




Office of the City Manager

PUBLIC HEARING

April 29, 2014

To: Honorable Mayor and Members of the City Council  
From:  Christine Daniel, City Manager  
Submitted by: Jane Micallef, Director, Health, Housing & Community Services Department  
Subject: Submission of the PY2014 Annual Action Plan Including Allocations of Federal Funds

RECOMMENDATION

Conduct a public hearing on the federal Program Year (PY) 2014<sup>1</sup> Annual Action Plan (AAP) for federal funds, including the allocation of federal funding for community agencies for FY2015, and upon conclusion, adopt a Resolution:

1. Approving proposed funding allocations under the FY2015 Community Development Block Grant (CDBG), Emergency Solutions Grant (ESG), and Home Investment Partnerships Program (HOME); and
2. Authorizing the execution of resultant agreements and amendments with community agencies for the above-mentioned funds; and
3. Allocating 90% of the FY2015 HOME funds to the Housing Trust Fund, and 10% for program administration; and
4. Authorizing the City Manager to submit the PY 2014 Annual Action Plan to the U.S. Department of Housing and Urban Development (HUD).

SUMMARY

This report includes funding recommendations for \$2,856,679 in CDBG funds, \$203,290 in ESG funds, and \$644,224 in HOME funds, as detailed in Attachment 1, Exhibit A. Funding allocations for housing services and public services funding under the CDBG program will continue into FY2015 at FY2014 levels. The recommendations also include: \$236,193 in CDBG funding for four community facility projects, and \$321,554 in CDBG funding and \$597,802 in HOME funding for the Housing Trust Fund.

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<sup>1</sup> PY2014 means the federal fiscal year 2014, funding under which is made available to the City of Berkeley in July 2014, coinciding with the City's Fiscal Year 2015.

This report includes authorization for the required submission of the Annual Action Plan (Attachment 2), which details the City's plans for implementing the CDBG, HOME and ESG programs next fiscal year.

### FISCAL IMPACTS OF RECOMMENDATION

Federal funding for FY2015 has been released. The City's CDBG entitlement amount decreased by 0.2% to \$2,496,679. CDBG program income is estimated to be \$60,000, a reduction over the current year's projection. Staff anticipate having \$300,000 in unexpended funds from prior years available for allocation, which will give the City a total of \$2,856,679 in CDBG funds to allocate for FY 2015, a total 5% reduction from the current year. Unexpended prior year funds cannot be used for public services or administration, capped funding categories. These additional funds can be used, however, on housing services, community facility projects and the Housing Trust Fund. The City's HOME entitlement is 0.9% below the current year, or \$644,224. Program income is estimated to be \$20,000 making a total of \$664,224 in HOME funds available for allocation for FY 2015, a total 1% reduction. The City's ESG entitlement for next year is \$203,290, a 20% increase over the current year.

Proposed expenditures of CDBG, ESG and HOME Funds are detailed in Attachment 1, Exhibit A.

### CURRENT SITUATION AND ITS EFFECTS

The City is required to submit an Annual Action Plan to HUD by May 15 in order to receive its annual allocation of CDBG, ESG and HOME funds. Council allocates the majority of CDBG and ESG funds to community agencies for housing or other public services and for community facility improvements. The majority of the HOME allocation is placed into the City's Housing Trust Fund. City Council is asked to approve the Annual Action Plan, including allocations of CDBG, ESG and HOME funds, which must be submitted to HUD by May 15, 2014.

### BACKGROUND

#### **Annual Action Plan**

HUD regulations governing CDBG, ESG and HOME funds require that the City of Berkeley submit an Annual Action Plan. The PY2014 Annual Action Plan (AAP), covering the period July 1, 2014 through June 30, 2015, describes the City's strategy for achieving the goal of developing and maintaining a viable urban community through the provision of decent housing and a suitable living environment, while expanding economic, health and educational opportunities principally for households with incomes at or below 80% of Area Median Income (see Attachment 2). The PY2014 AAP is based on goals contained in the City's Five Year Consolidated Plan<sup>2</sup> (2010 – 2015), which examines housing needs and establishes funding priorities in the areas of affordable housing and services for a wide range of low-income populations. HUD requires the involvement of the public in the creation of each Annual Action Plan. Berkeley's public

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<sup>2</sup> The Consolidated Plan can be found at <http://www.ci.berkeley.ca.us/ContentDisplay.aspx?id=12160>

participation process began on November 7, 2013 with a public hearing convened by the Housing Advisory Commission, and culminates in the April 29<sup>th</sup> public hearing. The Housing Advisory Commission, at its March 6, 2014 meeting, voted unanimously to recommend that City Council approve the PY2014 Annual Action Plan (M/S/C: Tregub/Darrow. Ayes: Soto-Vigil, Drake, Magofna, Casalaina, Wolfe, Tregub, Darrow, Droste, Skjerpung. Noes: None: Abstentions: None).

### ***CDBG, ESG and HOME Allocations***

Every two years, the City of Berkeley combines multiple sources of funds into one consolidated Request for Proposals (RFP) and allocation process for community agencies. The last allocation process for housing services and public services funding was held in FY2013 and resulted in two-year contracts spanning FY2014 – FY2015. Contracts were entered into in July 2013, with the caveat that the funding amount may be changed if there were any changes in the amount of funds available. There are no significant changes projected in the total amounts of CDBG and ESG funding available for FY2015. Therefore, current funding levels are recommended to continue into FY2015. In addition, an RFP for renovations to community facilities was released in November 2013. For more information on this process and the rationale for recommendations, see the accompanying Housing Advisory Commission report.

### ***Community Development Block Grant (CDBG)***

The City Manager and the Housing Advisory Commission recommend CDBG funding for four facility improvement projects, totaling \$236,193. At its February 6, 2014 meeting, the HAC voted unanimously to recommend funding for all four projects at the requested level (M/S/C: Tregub/Darrow. Ayes: Casalaina, Darrow, Droste, Feller, Skjerpung, Soto-Vigil, Tregub, and Wolfe. Noes: None. Abstentions: None). Details regarding these projects are contained in the Commission's companion report.

The City's CDBG entitlement decreased slightly for FY2015 and the amount of program income projected is lower than in the prior year. This will lower the cap for community agencies funded under the public services category and funds for the administration of the program. CDBG limits the amount of funds available for Administration and Public Services to a percentage of the grant and program income. As a result of these reductions, Public Services allocations need to be reduced to remain under the mandated cap for this category of funding. To continue funding all agencies in this category, we propose reducing the amount of funding recommended for Homeless Prevention and Rapid Re-Housing by \$12,266 to \$59,107. This program is also funded with Emergency Solutions Grant funds. Prior years' accumulation of ESG funds and a 20% increase in the ESG allocation will be available for this program in FY2015, therefore a reduction in CDBG funding will not severely hamper the program.

The Housing Advisory Commission agreed with this strategy, and at their March 6, 2014 meeting voted to match the City Manager recommendation for CDBG funds (M/S/C: Tregub/Darrow. Ayes: Soto-Vigil, Drake, Magofna, Casalaina, Wolfe, Tregub, Darrow,

Droste, Skjerping. Noes: None. Abstentions: None). For a detailed listing of the proposed CDBG allocations, see Attachment 1, Exhibit A.

### *Emergency Solutions Grant (ESG)*

ESG funds can be used for homeless emergency shelter renovations, operations and services, homeless street outreach, the operation and development of a Homeless Management Information System, rapid re-housing, homeless prevention, and administration. Two years ago, the City of Berkeley decided to allocate the vast majority (almost 90%) of the City's ESG funding to a new Rapid Re-Housing and Homeless Prevention program. In FY2015 ESG funds is again recommended to be used for financial assistance and housing relocation and stabilization services for approximately 93 individuals and families. Of these, approximately 80 are literally homeless, will have sought daytime or nighttime shelter at existing homeless agencies in Berkeley, and ESG funds will be provided to help them become rapidly re-housed. City of Berkeley staff operate the program. The City contracts with Berkeley Food and Housing Project to act as the program's fiscal agent and issue checks to landlords for security deposits, rental assistance and utility arrears. Non-profit providers of homeless services are funded with General Funds to provide supportive services to help clients become rapidly re-housed with ESG financial assistance.

Council recently approved<sup>3</sup> a re-programming of FY2013 ESG funds since a significant portion was unspent and at risk of recapture. Re-programming was mainly due to a delay in the start of the program. Staff have since made changes to the program design and will monitor expenditures closely in FY2015 to determine if any further changes are needed. In addition temporary staff hired in FY2014 will help develop additional relationships with landlords and facilitate more housing placements in FY2015. ESG funds in the amount of \$6,700 will continue to be used to support the County-wide Homeless Management Information System, known as InHouse, and 7.5% of the overall allocation will be used for administration of the program.

### *Home Investment Partnership Program (HOME)*

The U.S. Department of Housing and Urban Development (HUD) will allocate \$644,224 in HOME funds to the City of Berkeley for FY2015. Program income in the amount of \$20,000 is also projected for FY2015. Of the funds available, 90% is recommended for the Housing Trust Fund, and 10% for program administration (Attachment 1, Exhibit A).

### ENVIRONMENTAL SUSTAINABILITY

Upon release of the Request for Proposals for CDBG, ESG and HOME funding every two years, applicants are encouraged to propose projects that meet various City-wide goals, such as the Climate Action Plan. Specific targeting of CDBG funding for projects

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<sup>3</sup> See the March 25, 2014 Council Item:  
[http://www.cityofberkeley.info/Clerk/City\\_Council/2014/03\\_Mar/Documents/2014-03-25\\_Item\\_06\\_Substantial\\_Amendment\\_to\\_PY\\_2013.aspx](http://www.cityofberkeley.info/Clerk/City_Council/2014/03_Mar/Documents/2014-03-25_Item_06_Substantial_Amendment_to_PY_2013.aspx)

that promote the Plan have not yet been contemplated but could be in preparation for a future funding round.

### RATIONALE FOR RECOMMENDATION

Submission of the PY2014 Annual Action Plan is required to continue to receive CDBG, ESG and HOME funds.

#### *Community Development Block Grant (CDBG) Allocations*

Since no significant reduction in funding has occurred, continuation of FY2014 allocations in the off-year of the allocation process is recommended. Next year, all projects will be evaluated and new recommendations will be made. The one exception is CDBG funding for Homeless Prevention and Rapid Re-Housing. This allocation is recommended for reduction to stay under the public services cap since ESG funds are also available for this purpose and a reduction in this funding will not negatively impact community agencies funded with CDBG.

#### *Emergency Solutions Grant (ESG) Allocations*

HUD officials have made it clear that as much of the Emergency Solutions Grant funding as possible should be focused on rapidly re-housing homeless people. Homelessness prevention activities are also eligible. Since 2010, the City has encouraged providers of homeless services to focus on improving successful housing outcomes, and shortening the length of time clients are homeless, in accord with policies promoted by Everyone Home, the county-wide homeless policy coordinating body. Providers have pointed to a lack of resources available to rapidly re-house clients as a barrier to improving outcomes. For this reason staff continue to propose using the vast majority of the FY2015 ESG funds on these two activities.

#### *HOME Allocations*

Staff proposes to use the maximum amount of HOME funds for administration of the program and placing the remainder in the City's Housing Trust Fund.

### ALTERNATIVE ACTIONS CONSIDERED

None. Staff recommended to the Housing Advisory Commission that substantial changes to CDBG, ESG or HOME funding allocations be made during the regular two-year allocation round, which will take place next year.

### CONTACT PERSON

Kristen Lee, Community Services Specialist III, HH&CSD, (510) 981-5427

#### Attachments:

- 1: Resolution  
Exhibit A: CDBG/ESG/HOME Allocations Spreadsheet
- 2: City of Berkeley PY2012 Annual Action Plan
- 3: Public Hearing Notice

RESOLUTION NO. ##,###-N.S.

SUBMISSION OF THE PY2014 ANNUAL ACTION PLAN, INCLUDING ALLOCATIONS OF FEDERAL COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG), EMERGENCY SOLUTIONS GRANT (ESG), AND HOME INVESTMENT PARTNERSHIP GRANT (HOME) FUNDS

WHEREAS, the submission of the PY2014 Annual Action Plan is a requirement the City must meet in order to receive its allocation of CDBG, ESG and HOME funds, available for the period July 1, 2014 through June 30, 2015; and

WHEREAS, on February 6, 2014, the Housing Advisory Commission (HAC) made funding recommendations to City Council on the Community Development Block Grant (CDBG), Emergency Solutions Grant (ESG), and HOME Programs as contained in Exhibit A attached to this resolution; and

WHEREAS, the City will continue to 1) utilize the full allowable portion of the HOME funds for program administration; and 2) allocate the remainder of the HOME entitlement allocation and any program income into the Housing Trust Fund; and

WHEREAS, the City has established the following budget codes in FUNDS\$: CDBG 370-various, ESG: 045-7902-331-1001, HOME: 040-various and General Fund: 010-various.

NOW THEREFORE, BE IT RESOLVED by the Council of the City of Berkeley that the City Manager is authorized to:

1. Execute any resultant agreements and amendments for agencies receiving funding under the CDBG, ESG, or HOME Program in accordance with the proposal approved hereunder. A record copy of said contracts and any amendments are on file in the Office of the City Clerk; and
2. Allocate 90% of the FY2015 HOME funds to the Housing Trust Fund and 10% for HOME program administration; and
3. Finalize the PY2014 Annual Action Plan, adding required HUD application forms and certifications, and including other HUD-required information, submit it to the U.S. Department of Housing and Urban Development (HUD), and execute all documents necessary to receive the City's entitlement grants under the CDBG, ESG and HOME Programs.

BE IT FURTHER RESOLVED that the City Manager is authorized to execute or amend contracts with agencies receiving funding under the CDBG, ESG or HOME Program in accordance with the proposals approved hereunder. A record copy of said contracts and any amendments are on file in the Office of the City Clerk.

BE IT FURTHER RESOLVED that the City Manager is authorized to use the following invoicing/reporting system in contract administration, but maintains the discretion of

requiring more frequent invoices and reports from new grantees or in contracts deemed to require closer scrutiny:

Fiscal Reports:

- All agencies, regardless of funding level, are required to submit quarterly statements of expense and quarterly requests for advance payment. The final statement of expense for each fiscal year must be accompanied by a copy of the agency's General Ledger and a Statement of Revenues and Expenditures for each program.

