and objectives for achieving its mission over a five-year period, as well as it's approach to managing programs and providing services for the upcoming year.

A representative from Bay Area Legal Aid gave testimony. The Housing Authority thanks Bay Area Legal Aid for their suggestions/comments to the agency's administrative plan and will note that although the suggestions are taken into consideration the comments/suggestions will not change the agency's annual plan.

F. DECONCENTRATION OF POVERTY AND INCOME-MIXING

The Housing Authority's admission policy is designed to provide for deconcentration of poverty and income mixing by bringing higher income tenants into lower income projects and lower income tenants into higher income projects.

Gross annual income is used for income limits at admission and for income-mixing purposes.

The Housing Authority will gather data and analyze, at least annually, the tenant characteristics of its public housing stock, including information regarding tenant incomes, to assist in the Housing Authority's deconcentration efforts.

The Housing Authority will use the gathered tenant incomes information in its assessment of its public housing developments to determine the appropriate designation to be assigned to the project for the purpose of assisting the Housing Authority in its deconcentration goals.

If the Housing Authority's annual review of tenant incomes indicates that there has been a significant change in the tenant income characteristics of a particular project, the Housing Authority will evaluate the changes to determine whether, based on the Housing Authority methodology of choice, the project needs to be redesignated as a higher or lower income project or whether the Housing Authority has met the deconcentration goals and the project needs no particular designation.

Deconcentration and Income-Mixing Goals

Admission policies related to the deconcentration efforts of the Housing Authority do not impose specific quotas. Therefore, the Housing Authority will not set specific quotas, but will strive to achieve deconcentration and income-mixing in its developments.

The Housing Authority's income-mixing goal is a long-range goal and may not be achieved in the first year of implementation. The Housing Authority will use its annual analysis of its public housing stock and tenant incomes to provide benchmarks for the Housing Authority.

The Housing Authority's income-mixing goal, in conjunction with the requirement to target at least 40 percent of new admissions to public housing in each fiscal year to "extremely low-income families", will be to achieve the following occupancy percentages:

> For higher income projects, an occupancy rate of 40% very low- and extremely low-income families.
>
> For lower income projects, an occupancy rate of 20% families at or above the low-income limit 30% of area median).

In each fiscal year, the Housing Authority will strive to achieve the following goals for deconcentration of poverty and income-mixing:

> Increase the number lower income families into higher income developments.

Increase the number higher income families into lower income developments.

Lower income developments where the Housing Authority's goal is to increase higher income families:

Miramar Apartments	Deborah Gardens
Lucretia Gardens	

Higher income developments where the Housing Authority's goal is to increase lower income families:

Julian Gardens	Eklund Gardens 1
Eklund Gardens 2	

Project Designation Methodology

The Housing Authority will determine and compare tenant incomes at the family developments listed in this Chapter.

Upon analyzing its findings the Housing Authority will apply the policies, measures and incentives listed in this Chapter to bring higher income families into lower income developments and lower income families into higher income developments.

The Housing Authority's goal is to have eligible families having higher incomes occupy dwelling units in projects predominantly occupied by eligible families having lower incomes, and eligible families having lower incomes occupy dwelling units in projects predominantly occupied by eligible families having higher incomes.

Families having lower incomes include very low- and extremely low-income families.

Skipping of families for deconcentration purposes will be applied uniformly to all families.

When selecting applicant families and assigning transfers for a designated project the Housing Authority will determine whether the selection of the family will contribute to the Housing Authority's deconcentration goals.

The Housing Authority will not select families for a particular project if the selection will have a negative effect on the Housing Authority's deconcentration goals. However, if there are insufficient families on the waiting list under no circumstances will a unit remain vacant longer than necessary.

Aggregate Average Method

The Housing Authority will review the annual resident income of all family sites and using the incomes of all families in the targeted developments as a baseline, determine the average income of all of its resident families.

The Housing Authority will designate higher income developments those with average income above the aggregate average.

The Housing Authority will designate lower income developments those with

average income below the aggregate average.

Change in Circumstances

Applicants are required to notify the Housing Authority in writing when their circumstances change.

RESIDENT MEMBERSHIP OF GOVERNING BOARD

The Housing Authority of the County of Santa Clara's resident member of the Board of Commissioners is Verna Hayden. Verna lives at Sunset Gardens, a conventional public housing site in Gilroy, CA. Her term of appointment is April 2004 to April 2006.

Housing Authority of the County of Santa Clara

Project-Based Assistance

The Housing Authority has chosen to implement project-based assistance in its Section 8 Program. Up to 20% (or 1,905) of the Section 8 vouchers under the Housing Authority Annual Contribution Contracts (ACC) for the County of Santa Clara will be made available for project-based assistance.

The Housing Authority has chosen to implement project-based assistance in order to provide 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.

Periodically, the Housing Authority will accept applications for the Project-Based Assistance Program from property owners in response to advertisements in a newspaper of general circulation. Projects awarded with project-based assistance will be located in those 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 and that are in close proximity to the following: employment centers, schools or colleges, public transportation, parks and recreational areas. Projects may be existing developments, housing needing rehabilitation, or new construction.

The Housing Authority will maintain a separate wait list from which it will fill vacant project-based assisted units.

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA

Housing Choice Voucher

Homeownership Program

By January 1, 2003, two low income homeowners began utilizing the Section 8 Housing Assistance Payments Program to augment their mortgage payment. Both homeowners purchased below market units in an attractive condominium complex in San Jose.

In total, over 150 clients who were current participants or alumni of the Housing Authority's Family Self-Sufficiency (FSS) Program have expressed interest in purchasing a home and pre-home counseling meetings are being arranged with non-profit organizations that provide homeownership services to prepare the clients for future opportunities. As of March 2005, twelve families have already been identified as "ready-to-go" and an additional twenty families are actively working to achieve homeownership.

In 2003, the Housing Authority entered into a partnership with Silicon Valley Neighborhood Housing Services (NHSSV). NHSSV is a non-profit organization that serves the community in general, offering a variety of products and services to first time homebuyers. One of the key components of the NHSSV services is a first-time homebuyers workshop. This workshop provides training in the areas of budget, credit repair, loan programs, closing costs, and available grants. The Housing Authority's partnership with NHSSV allows us to refer current tenants and alumni of the FSS Program to receive general homebuyer education and Section 8 Homeownership Program information.

From the twelve families that were identified as "ready to go", six attended an NHSSV homebuyer orientation in September of 2003. Following the meeting, individual appointments were scheduled with the First TimeH omebuyers Educational Manager. At the individual meeting with the tenant, the Manager conducted an in depth analysis of the individual family's financial and credit circumstances as it relates to theirhomeownership potential and eligibility in the Homeownership Program. Three of the six families who attended that meeting are continuing to work with the NHSSV staff and taking substantial steps towards realizing their goal of homeownership.

A second homebuyer orientation, attended by 24 families,was conducted on January 21, 2004. And two more orientations were conducted on May 5, 2004, attended by 20 households, and September 29, 2004, attended by 18 families. To date, all FSS participants who have expressed interest in becoming first time homeowners have been invited to an orientation.

The FSS Program has 67 graduates who are homeowners, two of whom are Section 8 Homeownership households, with an additional family set to close escrow this month, and another family in their final stages of purchasing a home.

The Housing Authority of the County of Santa Clara has the full support of our Board of Commissioners by resolution to expand the program to our general Housing Choice Voucher client base.

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA
STRATEGIC PLAN 2003-2008

The Housing Authority of the County of Santa Clara's Strategic Plan is a comprehensive guide to the Agency's policies, programs, operations and strategies for meeting local housing needs. The plan includes high-level and strategic oversight, an assessment of present strengths and weaknesses, and futures planning. Its structure consists of the Housing Authority's mission, goals, objectives and performance measures, both for the organization as a whole and for each distinct function and business-area.

This plan begins with the History and Role of the Housing Authority and the agency's Mission, which reflects what the organization is in business to do.

♦ ♦

History and Role of the Housing Authority of the County of Santa Clara

Established by the San Jose County Board of Supervisors in 1967, the Housing Authority of the County of Santa Clara (HACSC) has grown to a staff of over 290, with an annual budget of over $180 million. Serving 13 cities and the balance of Santa Clara County, the HACSC became "arguably one of the country's best-managed and most accomplished housing authorities".

Through the following primary business areas, the HACSC's role is bridging the gap to affordable housing for low-income families, persons with disabilities and seniors in Santa Clara County:

- Section 8 Rental Assistance
  - Maximizing housing opportunities
- Property Management/Public Housing
  - Effectively managing housing properties
- Housing Development
  - Developing housing structures
- Community Services
  - Meeting social service needs of residents
- Finance
  - Providing useful financial information to management
- Human Resources
  - Providing comprehensive service to staff

- Information Technology
  - Increasing staff productivity

- External Processes/Public Goals
  - Communicating housing leadership and successes

♦ ♦

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

In order to achieve its mission, the HACSC will need to pursue the following organization-wide goals:

Organization-wide Goals:

1. To increase and preserve the supply of affordable, high-quality housing.
2. To maintain high levels of customer and stakeholder satisfaction.
3. To widely communicate the services and achievements of HACSC.
4. To maintain balanced budgets including provision for appropriate reserves.
5. To attract and retain the highest caliber employees dedicated to carrying out the HACSC mission.

These goals will be operationalized through organization-wide objectives, as well as Goals and Objectives in each primary business area. The following is a list of targeted organization wide objectives:

Organization-wide Objectives

- Efficient and effective programs, which meet community needs.
- Efficient use of all subsidies and resources.
- An entrepreneurial spirit that creates a balance between taking risks and appropriate due diligence.
- Excellent programs that meet all internal and external audit requirements.
- Effective legal support for all areas of the organization.
- Better processes to measure client satisfaction.
- Improved inter-departmental communication.
- Uniform employee training in basic job skills and in necessary software applications.
- Increased automation and computer support for primary business areas.

- Improved use of all technology, from telephones and computers to voice mail and FAX machines.
- Annual operational plans that compliment the Strategic plan.
- High ethical standards.
- Employee commitment.
- Continuous improvement.
- A workplace that will embrace diversity.
- A growing support system within our community of practice through successful advocacy and positive results.
- Easily accessible information for the public.
- The highest standards in the operations of the housing authority.

Through their continued "tenacity" and commitment, the HACSC staff, management and Commissioners will achieve their mission.

PHA Plans

Streamlined 5-Year/Annual Version

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

OMB No. 2577-0226
(exp 05/31/2006)

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937 that introduced 5-year and annual PHA Plans. The full PHA plan provides a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form allows eligible PHAs to make a streamlined annual Plan submission to HUD consistent with HUD's efforts to provide regulatory relief to certain PHAs. Public reporting burden for this information collection is estimated to average 11.7 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Information in PHA plans is publicly available.

Streamlined 5-Year Plan for Fiscal Years 2005 - 2009
Streamlined Annual Plan for Fiscal Year 2005

NOTE: This PHA Plan template (HUD-50075-SA) is to be completed in accordance with instructions contained in previous Notices PIH 99-33 (HA), 99-51 (HA), 2000-22 (HA), 2000-36 (HA), 2000-43 (HA), 2001-4 (HA), 2001-26 (HA), 2003-7 (HA), and any related notices HUD may subsequently issue. Full reporting for each component listed in the streamlined Annual Plan submitted with the 5-year plan is required.