Program Reports:

- Agencies funded with non-federal funding: End-of-year narrative summary of accomplishments for the following types of programs, due by July 31: 1) Drop-In Services only with no intensive case management attached, 2) Meal Programs, and 3) Recreation Services.
- All other agencies with non-federal funding: Two program reports, due by January 31 and July 31;
- Agencies with federal funding (any amount): Four program reports due by October 31, January 31, April 30, and July 31.

BE IT FURTHER RESOLVED that the City Manager is authorized to refuse to execute a contract with any agency that has not provided required contract exhibits and documentation within 90 days of award of funding.

BE IT FURTHER RESOLVED that the City Manager is authorized to recapture any unspent CDBG funds awarded to an agency for a community facility improvement contract, if the funds are not spent by June 30, 2015.

Exhibits

A: CDBG, ESG and HOME Proposed FY2015 Allocations

**CDBG, ESG and HOME Proposed FY2015 Allocations**

March 19, 2014

*This chart also contains revised ESG FY2014 recommendations.*

**Community Development Block Grant (CDBG) Allocation SUMMARY**

REVENUES		FY2014	Allocated FY2015
	<b>CDBG Award</b>	\$ 2,502,381	\$ 2,496,679
	Program Income (projected)	\$ 100,000	\$ 60,000
	Earlier Unused Funds	\$ 391,859	\$ 300,000
	<b>SUBTOTAL CDBG Funds Available</b>	<b>\$ 2,994,240</b>	<b>\$ 2,856,679</b>
EXPENDITURES		FY2014 FINAL	Recommended FY2015
	I. Housing Services	\$ 1,331,740	\$ 1,331,740
	II. Public Services (17.83%)	\$ 468,122	\$ 455,856
	III. Public Facility Improvements	\$ 345,312	\$ 236,193
	IV. Planning & Administration (20%)	\$ 520,476	\$ 511,336
	V. Housing Trust Fund	\$ 328,590	\$ 321,554
	<b>Total CDBG Funds Allocated</b>	<b>\$ 2,994,240</b>	<b>\$ 2,856,679</b>
	<b>CDBG Funds Remaining Unallocated</b>	<b>\$ -</b>	<b>\$ 0</b>

CDBG Project Details	Council Approved FY2014-2015	HAC/CM Recommend FY2014-2015
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**I. CDBG - HOUSING SERVICES PROJECTS**

1	Center for Independent Living: Residential Access Project for Disabled	\$ 140,219	\$ 140,219
2	Community Energy Services Corp.: Home Safety & Repair Program	\$ 282,334	\$ 282,334
3	Rebuilding Together Safe Homes Project	\$ 98,279	\$ 98,279
4	Bay Area Community Land Trust	\$ 4,991	\$ 4,991
5	COB HHCS: Loan Services	\$ 114,058	\$ 114,058
6	COB HHCS: Senior and Disabled Rehab Program	\$ 177,540	\$ 177,540
	Rehab Loans	\$ 150,000	\$ 150,000
7	COB HHCS: Housing Development/Multi-Family Rehab	\$ 369,310	\$ 369,310
	<b>SUBTOTAL Housing Projects</b>	<b>\$ 1,331,740</b>	<b>\$ 1,331,740</b>
	GF Housing Projects	\$ 4,991	\$ 4,991

II. CDBG - PUBLIC SERVICES	Council Approved FY2014-2015	HAC/CM Recommended FY 2015	
8	Berkeley Food & Housing Project Men's Overnight Shelter*	\$ 180,986	\$ 180,986
9	Biotech Partners: Biotech Academy at Berkeley High**	\$ 68,094	\$ 68,094
10	The Bread Project: Culinary Job Readiness Training	\$ 41,165	\$ 41,165
11	Center for Independent Living: Employment Services	\$ 36,607	\$ 36,607
12	EBCLC: Fair Housing Counseling	\$ 34,932	\$ 34,932
14	Inter-City Services: Employment, Education and Training	\$ 95,036	\$ 95,036
15	Rapid Re-Housing and Homeless Prevention	\$ 71,373	\$ 59,107
16	Resources for Community Development: Social Svcs. at Special Needs Housing	\$ 9,828	\$ 9,828
17	Rising Sun Energy Center: Green Energy Training Services	\$ 50,852	\$ 50,852
18	Rubicon: Workforce Services	\$ 32,168	\$ 32,168
19	Women's Daytime Drop-In Center: Homeless Case Management & Health Svcs. *	\$ 61,885	\$ 61,885
	Women's Daytime Drop-In Center: Homeless Case Management & Health Svcs. *	\$ 48,157	\$ 48,157
	<b>Subtotal Public Services: CDBG</b>	<b>\$ 468,122</b>	<b>\$ 455,856</b>
	<b>Subtotal Public Services: GF</b>	<b>\$ 262,961</b>	<b>\$ 262,961</b>

\* These projects are shown here for CDBG budgeting purposes, but are reviewed by other Commissions whose recommended funding level is reflected here.

**III. CDBG - PUBLIC/COMMUNITY FACILITIES IMPROVEMENTS: Allocations or recommended funding is one-time only.**

	Council Approved FY2014	HAC/CM Recommended FY2015
A Better Way: Facilities Project	\$ 32,273	\$ -
Alzheimers Services of the East Bay: Facility Project	\$ 26,689	\$ -
Berkeley Food and Housing Project: Facility Project	\$ 40,000	\$ -
20 BFHP Facilities Project - Project Management Only	\$ 1,800	\$ -
21 COB HHCS: Public Facilities Improvements	\$ 134,085	\$ 134,085
Fred Finch Youth Center: Facility Improvements	\$ 24,500	\$ -
22 Lifelong Medical Care: Dental Clinic Improvements	\$ 61,390	\$ 34,493
Lifelong Medical Care: Over 60s Improvements	\$ -	\$ 43,040
23 Rebuilding Together: Community Facilities	\$ 24,575	\$ 24,575
<b>Subtotal Public Facilities Improvements:</b>	<b>\$ 345,312</b>	<b>\$ 236,193</b>

IV. CDBG - PLANNING AND ADMINISTRATION**	Council Approved FY2014-2015	HAC/CM Recommend FY2014-2015
24 COB HHCS: CDBG Planning & Administration	\$ 379,948	\$ 373,275
25 COB City Manager's Office: Support Costs	\$ 140,528	\$ 138,061
<b>CDBG Planning &amp; Administration TOTAL</b>	<b>\$ 520,476</b>	<b>\$ 511,336</b>



**CDBG, ESG and HOME Proposed FY2015 Allocations**

March 19, 2014

*This chart also contains revised ESG FY2014 recommendations.*

*\*\*Set-aside. Planning and Administration is a capped category of CDBG funding. The City of Berkeley City Manager and Housing & Community Services Departments will utilize the maximum amount of funding available under this category.*

**V. HOUSING TRUST FUND**

**26 City of Berkeley Housing Trust Fund\*\*\*** \$ 328,590 \$ 321,554

*\*\*\*Should the final amount of CDBG funding awarded to the City of Berkeley change, the funding amount for the Housing Trust Fund would be adjusted accordingly to utilize the full CDBG allocation.*

**Emergency Solutions Grant (ESG) Allocation SUMMARY**

REVENUES		FY2014	REVISED FY2014	Allocated
				FY2015
	<b>ESG Award</b>	\$ 168,887	\$ 168,887	\$ 203,290
	Earlier Unused Funds	\$ -	\$ 171,078	\$ -
	<b>SUBTOTAL ESG Funds Available</b>	<b>\$ 168,887</b>	<b>\$ 339,965</b>	<b>\$ 203,290</b>
EXPENDITURES		FY2014 INITIAL	REVISED FY2014	Allocated
				FY2015
	A. Homeless Prevention	\$ 31,300	\$ 31,300	\$ 39,040
	B. Rapid Rehousing	\$ 118,220	\$ 149,823	\$ 142,303
	C. Emergency Shelter	\$ -	\$ 139,475	\$ -
	D. Homeless Management Information System	\$ 6,700	\$ 6,700	\$ 6,700
	E. Administration (7.5%)	\$ 12,667	\$ 12,667	\$ 15,247
	<b>Total ESG Funds Allocated</b>	<b>\$ 168,887</b>	<b>\$ 339,965</b>	<b>\$ 203,290</b>
	<b>ESG Funds Remaining Unallocated</b>	<b>\$ -</b>	<b>\$ 0</b>	<b>\$ 0</b>

**EMERGENCY SOLUTIONS GRANT (ESG) Projects DETAIL**

		Council	HAC/CM	HAC/CM
		Approved	Recommend	Recommend
		FY2014	REVISED FY2014	FY2015
<b>A. Homeless Prevention</b>				
	COB HHCS D: Staffing	\$ 2,504	\$ 2,504	\$ 3,123
	COB HHCS D: Inspections	\$ 626	\$ 626	\$ 781
	Berkeley Food & Housing Project - Staffing	\$ 939	\$ 939	\$ 1,171
	Berkeley Food & Housing Project - Staffing	\$ 2,006 GF	\$ 2,006	\$ 2,006
	Berkeley Food & Housing Project - Subsidies	\$ 27,231	\$ 27,231	\$ 33,965
<b>B. Rapid Rehousing</b>				
	COB HHCS D: Staffing	\$ 9,458	\$ 41,061	\$ 11,384
	COB HHCS D: Inspections	\$ 2,364	\$ 2,364	\$ 2,846
	Berkeley Food & Housing Project - Staffing	\$ 3,547	\$ 3,547	\$ 4,269
	Berkeley Food & Housing Project - Staffing	\$ 7,342 GF	\$ 7,342	\$ 7,342
	Berkeley Food & Housing Project - Subsidies	\$ 102,851	\$ 102,851	\$ 123,804
<b>C. Emergency Shelter</b>				
	Berkeley Food and Housing Project - Interior Renovations**		\$ 139,475	\$ -
<b>D. Homeless Management Information System</b>		\$ 6,700	\$ 6,700	\$ 6,700
<b>E. Administration (7.5%): COB HHCS D</b>		\$ 12,667	\$ 12,667	\$ 15,247
<b>TOTALS</b>		<b>ESG \$ 168,887</b>	<b>\$ 339,965</b>	<b>\$ 203,290</b>
		<b>GF \$ 9,348</b>	<b>\$ 9,348</b>	<b>\$ 9,348</b>

\*\* funded by reallocating Rapid Re-Housing Funds at risk of recapture from FY2013.

**CDBG, ESG and HOME Proposed FY2015 Allocations***This chart also contains revised ESG FY2014 recommendations.***HOME Investment Partnership Program (HOME) Allocations**

<b>REVENUES</b>		<b>FY2014</b>	<b>Allocated FY2015</b>
	<b>HOME Award</b>	\$ 650,036	\$ 644,224
	Program Income (projected)	\$ 22,369	\$ 20,000
<b>SUBTOTAL ESG Funds Available</b>		<b>\$ 672,405</b>	<b>\$ 664,224</b>
<b>EXPENDITURES</b>		<b>FY2014 FINAL</b>	<b>HAC/CM Recommended FY2015</b>
	Housing Trust Fund	\$ 583,705	\$ 565,590
	CHDO Operating Funds (5%)	\$ 23,696	\$ 32,211
<b>SUBTOTAL Funds Allocated to HTF</b>		<b>\$ 607,401</b>	<b>\$ 597,802</b>
	Administration (10%)	\$ 65,004	\$ 66,422
<b>Total HOME Funds Allocated</b>		<b>\$ 672,405</b>	<b>\$ 664,224</b>
HOME Funds Remaining Unallocated		\$ 0	\$ -

# **CITY OF BERKELEY**

## **ANNUAL ACTION PLAN FOR HOUSING AND COMMUNITY DEVELOPMENT**

**July 1, 2014 - June 30, 2015 (PY 2014)**

**Year 5 of the *2010-2015 Consolidated Plan***

**for the U.S. Department of  
Housing and Urban Development  
San Francisco Field Office of  
Community Planning and Development**

**May 15, 2014**

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Attachments:

- Attachment 1: Table AP-35: Projects PY 2014
- Attachment 2: City of Berkeley CDBG, ESG and HOME Projects
- Attachment 3: Alameda County Priority Home Partnership City of Berkeley Manual
- Attachment 4: Outcome Measures

## Executive Summary

### AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b)

#### 1. Introduction

This Annual Action Plan is the fifth and final Annual Action Plan for the current Consolidated Planning period.

#### 2. Summarize the objectives and outcomes identified in the Plan

**Objectives.** The City of Berkeley has set an ambitious array of objectives for the use of its federal entitlement grant resources. Berkeley strives to allocate these and other state and local funds in order to maximize assistance for its low and moderate-income renter resident households through:

- Housing acquisition, rehabilitation, repair, and accessibility improvements;
- Assisting homeless adults and families including those with disabilities and other special needs, through emergency shelter, transitional housing, and service-enriched affordable, supportive housing;
- Funding public facilities improvements to protect and sustain the infrastructure critical to community services and economic vitality in Berkeley's neighborhood strategy area; and
- Investing in programs that fight poverty by equipping low and moderate-income youth and adults to find jobs and attain employment self-sufficiency.

The City of Berkeley has long placed a high priority on affordable housing and community services because they reflect important community values. The City now invests more General Fund into related programs than it receives in federal funding for these activities. The City is committed to maintaining high-quality programs for those in need but faces challenges due to reductions in federal funds available. At the same time, ESG, HOME, Consolidated Plan, and Annual Action Plan requirements have substantially increased. These projected cuts, combined with an increased administrative burden will impact the City's ability to address all of the many needs identified.

**Approved Allocations.** As summarized in **Attachment 1** and detailed in **Attachments 2 and 3**, the City of Berkeley plans to allocate \$2,496,679 in Community Development Block Grant (CDBG) funds together with \$300,000 in prior years' carryover and \$60,000 in estimated CDBG program income to fund

- \$1,653,294 in housing projects and programs;
- \$455,856 in public services;
- \$236,193 for community and public facilities activities; and

- \$511,336 to administer all facets of the City's CDBG program.<sup>1</sup>

The City of Berkeley was allocated \$203,290 in ESG funding for PY2014. Funds will be used to continue a program started in PY2012, which provides rapid re-housing and homeless prevention financial assistance to homeless clients and clients who are imminently homeless and seeking shelter. The City of Berkeley will utilize the maximum amount possible for administration (7.5% of the grant) and allocate \$6,700 to support the County-wide Homeless Management Information System, known as InHouse.

### **3. Evaluation of past performance**

The City tracks single family and multi-family housing rehabilitation efforts and housing development efforts. Outcomes for all community agency programs funded with federal funds are also tracked and prior outcomes are used to inform funding decisions. The City also uses countywide Homeless Count and program outcome data to inform its goals on homelessness.

### **4. Summary of Citizen Participation Process and consultation process**

Draft copies of the plan were presented to the Housing Advisory Commission and additional outreach was accomplished via mailings to interested parties, which include interested individuals, the Alameda County Homeless Continuum of Care, community agencies serving low-income people, public buildings such as recreation centers, senior centers, libraries and other government buildings. The plan will also be posted on the City's website. In addition, a public hearing on the Plan was held on April 29, 2014 before the Berkeley City Council.

### **5. Summary of public comments**

This section will be completed later once comments have been received.

### **6. Summary of comments or views not accepted and the reasons for not accepting them**

This section will be completed later once comments have been received.

### **7. Summary**

This section will be completed later once comments have been received.

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<sup>1</sup> Of these funds, up to \$138,061 will go to administrative support costs that cover costs of other departments that consult with or otherwise provide the Health, Housing and Community Services Department with services supporting its administrative activities (including Finance, City Attorney, City Manager, City Auditor, and Human Resources).

## PR-05 Lead & Responsible Agencies – 91.200(b)

### 1. Agency/entity responsible for preparing/administering the Consolidated Plan

Describe the agency/entity responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role	Name	Department/Agency
Administration of CDBG, ESG, and HOME; preparer of Consolidated Plan	City of Berkeley	Department of Health, Housing & Community Services

**Table 1 – Responsible Agencies**

### Narrative

Starting in 2011, the City's Department of Housing and Community Services merged with the City's Health Department, creating the Department of Health, Housing & Community Services.

The City of Berkeley's Health, Housing & Community Services Department is the lead agency for overseeing the development of the plan. The Department coordinates the City's funding allocation and monitoring for community based organizations, administration of the Housing Trust Fund, and operation of other housing and community services programs such as the Shelter Plus Care program, and Senior and Disabled Home Rehabilitation Loan Program. The Department also includes the Mental Health, Public Health, and Aging Services divisions, which provide direct services to the community, and it includes the Environmental Health division.

### Consolidated Plan Public Contact Information

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## **AP-10 Consultation – 91.100, 91.200(b), 91.215(I)**

### **1. Introduction**

#### **Provide a concise summary of the jurisdiction's activities to enhance coordination between public and assisted housing providers and private and governmental health, mental health and service agencies (91.215(I))**

During the next year, the City of Berkeley will continue to coordinate the housing and community services activities within the department through regular senior staff meetings and coordination on specific topics.

City staff will also continue to participate in the implementation of Everyone Home, the countywide plan to end homelessness. Everyone Home spearheads Alameda County's Continuum of Care. Staff will continue to participate in the initiative's Leadership Board, which includes most public funders of housing and homeless services in the county, as well as leadership from key community based organizations. Leadership Board membership helps coordinate efforts across the county. Staff also participate in other committees composed of other funders (such as Alameda County Behavioral Health Care Services and the Social Services Agency) as well as many community based organizations. Recent countywide collaboration efforts include the issuance of a countywide report on homeless program outcomes compared to adopted countywide performance benchmarks the 2013 homeless survey and count, and the development of Home Stretch, a coordination initiative targeting people who are chronically homeless and highly vulnerable.

#### **Describe consultation with the Continuum(s) of Care that serves the jurisdiction's area in determining how to allocate ESG funds, develop performance standards for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS**

Consultation with Everyone Home, the Alameda-Countywide Continuum of Care began on January 30, 2012, when representatives from the City of Berkeley, the City of Oakland, Alameda County Housing and Community Services Department, and the Executive Director of Everyone HOME participated in a conference call. The discussion focused on how to implement the new ESG requirements in a way that would be consistent county-wide and would continue the collaboration, launched in 2009 with American Recovery and Reinvestment Act (ARRA) Homelessness Prevention and Rapid Re-housing (HPRP) funds. The group held several meetings in PY2012, and, after a series of discussions in which approaches to utilizing the ESG funds were discussed, in the fall of PY2012, the group hired a consultant to draft a policies and procedures manual (**Attachment 6**) that was used to implement the new Priority Home Partnership Program starting in Spring 2013 and continuing in PY2014.



**Describe consultation with the Continuum(s) of Care that serves the State in determining how to allocate ESG funds, develop performance standards for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS**

Not applicable.

**2. Describe Agencies, groups, organizations and others who participated in the process and describe the jurisdiction's consultations with housing, social service agencies and other entities**

Draft copies of the plan were presented to the Housing Advisory Commission at their February and March 2014 meetings. Additional outreach was accomplished via mailings to interested parties on the Health, Housing & Community Services Department outreach lists, which include interested individuals, community agencies serving low-income people, public buildings such as recreation centers, senior centers, libraries and other government buildings. The plan will also be posted on the City's website.

A public hearing on the Plan was held on April 29, 2014 before the Berkeley City Council. Additional outreach for the public hearing was sent via the mailing distribution lists mentioned above.

**Table 2 – Agencies, groups, organizations who participated****Identify any Agency Types not consulted and provide rationale for not consulting**

Not applicable.

**Other local/regional/state/federal planning efforts considered when preparing the Plan**

<b>Name of Plan</b>	<b>Lead Organization</b>	<b>How do the goals of your Strategic Plan overlap with the goals of each plan?</b>
Berkeley General Plan, Housing Element	City of Berkeley	The Housing Element supports efforts to maintain and increase affordable housing options in Berkeley.
Everyone Home: the Alameda Countywide Homeless and Special Needs Housing Plan	Everyone Home (Alameda County's Continuum of Care)	Everyone Home is our local plan to end homelessness.
Climate Action Plan	Department of Planning & Development Office of Energy and Sustainable Development	Reduce our entire community's greenhouse gas emissions by 80% below 2000 levels by 2050.
2020 Vision	The 2020 Vision is an ongoing collaboration between the following partners: City of Berkeley, Berkeley Unified School District, Berkeley Alliance, University of California- Berkeley, Berkeley City College, United in Action, Berkeley Federation of Teachers, Berkeley Organizing Congregations for Action, and the Berkeley community.	2020 Vision is a citywide movement to ensure academic success and well-being for all children and youth growing up in Berkeley, by closing the achievement gap in Berkeley's public schools by the year 2020, consistent with goals of reducing inequities and increasing economic opportunities for Berkeley residents.
Health Status Report 2013	Health, Housing, and Community Services, Public Health Division	Public Health's goal is to reduce and eliminate health inequities in Berkeley, which includes assessing and addressing the social determinants of health.

**Table 3 – Other local / regional / federal planning efforts**

## AP-12 Participation – 91.105, 91.200(c)

### 1. Summary of citizen participation process/Efforts made to broaden citizen participation

#### Summarize citizen participation process and how it impacted goal-setting

A public hearing to receive input from Berkeley residents on Berkeley's housing and community development needs was held on November 7, 2013 before the Housing Advisory Commission. Approximately ten members of the public were present. Three addressed the commission and articulated the following needs:

- a continuation or expansion of subsidized childcare;
- efforts to address the housing and transportation needs of people with disabilities; and
- efforts to mitigate greenhouse gas emissions;

One comment was submitted in writing and advocated for actions to address bedbugs.

The draft Plan was distributed to the Housing Advisory Commission on February 6, and March 6, 2014, and a public comment period was opened on March 25, 2014. Announcements regarding the public hearing and public comment period were published in the *Oakland Tribune* on March 21, 2014 and in *The Berkeley Voice* on **DATE**. The announcement stated that the public comment period would close on May 1, 2014 and included a summary of all key elements of the Plan. The announcement also included information in Spanish and Chinese regarding how to obtain information about the Plan in those languages.

Additional outreach was accomplished via mailings to interested parties on the Health, Housing and Community Services Department outreach lists, which include interested individuals, community agencies serving low-income people, public buildings such as recreation centers, senior centers, libraries and other government buildings. The plan will also be posted on the City's website.

A public hearing on the Plan was held on April 29, 2014 before the Berkeley City Council. Additional outreach for the public hearing was sent via the mailing distribution lists mentioned above.

During the public comment period of March 25, 2014 through May 1, 2014, **no written comments were received.**

Additional outreach was accomplished via mailings to interested parties on the Health, Housing and Community Services Department outreach lists, which include interested individuals, community agencies serving low-income people, public buildings such as recreation centers, senior centers, libraries and other government buildings.

### Citizen Participation Outreach

Mode of Outreach	Target of Outreach	Summary of response/ attendance	Summary of comments received	Summary of comments not accepted and reasons
Email	EveryOne Home – Alameda County Homeless Continuum of Care			
Email	Local Businesses			
Email	Local Developers			
Email	Faith-based Organizations			
Flyers at two Berkeley Senior Centers	Seniors			
Flyers at Recreation Centers	South & West Berkeley (NSA)			
Flyers at Berkeley Housing Authority Sites	Public Housing Residents			
Flyers at Affordable Housing Developments	Residents of Affordable Housing			
Flyers distributed to over 50 non-profit agencies serving low-income people	Low-Income Population			
Flyers to agencies specifically targeting people with disabilities	Persons with Disabilities			

**Table 4 – Citizen Participation Outreach**

## Expected Resources

### AP-15 Expected Resources – 91.220(c) (1, 2)

#### Introduction

The following table shows resources expected to be available during the next Program Year.

#### Priority Table

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 5				Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$	
<b>CDBG</b>	Public - federal	Housing Services, Public Services, Public Facilities Improvements, Housing Development	2,496,679	60,000	300,000	2,856,679	See below
<b>ESG</b>	Public - federal	Rapid Re-Housing, Homeless Prevention, HMIS	203,290	0	0	203,290	See below
<b>HOME</b>	Public - federal	Affordable Housing Development	644,224	20,000	2,270,415	2,914,639	See below

**Table 5 - Expected Resources – Priority Table**

This is the final year of the current 2010 – 2015 Consolidated Plan.

**Explain how federal funds will leverage those additional resources (private, state and local funds), including a description of how matching requirements will be satisfied**

Most of the housing and community services programs described in the Consolidated Plan will continue to be delivered by nonprofit community based organizations in PY 2014. The City contracts with a wide range of housing and service providers using CDBG, HOME, ESG, Community Services Block Grant (CSBG), General Fund, and other sources of funding. These organizations leverage significant financial and in-kind support from individual community members, foundations, and private organizations that help meet the needs identified in this plan. The City will continue working closely with these agencies in PY 2014.

**If appropriate, describe publically owned land or property located within the jurisdiction that may be used to address the needs identified in the plan**

The City has long-term leases of City-owned property with non-profit organizations that address the needs identified. Programs operating in leased City-owned properties include:

- Berkeley Food and Housing Project's Men's Overnight Homeless Shelter;
- Berkeley Housing Authority's Public Housing (14 of 75 units are on City-owned property);
- BOSS' Harrison House Shelter for Homeless men, women and families;
- BOSS' MASC – a homeless daytime Drop-In Center;
- BOSS' Sankofa House – transitional housing for homeless families; and
- Women's Daytime Drop-In Center's Bridget House – transitional housing for homeless families.

On January 21, 2014, City Council will consider adopted a Disposition and Development Loan Agreement (DDLA) for 3135 Harper Street, a City-owned property, for development as affordable housing by Satellite Affordable Housing Associates (SAHA). The City Council has already approved two option agreements and a Housing Trust Fund reservation of \$2.3 million for the project. Under the terms of the DDLA, SAHA would acquire the site, valued at \$1.46 million, for \$500.

The City is also exploring the use of the City-owned Berkeley Way parking lot to address the needs identified in the plan, specifically for use as permanent supportive housing. On September 10, 2013, the City Council referred the development of a Request for Proposals for the site to City staff and the Housing Advisory Commission.

The Council wants consideration to be given to incorporating emergency shelter, administrative offices, community space, open space and supportive services. The Council referral also included replacement of the parking spaces on- or off-site and green building (LEED Gold) features, consistent with the 2012 Downtown Area Plan. Staff are working on feasibility studies and may issue a Request for Proposals in PY2014.

### **Discussion**

In addition to the federal resources made available for housing and community development in Berkeley, the City contributes significant resources for a City of its size. Annual investments in community agency funding from City General Funds, and the lease and sale of City properties, support the priorities identified in the Consolidated Plan.

## Annual Goals and Objectives

### AP-20 Annual Goals and Objectives - 91.420, 91.220(c)(3)&(e)

#### Goals Summary Information

##### The City's goals include:

- Preserving public facilities;
- Increasing and preserving affordable housing opportunities;
- Preventing, addressing, and ending homelessness;
- Increase economic opportunities and decrease poverty; and
- Maintain infrastructure for program delivery through program planning and administration.