Streamlined Five-Year PHA Plan
Agency Identification

PHA Name: HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA

PHA Number: CA056 AND CA059

PHA Fiscal Year Beginning: (mm/yyyy) 07/2005

PHA Programs Administered:

☒ **Public Housing and Section 8** ☐ **Section 8 Only** ☐ **Public Housing Only**

Number of public housing units: 555 Number of S8 units: Number of public housing units:
Number of S8 units:16,284

☒ **PHA Consortia: (check box if submitting a joint PHA Plan and complete table)**

Participating PHAs	PHA Code	Program(s) Included in the Consortium	Programs Not in the Consortium	# of Units Each Program
Participating PHA 1:	**CA059**	**Section 8**	**Public Housing**	**16,284**
Participating PHA 2:		**Public Housing**		**555**
Participating PHA 3:				

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

☒ Main administrative office of the PHA
☐ PHA development management offices
☐ PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans and attachments (if any) are available for public inspection at: (select all that apply)

☒ 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 ***http://www.hacsc.org***
☒ Other (list below) ***Contact Abby Pacheco, Executive Administrative Assistant at (408) 993-2910, or Kristine Kane, Property Management Planning Manager at (408) 361-4626.***

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) ***Contact Abby Pacheco, Executive Administrative Assistant at (408) 993-2910, or Kristine Kane, Property Management Planning Manager at (408) 361-4626.***

Streamlined Five-Year PHA Plan

PHA FISCAL YEARS 2005 - 2009

[24 CFR Part 903.12]

A. Mission

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

☐ 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 County of Santa Clara 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

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAs ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS**. (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

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: ***Employ effective maintenance and management policies to minimize the number of public housing units off-line; reduce turnover time for vacated public housing units***

☒ Leverage private or other public funds to create additional housing opportunities:

☒ Acquire or build units or developments: ***To date, the Authority has newly constructed, rehabilitated and served as developer consultant and/or the property management agent for 32 housing developments serving families, seniors, persons with disabilities, migrant farm-workers and the homeless population.***

☐ Other (list below)
Collaborate with the City of San Jose and County of Santa Clara on 10-year plan to end homelessness. If available, set aside vouchers for homeless.

☒ PHA Goal: Improve the quality of assisted housing
Objectives:

☒ Improve public housing management: (PHAS score) ***91***

☒ Improve voucher management: (SEMAP score) ***High Performer***

☒ Increase customer satisfaction: ***The Housing Authority is always developing ways to improve the processes and procedures of the Section 8 Program. We have automated and streamlined many of our functions in an attempt to make the program work more efficiently for property owners and their tenants. Information regarding the Housing Authority can be accessed on the web at www.hacsc.org.***

☒ Concentrate on efforts to improve specific management functions:
(list; e.g., public housing finance; voucher unit inspections)
The Housing Authority will be in compliance with proposed project based asset management, budgeting and accounting requirements prior to calendar 2006.

The Housing Authority will implement 4 Leadership Initiatives which will include a Task Force in the following categories; Accountability, Communication, Morale and Problem Solving.

☒ Renovate or modernize public housing units: ***See 5 Year Action Plan for Capital Fund Program***

☐ Demolish or dispose of obsolete public housing:

☐ Provide replacement public housing:

☐ Provide replacement vouchers:

☒ Other: (list below)

- ***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.***
- ***Maintain High Performer status for PHAS***

☒ PHA Goal: Increase assisted housing choices
Objectives:

- ☐ Provide voucher mobility counseling:
- ☒ Conduct outreach efforts to potential voucher landlords: ***Distribute publications aimed at owners and landlords such as the recently issued in-house newsletter (Housing Voice – Owner Edition). Program promotion through our website at (www.hacsc.org)***
- ☐ Increase voucher payment standards
- ☒ Implement voucher homeownership program: ***The Housing Authority implemented the Homeownership Program in 2002. The FSS program has 67 graduates who are now homeowners. In addition, there are 2 clients who have become homeowners that use their section 8 housing assistance payments to augment their mortgage and another family in their final stages of purchasing a home. The Housing Authority has entered into partnership with Citibank and SVNHS, two reputable agencies specializing in first-time homebuyer counseling programs and mortgage lending. Many families have attended the orientations and workshops offered by these two agencies, with goals of owning their own homes. For more information, visit the HACSC website at http://www.hacsc.org/fss_homeowner.htm.***
- ☒ Implement public housing or other homeownership programs: ***The HACSC monitors certain home purchase programs for low to moderate income persons in certain cities in the County of Santa Clara. For more information regarding this program visit the HACSC website at http://hacsc.org/programs_guidelines2.htm***
- ☒ Implement public housing site-based waiting lists:
- ☐ Convert public housing to vouchers:
- ☒ Other: (list below)
  - ***The Housing Authority will project base up to 20% of allocation in order to provide a resource of stable and affordable housing units and to increase participation by private owners in providing affordable housing.***

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: ***See Attachment Q, Admissions and Continued Occupancy Plan, Chapter 4-7, F. Deconcentration Of Poverty and Income-Mixing***
- ☒ Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments: ***See Attachment G, Admissions and Continued Occupancy Plan, Chapter 4-6, C. Income Targeting***

☒ Implement public housing security improvements:

☒ Designate developments or buildings for particular resident groups (elderly, persons with disabilities) ***The Housing Authority will seek designation of four of its public housing developments as Senior Communities for those 62 years of age and older. No current residents will be required to move.***

☒ Other: (list below)

- ***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 and 2 families that are near their final steps in reaching their goals to becoming homeowners through the voucher homeownership program.***
- ***Seek funding for Aging Services Coordinators to;***
  - ***Duplicate Lenzen Gardens Independent Living Project by providing onsite services to four of our senior public housing residences in order to prevent premature institutionalization.***
  - ***Assist seniors participating in the Housing Choice Voucher Program that live in Housing Authority affiliated, tax-credit residences, remain independent by providing services on-site.***

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 clients to CalWORKS and WIA.***

☒ Provide or attract supportive services to improve assistance recipients' employability: ***Serve as a mandated partner for Workforce Investment Act. The Housing Authority worked closely with the Social Services Agency in administering 1200 new Welfare to Work Vouchers. Additional Workforce Board activities included the establishment of an automated referral device for job training and housing resources.***

☒ Provide or attract supportive services to increase independence for the elderly or families with disabilities.

☒ Other: (list below)

- ***Support the Family Self-Sufficiency Program – In 2001, the FSS Program was recognized by HUD's "Best Practices Award", and is being used as a national model. To date, several families in the FSS program have realized an increase in their family income and/or have gone on to graduate from the program and purchase homes with their earned escrow monies.***
- ***Expand the number of people assisted by the scholarship fund by 100% - The Housing Authority to date has assisted 199 families with scholarships totaling approximately $116, 300.00 in award money given.***

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)
  See Chapter 1, Section F of The Public Housing Admissions and Continued Occupancy Plan; See Chapter 1, Section G of the Section 8 Administrative Plan and Chapter 3 of the Property Management Policies and Procedures Manual

Other PHA Goals and Objectives: (list below)

- ***Apply for all funding which supports case management for Section 8 tenants and public housing residents.***
- ***Educate surrounding C.D.B.G. partners about the Housing Authority homeownership program.***
- ***Continue to support Social Services partnerships with all programs that assist Public Housing and Section 8 clients on the wait lists.***
- ***Continue*** *successful collaboration and uphold good working relationships with Fair Housing Task Forces such as, Bay Area Legal Aid and Mid Peninsula Citizens for Fair Housing.*

Streamlined Annual PHA Plan
PHA Fiscal Year 2005
[24 CFR Part 903.12(b)]

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☒ 2. Financial Resources
☒ 3. Policies on Eligibility, Selection and Admissions
☒ 4. Rent Determination Policies
☒ 5. Capital Improvements Needs
☒ 6. Demolition and Disposition
☒ 7. Homeownership
☒ 8. Civil Rights Certifications (included with PHA Certifications of Compliance)
☒ 9. Additional Information

A. Housing Authority of the County of Santa Clara Executive Summary
B. Organizational Charts
C. Resolution No. 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 County of Santa Clara
F. Fiscal Year Ending 6/30/2004 Operating Budget for the Housing Authority of the County of Santa Clara
G. Table of Contents for the Public Housing Admissions and Continued Occupancy Plan
H. Table of Contents for the Section 8 Administrative Plan
I. Table of Contents for the Property Management Policies and Procedures Manual
J. The HUD-Approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the 2005 Grant Year
K. 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program
L. Housing Authority of the County of Santa Clara Single Audit Year Ended June 30, 2004
M.
1. Procurement Policy for Equipment, Materials and Supplies
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N. Housing Needs of Families in the Housing Authority's Jurisdictions
O. Programs Administered at the Housing Authority of the County of Santa Clara
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W. Community Service Requirements for Public Housing Policy
X. Results of latest Public Housing Assessment System (PHAS) Assessment
Y. Admissions Policy for Income Targeting
Z. Family choice in rents

B. SEPARATE HARD COPY SUBMISSIONS TO LOCAL HUD FIELD OFFICE

Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*: *Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans*;
Certification by State or Local Official of PHA Plan Consistency with Consolidated Plan.
For PHAs APPLYING FOR CAPITAL FUND PROGRAM (CFP) GRANTS:
Form HUD-50070, *Certification for a Drug-Free Workplace*;
Form HUD-50071, *Certification of Payments to Influence Federal Transactions*;
Form SF-LLL & SF-LLLa, *Disclosure of Lobbying Activities.*

Executive Summary (optional)

[903.7(r)]. If desired, provide a brief overview of the contents of the streamlined 5-Year/Annual Plan.

The Housing Authority of the County of Santa Clara (HACSC) acts as the Public Housing Authority for the County of Santa Clara and the City of San Jose. Established by the San Jose County Board of Supervisors in 1967, the Housing Authority has grown to a staff of over 200+, serving 13 cities and the balance of Santa Clara County.

The mission of the HACSC is "to improve the lives of low-income families, persons with disabilities and seniors in Santa Clara County".

In compliance with Section 511 of the Quality Housing and Work Responsibility Act (QWHRA) and the ensuing requirements of the U.S. Department of HUD, the HACSC prepared its Annual and 5-Year Plan. In these plans, the agency outlines its policies, procedures, budgets and identifies its four fundamental goals and objectives that ensures the agency is continuously moving in a direction consistent with its mission.

A detailed summary of these primary goals and the accomplishments achieved over the past 5Year segment is provided as attachment "A".

1. Statement of Housing Needs [24 CFR Part 903.12 (b), 903.7(a)]

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

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

State the housing needs of the families on the PHA's waiting list/s**. Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the PHA's Waiting Lists

Waiting list type: (select one)

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

	# of families	% of total families	Annual Turnover
Waiting list total	2845	100	862
Extremely low income <=30% AMI	2753	97	N/A
Very low income (>30% but <=50% AMI)	91	3	N/A
Low income (>50% but <80% AMI)	1	0	N/A
Families with children	N/A	N/A	N/A
Elderly families	296	10.40	N/A
Families with Disabilities	405	14.24	N/A
Race/ethnicity (White)	1603	56.34	N/A
Race/ethnicity (Black)	541	19.02	N/A
Race/ethnicity (AI/AN)	73	2.57	N/A
Race/ethnicity (Asian)	605	21.27	N/A
(Hawaiian/Pacific Islander	2	.07	N/A
Race/ethnicity (not coded)	21	.74	N/A
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

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

If yes:

How long has it been closed (# of months)? 72

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

Housing Needs of Families on the PHA's Waiting Lists

Waiting list type: (select one)

☐ Section 8 tenant-based assistance
☒ Public Housing
☐ Combined Section 8 and Public Housing
☒ Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/subjurisdiction: SENIOR

Housing Needs of Families on the PHA's Waiting Lists			
	# of families	# of Seniors	
Waiting list total	2913	100	
Extremely low income <=30% AMI			
Very low income (>30% but <=50% AMI)			
Low income (>50% but <80% AMI)			
Families with children			
Elderly families			
Families with Disabilities			
Race/ethnicity (White)	141	456	
Race/ethnicity (Black)	87	65	
Race/ethnicity (AI/AN)	1	34	
Race/ethnicity (Asian)	231	1300	
Race/ethnicity (Hispanic)	251		
Not Declared	46	31	
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

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

If yes:

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

B. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families on the PHA's public housing and Section 8 waiting lists **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

In accordance with the Housing Authority's Mission and the established goals as highlighted in the Executive Summary (attachment A) that will move the Housing Authority in a direction consistent with its mission, the Housing Authority developed a comprehensive guide to the Agency's policies, programs, operations and strategies for meeting local housing needs. A brief description of the Housing Authority Strategic Plan outlining organization-wide objectives for meeting these goals is provided as Attachment U.