#### Goal Descriptions

Goal	Agency	Project(s)	Funding	Goal outcome indicator
Preserve public facilities	LifeLong	Dental Clinic	34,493	Public facility or infrastructure activities other than low/moderate-income housing benefit
	LifeLong	Over 60s Clinic	\$43,040 for all 3 over 60s Clinic projects combined	Public facility or infrastructure activities other than low/moderate-income housing benefit
	LifeLong	Over 60s Clinic		Public facility or infrastructure activities other than low/moderate-income housing benefit
	LifeLong	Over 60s Clinic		Public facility or infrastructure activities other than low/moderate-income housing benefit
Increase and preserve affordable housing opportunities	Center for Independent Living (CIL)	Residential Access for the Disabled Program	\$140,219 CDBG	Rental Units Rehabilitated
	City of Berkeley/ Housing & Community Services Division	Loan Services	\$114,058 CDBG	Rental Units Rehabilitated
	City of Berkeley/ Housing & Community Services Division	Housing Development/ Multi-Family Rehabilitation	\$369,310 CDBG	Rental Units Rehabilitated



Goal	Agency	Project(s)	Funding	Goal outcome indicator
	City of Berkeley/ Housing & Community Services Division	Housing Trust Fund	\$321,554 CDBG	Rental Units Rehabilitated
	City of Berkeley/ Housing & Community Services Division	Seniors and Disabled Home Rehabilitation Loan Program	\$177,540 CDBG	Homeowner Housing rehabilitated
	City of Berkeley/ Housing & Community Services Division	Rehab Loans	\$150,000 CDBG	Homeowner Housing rehabilitated
	City of Berkeley/ Housing & Community Services Division	HOME (Housing Trust Fund)	\$597,802 HOME	Multi-Family Housing Rehabilitated or Developed
	Community Energy Services Corporation	Home Safety & Repair Program	\$282,334 CDBG	Rental Units/ Homeowner housing rehabilitated
	East Bay Community Law Center	Fair Housing/ Subsidized Housing Support & Advocacy	\$34,932 CDBG	Public service activities other than low/moderate- income housing benefit
	Rebuilding Together	Safe Homes Project	\$98,279 CDBG	Homeowner Housing rehabilitated
Prevent, address and end homelessness	Berkeley Food & Housing Program (BFHP)	North County Women's Center Improvements	\$141,275 ESG and CDBG	Homeless Person Overnight Shelter
	Berkeley Food and Housing Project	Men's Overnight Shelter	\$180,986 CDBG	Homeless Person Overnight Shelter
	Berkeley Food and Housing Project and City of Berkeley HHCS	Homeless Prevention and Rapid Re- Housing Project	\$59,107 CDBG	Public service activities for low/moderate-income housing benefit
	City of Berkeley/ Housing & Community Services Division	Homeless Management Information System	\$6,700 ESG	N/A
	City of Berkeley/ Housing & Community Services Division and Berkeley Food & Housing Project	Rapid Re- Housing Project	\$142,303 ESG	Public service activities for low/moderate-income housing benefit
	City of Berkeley/ Housing & Community	Homeless Prevention Project	\$39,040 ESG	N/A

Goal	Agency	Project(s)	Funding	Goal outcome indicator
	Services Division and Berkeley Food & Housing Project			
	Women's Day-Time Drop-In Center (WDDC)	Housing Case Management and Safety Net Services	\$61,885 CDBG	Homeless Person Overnight Shelter
Increase economic opportunities and decrease poverty	Biotech Partners	Biotech Academy at Berkeley High	\$68,094 CDBG	Public service activities other than low/moderate-income housing benefit
	Rising Sun Energy Center	Green Energy Training Services	\$50,852 CDBG	Public Service activities other than low/moderate-income housing benefit
Program planning and administration	City of Berkeley/ Housing & Community Services Division	CDBG Planning & Administration	\$ 321,554 CDBG	
	City of Berkeley	Support Costs	\$ 138,061 CDBG	
	City of Berkeley/ Housing & Community Services Division	Program Planning and Administration	\$ 15,247 ESG	
	City of Berkeley/ Housing & Community Services Division	HOME Administration	\$66,422 HOME	

**Estimate the number of extremely low-income, low-income, and moderate-income families to whom the jurisdiction will provide affordable housing as defined by HOME 91.215(b):**

See section AP-55 for this information.

## **AP-35 Projects – 91.220(d)**

### **Introduction**

With its CDBG, HOME, and ESG funds, the City of Berkeley will fund eligible projects in the following categories: housing development, rehabilitation and services projects, public services, public/community facility improvement projects, emergency shelter grant programs, program planning and administration, and the Housing Trust Fund. HUD-funded projects appear with the associated HUD goal and outcome indicator in ***Attachment 1: Table AP-35: Projects PY 2014***. Projects also appear by funding source and amount in ***Attachment 2: City of Berkeley CDBG, ESG and HOME Projects***.

### **Describe the reasons for allocation priorities and any obstacles to addressing underserved needs**

The City has placed a priority on funding projects in South and West Berkeley based on the factors described under AP-50 Geographic Analysis below.

The greatest obstacle to addressing underserved needs are the limits on resources in the context of complex needs. The City invests significant resources, including approximately \$8 million in City General Funds for community agency programs, in meeting the housing and service needs of Berkeley residents. The recession, the State of California's budget challenges, and sequestration have all reduced resources available at the local, state, and federal levels to meet local needs.

## **AP-50 Geographic Distribution – 91.220(f)**

### **Description of the geographic areas of the entitlement (including areas of low-income and minority concentration) where assistance will be directed**

Geographic areas of the jurisdiction in which assistance will be directed during PY2014 are described in the Consolidated Plan and have not changed.

The City will continue to fund services provided to residents of the CDBG Neighborhood Strategy Area (South and West Berkeley). The NSA represents a part of the City which (excluding areas of high student residence) has the largest percentage of low and moderate income residents, the housing stock is old with more units (both rental and homeowners) in need of repair, and an area with a larger proportion of minority population. The NSA was originally formed based on 1990 Census data, and modified in 2005 according to data available from the 2000 Census.

The City's 2013 Health Status Report confirmed continuing disparities in South and West Berkeley, specifically:

- African American residents in South and West Berkeley have higher rates of adverse pregnancy outcomes, childhood asthma hospitalizations, heart disease, high blood pressure, stroke and diabetes.
- Over one third of Berkeley's African American children live in poverty. Children living in poverty are concentrated in South and West Berkeley.
- African Americans living in Berkeley's South and West neighborhoods have high rates of chronic diseases and risk factors for chronic disease: often many times higher than other racial/ethnic groups.
- Diabetes is not evenly distributed geographically in Berkeley. The highest rates of diabetes-related hospitalizations are among residents of South and West Berkeley.

### **Rationale for the priorities for allocating investments geographically**

The basis for allocating investments and rationale for assigning priorities are described in the Consolidated Plan and have not changed.

The City does not set-aside a portion of funds for use within the Neighborhood Strategy Area. Instead, the Request for Proposals indicates that south and west Berkeley are priority areas. Proposers are asked how they serve these areas, and applications that serve south and west Berkeley receive extra points in the competitive scoring process.

## Affordable Housing

### AP-55 Affordable Housing – 91.220(g)

#### Introduction

This section includes HOME-funded units only. Unit counts are broken out two ways- by population served and by type of housing provided.

<b>One Year Goals for the Number of Households to be Supported</b>	
Homeless	0
Non-Homeless	85
Special-Needs	0
Total	85

**Table 6 - One Year Goals for Affordable Housing by Support Requirement**

<b>One Year Goals for the Number of Households Supported</b>	
Rental Assistance	N/A
The Production of New Units	42
Rehab of Existing Units	43
Acquisition of Existing Units	0
Total	85

**Table 7 - One Year Goals for Affordable Housing by Support Type**

The City does not provide rental assistance.

#### Discussion

The City of Berkeley plans to support a total of 85 units with federal funds in FY14-15, including the following:

- **New Construction**: Development of 42 new units for low-income seniors is scheduled at Harper Crossings, 3135 Harper Street. Currently a vacant site, the development will include a community room and parking, and seniors will benefit from on-site supportive services. The developer, Satellite Affordable Housing Associates, secured state funding in Fall 2013 and expects to secure an allocation of 9% low-income housing tax credits by June 2014, with a projected construction commencement date of December 31, 2014.

- Rehabilitation of Existing Units: A renovation is planned for the 43 units at William Byron Rumford Sr. Plaza, 3017 Stanton Avenue. Originally constructed in 1991, this development is ready for a level of rehab typical for projects over 20 years of age. The building provides affordable housing to families, with 1BR, 2BR, and 3BR units.

## **AP-60 Public Housing – 91.220(h)**

### **Introduction**

The Berkeley Housing Authority (BHA) is not a department of the City of Berkeley. BHA Board members are appointed by the Mayor and confirmed by the City Council.

### **Actions planned during the next year to address the needs of public housing**

In 2013, the City of Berkeley closed its construction and permanent financing with Berkeley 75 Housing Partners, the tax credit limited partnership that acquired the Berkeley Housing Authority's portfolio for the purpose of conducting a substantial rehabilitation on all 75 units. The City will monitor the progress of the construction in 2014 and ensure that, at completion, the units' useful life is successfully extended and they are ready for occupancy by qualified low-income households.

### **Actions to encourage public housing residents to become more involved in management and participate in homeownership**

BHA's Low Income Public Housing Units (61) are in the process of undergoing disposition (approved by HUD's Special Applications Center in Dec. 2010). The units are transitioning, in early 2014, to a new ownership entity (Berkeley 75 Housing Partnership, LP) and will undergo a major rehabilitation, and when complete, will have Project-based Section 8 assistance tied to them. The management plan for the project includes a comprehensive array of supportive services that will be offered to all residents via a Resident Services Plan administered by Project Access.

### **If the PHA is designated as troubled, describe the manner in which financial assistance will be provided or other assistance**

Not applicable.

### **Discussion**

This project will eliminate Public Housing in Berkeley by converting 100% of Berkeley Housing Authority's Public Housing portfolio to Project-Based Section 8 housing. The major rehabilitation will ensure that the units remain available as affordable housing.

## **AP-65 Homeless and Other Special Needs Activities – 91.220(i)**

### **Introduction**

**Describe the jurisdictions one-year goals and actions for reducing and ending homelessness including:**

#### **1. Reaching out to homeless persons (especially unsheltered persons) and assessing their individual needs**

The City will continue to operate two Shelter Plus Care programs (COACH and HOAP) and the locally-funded Square One program, all of which include a street outreach and assessment component. The Housing for Older Adults Project (HOAP) provides rental subsidies to 12 homeless people with services through the City's Aging Services Division. The COACH grant provides rental subsidies for up to 33 households and targets people who are chronically homeless. The City's Mental Health Division and non-profit provider Lifelong Medical Care provide services. The City's Mental Health Division has one outreach worker on its Homeless Outreach Team.

During PY2014, the City will work on its implementation of coordinated assessment and coordinate with Everyone Home's work on coordinated assessment countywide. Outreach and assessing individual needs are important components of coordinated assessment as envisioned by HUD. Additional activities may be identified.

#### **2. Addressing the emergency shelter and transitional housing needs of homeless persons**

The City will continue to provide funding for shelter and transitional housing as described below.

The City funds agencies providing 118 year round shelter beds and 121 seasonal shelter beds, as well as winter hotel vouchers as funding permits, through 8 emergency shelter programs. After working hours, these beds are filled through evening Centralized Shelter Reservation Hotline<sup>2</sup>.

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<sup>2</sup> The Centralized Shelter Bed Hotline opens after 7:00 pm and makes available shelter beds operated by BOSS and BFHP that were not filled after the daytime shelter bed reservation process. Sometimes people have a bed reserved but do not come in to the shelter in the evening. Before this program was implemented in 2009, these beds stayed vacant all night.



<b>Emergency Shelter</b>	<b>Address</b>	<b>Beds</b>	<b>FY 2013 City Funding</b>
Berkeley Food and Housing Project (BFHP) Men's Overnight Shelter	1931 Center St.	10 CHASS beds and 26 beds available to public	\$180,986
BFHP Women's Shelter	2140 Dwight Way	24 beds for singles and 8 family beds in 2 family rooms.	\$116,469
Building Opportunities for Self Sufficiency (BOSS) Harrison House Singles/Recovery Program	711 Harrison St.	17 CHASS beds, 10 BHCS beds and 23 beds available to public	\$110,277
Dorothy Day Berkeley Emergency Storm Shelter	2345 Channing Way	65 in severe weather only	\$24,009
Winter Motel Voucher Program (administered by WDDIC and BFHP's drop in centers)	multiple	Hotel vouchers as funding permits during winter	\$34,888
Winter Shelter Beds	711 Harrison, 1931 Center, and 2140 Dwight	24 seasonal beds	\$89,605
Youth Engagement, Advocacy, Housing (YEAH!) Youth Emergency Assistance Hostel	1744 University Ave.	21 seasonal	\$109,115
BFHP PCEI Centralized Shelter Reservation Hotline – <i>not a shelter program; program supports shelter access</i>			\$34,103

The City funds 98 transitional housing beds in five programs:

<b>Transitional Housing</b>	<b>Address</b>	<b>Beds</b>	<b>FY 2013 City Funding</b>
BFHP Men's Overnight Shelter (Veterans Program)	1931 Center St.	12	Funding included in the contract reported under Emergency Shelter
Building Opportunities for Self Sufficiency (BOSS) Harrison House Family Shelter	711 Harrison St.	26	\$27,706
BOSS Sankofa Transitional Housing	711 Harrison St.	30	\$26,253
Fred Finch Youth Center Turning Point (18-25 year olds)	3404 King St.	18	\$86,655
Women's Daytime Drop In Center Bridget Transitional House	2218 Acton St.	12	\$23,838

**3. Helping homeless persons (especially chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth) make the transition to permanent housing and independent living, including shortening the period of time that individuals and families experience homelessness, facilitating access for homeless individuals and families to affordable housing units, and preventing individuals and families who were recently homeless from becoming homeless again**

The City of Berkeley has encouraged its network of providers of services to the homeless to focus their efforts on rapidly re-housing their clients. Providers have re-tooled staffing to focus case management efforts on preparing clients for stabilization in housing. City General Funds already support these efforts. These providers report that the lack of financial assistance to rapidly re-house clients has impeded their efforts. However, the City of Berkeley has not been able to spend down accumulated allocations of ESG funds for rapid re-housing and homeless prevention. In PY2014, City of Berkeley staff, homeless providers and the Homeless Commission will review existing services in Berkeley to prepare for future coordinated intake/assessment required by HUD. A review of the use of ESG funds will be included. The City of Berkeley will again budget the majority of PY2014 ESG funds for financial assistance to rapidly re-house clients accessing services at existing homeless programs.

**4. Helping low-income individuals and families avoid becoming homeless,**

**especially extremely low-income individuals and families and those who are: being discharged from publicly funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections programs and institutions); or, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs.**

The City has budgeted an estimated \$63,573 in City General Funds to continue the Housing Retention Program, as mentioned above. Those funds would enable the City to continue to provide short-term housing subsidies for approximately 32 households. The City will likely also allocate Emergency Solutions Grant funds carried over from PY2012 and approximately \$31,300 of PY2013 ESG funds for eligible homeless prevention activities.

Prevention assistance will be directed to persons who are not literally homeless but are at imminent risk of homelessness per the HUD Homeless definition (Category 2). Prevention assistance may include support to a household to retain its current housing or to move to other housing without having to become literally homeless. While the ESG regulations allow for ESG prevention to be provided to those categorized as “at-risk” but not necessarily at “imminent risk”, Alameda County ESG programs will target prevention services specifically to those that are at “immediate risk” defined as:

*“An individual or family who will imminently lose their primary nighttime residence, provided that:*

- *the primary nighttime residences will be lost within 14 days of the day of application for homeless assistance;*
- *No subsequent residence has been identified; and,*
- *the individual or family lacks the resources of support networks, e.g., family, friends, faith-based or other social networks, needed to obtain other permanent housing.”*

Within the category of “imminent risk” special attention and outreach will be done to target those households:

- 1) that are doubled up with family and friends, must move within 14 days and are seeking to enter shelter;
- 2) that are living in a hotel or motel using their own resources , must leave within 14 days, and are seeking to enter shelter;
- 3) that are living in their own housing, are being evicted for non-payment of rent, must leave within 14 days, and are seeking shelter;
- 4) That are fleeing domestic violence;

5) That are imminently leaving foster care, or have recently left foster care and are at imminent risk of losing their current housing.

Alameda County has mental health, foster youth, health care, and corrections discharge policies intended to prevent discharges of individuals from these systems into homelessness, described in detail in the Consolidated Plan. The City will continue to participate in countywide efforts to reduce discharges into homelessness.

### **Discussion**

The City of Berkeley supports a wide range of homeless programs, including emergency/crisis drop in centers and shelters, transitional housing, permanent supportive housing, prevention and rapid rehousing services. All contracted service providers report outcomes based on the countywide outcome standards developed by Everyone Home, in order to inform future adjustments to the service system.

## **AP-75 Barriers to affordable housing – 91.220(j)**

### **Introduction**

**Actions it planned to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment**

The principal barriers to affordable housing in Berkeley continue to be the high costs of new development, due to the high costs of land, materials, and labor. In addition, reduced funding at the federal and state level contributes to the difficulty of building new affordable housing. Local barriers to affordable housing are the increased costs resulting from obtaining a balance between addressing neighborhood concerns and acting on applications in a timely way to complete and make available affordable units.

The recession has not alleviated the problems of housing affordability in the Bay Area housing market. While home prices are deflating in some neighborhoods—particularly in outlying communities of the Bay Area—which would make homes more affordable, increases in unemployment in the region may undercut effective demand for such housing, and place greater pressure on the rental market, thereby increasing market rents. Berkeley is currently experiencing high demand for rental housing which results in rising rents. In Berkeley, once tenants obtain a rental unit, then future rent increases are regulated, but the initial rent is often relatively high.

The City will continue administering its Condominium Conversion Ordinance and will work on updating its Inclusionary Housing Ordinance for ownership housing in response to recent court cases. These ordinances established fee revenue sources that will help the City increase the number of affordable units created in Berkeley through the Housing Trust Fund Program. In FY2012, the City adopted a new Affordable Housing Mitigation Fee for \$28,000 per unit on new market-rate rental housing. Developers have the option to provide units affordable to people earning up to 50% of area median income in-lieu of paying the fee. This ordinance will result in affordable units or fees for the Housing Trust Fund. These sources are expected to yield more housing resources in PY2014 than they have in the recent past, given the turnaround in Berkeley's housing market, evidenced by 1,400 units of housing in various stages of development in downtown Berkeley.

### **Discussion**

Market rate development is currently increasing in Berkeley, and will likely result in some new resources for affordable housing development via the programs described above.

## AP-85 Other Actions – 91.220(k)

### Introduction

The City of Berkeley uses a range of strategies to address the housing, homeless, and community development goals identified in the Consolidated Plan. This section discusses actions planned to foster and maintain affordable housing, to reduce lead-based paint hazards, to reduce the number of poverty-level families in Berkeley, and to coordinate activities in these areas with other entities.

### Actions planned to address obstacles to meeting underserved needs

One of Berkeley's major obstacles to meeting underserved needs is the limited amount of federal, state, and local resources available given the diversity of needs in the community and high cost of housing in the Bay Area. The City of Berkeley will continue to pursue new State and Federal resources as available to meet underserved needs.

### Actions planned to foster and maintain affordable housing

The City has at least six programs which foster and maintain affordable housing in Berkeley:

- **Affordable Housing Mitigation Fee.** In FY2012, the City also adopted a new Affordable Housing Mitigation Fee for \$28,000 per unit on new market-rate rental housing. Developers have the option to provide units affordable to people earning up to 50% of area median income in-lieu of paying the fee. In FY2013, City Council reduced the fee to \$20,000 for projects meeting certain benchmarks within the first two years of the program.
- **Condominium Conversion Ordinance.** The condominium conversion ordinance (CCO) governs the conversion of rental apartments and tenancy-in-common (TIC) buildings to condominiums, community apartments and other types of mutual or cooperative housing. Up to 100 condominium conversions will be permitted annually and the conversion fees for production of permanently affordable housing will be collected.
- **Commercial Linkage Fee.** The Affordable Housing Mitigation Program was established by Resolution No. 56,912-N.S. approved on April 20, 1993. It imposed fees on "office, retail, industrial and/or other commercial new construction in which the net additional, newly constructed gross floor area is over 7,500 square feet." For new construction of office and retail space, the fees were \$4.00 per square foot of new floor area; for new construction of industrial space the fee was \$2.00 per square foot of new floor area. From 1993 to October 2012, the affordable housing mitigation program yielded \$1,876,722, including payments pending in 2012.
- **Housing Trust Fund.** The City of Berkeley created its Housing Trust Fund (HTF) in 1990 to help develop and preserve below-market-rate housing. The HTF pools funds for affordable housing construction from a variety of sources with different

requirements, makes them available through one single application process to local developers, then monitors development and operation of the funded housing. The City also monitors housing funded by the Housing Trust Fund in order to identify potential problems and needs at an early stage in order to protect the investment already made in affordable housing and maintain the existing stock of housing.

- **Inclusionary Housing Ordinance** for ownership housing. The ordinance requires developers of market rate ownership housing to include affordable ownership units or pay a fee. On November 19, 2013, City Council approved completing a nexus study to determine the appropriate fee applicable to new for-sale housing.
- **Mortgage Credit Certificate.** MCC is a federal income tax credit that provides qualified low-income homebuyers a tax credit worth up to 15 percent of their annual mortgage interest paid on their home loan. MCC recipients adjust their federal income tax withholding, which increases their take-home pay, making monthly mortgage payments more affordable. The City participates in the Alameda County MCC program.
- **Senior and Disabled Loan Rehab Program.** The Housing Department administers a Senior and Disabled Home Rehabilitation Loan Program as an effort to preserve the City's housing stock and to assist low- and moderate-income senior and disabled homeowners, funded by Community Development Block Grant (CDBG) and CalHOME. Regardless of the source, the applicants receive a zero interest loan, secured by a deed of trust on their home, which is repaid when title to the property changes hands, normally as a result of the sale of the property or inheritance by the owner's heirs.

### **Actions planned to reduce lead-based paint hazards**

**Lead Poisoning Prevention Program.** The City of Berkeley Public Health Division and the Alameda County Healthy Homes Department will work together to increase awareness and knowledge about lead poisoning prevention in Berkeley including providing lead-safe painting classes, in-home consultations, presentations, educational materials, and other services. Rebuilding Together will work with the City of Berkeley Alameda County Healthy Homes Department to increase awareness of lead issues among their clients and volunteers and to incorporate lead safe work practices into their activities.

The City of Berkeley Childhood Lead Poisoning Prevention Program collaborates with the Berkeley Health, Housing and Community Services Department's State lead-certified Risk Assessor/Inspector, Project Designer, and Project Monitor. The Alameda County Healthy Homes Department also has a HUD Lead Hazard Control grant to remediate lead hazards in 4 qualifying Berkeley housing units that are vacant, or occupied by a low income household with either a child under 6, a pregnant woman, or a child under 6 who regularly visits during July to October 2014. Berkeley's program

also provides case management services to families with children who have elevated blood lead levels. Services range from Public Health Nursing case management for children with blood lead levels above 15  $\mu\text{g}/\text{dL}$  to health education for children with levels between 5-14  $\mu\text{g}/\text{dL}$ .

### **Actions planned to reduce the number of poverty-level families**

In Program Year 2014 Berkeley will fund various Public Services at or under the allowed projected cap of \$467,571. The City's Anti-Poverty Strategy relies on funds in the Public Services category of the CDBG Program. The City's anti-poverty strategy continues to be closely tied to the funding of over 50 community agencies to provide services as described above to enable people in poverty to attain self-sufficiency, support at-risk youth to succeed in school and graduate, and protect the health and safety of low income people. Services are targeted toward people with disabilities, child care for working parents, and job seekers.

One source of funding for the City's antipoverty programs is the Community Services Block Grant (CSBG). The City of Berkeley has been provisionally allocated \$212,357 in Community Services Block Grant (CSBG) funds for calendar year 2014. The City will use approximately \$159,324 in CSBG funding to provide services to the homeless for the period July 2014 – June 2014, and the remainder for staffing to administer the program.

The City will continue in PY 2014 funding for anti-poverty programs from other federal entitlement sources for job training & creation/job placement agencies such as Inter-City Services, Rubicon Workforce Services, Center for Independent Living, the Women's Daytime Drop-In Center, East Bay Community Law Center, Resources for Community Development's social services, and the Berkeley Food and Housing Project's Men's Overnight Shelter. With local funds, the City anticipates funding a large number of community service agencies that have met the needs of Berkeley's poorest residents, and who represent other key components of Berkeley's overall anti-poverty strategy for health care, disabled services, senior and youth services, and employment training. These services are in addition to the extensive array of homeless services described earlier.

The City contracts with the following workforce development programs to provide training, education and job placement for low income, under and unemployed residents:

- **Rubicon Programs**, which provides Workforce Services for homeless people in Berkeley. Rubicon was also awarded \$1,038,174 from the federal Supportive Housing Program for its Rubicon Berkeley Services' operation of its Homeless One-Stop Center. Rubicon operates the North Cities One Stop Career Center, receiving Workforce Investment Act funding through the Alameda County Workforce Investment Board (ACWIB).



- **Inter-City Services** provides employment, training, and education and continues to serve veterans as funded under the Governor's 15% Discretionary pool of Workforce Investment Act (WIA) funds.
- **Biotech Partners** operates the Biotech Academy at Berkeley High School, targeting youth from under-represented populations in the fields of science and technology (African American, Latino, South East Asian, female and low-income youth) and who may be at risk of not graduating from high school.
- **The Bread Project** provides training in culinary arts and bakery production, and includes the formerly incarcerated as their target population. They operate two social enterprises (retail café and wholesale bakery) that create opportunities for trainees to obtain crucial on-the-job experience.
- **Rising Sun Energy Center's** Green Energy Training Services (GETS) provides classroom and hands-on training in Building Performance which serves as a pathway for careers in green and clean technologies. Rising Sun also operates the California Youth Energy Services (CYES) program funded by the CA Public Utilities Commission, providing summer jobs conducting residential energy audits.
- **Berkeley Youth Alternatives (BYA)** receives WIA funding through ACWIB to provide workforce development services to in-school and out-of-school youth. The area of workforce development is a focus area for increased coordination, including establishing methods to maximize and leverage resources.

In PY 2014, additional actions to reduce poverty will include:

- Continue the City's **First Source local hiring policy** and work closely with local workforce development programs to coordinate outreach to low-income, at-risk residents to ensure access to employment opportunities on publicly funded projects. The local hiring policy was used as a springboard to develop the Community Workforce Agreement between the City of Berkeley and the Building trades, which was authorized by the Berkeley City Council in January 2011 and applies to publicly funded construction projects estimated at \$1million or above. The local hire requirement in the CWA sets a hiring goal of 30% of craft hours to be performed by Berkeley residents and residents of the East Bay Green Corridor Partnership and Alameda County.
- The **YouthWorks** employment program will continue to build upon its success by continuing partnerships with the YMCA Teen Center, Public Health Division, Berkeley Public Library, Community Mural projects, Public Works Department and Center for Independent Living. YouthWorks targets low-income, at-risk youth from South & West Berkeley, with a minimum of one barrier to employment, and provides all youth with training and instruction regarding important workplace skills. These departments and organizations serve as year-round worksites providing valuable work experience to Berkeley youth.

- The **Summer Youth Employment Program** provides positive and meaningful youth-focused activities, which address youth unemployment, crime and poverty, teach fundamental life and workplace skills and help them to explore, prepare for, transition, and ultimately succeed in the adult world of work. Youth from South and West Berkeley are targeted in this program as well.
- **Berkeley Youth Alternatives** (BYA) has received WIA funds to serve Berkeley and Alameda youth year-round. YouthWorks and BYA collaborate on outreach, intake and referrals to reduce duplication of effort while ensuring that as many eligible youth as possible benefitted from these new funds.
- Continue to focus on the **South and West Berkeley at-risk transition age youth** to make available internships, job training and employment opportunities. The City of Employment Programs work closely with Berkeley Adult School, Berkeley City College, Berkeley Youth Alternatives, the Bread Project, Biotech Partners, Center for Independent Living, Inter-City Services, YMCA Teen Center, and Rubicon's the North Cities One-Stop Career Center, operated by Rubicon Workforce Services.
- With support from the City's **Recreation Division of Parks, Recreation & Waterfront Department**, continue CalCorps' West Berkeley after-school youth program, as well as the Community Builders program, an after-school targeting at-risk South Berkeley youth, focusing on addressing issues of violence, self-esteem and community service. Community Builders is a partnership with YouthWorks.
- As part of the **East Bay Green Corridor** partnership, continue to build upon and strengthen partnerships and programs that will both effectively address the critical workforce development needs of green industries, and to provide a means for Berkeley residents to gain access to good paying jobs in green sectors. A Green Career Pathways program has been developed and Regional Workforce Development training programs have been successful in leveraging resources to provide training in green and clean technologies to local residents, with expansion of the programs underway. Through the East Bay Green Corridor Partnership, YouthWorks hosts and provides "train the trainer" instruction to high school students in the High School Green Academies, in order for the students to train their peers at their respective high schools on the intricacies of preparing for and participating in career exploration fairs.