(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:

Select all that apply

- ☒ 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 (list below)

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

Select all that apply

- ☒ 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.
- ☒ Other: (list below) ***To date, the Authority has newly constructed, rehabilitated and served as developer consultant and/or the property management agent for 32 housing developments serving families, seniors, persons with disabilities, migrant farm-workers and the homeless population.***

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

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

Select all that apply

- ☒ 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
Select all that apply

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

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:
Select all that apply

☒ Seek designation of public housing for the elderly
☒ Apply for special-purpose vouchers targeted to the elderly, should they become available
☒ Other: (list below)
- ***Continue to support Social Services partnerships with all programs that assist Public Housing and Section 8 clients on the wait lists.***

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:
Select all that apply

☐ 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)
- ***Continue to support Social Services partnerships with all programs that assist Public Housing and Section 8 clients on the wait lists.***

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:

Select if applicable

☒ Affirmatively market to races/ethnicities shown to have disproportionate housing need
☒ Other: (list below) ***Continue to support Social Services partnerships with all programs that assist Public Housing and Section 8 clients on the wait lists.***

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

☒ 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: (list below)

- ***The Housing Authority supports affirmative housing goals by providing ongoing staff training, owner education and outreach, and by maintaining a good working relationship with Fair Housing Groups and Task Forces; the Housing Authority's website refers to HUD's link on fair housing www.hud.gov/fairhsg1.html.***

- ***See Chapter 1, Section F of The Public Housing Admissions and Continued Occupancy Plan; See Chapter 1, Section G of the Section 8 Administrative Plan and Chapter 3 of the Property Management Policies and Procedures Manual***

- ***Continue to support Social Services partnerships with all programs that assist Public Housing and Section 8 clients on the wait lists.***

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)

2. Statement of Financial Resources

[24 CFR Part 903.12 (b), 903.7 (c)]

List on the following table the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	**Planned $**	**Planned Uses**
1. **Federal Grants (FY 2005 grants)**		
a) Public Housing Operating Fund	992,140	
a) Public Housing Capital Fund	1,451,319	
b) HOPE VI Revitalization		
c) HOPE VI Demolition		
d) Annual Contributions for Section 8 Tenant-Based Assistance	135,729,077	
e) Resident Opportunity and Self-Sufficiency Grants		
f) Community Development Block Grant		
g) HOME		
Other Federal Grants (list below)		
Winter Shelter Program	262,000	
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income	1,659,404	
4. Other income (list below)		
Rincon Meals Management Fees Developer fees Billed Services Other income	277,500 1,213,882 760,234 3,926,843 478,552	
4. Non-federal sources (list below)		
County of Santa Clara	420,000	
City of San Jose	31,123	
State of CA (Migrant)	365,139	
Other: Resident Services	67,980	
Total resources	147,635,193	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.12 (b), 903.7 (b)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

(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) ***The full application takes place when the family reaches the top of the waiting list. At this time the Housing Authority ensures that verification of all HUD and Housing Authority eligibility factors is current in order to determine the family's eligibility for an offer of a suitable unit.***

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 (describe) ***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 (list below) ***When the Housing Authority opens the waiting list for any one of its programs, the Housing Authority will advertise through local newspapers, minority publications, local agencies, other media entities and through the agency's website www.hacsc.org***

Families who wish to place their name on the waiting list must complete an interest list registration form, available at the Housing Authority's main office, residential projects managed or owned by the Housing Authority and through its website at www.hacsc.org. Registration forms will be made available in an accessible format upon request from a person with a disability when the waiting list is open.

c. Site-Based Waiting Lists-Previous Year

1. Has the PHA operated one or more site-based waiting lists in the previous year? If yes, complete the following table; if not skip to d.

Site-Based Waiting Lists				
Development Information: (Name, number, location)	**Date Initiated**	**Initial mix of Racial, Ethnic or Disability Demographics**	**Current mix of Racial, Ethnic or Disability Demographics since Initiation of SBWL**	**Percent change between initial and current mix of Racial, Ethnic, or Disability demographics**
Rincon Gardens, CA39-PO59-004, Campbell, CA	***12-17-04***	***N/A***	***N/A***	***N/A***
Sunset Gardens, CA39 PO59-004, Gilroy, CA	***01-2004***	***N/A***	***N/A***	***N/A***
Lenzen Gardens, CA39 PO59-007	***2-27-04***	***N/A***	***N/A***	***N/A***

2. What is the number of site based waiting list developments to which families may apply at one time? ***5***

3. How many unit offers may an applicant turn down before being removed from the site-based waiting list? ***3***

4. ☐ Yes ☒ No: Is the PHA the subject of any pending fair housing complaint by HUD or any court order or settlement agreement? If yes, describe the order, agreement or complaint and describe how use of a site-based waiting list will not violate or be inconsistent with the order, agreement or complaint below:

d. Site-Based Waiting Lists – Coming Year

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?

3. ☒ Yes ☐ No: May families 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 www.hacsc.org***

(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? (select one)
☐ 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
☒ Over-housed

☒ Under-housed
☒ Medical justification
☒ Administrative reasons determined by the PHA (e.g., to permit modernization work)
☐ Resident choice: (state circumstances below)
☐ Other: (list below)

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: (select below)

☐ 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) (list below)

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:

☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
☐ Victims of domestic violence
☐ Substandard housing

☐ Homelessness
☐ 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 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) (list below)

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 (select all that apply)
☒ The PHA-resident lease
☒ The PHA's Admissions and (Continued) Occupancy policy
☒ PHA briefing seminars or written materials
☒ Other source (list) ***through the Housing Authority's website at www.hacsc.org***

b. How often must residents notify the PHA of changes in family composition? (select all that apply)
☒ At an annual reexamination and lease renewal
☒ Any time family composition changes
☐ At family request for revision
☐ Other (list)

(6) Deconcentration and Income Mixing

a. ☒ Yes ☐ No: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete. If yes, continue to the next question.

b. ☐ Yes ☒ No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If no, this section is complete. If yes, list these developments on the

following table:

Deconcentration Policy for Covered Developments			
Development Name	**Number of Units**	**Explanation (if any) [see step 4 at §903.2(c)(1)(iv)]**	**Deconcentration policy (if no explanation) [see step 5 at §903.2(c)(1)(v)]**

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.
Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(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):
☐ 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 landlords? (select all that apply)
☐ 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 (list below) *The Housing Authority's waiting list status remains Closed. The Waiting List, which was open from January 22 through January 30, 1999, began with approximately 27,000 families waiting to apply for rental assistance. Currently, there are approximately 2,845 families left to be assisted.*

The Housing Authority will announce the next opening of the Waiting List in the Public Announcement section of major newspapers, including the Mercury News and several foreign language newspapers as well as notifying community services agencies in Santa Clara County.

(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:

A family may submit a written request for an extension of the Voucher time period beyond 60 days. All requests for extensions must be received prior to the expiration date of the Voucher. Extensions may be granted at the discretion of the HA up to a maximum of an additional 30 days primarily for these reasons:

- *Extenuating circumstances such as hospitalization or a family emergency for an extended period of time which has affected the family's ability to find a unit within the initial 60 day period. Verification is required.*
- *The family was prevented from finding a unit due to disability accessibility requirements.*

(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)
☐ Victims of domestic violence
☐ Substandard housing
☐ Homelessness
☐ 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) (list below) 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:

☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
☐ Victims of domestic violence
☐ Substandard housing
☐ Homelessness
☐ 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) (list below) Project Based, Mainstream, Family Unification Program, Mainstream and 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" (select one)
☐ 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: (select one)
☐ 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 ***www.hacsc.org***

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

[24 CFR Part 903.12(b), 903.7(d)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

(1) Income Based Rent Policies

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one of the following two)

☐ 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))

☒ 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? (select one)

☐ $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: ***See attachment AA01***

c. Rents set at less than 30% of 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? (select all that apply)

☐ 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: (if selected, specify threshold) $40.00 per month.
☐ Other (list below)

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

a. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

☐ 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 Housing Authority used the Fiscal Year 2004 Fair Market Rents based on the

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

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

☐ At or above 90% but below100% 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 (list below)

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 comparability data in relation to rents currently charged by other owners for comparable units in the unassisted market.*

(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?

The HA recognizes that in some circumstances even the minimum rent may create a financial hardship for families. The HA will review all relevant circumstances brought to the Housing Authority's attention regarding financial hardship as it applies to the minimum rent. The Housing Authority's policies and procedures regarding minimum rent financial hardship as set forth by the Quality Housing and Work Responsibility Act of 1998 can be found in Chapter 6 of the HA's Administrative Plan and accessed at www.hacsc.org.

5. Capital Improvement Needs

[24 CFR Part 903.12(b), 903.7 (g)]

Exemptions from Component 5: Section 8 only PHAs are not required to complete this component and may skip to Component 6.

A. Capital Fund Activities

Exemptions from sub-component 5A: PHAs that will not participate in the Capital Fund Program may skip to component 5B. All other PHAs must complete 5A as instructed.

(1) Capital Fund Program

a. ☒ Yes ☐ No Does the PHA plan to participate in the Capital Fund Program in the upcoming year? If yes, complete items 12 and 13 of this template (Capital Fund Program tables). If no, skip to B.

b. ☒ Yes ☐ No: Does the PHA propose to use any portion of its CFP funds to repay debt incurred to finance capital improvements? If so, the PHA must identify in its annual and 5-year capital plans the development(s) where such improvements will be made and show both how the proceeds of the financing will be used and the amount of the annual payments required to service the debt. (Note that separate HUD approval is required for such financing activities.). Previously approved by HUD.

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

Applicability of sub-component 5B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

(1) Hope VI Revitalization

a. ☐ Yes ☒ No: Has the PHA received a HOPE VI revitalization grant? (if no, skip to next component; if yes, provide responses to questions on chart below 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)
Development name:
Development (project) number:
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

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

d. ☐ Yes ☒ No: 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:

e. ☐ Yes ☒ No: 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:

6. Demolition and Disposition

[24 CFR Part 903.12(b), 903.7 (h)]
Applicability of component 6: Section 8 only PHAs are not required to complete this section.

a. ☐ Yes ☒ No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 or 24 (Hope VI)of the U.S. Housing Act of 1937 (42 U.S.C. 1437p) or Section 202/Section 33 (Mandatory Conversion) in the plan Fiscal Year? (If “No”, skip to component 7; if “yes”, complete one activity description for each development on the following chart.)

Demolition/Disposition Activity Description
1a. Development name: 1b. Development (project) number:
2. Activity type: Demolition ☐ Disposition ☐
3. Application status (select one) Approved ☐ Submitted, pending approval ☐ Planned application ☐
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected: 6. Coverage of action (select one) ☐ Part of the development ☐ Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

7. Section 8 Tenant Based Assistance--Section 8(y) Homeownership Program

[24 CFR Part 903.12(b), 903.7(k)(1)(i)]

(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 the next component; if "yes", complete each program description below (copy and complete questions for each program identified.)

(2) Program Description

a. Size of Program

☐ Yes ☒ No: Will the PHA limit the number of families participating in the Section 8 homeownership option?

If the answer to the question above was yes, what is the maximum number of participants this fiscal year?_____

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
- Other Section 8 families with ability to meet lenders criteria

c. What actions will the PHA undertake to implement the program this year (list)?
The Housing Authority will continue to use the voucher program for homeownership. I addition, the Housing Authority will collaborate with Neighborhood Housing Services Silicon Valley to fulfill the housing counseling requirement. The Housing Authority applied for and received AHP funds that will be administered by Citibank.

(3) Capacity of the PHA to Administer a Section 8 Homeownership Program

The PHA has demonstrated its capacity to administer the program by (select all that apply):
a. ☐ Establishing a minimum homeowner down payment requirement of at least 3 percent of purchase price and requiring that at least 1 percent of the purchase price comes from the family's resources.
b. ☐ Requiring that financing for purchase of a home under its Section 8 homeownership will be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards.
c. ☒ Partnering with a qualified agency or agencies to administer the program (list name(s) and years of experience below).
d. ☒ Demonstrating that it has other relevant experience (list experience below).

- Partnership with SVNHS and Citibank
- The Housing Authority has been approved by the State of California for CalHFA Program.

8. Civil Rights Certifications

[24 CFR Part 903.12 (b), 903.7 (o)]

Civil rights certifications are included in the *PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations*: *Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans*, which is submitted to the Field Office in hard copy—see Table of Contents.

9. Additional Information

[24 CFR Part 903.12 (b), 903.7 (r)]

A. PHA Progress in Meeting the Mission and Goals Described in the 5-Year Plan

The Housing Authority's progress against the goals and objectives established in the previous 5-Year Plan for the period FY 1999- 2004 is provided as Attachment A, titled Executive Summary.