### **Actions planned to develop institutional structure**

During the next year, the City of Berkeley will continue to coordinate the housing and community services activities within the department through regular senior staff meetings and coordination on specific topics. The City's Health and Housing and Community Services departments were merged in PY 2012, and will seek opportunities to increase coordination during PY 2014.

### **Actions planned to enhance coordination between public and private housing and social service agencies**

City staff will also continue to participate in the implementation of Everyone Home, the countywide plan to end homelessness. Everyone Home spearheads Alameda County's Continuum of Care. Staff will continue to participate in the initiative's Leadership Board, which includes most public funders of housing and homeless services in the county, as well as leadership from key community based organizations. Leadership Board membership helps coordinate efforts across the county. Staff also participate in other committees composed of other funders (such as Alameda County Behavioral Health Care Services and the Social Services Agency) as well as many community based organizations.

Recent countywide collaboration efforts include the issuance of a countywide report on homeless program outcomes compared to adopted countywide performance benchmarks, planning for the 2013 homeless survey and count, the planning and implementation of the Housing Retention and Homelessness Prevention (HPRP) program.

BHA as well plans to enhance its coordination with private housing and social services agencies. The disposition of the units to Berkeley 75 Housing Partnership, LP (a subsidiary of Related Companies of California), marks BHA's first public-private partnership on a housing development project. Supportive services previously identified for residents for self-selection, will now be directly marketed by, and available from, the new ownership entity via a contract with Project Access. The Service Specialist will meet with every adult in each household, conduct a needs assessment to identify the needs/goals of each individual, and develop a customized set of recommendations. Project Access staff will assist with connecting residents with local resources, education programs and employment opportunities associated with the local community development provided by the Berkeley 75 Housing Partnership, LP. The Service Specialist's key role will be to ensure residents are aware of and connected with the education, health, employment and social services that meet their needs including gaining new skills, improving health and wellness, and serve as a liaison to other social service agencies.

### **Discussion**

The majority of Berkeley's activities furthering the goals of the Consolidated Plan are provided by community agency partners. This will continue to be the case in PY 2013.

## Program Specific Requirements

### AP-90 Program Specific Requirements – 91.220(I)(1,2,4)

#### Introduction

#### Community Development Block Grant Program (CDBG) Reference 24 CFR 91.220(I)(1)

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table. The following identifies program income that is available for use that is included in projects to be carried out.

1. The total amount of program income that will have been received before the start of the next program year and that has not yet been reprogrammed	\$60,000
2. The amount of proceeds from section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in the grantee's strategic plan	\$0
3. The amount of surplus funds from urban renewal settlements	\$0
4. The amount of any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan.	\$0
5. The amount of income from float-funded activities	\$0
Total Program Income	\$100,000

#### Other CDBG Requirements

1. The amount of urgent need activities	\$0
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**HOME Investment Partnership Program (HOME)  
Reference 24 CFR 91.220(I)(2)**

1. A description of other forms of investment being used beyond those identified in Section 92.205 is as follows:

The City of Berkeley uses no forms of investment other than ones described in §92.205(b) (Refinancing Costs).

2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for homebuyer activities as required in 92.254, is as follows:

No homeownership or tenant-based rental assistance activities are anticipated for PY 2014.

3. A description of the guidelines for resale or recapture that ensures the affordability of units acquired with HOME funds? See 24 CFR 92.254(a)(4).:

No homeownership activities are anticipated for PY 2014.

4. Plans for using HOME funds to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds along with a description of the refinancing guidelines required that will be used under 24 CFR 92.206(b), are as follows:

The City of Berkeley's HTF Guidelines apply to any project using HOME funds to refinance existing debt. Per the Guidelines, Project owners submit funding requests to the City, or reply to the City's Requests for Proposals for funding, with the following information, among other things:

- 1) As a condition precedent to funding, Owners must demonstrate an extension of affordability term. For new HOME funds invested in the Project, the minimum affordability term is the term required by 24 CFR 92 et seq., but, typically, the required extension of affordability is 55 years.
- 2) As a condition precedent to funding, Owners must demonstrate that the refinancing preserves the affordable Project through rehabilitation.
  - a. Minimum rehab costs/unit must correspond to at least the value identified in a current physical needs assessment to ensure that the long-term needs of the Project can be met.
  - b. Typical rehab/unit costs are no less than \$10,000/unit, the minimum rehab value required by the California Debt Limit Allocation Committee Regulations.

- 3) Owners indicate if their refinancing request includes new construction that adds net new units to the Project
- 4) Owners provide extensive Project data, including audited financial statements, cash flows, rent rolls, services plans, PNAs, and rehabilitation proformas to demonstrate that:
  - a. The project is sound financially and disinvestment has not occurred
  - b. The long-term needs of the Project and residents will be met by the rehab
  - c. The proposed rehab is financially feasible, includes no barriers to refinancing existing mortgage loans, does not include the refinancing of any existing federal or federally-insured loans, and leverages other non-federal funds to the greatest extent possible

**Emergency Solutions Grant (ESG)  
Reference 91.220(l)(4)**

1. Include written standards for providing ESG assistance (may include as attachment)

The City's standards for providing ESG assistance are attached as ***Attachment 3: Alameda County Priority Home Partnership City of Berkeley Manual.***

2. If the Continuum of Care has established centralized or coordinated assessment system that meets HUD requirements, describe that centralized or coordinated assessment system.

The Alameda County Continuum of Care (Everyone Home) has not yet developed a centralized or coordinated assessment system that meets HUD requirements.

3. Identify the process for making sub-awards and describe how the ESG allocation available to private nonprofit organizations (including community and faith-based organizations).

The City of Berkeley was allocated \$203,290 in ESG funding for PY2014. Funds will be used to continue a program started in PY2012, which provides rapid re-housing and homeless prevention financial assistance to homeless clients and clients who are imminently homeless and seeking shelter. The City of Berkeley will utilize the maximum amount possible for administration (7.5% of the grant) and allocate \$6,700 to support the County-wide Homeless Management Information System, known as InHouse. The table below shows how PY2014 ESG funds will be used.

**PY2014 ESG Funding and Budget**

<b>Agency</b>	<b>Program</b>	<b>Amount</b>	<b>Percent</b>
Berkeley Food & Housing Project	Priority Home Partnership Program – Rapid Rehousing	\$142,303	70%
COB/HH&CS	Priority Home Partnership Program – Homeless Prevention	\$39,040	19%
Alameda County Housing & Community Development Department	Homeless Management Information System	\$6,700	4%
COB/HH&CS	Program Planning and Administration	\$15,247	7.5%
<b>Total</b>		<b>\$203,290</b>	<b>100%</b>

The City of Berkeley has encouraged its network of providers of services to the homeless to focus their efforts on rapidly re-housing their clients. Providers have re-tooled staffing to focus case management efforts on preparing clients for stabilization in housing. City General Funds already support these efforts. These providers report that the lack of financial assistance to rapidly re-house clients has impeded their efforts. For this reason, the City of Berkeley will again use a large portion of new ESG funds for financial assistance to rapidly re-house clients accessing services at existing homeless programs.

ESG funds will be used to fund City staff and will be sole-sourced to the Berkeley Food and Housing Project (BFHP). BFHP provided financial assistance processing services both for the HPRP program and for the City's Housing Retention Program, and has developed adequate systems to meet the regulatory requirements of the funding. Utilizing City staff for the administration and coordination of the program will ensure that financial assistance will be made available to clients of existing homeless agencies on an equitable basis, when the clients they serve are ready to receive the assistance.

4. If the jurisdiction is unable to meet the homeless participation requirement in 24 CFR 576.405(a), the jurisdiction must specify its plan for reaching out to and consulting with homeless or formerly homeless individuals in considering policies and funding decisions regarding facilities and services funded under ESG.

The policy-making entity for the City of Berkeley which makes decisions regarding the facilities, services, and other programs to receive funding under the Emergency Solutions Grant (ESG) is the Berkeley City Council. The Berkeley City Council is elected by the citizens of Berkeley. The City cannot mandate that a homeless or formerly homeless individual be on the City Council. Therefore, the City must develop and implement a plan to consult with homeless or formerly homeless individuals in making policies and decisions regarding programs that receiving funding under ESG.

City staff are planning, in conjunction with Everyone Home, to host a forum each year for homeless clients, in order to involve them in policy-making and decisions regarding ESG-funded services. The details have yet to be determined.

5. Describe performance standards for evaluating ESG.

The performance standards to be applied to ESG activities is attached as **Attachment 4: Outcome Measures**. These standards were developed in 2009-2010 through the leadership of Everyone Home (the Continuum of Care) and partially funded by City of Berkeley General Funds. This matrix presents outcome standards for each type of program in the Continuum of Care. Most were established as a percentage of the average outcomes achieved by all County programs (for example, the average permanent housing placement rate of all emergency shelters) and will be adjusted over time to ensure continued improvement.



**Discussion**

Together Priority Home Partnership and the Housing Retention program make up the housing retention and rapid rehousing segment of the City's continuum of services. The City will continue to work with Everyone Home and community agencies to ensure that prevention and rapid rehousing funds are fully utilized and play an important role in ending homelessness in Berkeley.

Community Development Block Grant, Emergency Solutions Grant, and HOME Program Goals, Objectives, and Outcomes

City of Berkeley Annual Action Plan PY 2014:  
Attachment 1: Table AP-35

IDIS Project Number	Agency	Project(s)	Description	Location	Expected Completion Date	Funding	HUD Objective Category	HUD Outcome Category	Goal	Project Level Accomplishments	Matrix Code	Priority Need Category	Proposed Outcomes
<b>HOUSING PROJECTS</b>													
1	Center for Independent Living (CIL)	Residential Access for the Disabled Program	CIL's program removes barriers to housing for low-income, disabled residents by installing ramps, lifts and making other interior and exterior modifications to ensure accessibility of their homes.	City-wide	June 30, 2015	\$140,219 CDBG	Decent Housing	Improved availability	Rental Units Rehabilitated	26 Housing Units	14A, Rehab, Single-Unit 570.202	Non-Homeless Special Needs	By the completion date, 5 clients will be enabled to better engage in the activities of normal daily life as a result of the construction of ramps/lifts. 21 clients will be enabled to better utilize the interior of their homes, providing safety, and preventing accidents that can result in hospitalization or
2	Community Energy Services Corporation	Home Safety & Repair Program	Community Energy Services Corporation (CESC) performs repairs to improve safety, habitability, and energy efficiency of homes occupied by low-income owners and renters.	City-wide	June 30, 2015	\$282,334 CDBG	Decent Housing	Improved availability/affordability	Rental Units/Homeowner housing rehabilitated	120 Housing Units	14A, Rehab, Single-Unit 570.202	Owner Occupied Housing	By the completion date CESC's construction crew will make health and safety repairs for 120 low-income households.
3	Rebuilding Together	Safe Homes Project	Rebuilding Together's Safe Home Project provides home repairs, access modifications, and safety upgrades to 18-25 low-income households focusing on essential needs of warmth, safety, and access.	City-wide, 3318 Adeline St., Berkeley CA 94703	June 30, 2015	\$98,279 CDBG	Decent Housing	Improved availability/affordability	Homeowner Housing rehabilitated	18 Housing Units	14A, Rehab, Single-Unit 570.202	Owner Occupied Housing	By the completion date, 18 homeowners will receive home repairs and safety modifications.
4	City of Berkeley/Health, Housing & Community Services Division (HHCSD)	Loan Services	This project services 231 active housing rehabilitation loans. Services provided under this project will include accounting, processing loan payments and loan payoff demands, deeds of reconveyance, lien releases and loan subordination requests, collections, personal financial analysis, and structuring of temporary repayment	City-wide, 2180 Milvia Street, 2nd Floor, Berkeley, CA 94704	June 30, 2015	\$114,058 CDBG	Decent Housing	Improved accessibility	Rental Units Rehabilitated	231 Housing Rehabilitation Loans	14H, Rehab Administration 570.202	Rental Housing	Continue servicing 231 existing rehabilitation loans to low-income Berkeley residents.
5	HHCSD	Seniors and Disabled Home Rehabilitation Loan Program	This project carries out rehabilitation of homes for low-income seniors and the disabled.	City-wide, 2180 Milvia Street, 2nd Floor, Berkeley, CA 94704	June 30, 2015	\$177,540 CDBG	Decent Housing	Improved sustainability	Homeowner Housing rehabilitated	4 Housing Units	14A, Rehab, Single-Unit 570.202	Owner Occupied Housing	By the completion date, 4 or more low-income seniors or disabled Berkeley homeowners will upgrade their homes.
	HHCSD	Rehab Loans	This project pays for loans of up to \$70,000 for the Senior & Disabled Home Rehab. Loan Program	City-wide, 2180 Milvia Street, 2nd Floor, Berkeley, CA 94704	June 30, 2015	\$150,000 CDBG	Decent Housing	Improved sustainability	Homeowner Housing rehabilitated	4 Housing Units	14 A, Rehab, Single-Unit 570.202	Owner Occupied Housing	Beneficiaries and outcomes will be reported in the project listed above.
6	HHCSD	Housing Development/Multi-Family Rehabilitation	City staff actively facilitate development, rehabilitation and/or preservation of affordable housing through working with developers, other city staff, lenders and other public agencies for the acquisition and rehabilitation of multi-family housing.	City-wide, 2180 Milvia Street, 2nd Floor, Berkeley, CA 94704	June 30, 2015	\$369,310 CDBG	Decent Housing	Improved affordability	Rental Units Rehabilitated	Housing Units	14H, Rehab Administration 570.202	Rental Housing	By the completion date, 6 rehabilitation projects will be underway.
	HHCSD	Housing Trust Fund	This project helps finance the acquisition and rehabilitation of affordable rental housing developments through the City of Berkeley's Housing Trust Fund.	City-wide, 2180 Milvia Street, 2nd Floor, Berkeley, CA 94704	June 30, 2015	\$321,554 CDBG	Decent Housing	Improved affordability	Rental Units Rehabilitated	22 Housing Units	22, Unprogrammed Funds	Rental Housing	Provide direct loans to non-profit housing rehabilitation projects, and coordinate with other state sources of financing such as MHP and MHSA.
<b>PUBLIC SERVICES</b>													
7	Berkeley Food and Housing Project (BFHP)	Men's Overnight Shelter	The Berkeley Food and Housing Project provides emergency shelter, food, linens, toiletries, access to counseling and case management to adult homeless men in downtown Berkeley.	1932 Center St., Berkeley, CA 94704	June 30, 2015	\$180,986 CDBG	Suitable Living Environments	Improved sustainability	Homeless Person Overnight Shelter	320 People	03T, Operating Costs Homeless Programs, 570.201 (a)	Homeless/HIV/AIDS	By the completion date, (a) 50 clients will exit with employment; and (b) 82 clients will obtain permanent housing, 41 of whom will do so within 60 days of exit.
8	Biotech Partners	Biotech Academy at Berkeley High	Biotech Partners will provide at-risk juniors and seniors at Berkeley High School with tutoring, counseling, job search assistance, and internship placements with companies in the Biotech field.	800 Dwight Way, Berkeley CA 94710	June 30, 2015	\$68,094 CDBG	Suitable Living Environments	Improved sustainability	Public service activities other than low/moderate income housing benefit	65 People	05D, Youth Services, 570.201 (e)	Public Services	By the completion date; (a) 20 students will be placed in internships; (b) 19 students will enroll in post-secondary education; and (c) 19 students will graduate from high school.
9	East Bay Community Law Center	Fair Housing/Subsidized Housing Support & Advocacy	EBCLC will provide outreach, training, fair housing counseling services to up to 60 households, investigation of 20 fair housing complaints, tenant/landlord mediation, and at least two fair housing testing/audits with follow-up training for non-compliant property owners.	City-wide, 1966 San Pablo Ave, Berkeley, CA 94703	June 30, 2015	\$34,932 CDBG	Suitable Living Environments	Improved accessibility	Public service activities other than low/moderate income housing benefit	60 People	05J, Fair Housing, 570.201 (e)	Public Services	By the completion date, fair housing counseling will be provided to 60 people, 8 clients will have legal disputes resolved, 12 clients will have rights protected, acquired or restored, and 2 audits will be accomplished.