B. Criteria for Substantial Deviations and Significant Amendments

(1) Amendment and Deviation Definitions

24 CFR Part 903.7(r)

PHAs are required to define and adopt their own standards of substantial deviation from the 5-year Plan and Significant Amendment to the Annual Plan. The definition of significant amendment is important because it defines when the PHA will subject a change to the policies or activities described in the Annual Plan to full public hearing and HUD review before implementation.

a. Substantial Deviation from the 5-Year Plan

b. Significant Amendment or Modification to the Annual Plan

Changes to preference and priorities will be completed at a Board Meeting open to the public.

C. Other Information

[24 CFR Part 903.13, 903.15]

(1) Resident Advisory Board Recommendations

a. ☐ Yes ☒ No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

If yes, provide the comments below:

b. 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) ***Minutes of the Resident Advisory Board meetings conducted by the Housing Authority are provided as Attachment P.***

(2) Resident Membership on PHA Governing Board

The governing board of each PHA is required to have at least one member who is directly assisted by the PHA, unless the PHA meets certain exemption criteria. Regulations governing the resident board member are found at 24 CFR Part 964, Subpart E.

a. Does the PHA governing board include at least one member who is directly assisted by the PHA this year?

☒ Yes ☐ No:

If yes, complete the following:

Name of Resident Member of the PHA Governing Board: ***Commissioner Verna Hayden***

Method of Selection:

☒ Appointment
The term of appointment is (include the date term expires): ***April, 2006***

☐ Election by Residents (if checked, complete next section--Description of Resident Election Process)

Description of Resident Election Process
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: (describe) Appointed by Santa Clara County Board of Supervisors

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 (list)

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 (list) Appointed by Santa Clara County Board of Supervisors

b. If the PHA governing board does not have at least one member who is directly assisted by the PHA, why not?

☐ The PHA is located in a State that requires the members of a governing board to be salaried and serve on a full time basis
☐ The PHA has less than 300 public housing units, has provided reasonable notice to the resident advisory board of the opportunity to serve on the governing board, and has not been notified by any resident of their interest to participate in the Board.
☐ Other (explain):

Date of next term expiration of a governing board member:

Name and title of appointing official(s) for governing board (indicate appointing official for the next available position):

(3) PHA Statement of Consistency with the Consolidated Plan
[24 CFR Part 903.15]

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

Consolidated Plan jurisdiction: City of San Jose, Housing Department and City of Sunnyvale Consolidated Plans.

a. 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 on its waiting list 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)

b. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

- ***To encourage development of more affordable housing***
- ***To preserve affordable housing***
- ***To preserve Section 8 funding and support application for additional funds***

(4) (Reserved)

Use this section to provide any additional information requested by HUD.

10. Project-Based Voucher Program

a. ☒ Yes ☐ No: Does the PHA plan to "project-base" any tenant-based Section 8 vouchers in the coming year? If yes, answer the following questions.

b. ☒ Yes ☐ No: Are there circumstances indicating that the project basing of the units, rather than tenant-basing of the same amount of assistance is an appropriate option?

If yes, check which circumstances apply:
☐ Low utilization rate for vouchers due to lack of suitable rental units
☐ Access to neighborhoods outside of high poverty areas
☒ Other (describe below:) *due to the volatile economic market of Santa Clara County, the Housing Authority may periodically implement project-based assistance in order to provide affordable housing and increase participation by private owners.*

c. Indicate the number of units and general location of units (e.g. eligible census tracts or smaller areas within eligible census tracts): *see attachment* ____

11. List of Supporting Documents Available for Review for Streamlined Five-Year/ Annual PHA Plans

PHAs are to indicate which documents are available for public review by placing a mark in the "Applicable & On Display" column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

List of Supporting Documents Available for Review		
Applicable & On Display	**Supporting Document**	**Related Plan Component**
X	*PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans.*	Standard 5 Year and Annual Plans; streamlined 5 Year Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan.	5 Year Plans
X	Fair Housing Documentation Supporting Fair Housing Certifications: 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.	5 Year and Annual Plans
X	Housing Needs Statement of the Consolidated Plan for the jurisdiction(s) in which the PHA is located and any additional backup data to support statement of housing needs for families on the PHA's public housing and Section 8 tenant-based waiting lists.	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/ACOP), which includes the Tenant Selection and Assignment Plan [TSAP] and the Site-Based Waiting List Procedure.	Annual Plan: Eligibility, Selection, and Admissions Policies
	Any policy governing occupancy of Police Officers and Over-Income Tenants in Public Housing. ☐ Check here if included in the public housing A&O Policy.	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the method for setting public housing flat rents. ☒ 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. ☒ Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies (if included in plan, not necessary as a supporting document) and written analysis of Section 8 payment standard policies. ☐ 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	Results of latest Public Housing Assessment System (PHAS) Assessment (or other applicable assessment).	Annual Plan: Management and Operations
X	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary)	Annual Plan: Operations and Maintenance and

List of Supporting Documents Available for Review		
Applicable & On Display	**Supporting Document**	**Related Plan Component**
		Community Service & Self-Sufficiency
X	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
X	Any policies governing any Section 8 special housing types ☒ check here if included in Section 8 Administrative Plan	Annual Plan: Operations and Maintenance
N/A	Consortium agreement(s).	Annual Plan: Agency Identification and Operations/ Management
X	Public housing grievance procedures ☒ Check here if included in the public housing A & O Policy.	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures. ☒ Check here if included in Section 8 Administrative Plan.	Annual Plan: Grievance Procedures
X	The Capital Fund/Comprehensive Grant Program Annual Statement /Performance and Evaluation Report for any active grant year.	Annual Plan: Capital Needs
N/A	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants.	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	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing Section 504 of the Rehabilitation Act and the Americans with Disabilities Act. See PIH Notice 99-52 (HA).	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, Section 22 of the US Housing Act of 1937, or Section 33 of the US Housing Act of 1937.	Annual Plan: Conversion of Public Housing
N/A	Documentation for required Initial Assessment and any additional information required by HUD for Voluntary Conversion.	Annual Plan: Voluntary Conversion of Public Housing
N/A	Approved or submitted public housing homeownership programs/plans.	Annual Plan: Homeownership
X	Policies governing any Section 8 Homeownership program (Chapter 20 of the Section 8 Administrative Plan)	Annual Plan: Homeownership
X	Public Housing Community Service Policy/Programs ☒ Check here if included in Public Housing A & O Policy	Annual Plan: Community Service & Self-Sufficiency
X	Cooperative agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies.	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	Section 3 documentation required by 24 CFR Part 135, Subpart E for public housing.	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports for public housing.	Annual Plan: Community Service & Self-Sufficiency
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). ☒ Check here if included in the public housing A & O Policy.	Pet Policy
X	The results of the most recent fiscal year audit of the PHA conducted under the Single Audit Act as implemented by OMB Circular A-133, the results of that audit and the PHA's response to any findings.	Annual Plan: Annual Audit
N/A	Consortium agreement(s), if a consortium administers PHA programs.	Joint PHA Plan for

List of Supporting Documents Available for Review		
Applicable & On Display	**Supporting Document**	**Related Plan Component**
		Consortia
N/A	Consortia Joint PHA Plans ONLY: Certification that consortium agreement is in compliance with 24 CFR Part 943 pursuant to an opinion of counsel on file and available for inspection	Joint PHA Plan for Consortia
	Other supporting documents (optional). List individually.	(Specify as needed)

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

PHA Name: Housing Authority of the County of Santa Clara	Grant Type and Number Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A	Federal FY of Grant: 2005

☒ Original Annual Statement ☐ Reserve for Disasters/ Emergencies ☐ Revised Annual Statement (revision no:)
☐ Performance and Evaluation Report for Period Ending: ☐ Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds	$0.00			
2	1406 Operations	$200,000.00			
3	1408 Management Improvements	$43,000.00			
4	1410 Administration	$51,850.00			
5	1411 Audit	$4,635.00			
6	1415 Liquidated Damages	$0.00			
7	1430 Fees and Costs	$79,000.00			
8	1440 Site Acquisition	$0.00			
9	1450 Site Improvement	$22,250.00			
10	1460 Dwelling Structures	$485,125.00			
11	1465.1 Dwelling Equipment—Nonexpendable	$0.00			
12	1470 Nondwelling Structures	$0.00			
13	1475 Nondwelling Equipment	$10,000.00			
14	1485 Demolition	$0.00			
15	1490 Replacement Reserve	$0.00			
16	1492 Moving to Work Demonstration	$0.00			
17	1495.1 Relocation Costs	$25,000.00			
18	1499 Development Activities	$0.00			
19	1501 Collaterization or Debt Service	***$353,300.00			
20	1502 Contingency	$5,000.00			
21	Amount of Annual Grant: (sum of lines 2 – 20)	**$1,279,160.00**			
22	Amount of line 21 Related to LBP Activities	$0.00			
23	Amount of line 21 Related to Section 504 compliance	$0.00			
24	Amount of line 21 Related to Security – Soft Costs	$0.00			
25	Amount of Line 21 Related to Security – Hard Costs	$0.00			
26	Amount of line 21 Related to Energy Conservation Measures	$0.00			

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal FY of Grant:** 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Rincon Gardens	Modernize residential units	1460		$140,000.00				
CA39 PO59-004	Replace unit stoves	1460		$13,875.00				
	Refurbish doors/jambs	1460		$60,000.00				
	Install ceiling fans in 3rd floor units	1460		$10,000.00				
	Replace HVAC ventilation over dining room area	1460		$60,000.00				
Sunset Gardens	Install A/C units for 2BR units	1460		$2,000.00				
CA39 PO59-005								

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal FY of Grant:** 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Lenzen Gardens	Install 2” overlay in parking area	1450		$22,250.00				
CA39 PO59-007	Modernize residential units	1460		$80,000.00				
	Install bypass valves at baseboard	1460		$11,250.00				
Cypress Gardens	Modernize residential units	1460		$80,000.00				
CA39 PO59-008								

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal FY of Grant:** 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Lucretia/Julian	Replace unit kitchen appliances	1460		$15,000.00				
CA39 PO59-012								
Halford/Poinciana CA39 PO59-014	Replace water heaters and fan coils (both sites)	1460		$13,000.00				

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal FY of Grant:** 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Miramar/Deborah	None			$0.00				
CA39 PO59-016								
HA-Wide	See following supporting pages			$771,785.00				

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal FY of Grant:** 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Operations	Public housing operating expenses	1406		$200,000.00				
			Total 1406	**$200,000.00**				
Management	CFP staff training	1408		$1,500.00				
Improvements	Resident initiative computer training	1408		$7,500.00				
	Computer software	1408		$10,000.00				
	Senior Housing Service Coordinator	1408		$24,000.00				
			Total 1408	**$43,000.00**				
Administration	Salaries & Benefits	1410		$51,000.00				
	Travel	1410		$700.00				
	Recording Fees	1410		$150.00				
			Total 1410	**$51,850.00**				
Audit	Audit	1411		$4,635.00				
			Total 1411	**$4,635.00**				

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		**Grant Type and Number** Capital Fund Program Grant No: CA39PO5950105 Replacement Housing Factor Grant No: N/A				**Federal FY of Grant:** 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Fees & Costs	Consultant fees	1430		$25,000.00				
	Architect/inspection fees	1430		$54,000.00				
			Total 1430	**$79,000.00**				
Nondwelling	Computer hardware	1475		$10,000.00				
Equipment			**Total 1475**	**$10,000.00**				
Relocation	Relocation	1495		$25,000.00				
			Total 1495	**$25,000.00**				
Collaterization or	Bond financing approved FY2004***	1501		$353,300.00				
Debit Service			**Total 1501**	**$353,300.00**				
Contingency	Contingency	1502		$5,000.00				
			Total 1502	**$5,000.00**				

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part III: Implementation Schedule

PHA Name: Housing Authority of the County of Santa Clara	**Grant Type and Number** Capital Fund Program No: CA39PO5950105 Replacement Housing Factor No: N/A	**Federal FY of Grant:** 2005

Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
04/Rincon Gardens	9/13/07			9/12/09			
05/Sunset Gardens	9/13/07			9/12/09			
07/Lenzen Gardens	9/13/07			9/12/09			
08/Cypress Gardens	9/13/07			9/12/09			
12/Lucretia-Julian	9/13/07			9/12/09			
14/Halford-Poinciana	9/13/07			9/12/09			
16/Miramar-Deborah	9/13/07			9/12/09			
HA-Wide							
Operations	9/13/07			9/12/09			
Management Improvements	9/13/07			9/12/09			
Administration	9/13/07			9/12/09			
Audit	9/13/07			9/12/09			
Fees & Costs	9/13/07			9/12/09			
Nondwelling Equipment	9/13/07			9/12/09			
Relocation	9/13/07			9/12/09			
Collaterization or Debt Service	9/13/07			9/12/09			
Contingency	9/13/07			9/12/09			

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name Housing Authority of the County of Santa Clara				☐ **Original 5-Year Plan** ☒ **Revision No: 1**	
Development Number/Name/HA-Wide	Year 1 2005	Work Statement for Year 3 FFY Grant: 2006 PHA FY: 2006	Work Statement for Year 4 FFY Grant: 2007 PHA FY: 2007	Work Statement for Year 5 FFY Grant: 2008 PHA FY: 2008	Work Statement for Year 5 FFY Grant: 2009 PHA FY: 2009
	See Annual Statement				
04/Rincon Gardens		$246,000.00	$281,150.00	$443,500.00	$0.00
05/Sunset Gardens		$0.00	$0.00	$87,500.00	$30,000.00
07/Lenzen Gardens		$82,800.00	$396,000.00	$224,000.00	$0.00
08/Cypress Gardens		$119,500.00	$115,225.00	$130,000.00	$58,000.00
12/Lucretia-Julian		$51,250.00	$0.00	$96,250.00	$0.00
14/Halford-Poinciana		$0.00	$80,000.00	$80,000.00	$20,000.00
16/Miramar-Deborah		$12,000.00	$24,000.00	$80,000.00	$11,000.00
HA-Wide		$779,842.00	$783,223.00	$786,706.00	$1,290,293.00
CFP Funds Listed for 5-year planning		**$1,291,392.00**	**$1,679,598.00**	**$1,927,956.00**	**$1,409,293.00**
Replacement Housing Factor Funds		$0.00	$0.00	$0.00	$0.00

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1 2005	Activities for Year : 2 FFY Grant: 2006 PHA FY: 2006			Activities for Year: 3 FFY Grant: 2007 PHA FY: 2007		
	Development Name/Number	**Major Work Categories**	Estimated Cost	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See **Annual**	04/Rincon Gardens	***Modernize residential units***	$140,000.00	*04/Rincon Gardens*	***Modernize residential units***	$80,000.00
Statement		***Replace lobby/hall furniture***	$75,000.00		***Paint common areas***	$16,150.00
		Replace common area carpeting	$25,000.00		***Paint exterior***	$185,000.00
		Install courtyard door canopies (2)	$6,000.00			
		Subtotal	**$246,000.00**		**Subtotal**	**$281,150.00**
	05/Sunset Gardens	None	$0.00	05/Sunset Gardens	None	$0.00
		Subtotal	**$0.00**		**Subtotal**	**$0.00**
Total CFP Estimated Cost			**$246,000.00**			**$281,150.00**

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages—Work Activities

Activities for Year : 4 FFY Grant: 2008 PHA FY: 2008			Activities for Year: 5 FFY Grant: 2009 PHA FY: 2009		
Development Name/Number	**Major Work Categories**	Estimated Cost	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
04/Rincon Gardens	***Modernize residential units***	$80,000.00	*04/Rincon Gardens*	***None***	$0.00
	Replace built-up roof	$350,000.00			
	Replace baseboard heater shut-off valves	$13,500.00			
	Subtotal	**$443,500.00**		**Subtotal**	**$0.00**
05/Sunset Gardens	Paint exterior	$65,000.00	05/Sunset Gardens	Improve complex numbering system	$5,000.00
	Replace trellises	$22,500.00		Paint common areas/community room	$3,000.00
				Replace community room carpeting	$7,000.00
				Replace unit screen doors	$15,000.00
	Subtotal	**$87,500.00**		**Subtotal**	**$30,000.00**
Total CFP Estimated Cost		**$531,000.00**			**$30,000.00**

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1 2005	Activities for Year : 2 FFY Grant: 2006 PHA FY: 2006			Activities for Year: 3 FFY Grant: 2007 PHA FY: 2007		
	Development Name/Number	**Major Work Categories**	Estimated Cost	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See **Annual**	07/Lenzen Gardens	***Replace fence and gate***	$2,800.00	07/Lenzen Gardens	***Modernize residential units***	$80,000.00
Statement		***Modernize residential units***	$80,000.00		***Modernize HVAC system***	$290,000.00
					Replace common area carpeting	$14,000.00
					Replace boiler pumping system	$12,000.00
		Subtotal	**$82,800.00**		**Subtotal**	**$396,000.00**
	08/Cypress Gardens	Install 2" overlay in parking area	$32,000.00	08/Cypress Gardens	Reseal and restripe parking area	$17,875.00
		Modernize residential units	$80,000.00		Modernize residential units	$80,000.00
		Replace flooring on stairs	$7,500.00		Replace metal railings and gates	$1,600.00
					Replace common area carpeting	$15,750.00
		Subtotal	**$119,500.00**		**Subtotal**	**$115,225.00**
Total CFP Estimated Cost			**$202,300.00**			**$511,225.00**

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year : 4 FFY Grant: 2008 PHA FY: 2008			Activities for Year: 5 FFY Grant: 2009 PHA FY: 2009		
Development Name/Number	**Major Work Categories**	Estimated Cost	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
07/Lenzen Gardens	Replace ground cover and modernize irrigation system	$105,000.00	07/Lenzen Gardens	***None***	$0.00
	Modernize residential units	$80,000.00			
	Paint common areas	$18,000.00			
	Replace boilers	$21,000.00			
	Subtotal	**$224,000.00**		**Subtotal**	**$0.00**
08/Cypress Gardens	Modernize common areas and offices	$11,000.00	08/Cypress Gardens	Repair landscaping in fire lane area	$18,000.00
	Replace dual glazed windows	$102,500.00		Replace domestic water storage tanks	$40,000.00
	Paint common areas	$16,500.00			
	Subtotal	**$130,000.00**		**Subtotal**	**$58,000.00**
Total CFP Estimated Cost		**$354,000.00**			**$58,000.00**

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1 2005	Activities for Year : 2 FFY Grant: 2006 PHA FY: 2006			Activities for Year: 3 FFY Grant: 2007 PHA FY: 2007		
	Development Name/Number	**Major Work Categories**	Estimated Cost	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See **Annual**	12/Lucretia-Julian	***Replace roofs (both sites)***	$45,000.00	*12/Lucretia-Julian*	***None***	$0.00
Statement		***Replace hot water heaters***	$6,250.00			
		Subtotal	**$51,250.00**		*Subtotal*	**$0.00**
	14/Halford-Poinciana	None	$0.00	14/Halford-Poinciana	Modernize residential units	$80,000.00
		Subtotal	**$0.00**		**Subtotal**	**$80,000.00**
Total CFP Estimated Cost			**$51,250.00**			**$80,000.00**

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year : 4 FFY Grant: 2008 PHA FY: 2008			Activities for Year: 5 FFY Grant: 2009 PHA FY: 2009		
Development Name/Number	**Major Work Categories**	Estimated Cost	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
12/Lucretia-Julian	***Replace exterior trim***	$31,250.00	*12/Lucretia-Julian*	***None***	$0.00
	Paint exterior (both sites)	$65,000.00			
	Subtotal	**$96,250.00**		*Subtotal*	**$0.00**
14/Halford-Poinciana	Modernize residential units	$80,000.00	14/Halford-Poinciana	Replace fire sprinkler heads	$20,000.00
	Subtotal	**$80,000.00**		**Subtotal**	**$20,000.00**
Total CFP Estimated Cost		**$176,250.00**			**$20,000.00**

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1 2005	Activities for Year : 2 FFY Grant: 2006 PHA FY: 2006			Activities for Year: 3 FFY Grant: 2007 PHA FY: 2007		
	Development Name/Number	**Major Work Categories**	Estimated Cost	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See **Annual**	16/Miramar-Deborah	***Replace second floor decks (Miramar)***	$4,500.00	16/Miramar-Deborah	***Paint exterior (both sites)***	$17,500.00
Statement		***Replace metal railings***	$7,500.00		***Replace boiler systems***	$6,500.00
		Subtotal	**$12,000.00**		*Subtotal*	**$24,000.00**
	HA-Wide	Operations	$200,000.00	HA-Wide	Operations	$200,000.00
		CFP staff training	$1,500.00		CFP staff training	$1,500.00
		Resident initiative computer training	$7,500.00		Resident initiative computer training	$7,500.00
		Computer software	$10,000.00		Computer software	$10,000.00
		Senior Housing Service Coordinator	$24,000.00		Senior Housing Service Coordinator	$24,000.00
		Salaries & Benefits	$52,428.00		Salaries & Benefits	$54,001.00
		Travel	$700.00		Travel	$700.00
		Recording fees	$150.00		Recording fees	$150.00
		Audit	$4,775.00		Audit	$4,918.00
		Consultant fees	$25,000.00		Consultant fees	$25,000.00
		Architect/ inspection fees	$55,489.00		Architect/ inspection fees	$57,154.00
		Nondwelling Structures	$0.00		Nondwelling Structures	$0.00
		Computer hardware	$10,000.00		Computer hardware	$10,000.00
		Relocation	$25,000.00		Relocation	$25,000.00
		Collaterization or Debt Service	$353,300.00		Collaterization or Debt Service	$353,300.00
		Contingency	$10,000.00		Contingency	$10,000.00
	Total CFP Estimated Cost		**$779,842.00**			**$783,223.00**

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year : 4 FFY Grant: 2008 PHA FY: 2008			Activities for Year: 5 FFY Grant: 2009 PHA FY: 2009		
Development Name/Number	**Major Work Categories**	Estimated Cost	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
16/Miramar-Deborah	***Modernize residential units***	$80,000.00	*16/Miramar-Deborah*	***Replace wall furnaces***	$11,000.00
	Subtotal	**$80,000.00**		*Subtotal*	**$11,000.00**
HA Wide	Operations	$200,000.00	HA Wide	Operations	$200,000.00
	CFP staff training	$1,500.00		CFP staff training	$1,500.00
	Resident initiative computer training	$7,500.00		Resident initiative computer training	$7,500.00
	Computer software	$10,000.00		Computer software	$10,000.00
	Senior Housing Service Coordinator	$24,000.00		Senior Housing Service Coordinator	$24,000.00
	Salaries & Benefits	$55,621.00		Salaries & Benefits	$57,290.00
	Travel	$700.00		Travel	$700.00
	Recording fees	$150.00		Recording fees	$150.00
	Audit	$5,066.00		Audit	$5,218.00
	Consultant fees	$25,000.00		Consultant fees	$25,000.00
	Architect/ inspection fees	$58,869.00		Architect/ inspection fees	$60,635.00
	Nondwelling Structures	$0.00		Nondwelling Structures	$500,000.00
	Computer hardware	$10,000.00		Computer hardware	$10,000.00
	Relocation	$25,000.00		Relocation	$25,000.00
	Collaterization or Debt Service	$353,300.00		Collaterization or Debt Service	$353,300.00
	Contingency	$10,000.00		Contingency	$10,000.00
Total CFP Estimated Cost		**$786,706.00**			**$1,290,293.00**

13. Capital Fund Program Five-Year Action Plan

COMMUNITY SERVICE REQUIREMENTS
FOR PUBLIC HOUSING

At the time of move in and at each recertification, the Property Specialist will determine if any adult household members (18 or older) is required to perform 8 hours of community service each month per the HUD regulations.

The following adults are exempt from this requirement:

1. Age 62 or older
2. Blind or Disabled as defined by the Social Security Administration and unable to comply with this requirement
3. Primary caretaker for a blind or disabled person
4. Engaged in a work activity
5. Participating in the Family Self Sufficiency program
6. Participating in a Welfare to Work program

All adults who are exempt from this requirement must sign the "Certification of Exemption from Community Service" form at move in and at each recertification.

This regulation must be explained to all new residents and all existing residents who are required to participate. A 12 month supply of "Self-Certification Affidavits" will be given to each participating household member at move in and at each recertification.

Each month, the participant is required to perform a total of 8 hours of community service. The service performed will be documented on a "Self-Certification Affidavit" which will be completed by each participant. The "Self-Certification Affidavit" must be turned in to the Resident Manager along with the rent payment on a monthly basis. We must receive the form by the 5th of each month.