Community Development Block Grant, Emergency Solutions Grant, and HOME Program Goals, Objectives, and Outcomes

City of Berkeley Annual Action Plan PY 2014:  
Attachment 1: Table AP-35

IDIS Project Number	Agency	Project(s)	Description	Location	Expected Completion Date	Funding	HUD Objective Category	HUD Outcome Category	Goal	Project Level Accomplishments	Matrix Code	Priority Need Category	Proposed Outcomes
10	HHCS and BFHP	Homeless Prevention and Rapid Re-Housing Project	CDBG funding will be used to provide rental assistance, security deposits and utility arrears for homeless or precariously housed residents of Berkeley.	City-wide, 2180 Milvia Street, Berkeley CA 94704	June 30, 2015	\$59,107 CDBG	Suitable Living Environments	Improved sustainability	Public service activities for low/moderate-income housing benefit.	40 People	05S and 05T, 570.201 (e)	Public Facilities	By the completion date, 40 people will be rapidly re-housed or prevented from becoming homeless.
10	Rising Sun Energy Center	Green Energy Training Services	Rising Sun will train participants in ecolliteracy, job readiness, basic construction, and energy efficiency assessment. The program also offers on-the-job training and internships with employers in the Green Building, Energy Efficiency or Building.	2033 Center Street, Berkeley CA 94704	June 30, 2015	\$50,852 CDBG	Suitable Living Environments	Improved sustainability	Public Service activities other than low/moderate-income housing benefit.	15 People	05H, Employment Training, 570.201 (e)	Public Services	By the completion date, 12 clients will be employed within 3 months of program exit, 10 clients will retain employment for 9 months or longer, 8 clients will obtain a Berkeley Living Wage, and 9 clients who found a job will earn 30% more than at entry into the program.
11	Women's Day-Time Drop-in Center (WDDC)	Housing Case Management and Safety Net Services	WDDC provides housing case management services to homeless clients seeking to move from crisis to a higher level of housing stability.	2218 Acton Street, Berkeley, CA 94702	June 30, 2015	\$61,885 CDBG	Suitable Living Environments	Improved sustainability	Homeless Person Overnight Shelter	700 People	03T, Operating Costs Homeless Programs, 570.201 (e)	Public Services	By the completion date, 20 clients will exit the program with an income, 90 clients will obtain permanent housing - 45 of whom will do so within 60 days of exit from the program, 90 clients who entered the program with housing will maintain their housing, and 125 clients will exit to homelessness.
<b>PUBLIC/COMMUNITY FACILITIES</b>													
	LifeLong	Dental Clinic	Improve the energy efficiency and sustainability of Dental Clinic by replacing the existing storefront door and windows with a low-emissive door and windows.	1860 Alcatraz Avenue, Berkeley, CA, 94703	June 30, 2015	\$34,493 CDBG	Suitable Living Environments	Improved sustainability	Public facility or infrastructure activities other than low/moderate-income housing benefit.	Facility	03P Health Facilities 570.201 (c)	Public Facilities	
	LifeLong	Over 60s Clinic	Air Handler Replacement Project: Remove a 14-year old air handler unit in disrepair and purchase and install a new air handler unit.	3260 Sacramento Street, Berkeley, CA, 94702	June 30, 2015	\$43,040 for all 3 over 60s Clinic projects combined	Suitable Living Environments	Improved sustainability	Public facility or infrastructure activities other than low/moderate-income housing benefit.	Facility		Public Facilities	
	LifeLong	Over 60s Clinic	Patio Door Re-glazing Project: Supply and install insulated one half inch Tempered Low E Glass on 11 Patio doors that have damaged glazing.	3260 Sacramento Street, Berkeley, CA, 94702	June 30, 2015		Suitable Living Environments	Improved sustainability	Public facility or infrastructure activities other than low/moderate-income housing benefit.			Public Facilities	
	LifeLong	Over 60s Clinic	Main Entrance Storefront Replacement Project: Supply and install aluminum storefront door and transom.	3260 Sacramento Street, Berkeley, CA, 94702	June 30, 2015		Suitable Living Environments	Improved sustainability	Public facility or infrastructure activities other than low/moderate-income housing benefit.			Public Facilities	
<b>EMERGENCY SHELTER GRANT (ESG) SERVICES</b>													
19	HHCS and BFHP	Rapid Re-Housing Project	ESG funds will be used to provide financial assistance and housing relocation and stabilization services to rapidly re-house approximately 66 households.	City-wide, 2140 Dwight Way, Berkeley CA	June 30, 2015	\$142,303 ESG	Suitable Living Environments	Improved sustainability	Public service activities for low/moderate-income housing benefit.	66 Households	Rapid Re-Housing		By the completion date, 66 literally homeless families and individuals will have become rapidly re-housed.
20	HHCS and BFHP	Homeless Prevention Project	ESG funds will be used to provide financial assistance and housing relocation and stabilization services to rapidly re-house approximately 10 households.	City-wide, 2180 Milvia Street, 2nd Floor, Berkeley, CA 94704	June 30, 2015	\$39,040 ESG	Suitable Living Environments	Improved sustainability	N/A	10 Households	Homeless Prevention		By the completion date, 10 literally homeless families and individuals will have become rapidly re-housed.
21	HHCS	Homeless Management Information System	ESG funds provide ongoing operating costs for the HUD-mandated Homeless Management Information System.	City-wide, 2180 Milvia Street, 2nd Floor, Berkeley, CA 94704	June 30, 2015	\$6,700 ESG	Suitable Living Environments	Improved sustainability	N/A	1000 People	03T, Operating Costs Homeless Programs, 570.201 (e)	Homeless/HIV/AIDS	By the completion date, homeless services providers in Berkeley will utilize Service Point to report demographics of clientele.
<b>PROGRAM PLANNING AND ADMINISTRATION (CDBG, ESG and HOME)</b>													
22	HHCS	CDBG Planning & Administration	Funding for planning and administration of the City's CDBG Program.	2180 Milvia Street, Berkeley CA 94704	June 30, 2015	\$ 373,275 CDBG	N/A	N/A		N/A	21A, General Program Administration 570.206	Planning & Admin	N/A
23	City of Berkeley	Support Costs	Funding for Indirect Costs related to the administration of the CDBG Program.	2180 Milvia Street, Berkeley CA 94704	June 30, 2015	\$ 138,061 CDBG	N/A	N/A		N/A	21B, Indirect Costs, 570.206	Planning & Admin	N/A

City of Berkeley Annual Action Plan PY 2014:  
Attachment 1: Table AP-35

Community Development Block Grant, Emergency Solutions Grant, and HOME  
Program Goals, Objectives, and Outcomes

ID/IS Project Number	Agency	Project(s)	Description	Location	Expected Completion Date	Funding	HUD Objective Category	HUD Outcome Category	Goal	Project Level Accomplishments	Matrix Code	Priority Need Category	Proposed Outcomes
24	HHCS	Program Planning and Administration	Funding for planning and administration of the City's ESG Program.	2180 Milvia Street, Berkeley CA 94704	June 30, 2015	\$15,247 ESG	N/A	N/A		N/A	21A. General Program Administration .570.206	Planning & Admin	N/A
25	HHCS	HOME Administration	Funding for the administration of the HOME program.	2180 Milvia Street, Berkeley CA 94704	June 30, 2015	\$66,422 HOME	N/A	N/A		N/A	21A. General Program Administration	Planning & Admin	N/A
<b>HOME PARTNERSHIP FOR INVESTMENT PROGRAM</b>													
6	HHCS	HOME (Housing Trust Fund)	This project helps finance the acquisition and rehabilitation of affordable rental housing developments through the City of Berkeley's Housing Trust Fund. Includes \$50,000 in estimated program income.	City-wide	June 30, 2015	\$597,802 HOME	Decent Housing	Improved availability/affordability		Units	22 Unprogrammed Funds	Rental Housing	Fund creation of new affordable housing through projects assisted through Berkeley's Housing Trust Fund.

Source: City of Berkeley Health, Housing & Community Services Department.

## City of Berkeley CDBG, ESG and HOME Projects for 7/1/2014 - 6/30/2015

Proj. #	Agency	Project Name	Award Amount
<b>CDBG</b>			
1	Center for Indep. Living	Residential Access Project for Disabled	\$ 140,219
2	Commt. Energy Services	Home Safety & Repair Program	\$ 282,334
3	Rebuilding Together	Safe Home Project	\$ 98,279
4	HHCS*	Loan Services	\$ 114,058
5	HHCS	Senior and Disabled Rehab Program	\$ 177,540
	HHCS	Rehab Loans	\$ 150,000
6	HHCS	Housing Development: M/F Rehab	\$ 369,310
	HHCS	Housing Trust Fund	\$ 321,554
<b>Subtotal Housing Projects</b>			<b>\$ 1,653,294</b>
7	Berkeley Food & Hsg. Proj. (BFHP)	Men's Overnight Shelter	\$ 180,986
8	Biotech Partners	Biotech Academy at Berkeley High	\$ 68,094
9	East Bay Community Law Center	Fair Housing	\$ 34,932
10	HHCS and BFHP	Homeless Prevention & Rapid Rehousing	\$ 59,107
11	Rising Sun Energy Center	Green Energy Training Services	\$ 50,852
12	Women's Daytime Drop-In	Housing Case Management	\$ 61,885
<b>Subtotal Public Services Projects</b>			<b>\$ 455,856</b>
13	Rebuilding Together	Community Facility Improvements	\$ 24,575
14	HHCS	Community Facility Improvements	\$ 134,085
15	LifeLong Medical Care	Dental Clinic, energy efficiency	\$ 34,493
16	LifeLong Medical Care	Over 60s Clinic: Air Handler and Doors	\$ 43,040
<b>Subtotal Public Facilities Projects</b>			<b>\$ 236,193</b>
17	HHCS	CDBG Planning and Administration	\$ 373,275
18	City of Berkeley - City Manager	Support Costs	\$ 138,061
<b>Subtotal Planning &amp; Admin Projects</b>			<b>\$ 511,336</b>
<b>GRAND TOTAL ALL CDBG PROJECTS</b>			<b>\$ 2,856,679</b>
<b>ESG</b>			
	BFHP and HHCS	Rapid Re-Housing Project	\$ 142,303
	BFHP and HHCS	Homeless Prevention	\$ 39,040
	HHCS	Homeless Management Information System	\$ 6,700
	HHCS	Program Planning and Administration	\$ 15,247
<b>GRAND TOTAL ALL ESG PROJECTS</b>			<b>\$ 203,290</b>
<b>HOME</b>			
	HHCS	HOME Administration	\$ 66,422
	HHCS	Housing Trust Fund	\$ 597,802
<b>GRAND TOTAL ALL HOME PROJECTS*</b>			<b>\$ 664,224</b>

**Notes:**

\* HHCS = City of Berkeley Health, Housing &amp; Community Services Department

Alameda County  
Priority Home Partnership  
(PHP)  
City of Berkeley



Emergency Solutions Grant  
Rapid Rehousing and Prevention Assistance  
Policies and Procedures Manual

Version 1  
February 2013

Priority Home ESG  
Policies and Procedures Manual

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## **Introduction**

The Emergency Solutions Grant (ESG) is a federal program that provides funding to states and local governments for emergency services and housing supports for homeless and at-risk households. Under the 2009 HEARTH Act, eligible activities under ESG were expanded from traditional shelter and outreach services to also include rapid rehousing and targeted homeless prevention. Per the ESG regulations (§576.400) ESG recipients must consult with the Continuum of Care entity in their region to determine how to allocate ESG funds, develop performance standards and evaluate the outcomes of projects and activities funded with ESG. They also must develop written policies and procedures for determining which households will receive assistance and for determining the type, amount, and length of assistance to be offered to eligible households.

### ***Program Purpose***

The primary purpose of local ESG-funding for prevention and/or rapid rehousing is to serve households as close to the “front door” of homelessness as possible – either by diverting them from entry into homelessness, and particularly to shelter, through prevention assistance, or assisting persons as soon as possible after becoming homeless, including after entering shelter, to end their homelessness quickly and shorten lengths of stay in shelter and time spent homeless. In some cases, particular subpopulations may be targeted for this assistance, consistent with plans to end homelessness.