The Resident Manager will forward a copy of the "Self-Certification Affidavit to the Property Specialist as they are received. The Resident Manager will file the original "Self-Certification Affidavit" in the resident file section 1.

The Property Specialist will maintain a "List of Community Service Participants" by property.

On the 10th of each month, the Property Specialist will confirm the "Self-Certification Affidavit" was completed and received from each participant:

1. If the form was received, the Property Specialist will record on the list of participants and file the form in the tenant file in section 1.

2. If the form was NOT received, the Property Specialist will send the "Rental Agreement Violation, Failure to perform Community Service Requirement" letter. A copy of this letter will be maintained in the

resident file. After 7 days, if the "Self-Certification Affidavit" is not received, the Property Specialist will send the "Rental Agreement Violation, Second Warning, Failure to perform Community Service" letter to the resident. A copy of this letter will be maintained in the tenant file. If the "Self-Certification Affidavit" is still not received, no further action will be taken until it is time to begin processing the annual recertification.

During the annual recertification review, the Property Specialist will verify that the Community Service requirement has been met for the preceding 12 month period:

1. If so, the Property Specialist will complete the recertification in accordance with the recertification procedures. The Property Specialist will also determine if any household members are required to participate in the upcoming 12 months. If so, the Property Specialist will give them a 12 month supply of "Self-Certification Affidavits".

2. If the resident has not met the community service requirement, the "Annual Review of Community Service Requirement" form will be sent to the resident. If the resident turns in the affidavit as requested, the Property Specialist will continue to process the recertification. If the resident does not turn in the requested affidavit, a Notice of Termination of Tenancy will be served. The Property Manager must authorize this action to be taken. The termination of tenancy may be cancelled if the non-complying resident is no longer a member of the household, or in the non-complying member signs an agreement to complete the required service within the next 12 months. The Property Manager must approve this agreement.

PHAS Score Report for Fiscal Year 2004

PHA Information

PHA Code:	CA059	**PHA Name:**	COUNTY OF SANTA CLARA HOUSING AUTH.	**Fiscal Year End:**	06/30

PHAS Score: ***91*** **Designation Status:** ***High Performer*** **PHAS Status:** ***Released***

Select a PHAS indicator to view details relating to the composite score.

PHAS Indicator	Original Score	Adjustment	Net Score	Maximum Score	Indicator/PHAS Explanation
Physical	26	-	26	30	Explanation
Financial	30	-	30	30	Explanation
Management	27	-	27	30	Explanation
Resident	6	Details	9	10	Explanation
Late Penalties	-	Details	Details	-	
PHAS Total Score	**89**		**91**	**100**	

Last Updated: 12/10/2004

PHAS Score Report

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA
FOLLOW UP PLAN FOR RASS SURVEY
Effective April 17, 2003

COMMUNICATION

The Housing Authority of the County of Santa Clara encourages residents to provide suggestions or complaints by providing the following:

1. A survey from the Property Management Director requesting comments or suggestions is available in the lobby of each complex. The Property Management Director evaluates each comment or suggestion to ensure each issue is appropriately addressed.

G:\PHA ANNUAL PLAN\2003 misc\HOW

2. The Resident Satisfaction Survey will be presented annually to each resident at each complex. The Property Manager evaluates each comment or suggestion to ensure each issue is appropriately addressed.

F:\GENERAL MGMT SERVICES\Satisfactio

3. The Resident Complaint Report Form is available in the lobby of each complex. The Resident Manager evaluates each comment or suggestion to ensure each issue appropriately addressed.

F:\Approved Forms\ Resident Complaint R

4. The business hours, telephone numbers and after hour emergency telephone numbers are posted in the lobby or office area of every complex.

SAFETY

The Housing Authority of the County of Santa Clara verifies eligibility for admission to a public housing unit when families are within a certain time of being offered a unit. The criteria for eligibility and the applicant screening process are the same for all applicants in the household.

The Housing Authority of the County of Santa Clara follows the Admissions and Continued Occupancy Policy, Chapter 2 for accepting or denying an applicant for Public Housing;

ELIGIBILITY FOR ADMISSION

[24 CFR 960.201]

INTRODUCTION

This Chapter defines both HUD's and the Housing Authority's criteria for admission and denial of admission to the program. The policy of this Housing Authority is to strive for objectivity and consistency in applying these criteria to evaluate the qualifications of families who apply. The Housing Authority staff will review all information provided by the family carefully and without regard to factors other than those defined in this Chapter. Families will be provided the opportunity to explain their circumstances, to furnish additional information, if needed, and to receive an explanation of the basis for any decision made by the Housing Authority pertaining to their eligibility.

A. QUALIFICATION FOR ADMISSION

It is the Housing Authority's policy to admit qualified applicants only. An applicant is qualified if he or she meets the following criteria:

Is a family as defined in this Chapter;

Heads a household where at least one member of the household is either a citizen or eligible non-citizen. (24 CFR Part 200 and Part 5, Subpart E).

Has an Annual Income at the time of admission that does not exceed the income limits for occupancy established by HUD and posted separately in the Housing Authority offices.

The Quality Housing and Work Responsibility Act of 1998 authorizes housing authorities to admit families whose income does not exceed the low-income limit (80% of median area income) once the Housing Authority has met the annual 40% targeted income requirement of extremely low-income families (families whose income does not exceed 30% of median area income).

Provides a Social Security number for all family members, age 6 or older, or will provide written certification that they do not have Social Security numbers;

Meets or exceeds the tenant Selection and Suitability Criteria as set forth in this policy.

Timing for the Verification of Qualifying Factors

The qualifying factors of eligibility will not be verified until the family is in a position on the waiting list to be offered a housing unit.

B. FAMILY COMPOSITION

Definition of Family

The applicant must qualify as a Family. A Family may be a single person or a group of persons.

A group of persons is defined by the Housing Authority as two or more persons who intend to share residency whose income and resources are available to meet the family's needs, and will live together in Housing Authority housing.

Elderly, disabled, and displaced families are defined by HUD in CFR 5.403.

The term "Family" also includes, but is not limited to:

A family with or without children;

An elderly family;

A disabled family;

A displaced family;

The remaining member of a tenant family;

A single person who is not elderly, displaced, or a person with disabilities, or the remaining member of a tenant family;

Two or more elderly or disabled persons living together, or one or more elderly or disabled persons living with one or more live-in aides is a family;

Two or more near-elderly persons living together, or one or more near-elderly persons living with one or more live-in aides.

The temporary absence of a child from the home due to placement in foster care shall not be considered in determining the family composition and family size.

Occupancy by Police Officers

In order to provide an increased sense of security for public housing residents the Housing Authority may allow public housing units to be occupied by police officers.

Police officers will not be required to be income eligible to qualify for admission to the Housing Authority's public housing program.

Head of Household

The head of household is the adult member of the household who is designated by the family as head, is wholly or partly responsible for paying the rent, and has the legal capacity to enter into a lease under State/local law.

Emancipated minors who qualify under State law will be recognized as head of household if there is a court order recognizing them as an emancipated minor.

Persons who are married are legally recognized as adults under State law.

Spouse of Head

Spouse means the husband or wife of the head.

For proper application of the Non-citizens Rule, the definition of spouse is: the marriage partner who, in order to dissolve the relationship, would have to be divorced. It includes the partner in a common law marriage. The term "spouse" does not apply to boyfriends, girlfriends, significant others, or co-heads.

Co-head

An individual in the household who is equally responsible for the lease with the Head of Household. A household may have either a spouse or co-head, but not both. A co-head never qualifies as a dependent.

Live-In Attendants

A Family may include a live-in aide provided that such live-in aide:

Is determined by the Housing Authority to be essential to the care and well being of an elderly person, a near-elderly person, or a person with disabilities,

Is not obligated for the support of the person(s), and

Would not be living in the unit except to provide care for the person(s).

A live-in aide is not considered to be an assisted family member and has no rights or benefits under the program:

Income of the live-in aide will not be counted for purposes of determining eligibility or level of benefits.

Live-in aides are not subject to Non-Citizen Rule requirements.

Live-in aides may not be considered as a remaining member of the tenant family.

Relatives are not automatically excluded from being live-in aides, but they must meet all of the elements in the live-in aide definition described above.

Family members of a live-in attendant may also reside in the unit, providing doing so does not increase the subsidy by the cost of an additional bedroom and that the presence of the family member(s) does not overcrowd the unit.

A Live-in Aide may only reside in the unit with the approval of the Housing Authority. Written verification will be required from a reliable, knowledgeable professional, such as a doctor, social worker, or caseworker. The verification provider must certify that a live-in aide is needed for the care of the family member who is elderly, near-elderly (50-61) or disabled.

Verification of the need for a live-in aide must include the hours the care will be provided**.**

The Housing Authority has the right to disapprove a request for a live-in aide based on the "Other Eligibility Criteria" described in this Chapter.

C. MANDATORY SOCIAL SECURITY NUMBERS [24 CFR 5.216]

Families are required to provide verification of Social Security Numbers for all family members age 6 and older prior to admission, if they have been issued a number by the Social Security Administration. This requirement also applies to persons joining the family after admission to the program.

Failure to furnish verification of social security numbers is grounds for denial of admission or

termination of tenancy.

If a member does not have a Social Security Number they must sign a certification stating that they do not have one. The certification shall:

state the individual's name;

state that the individual has not been issued a Social Security Number;

state that the individual will disclose the Social Security Number, if they obtain one at a later date;

be signed and dated.

D. CITIZENSHIP/ELIGIBLE IMMIGRATION STATUS

In order to receive assistance, a family member must be a U.S. citizen or eligible immigrant. Individuals who are neither may elect not to contend their status. Eligible immigrants are persons who are in one of the six immigrant categories as specified by HUD.

For the Citizenship/Eligible Immigration requirement, the status of each member of the family is considered individually before the family's status is defined.

Mixed Families. A family is eligible for assistance as long as at least one member is a citizen or eligible immigrant. Families that include eligible and ineligible individuals are called "mixed". Such applicant families will be given notice that their assistance will be pro-rated and that they may request a hearing if they contest this determination.

No eligible members. Applicant families that include no eligible members will be ineligible for assistance. Such families will be denied admission and offered an opportunity for a hearing.

Non-citizen students defined by HUD in the non-citizen regulations are not eligible for assistance.

The **Housing Authority** will establish and verify eligibility no later than the date of the family's annual reexamination following October 21, 1998.

No individual or family applying for financial assistance may receive such financial assistance prior to the affirmative establishment and verification of eligibility of at least one individual or family member.

E. OTHER ELIGIBILITY CRITERIA

All applicants will be processed in accordance with HUD's regulations (24 CFR Part 960) and sound management practices. Applicants will be required to demonstrate ability to comply with essential provisions of the lease as summarized below.

All applicants must demonstrate through an assessment of current and past behavior the ability:

to pay rent and other charges as required by the lease in a timely manner;

to care for and avoid damaging the unit and common areas;

to use facilities, appliances and equipment in a reasonable way;

to create no health or safety hazards, and to report maintenance needs in a timely manner;

not to interfere with the rights and peaceful enjoyment of others and to avoid damaging the property of others;

not to engage in criminal activity or alcohol abuse that threatens the health, safety or right to peaceful enjoyment of other residents or staff and not to engage in drug-related criminal activity on or off the Housing Authority premises;

not to have ever been convicted of manufacturing or producing methamphetamine, also known as "speed;"

to comply with necessary and reasonable rules and program requirements of HUD and the Housing Authority; and,

to comply with local health and safety codes.

Denial of Admission for Previous Debts to This or Any Other Housing Authority

Previous outstanding debts to this Housing Authority or any Housing Authority resulting from a previous tenancy in the public housing or Section 8 program must be paid in full prior to admission.

Applicants with previous Housing Authority debts may be allowed to enter into a Payment Agreement.

Applicants with previous Housing Authority debts will be permitted to execute a Payment Agreement at the time of application, but 100% of the debt must be paid prior to offer of a unit, unless the Property Management Director has approved a Payment Agreement.

Circumstances for approval of a Payment Agreement after the offer is made include, but are not limited to, a determination that the family has been current on their payment agreement while they have been on their waiting list. Any remaining balance must be included on a Payment Agreement.

The Housing Authority reserves the right, in the case of extreme hardship, to amend the Payment Agreement. Full documentation of the hardship will be required. In no case will the debt be forgiven.

Either spouse is responsible for the entire debt incurred as a previous Housing Authority tenant. Children of the head or spouse who had incurred a debt to the Housing Authority will not be held responsible for the parent's previous debt.

F. ONE STRIKE POLICY

Denial of Admission for Drug-Related and/or Other Criminal Activity

Purpose

All federally assisted housing is intended to provide a place to live and raise families, not a place to commit crime, to use or sell drugs or terrorize neighbors. It is the intention of the Housing Authority to fully endorse and implement a policy which is designed to:

Help create and maintain a safe and drug-free community;

Keep our program participants free from threats to their personal and family safety;

Support parental efforts to instill values of personal responsibility and hard work;

Help maintain an environment where children can live safely, learn and grow up to be productive citizens; and

Assist families in their vocational/educational goals in the pursuit of self-sufficiency**.**

Administration

All screening procedures shall be administered fairly and in such a way as not to discriminate on the basis of race, color, nationality, religion, sex, familial status, disability or against other legally protected groups, and not to violate right to privacy.

To the maximum extent possible, the Housing Authority will involve other community and governmental entities in the promotion and enforcement of this policy.

This policy will be posted on the Housing Authority's bulletin board and copies made readily available to applicants and tenants upon request.

HUD Definitions

"Drug-related criminal activity" is the illegal manufacture, sale, distribution, use or possession with intent to manufacture, sell, distribute or use a controlled substance (as defined in section 102 of the Controlled Substances Act (21 U.S.C. 802)).

Drug-related criminal activity means *on or off the* premises, *not just on or near the* premises.

"Criminal activity" includes any criminal activity that threatens the health, safety or right to peaceful enjoyment of the resident's public housing premises by other residents or employees of the Housing Authority.

Screening for "One Strike"

In an effort to prevent drug related and other criminal activity, as well as other patterns of behavior that pose a threat to the health, safety or the right to peaceful enjoyment of the premises by other residents, the Housing Authority will endeavor to screen applicants as thoroughly and fairly as possible.

If in the past the Housing Authority initiated a lease termination, which may or may not have resulted in eviction for any reason cited under the One Strike Notice, for a family, as a prior resident of public housing, the Housing Authority shall have the discretion to consider all circumstances of the case regarding the extent of participation by non-involved family members.

The Housing Authority will not be obligated to ferret out information concerning a family's criminal activities as part of the processing of an application for assistance. Initial screening will be limited to routine inquiries of the family and any other information provided to the Housing Authority regarding this matter. The inquiries will be standardized and directed to all applicants by inclusion in the application form.

If as a result of the standardized inquiry, or the receipt of a verifiable referral, there is indication that the family or any family member is engaged in drug-related criminal or violent criminal activity, the Housing Authority will conduct closer inquiry to determine whether the family should be denied admission.

If the screening indicates that any family member has been arrested or convicted within the prior 5 years for drug-related or violent criminal activity, the Housing Authority shall obtain verification through police/court records.

Law Enforcement Records

The Housing Authority will check criminal history for all adults in the household to determine whether any member of the family has engaged in violent or drug-related criminal activity or other felonies which were a result of behavior inappropriate to the community to which they are applying..

Verification of any past activity will be done prior to final eligibility and will include a check of court records..

Standard for Violation

Persons evicted from public housing, Indian housing, Section 23, or any Section 8 program because of drug-related criminal activity are ineligible for admission to Public Housing for a three-year period beginning on the date of such eviction.

The Housing Authority may waive this requirement if:

> The person demonstrates successful completion of a rehabilitation program approved by the Housing Authority, or
>
> The circumstances leading to the eviction no longer exist. For example, the individual involved in drugs is no longer in the household because the person is incarcerated.

No member of the applicant's family may have engaged in drug related or violent criminal activity within the past 5 years.

The Housing Authority will permanently deny admission to public housing persons convicted of manufacturing or producing methamphetamine on the premises of the assisted housing project in violation of any Federal or State law. "Premises" is defined as the building or complex in which the dwelling unit is located, including common areas and grounds.

The Housing Authority will deny participation in the program to applicants where the Housing Authority determines there is reasonable cause to believe that the person is illegally using a controlled substance or engages in drug-related or other criminal activity. The same will apply if it is determined that the person abuses alcohol in a way that may interfere with the health, safety or right to peaceful enjoyment of the premises by other residents. This includes cases where the Housing Authority determines that there is a pattern of illegal use of controlled substances or a pattern of alcohol abuse.

The Housing Authority will consider the use of a controlled substance or alcohol to be a *pattern* if there is more than one incident during the previous 3 months.

"Engaged in or engaging in or recent history of" drug related criminal activity means any act within the past **5** years by applicants or participants, household members, or guests which involved drug-related criminal activity including, without limitation, drug-related criminal activity, possession and/or use of narcotic paraphernalia, which did or did not result in the arrest and/or conviction of the applicant or participant, household members, or guests.

"Engaged in or engaging in or recent history of" criminal activity means any act within the past **5** years by applicants or participants, household members, or guests which involved criminal activity that would threaten the health, safety or right to peaceful enjoyment of the public housing premises by other residents or employees of the Housing Authority, which did or did not result in the arrest and/or conviction of the applicant or participant, household members, or guests.

In evaluating evidence of negative past behavior, the Housing Authority will give fair consideration to the seriousness of the activity with respect to how it would affect other residents, and/or likelihood of favorable conduct in the future which could be supported by evidence of rehabilitation.

The Housing Authority may waive the requirement regarding drug-related criminal activity if:

> The person demonstrates successful completion of a credible rehabilitation program approved by the Housing Authority, or
>
> The individual involved in drug-related criminal activity is no longer in the household because the person is incarcerated.

The Housing Authority may permit eligibility for occupancy and impose conditions that the involved family member(s) does not reside in the unit. The Housing Authority will consider evidence that the person is no longer in the household such as divorce decree, incarceration, death, copy of a new lease with the owner's telephone number and address, or other substantiating evidence.

Other criminal activity

"Other criminal activity" means a history of criminal activity involving crimes of actual or threatened violence to persons or property, or a history of other criminal acts, conduct or behavior which would adversely affect the health, safety, or welfare of other residents.

For the purposes of this policy, this is construed to mean that a member of the current family has been arrested or convicted of any criminal or drug-related criminal activity within the past 5 years.

HUD defines violent criminal activity as any criminal activity that has as one of its elements the use, attempted use, or threatened use of physical force against a person or property, and the activity is being engaged in by any family member.

> No family member may have engaged in or threatened abusive or violent behavior toward Housing Authority personnel at any time.
>
> No family member may have committed fraud, bribery, or any other corrupt or criminal act in connection with any federal housing program in the last 5 years.

Evidence

The Housing Authority must have evidence of the violation.

"Preponderance of evidence" is defined as evidence which is of greater weight or more convincing than the evidence which is offered in opposition to it; that is, evidence which as a whole shows that the fact sought to be proved is more probable than not. The intent is not to prove criminal liability, but to establish that the act(s) occurred.

> Preponderance of evidence is not be determined by the number of witnesses, but by the greater weight of all evidence.

"Credible evidence" may be obtained from police and/or court records. Testimony from neighbors, when combined with other factual evidence, can be considered credible evidence. Other credible evidence includes documentation of drug raids or arrest warrants, evidence gathered by Housing Authority inspectors and/or investigators, and evidence gathered from the Housing Authority Hotline.

The Housing Authority may pursue fact-finding efforts as needed to obtain credible evidence.

Obtaining Information From Drug Abuse Treatment Centers

The Housing Authority may inquire of all applicants whether they are currently using or in the past have ever engaged in the illegal use of a controlled substance.

The Housing Authority may inquire of all applicants who respond in the affirmative whether they are currently receiving treatment or have ever received treatment at a drug abuse treatment facility.

All applicants who respond in the affirmative will be required to sign a written consent authorizing the Housing Authority to receive information from the drug abuse treatment facility stating only whether the facility has reasonable cause to believe that the applicant is currently engaging in the illegal use of a controlled substance.

The authorization will be sent to the drug abuse treatment facility with a Housing Authority postage paid return addressed envelope.

The Housing Authority will maintain such information received from a drug abuse treatment facility in a manner that respects its confidentiality.

Such confidential information will be reviewed by the Property Manager who will make a decision as to the outcome of the review.

Such confidential information will not be misused or improperly disseminated.

Confidentiality of Criminal Records

The Housing Authority will ensure that any criminal record received is maintained confidentially, not misused or improperly disseminated.

All criminal reports, while needed by Property Manager for screening for criminal behavior, will be housed in a locked file with access restricted to individuals responsible for such screening.

Misuse of the above information by any employee will be grounds for termination of employment.

The Housing Authority will document in the family's file that the family was denied admission or the tenancy was terminated due to findings in the Criminal History Report

Disclosure of Criminal Records to Family

Before the Housing Authority takes any adverse action based on a criminal conviction record, the applicant may be provided with a copy of the criminal record and an opportunity to dispute the record . Applicants will be provided an opportunity to dispute the record at an informal conference. Tenants may contest such records at the court hearing in the case of evictions.

Hearings

(See Chapter titled "Complaints, Grievances and Appeals")

If information is revealed that would cause the Housing Authority to deny admission to the household and the person disputes the information, s/he shall be given an opportunity for an informal conference according to the Housing Authority's hearing procedures outlined in the Chapter on Complaints, Grievances and Appeals.

G. SCREENING FOR SUITABILITY [24 CFR 960.204, 960.205]

In developing its admission policies, the aim of the Housing Authority is to attain a tenant body composed of families with a broad range of incomes and to avoid concentrations of the most economically deprived families and families with serious social problems. Therefore, it is the policy of the Housing Authority to deny admission to applicants whose habits and practices may reasonably be expected to have a detrimental effect on the operations of the development or neighborhood, or on the

quality of life for its residents.

The Housing Authority will conduct a detailed interview of all applicants. The interview form will contain questions designed to evaluate the qualifications of applicants to meet the essential requirements of tenancy. Answers will be subject to third party verification.

An applicant's intentional misrepresentation of any information related to eligibility, award of preference for admission, housing history, allowances, family composition or rent will result in denial of admission.

Applicants must be able to demonstrate the ability and willingness to comply with the terms of the lease, either all or with assistance which they can demonstrate that they have or will have at the time of admission. (24 CFR 8.2 Definition: Qualified Individual with Handicaps) The availability of assistance is subject to verification by the Housing Authority.

The Housing Authority's minimum age for admission as head of household is 18, to avoid entering into leases which would not be valid or enforceable under applicable law.

As a part of the final eligibility determination, the Housing Authority will screen each applicant household to assess their suitability as renters.

The Housing Authority will complete a credit check and rental history check on all applicants.

The Housing Authority shall rely upon sources of information which may include, but not be limited to, Housing Authority records, personal interviews with the applicant or tenant, interviews with previous landlords, employers, family social workers, parole officers, criminal and court records, clinics, physicians or the police department, and home visits.

This will be done in order to determine whether the individual attributes, prior conduct, and behavior of a particular applicant is likely to interfere with other tenants in such a manner as to diminish their enjoyment of the premises by adversely affecting their health, safety or welfare.

The Housing Authority will complete a home visit at the current residence of all applicants residing within Santa Clara County. Applicants shall have at least two working days advance written notice of home visits.

Factors to be considered in the screening are housekeeping habits, rent paying habits, prior history as a tenant, criminal records, the ability of the applicant to maintain the responsibilities of tenancy, and whether the conduct of the applicant in present or prior housing has been such that admission to the program would adversely affect the health, safety or welfare of other residents, or the physical environment, or the financial stability of the project.

The Housing Authority's examination of relevant information pertaining to past and current habits or practices will include, but is not limited to, an assessment of:

> The applicant's past performance in meeting financial obligations, especially rent.
>
> Eviction or a record of disturbance of neighbors sufficient to warrant a police call, destruction of property, or living or housekeeping habits at present or prior residences which may adversely affect the health, safety, or welfare of other tenants or neighbors.
>
> Any history of criminal activity on the part of <u>any</u> applicant family member involving criminal acts, including drug-related criminal activity.

Any history or evidence of repeated acts of violence on the part of an individual, or a pattern of conduct constituting a danger to peaceful occupancy by neighbors.

Any history of initiating threats or behaving in a manner indicating an intent to assault employees or other tenants.

Any history of alcohol or substance abuse that would threaten the health, welfare, or right to peaceful enjoyment of the premises by other residents.

The ability and willingness of an applicant to comply with the essential lease requirements will be verified and documented by the Housing Authority. The information to be considered in the screening process shall be reasonably related to assessing the conduct of the applicant and other family members listed on the application in present and prior housing.

The history of applicant conduct and behavior must demonstrate that the applicant family can reasonably be expected not to:

Interfere with other residents in such a manner as to diminish their peaceful enjoyment of the premises by adversely affecting their health, safety, or welfare. [24CFR 960.205(b)]

Adversely affect the physical environment or financial stability of the project. [24CFR 960.205(b)]

Violate the terms and conditions of the lease. [24CFR 8.3].

Require services from Housing Authority staff that would alter the fundamental nature of the Housing Authority's program. [24 CFR 8.3]

Rent Paying Habits

The Housing Authority will examine any Housing Authority records from a prior tenancy, and will request written references from the applicant's current landlord and may request written references from former landlords for a 5 year period.

Based upon these verifications, the Housing Authority will determine if the applicant was chronically late with rent payments, was evicted at any time during the past 5 years for nonpayment of rent, or had other legal action initiated against him/her for debts owed. Any of these circumstances could be grounds for an ineligibility determination, depending on the amount of control the applicant had over the situation.

The lack of credit history will not disqualify a family, but a poor credit history will, with the exceptions noted above.

Screening Applicants Who Claim Mitigating Circumstances

Mitigating circumstances are facts relating to the applicant's record of unsuitable rental history or behavior, which, when verified would indicate both: (1) the reason for the unsuitable rental history and/or behavior; and (2) that the reason for the unsuitable rental history and behavior is no longer in effect or is under control, and the applicant's prospect for lease compliance is an acceptable one, justifying admission.

If unfavorable information is received about an applicant, consideration shall be given to the time, nature, and extent of the applicant's conduct and to factors that might indicate a reasonable probability of favorable future conduct. In order to be factored into the Housing Authority's screening assessment

of the applicant, mitigating circumstances must be verifiable.

If the mitigating circumstances claimed by the applicant relate to a change in disability, medical condition or course of treatment, the Housing Authority shall have the right to refer such information to persons who are qualified and knowledgeable to evaluate the evidence and to verify the mitigating circumstance. The Housing Authority shall also have the right to request further information reasonably needed to verify the mitigating circumstance, even if such information is of a medically confidential nature. Such inquiries will be limited to the information necessary to verify the mitigating circumstances or, in the case of a person with disabilities, to verify a reasonable accommodation.

Examples of Mitigating Circumstances

Evidence of successful rehabilitation;

Evidence of the applicant family's participation in and completion of social service or other appropriate counseling service approved by the Housing Authority;

Evidence of successful and sustained modification of previous disqualifying behavior.

Consideration of mitigating circumstances does not guarantee that the applicant will qualify for admission. The Housing Authority will consider such circumstances in light of:

> The applicant's ability to substantiate through verification the claim of mitigating circumstances and his/her prospects for improved future behavior; and
>
> The applicant's overall performance with respect to all the screening requirements.

Qualified and Unqualified Applicants

Information which has been verified by the Housing Authority will be analyzed and a determination will be made with respect to:

> The eligibility of the applicant as a *family;*
>
> The eligibility of the applicant with respect to income limits for admission;
>
> The eligibility of the applicant with respect to citizenship or eligible immigration *status*;

Assistance to a family may not be delayed, denied or terminated on the basis of the family's ineligible immigration status unless and until the family completes all the verification and appeals processes to which they are entitled under both INS and Housing Authority procedures, except for a pending Housing Authority hearing.

Applicants who are determined to be unqualified for admission will be promptly notified with a Notice of Determination of Rental Application stating the reason for the denial. The Housing Authority shall provide applicants an opportunity for an informal conference (see Chapter titled "Complaints, Grievances, and Appeals.")

Applicants who have requested a reasonable accommodation as a person with a disability and who have been determined eligible, but fail to meet the Applicant Selection Criteria, will be offered an opportunity for a second meeting to have their cases examined to determine whether mitigating circumstances or reasonable accommodations will make it possible for them to be housed in accordance with the screening procedures.

The Housing Authority will make every effort to accurately estimate an approximate date of

occupancy. However, the date given by the Housing Authority does not mean that applicants should expect to be housed by that date. The availability of a suitable unit to offer a family is contingent upon factors not directly controlled by the Housing Authority, such as turnover rates, and market demands as they affect bedroom sizes and project location.

*** Documenting Findings**

An authorized representative of the Housing Authority shall document any pertinent information received relative to the following:

Criminal Activity - includes the activities listed in the definition of criminal activity in this Chapter.

Pattern of Violent Behavior - includes evidence of repeated acts of violence on the part of an individual, or a pattern of conduct constituting a danger to peaceful occupancy of neighbors.

Pattern of Drug Use - includes a determination by the Housing Authority that the applicant has exhibited a pattern of illegal use of a controlled substance which might interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents.

Drug Related Criminal Activity - includes a determination by the Housing Authority that the applicant has been involved in the illegal manufacture, sale, distribution, use or possession of a controlled substance.

Pattern of Alcohol Abuse - includes a determination by the Housing Authority that the applicant's pattern of alcohol abuse might interfere with the health, safety or right to peaceful enjoyment of the premises by other residents.

Initiating Threats - or behaving in a manner indicating an intent to assault employees or other tenants.

Abandonment of a Public Housing Unit - without advising Housing Authority officials so that staff may secure the unit and protect its property from vandalism.

Non-Payment of Rightful Obligations - including rent and/or utilities and other charges owed to the Housing Authority [or any other Housing Authority].

Intentionally Falsifying an Application for Leasing - including uttering or otherwise providing false information about family income and size, using an alias on the application for housing, or making any other material false statement or omission intended to mislead.

Record of Serious Disturbances of Neighbors, Destruction of Property or Other Disruptive or Dangerous Behavior - consists of patterns of behavior which endanger the life, safety, or welfare of other persons by physical violence, gross negligence or irresponsibility; which damage the equipment or premises in which the applicant resides, or which are seriously disturbing to neighbors or disrupt sound family and community life, indicating the applicant's inability to adapt to living in a multi-family setting. Includes judicial termination of tenancy in previous housing on the grounds of nuisance or objectionable conduct, or frequent loud parties, which have resulted in serious disturbances of neighbors.

Grossly Unsanitary or Hazardous Housekeeping - includes the creation of a fire hazard through acts such as hoarding rags, papers, or other materials; severe damages to premises and equipment, if it is established that the family is responsible for the condition; seriously affecting neighbors by causing infestation, foul odors, depositing garbage in halls; or serious neglect of the premises. This category does not include families whose housekeeping is found to be superficially unclean or due to lack of orderliness, where such conditions do not create a problem for neighbors.

Destruction of Property from previous rentals.

Whether Applicant or tenant is Capable of Maintaining the Responsibilities of tenancy - In the case of applicants for admission, the person's present living arrangements and a statement obtained from applicant's physician, social worker, or other health professional will be among factors considered in making this determination. The availability of a live-in attendant will be considered in making this determination.

In the event of the receipt of unfavorable information with respect to an applicant, consideration shall be given to the time, nature, and extent of the applicant's conduct and to factors which might indicate a reasonable probability of favorable future conduct or financial prospects.

The Housing Authority may waive the policies prohibiting admission in these circumstances if the person demonstrates to the Housing Authority's satisfaction that the person is no longer engaging in illegal use of a controlled substance or abuse of alcohol and has successfully completed a supervised drug or alcohol rehabilitation program.

Prohibited Criteria for Denial of Admission

Applicants will NOT be rejected because they:

Have no income;

Are not employed;

Do not participate in a job training program;

Will not apply for various welfare or benefit programs;

Have children;

Have children born out of wedlock;

Are on welfare;

Are students.

H. HEARINGS

If information is revealed that would cause the Housing Authority to deny admission to the household and the person disputes the information, s/he shall be given an opportunity for an informal conference according to the Housing Authority's hearing procedures outlined in Chapter 13, Complaints, Grievances and Appeals.

S. FAMILY CHOICE IN RENTS

Authority for Family to Select

The Housing Authority shall provide for each family residing in a public housing unit to elect annually whether the rent paid by such family shall be 1) determined based on family income or 2) the flat rent. The Housing Authority may not at any time fail to provide both such rent options for any public housing unit owned, assisted or operated by the Housing Authority.

Annual choice: The Housing Authority shall provide for families residing in public housing units to elect annually whether to pay income-based or flat rent.

Allowable Rent Structures

Flat Rents

The Housing Authority has established, for each dwelling unit in public housing, a flat rental amount for the dwelling unit, which:

Is based on the rental value of the unit, as determined by the Housing Authority; and

Is designed so that the rent structures do not create a disincentive for continued residency in public housing by families who are attempting to become economically self-sufficient through employment or who have attained a level of self-sufficiency through their own efforts.

The Housing Authority shall review the income of families paying flat rent not less than once every three years.

Income-Based Rents

The monthly Total Tenant Payment amount for a family shall be an amount, as verified by the Housing Authority, that does not exceed the greatest of the following amounts:

30 percent of the family's monthly adjusted income;

10 percent of the family's monthly income; or

The Housing Authority/s Minimum TTP of $25.

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Switching Rent Determination Methods Because of Hardship Circumstances

In the case of a family that has elected to pay the Housing Authority's flat rent, the Housing Authority shall immediately provide for the family to pay rent in the amount determined under income-based rent, during the period for which such choice was made, upon a determination that the family is unable to the flat rent because of financial hardship, including:

Situations in which the income of the family has decreased because of changed circumstances, loss of or reduction of employment, death in the family, and reduction in or loss of income of other assistance;

An increase, because of changed circumstances, in the family's expenses for medical costs, child care, transportation, education, or similar items; and

Such other situations as may be determined by the Housing Authority.

All hardship situations will be verified.

The rental policy developed by the Housing Authority encourages and rewards employment and self-sufficiency.

Annual Reexamination

90 Days in advance of the annual reexamination, the family will be sent a form from the Housing Authority, on which the family will indicate whether they choose flat rent or income-based rent. The Housing Authority form will state what the flat rent would be, and an estimate, based on current information, what the family's income-based rent would be.

If the family indicates they choose flat rent, the form will be retained in the tenant file.

If the family indicates they choose income-based rent, a reexamination appointment will be scheduled according to Housing Authority policy.

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T. HOUSING AUTHORITY'S FLAT RENT METHODOLOGY

The Housing Authority has set a flat rent for each public housing unit, based on the reasonable market value of the unit. The Housing Authority's methodology is described in the Housing Authority Agency Plan.

The Housing Authority's flat rents are identical to the current ceiling rents utilized by the Housing Authority, as described in this chapter.

The Housing Authority has adopted the following flat rents:

EKLUND NO. 1 (Gardens) 2002 HALFORD AVE. SANTA CLARA, CA 95051	2 bedroom	$ 1,221.00
EKLUND NO. 2 (Gardens) 3780 POINCIANA DR. SANTA CLARA, CA 95051	2 bedroom 3 bedroom	$ 1,221.00 $ 1,673.00
DEBORAH DR. GARDENS 2215 DEBORAH DRIVE SANTA CLARA, CA 95050	1 Bedroom 2 Bedroom	$ 988.00 $ 1,221.00
MIRAMAR 3761 MIRAMAR WY SANTA CLARA, CA 95050	1 Bedroom 2 Bedroom	$ 988.00 $ 1,221.00
JULIAN GARDENS 319 NORTH 8TH ST. SAN JOSE, CA 95112	3 Bedroom	$ 1,673.00
LENZEN GARDENS 893 LENZEN AVE. SAN JOSE, CA 95126	1 Bedroom 2 Bedroom	$ 988.00 $ 1,221.00
CYPRESS GARDENS 3555 JUDRO WY. SAN JOSE, CA 95117	1 Bedroom 2 Bedroom	$ 988.00 $ 1,221.00
RINCON Gardens 400 W. RINCON AVE. CAMPBELL, CA 95008	1 Bedroom 2 Bedroom	$ 988.00 $ 1,221.00
SUNSET Gardens 7750 WREN AVE. GILROY, CA 95020	1 Bedroom 2 Bedroom	$ 988.00 $ 1,221.00

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