This manual of policies and procedures covers all ESG recipients and subrecipients operating prevention and/or rapid rehousing programs in Alameda County, as these areas are all contained in HUD-recognized Continuum of Care 502. ESG entitlement recipients in Alameda County currently include the Cities of Berkeley and Oakland and the County of Alameda on behalf of the Urban County. Additional ESG subrecipients within the County may be selected by the State of California or, from time to time, additional cities may become entitlement for ESG. This manual was developed collaboratively by the CoC Entity, EveryOne Home, and all current entitlement recipients and State ESG subrecipients.

### ***Interim Guidelines***

The ESG and CoC regulations require that the Continuum of Care develop and implement a centralized or coordinated assessment system, and a set of written standards for CoC funded activities. Once coordinated assessment is established, each ESG-funded program or project must use the assessment system, and recipients and subrecipients must work with the Continuum of Care to ensure that screening, assessment and referral of program participants are consistent with the written standards required for ESG programs. This manual and the written standards contained herein for prevention and rapid rehousing are considered interim for the period until a broader coordinated assessment system and written standards for assistance have been developed and adopted across the Continuum.

A complete version of the ESG Interim Regulations can be found here:

[https://www.onecpd.info/resources/documents/HEARTH\\_ESGInterimRule&ConPlanConformingAmendments.pdf](https://www.onecpd.info/resources/documents/HEARTH_ESGInterimRule&ConPlanConformingAmendments.pdf)



## ***Structure of the Manual***

This manual is for ESG recipients, subrecipients, and interested parties. It provides a detailed description of the steps that will be taken to determine eligibility, calculate financial assistance, recertify for eligibility, provide support and terminate ESG assistance for rapid rehousing and prevention. Required and/or recommended forms and documents are provided in an Appendix of Forms and Documents at the end of the manual. In some cases, recipients or subrecipients may target their programs more specifically to subpopulations, such as survivors of domestic violence or seniors who are otherwise eligible.

***Items in bold italics that are highlighted in grey, are changes to the manual specific to how the City of Berkeley will implement the program.***



A document icon appears by every form that is referred to and clicking on the [highlighted hyperlinks](#) on the names of the form will take the reader directly to the referenced documents in the Appendix.



Some key forms and information are entered into the county-wide InHOUSE Homeless Management Information System. Forms that are provided by InHOUSE are not included in this manual but are indicated by a computer icon.

**Acknowledgments:** The development of the ESG Manual was supported by Alameda County EveryOne Home and the City of Berkeley. For more information related to the ESG Manual or about the Priority Home Partnership, please contact Elaine DeColigny, EveryOne Home Director, at (510) 670-5944 or email [everyonehome@acgov.org](mailto:everyonehome@acgov.org). The manual was prepared by Katharine Gale Consulting with input from local government and community agency staff including the following persons: Kerry Abbot, Erika Bernheimer, Elaine DeColigny, Geoff Green, Kristin Lee, Susan Shelton, Liz Varela, Jennifer Vasquez, and Riley Wilkerson.

## 1: Participant Eligibility

As stated above, the primary purpose of ESG-funded rapid rehousing and prevention is to reduce entries into homelessness and/or shorten stays in homelessness to the greatest extent feasible. To be eligible to receive ESG prevention or rapid rehousing assistance, participant households in Alameda County must meet both national and local requirements, and this eligibility must be documented with an application and supporting documentation kept in a client file. These requirements include:

- Participants must be homeless or at imminent risk of homelessness, per the applicable HUD definitions in the ESG regulation (§576.2) supported by documentation; ***Rapid Rehousing applicants whose income exceeds 30% of the Area Median Income require the City of Berkeley approval.***
- Participants must be one of the locally targeted populations for the program, as specified on the application and eligibility determination form;
- Participants must be willing to participate in the program and to meet the terms of a self-developed Housing Stability Plan;
- Participants may not have already received 24 months of ESG assistance during the past 36 months (§576.105(c));
- Participants must meet the local asset policy, including having cash or equivalent assets of less than \$2,000 per single individual and \$3,000 per couple;

In addition:

- Participants receiving prevention assistance must have incomes at or below 30% of the Area Median Income (§576.103).

### Eligibility for Rapid Rehousing

Rapid rehousing provides financial assistance and supportive services to individuals or families that are literally homeless, staying in shelter or transitional housing or on the streets or other places not suitable for human habitation, or exiting institutions and having entered from one of these locations. Eligibility for rapid rehousing includes those fleeing domestic violence who are living in one of the places named above.

In keeping with the intentions of the program, rapid rehousing assistance will be used primarily to serve households that are:

- 1) Adults or family households able to be rehoused rapidly without anticipation of an ongoing subsidy, with ESG financial assistance anticipated to be of six months or less duration;
- 2) Adults or family households able to be rehoused rapidly with an ongoing subsidy from another source anticipated within six months of ESG program participation
- 3) Transition-age youth, especially those recently discharged from foster care, who are able to be rehoused rapidly without anticipation of an ongoing subsidy, with ESG assistance of eighteen months or less duration.

### Eligibility for Prevention Assistance

Prevention assistance will be directed to persons who are not literally homeless but are at imminent risk of homelessness per the HUD Homeless definition (Category 2). Prevention assistance may include support to a household to retain its current housing or to move to other housing without having to become literally homeless. While the ESG regulations allow for ESG prevention to be provided to those categorized as “at-risk” but not necessarily at “imminent risk”, Alameda County ESG programs will target prevention services specifically to those that are at “immediate risk” defined as:

*“An individual or family who will imminently lose their primary nighttime residence, provided that:*

- *the primary nighttime residences will be lost within 14 days of the day of application for homeless assistance;*
- *no subsequent residence has been identified; and,*
- *the individual or family lacks the resources of support networks, e.g., family, friends, faith-based or other social networks, needed to obtain other permanent housing.”*

Within the category of “imminent risk” special attention and outreach will be done to target those households that are:

- 1) doubled up with family and friends, must move within 14 days and are seeking to enter shelter;
- 2) living in a hotel or motel using their own resources , must leave within 14 days, and are seeking to enter shelter;
- 3) ~~living in their own housing, are being evicted for non-payment of rent, must leave within 14 days, and are seeking shelter;~~ ***Not eligible under the City of Berkeley Priority Home Partnership (PHP). These households may be eligible for the Housing Retention Program (HRP).***
- 4) fleeing domestic violence;
- 5) imminently leaving foster care, or have recently left foster care and are at imminent risk of losing their current housing.

### ***Eligibility Determination***

Program operators must determine that potential participants are eligible for assistance, and document this eligibility, including verifying income and housing status. The Program Application and Eligibility Determination Form contains key questions and documentation requirements.



A copy of the [ESG Program Application and Eligibility Determination Form](#) can be found in the Appendix. This document and all supporting documentation should be placed in the Participant’s File.



A cover sheet for participant files with a list of all of the program documents can be found [here](#).

**Ineligible applicants:** If a household is assessed and determined to be ineligible, the program operator must notify the household that they have been determined to be ineligible, provide them with appropriate referrals which should be noted on the application form, and create a client file documenting the assessment process and determination.

## 2: Enrollment

Once found eligible, to enroll the head of household must sign the ESG Participation Agreement complete the HMIS ROI and staff must complete an HMIS Standard Intake Form (SIF) for all household members.



A copy of the [ESG Program Participation Agreement](#) can be found in the appendix, immediately following the Application form.



The HMIS Release of Information (ROI), and the Standardized Intake Form (SIF) are developed and updated by the InHOUSE staff at Alameda County Housing and Community Development Department, in accordance with HUD regulations. Housing Agency staff must ensure that the forms in use are the most recent ones, as HUD and local requirements change periodically. If you are unsure that the forms are the most recent, email [HMIS@acgov.org](mailto:HMIS@acgov.org).

### ***Budget and Housing Stability Plan***

The purpose of ESG Prevention and/or Rapid Rehousing assistance is to provide the support necessary to help the household retain or gain housing in the shortest period of time possible. Critical to being able to retain the housing is a budget and a housing plan. The budget is also needed to determine the amount of financial assistance to be provided.

The Housing Stability Plan should be updated as frequently as necessary to reflect changing situations. Once a participant has moved into housing, the housing specialist and participant should prepare a new Housing Stability Plan that emphasizes those steps or actions needed to retain housing.



A [Sample Budgeting Worksheet](#) and a sample [Housing Stability Plan](#) format can be found in the Appendix of Forms. ***ESG-funded programs may use another version of these forms if approved by the recipient.*** Be sure to make a copy of the Budget and Housing Plan for the participant and insert a signed copy in the participant's file.

## 3: Financial Assistance for Housing

### ***Eligible Financial Assistance Expenses***

The ESG program has the ability to provide temporary financial assistance to participants on a short or medium-term basis. This assistance may include:

**Security Deposits:** The housing agency may provide a maximum of two times the monthly rent for a unit as a security deposit to assist a participant to secure housing. At such time as the participant may leave the unit and the landlord return all or part of the deposit to the participant, the participant may retain any balance to use toward a new housing situation.

**Utility Deposits:** If, in order to begin utility service, the household must provide a deposit to a utility company, the program may assist with this deposit.

**Rental Assistance payments:** If the participant cannot currently afford to rent a unit in the community but is reasonably anticipated to have sufficient income, either through employment or benefits, within approximately six months the program may provide a rental subsidy for the participant. Such subsidies will be as low as possible:

- If the participant has an income he/she is expected to contribute at least 50% of his/her income toward the rent, unless the participant is expect to receive a permanent housing subsidy within approximately six months, in which case the participant may pay only 30% of their income. Documentation of the expectation of a permanent subsidy should be included in the file.
- If the participant has no income, the program may subsidize the entire rent for the first three months.

Rental assistance may be conditioned on the participant fulfilling his or her agreements as part of the Housing Stability Plan and is never offered for more than three months at a time. To continue rental assistance after three months, the program must recertify the participant. See Section [6: Three Month Reassessment of Eligibility](#)

**Past due rent arrears:** ~~If in order for a household to retain their housing they must pay past due rent the program will cover up to three months of rent arrears not to exceed \$3,000~~ **Not eligible under the City of Berkeley PHP.**

**Past due utility arrears:** In rare cases, the ESG program will provide funding for past due utilities. The program will only provide such funding for prevention clients if failure to do so will result in the loss of utilities and under the terms of the participants lease this would be grounds for eviction. The program will only provide utility arrears assistance to rapid rehousing clients if utility arrears mean that then household will be unable to establish utility service in their new housing.

In addition, ESG funds may be used to cover the costs of rental applications provided this is a fee that is charge by the owner to all applicants.

### ***Determining the Amount of Financial Assistance***

The amount of financial assistance is determined by the amount needed to secure the housing and by the amount of contribution the household is able to make toward the housing costs.

For one-time costs, such as security deposits, and rent and utility arrears, the program will pay the entire amount if the household will have less than 50% of income available after paying rent, the household's budget does not contain any disposable income, and the household assets are less than \$500.00. If the household has assets greater than \$500, and/or the household budget indicates income is available to make a portion of the payment, the household should be required to provide a portion of the deposit and/or arrears. The household's payment may be made through a payment plan with the landlord or utility company if that is possible.

For rental assistance payments, households with any income are expected to contribute either 50% of their income, or 50% of the rent, whichever is lower. An exception to this rule may be made for persons with disabilities who are anticipated to receive a permanent subsidy within six months of their ESG program enrollment.

With agency supervisor approval, households may be permitted to contribute less toward the rent for a brief period to cover other extraordinary costs. The program may pay the entire rent on behalf of households that have no income.



The [ESG Financial Assistance Calculation Form](#) can be found in the appendix. The program should complete the form with the participant and the participant should sign it. This calculation needs to be prepared every three months for households receiving medium-term rental assistance.



All financial assistance provided must be recorded in HMIS.

#### **4: Supportive Services and Connection to Mainstream Resources**

Whether covered by ESG funds or other sources, ESG programs are expected to assist clients with housing stability case management and with housing search and placement services as needed.

Housing stability case management includes:

- conducting the official evaluation of eligibility and need, including verifying and documenting eligibility
- counseling
- developing, securing, and coordinating services and assistance in obtaining Federal, state and local benefits
- monitoring and evaluating participant progress;
- providing information and referral to other providers;
- developing an individualized housing plan to permanent housing stability; and
- conducting reevaluations.

These services *may not exceed* 30 days during the period the program participant is seeking permanent housing, and may be provided for up to a total of 24 months within a 36 month period.

While providing prevention or rapid rehousing financial assistance, the program must ensure that the participant meets with a case manager not less than once per month to assist the participant in ensuring long-term housing stability. Case management should be provided more frequently if needed.

Housing search assistance are those services intended to assist program participants in locating, obtaining, and retaining suitable permanent housing, and are expected to be offered to all participants receiving rapid rehousing assistance or prevention assistance that includes moving to another unit. These include:

- assessment of housing barriers, needs, and preferences;
- development of a plan for locating housing;
- housing search;
- outreach and negotiations with landlords; and

- assistance with submitting rental applications and understanding leases.

### ***Links to Mainstream Services***

As part of the stability case management, each participant is expected to be assisted, as needed to obtain other services and mainstream benefits including:

- appropriate supportive services including assistance in obtaining permanent housing, medical health treatment, mental health treatment, counseling, supervision, and other services essential for achieving independent living, and
- other federal, state, local, and private assistance available to assist the program participant in obtaining housing stability, including
  - Medi-Cal or other medical insurance
  - TANF
  - Food stamps/Supplemental nutrition assistance (SNAPS)
  - WIC
  - Unemployment insurance
  - SSI/SSDI
  - Child and adult care food program
  - Other mainstream benefit programs from which the participant household could benefit.



While no specific form is provided for this documentation, all case management meetings must be documented in the participant file, and/or in the HMIS case management module. Documentation should include evidence of assistance provided to obtain mainstream resources and the results of that assistance. Subrecipients are encouraged to check with the recipient for approval of documentation.

### ***Legal Services***

ESG funds may be used for legal services that are necessary to resolve a legal problem that prohibits the program participant from obtaining permanent housing or will likely result in the program participant losing the permanent housing in which the program participant currently resides. More detail on eligible legal services activities can be found at (§576.102 (a)(1)(vi)) and (§576.105(b)(4)).

While legal services providers that do not provide financial assistance are not required to complete the financial assistance calculation form, they must ensure that all households assisted meet program eligibility ([Section 1](#) above) including completing the application for assistance to document participant eligibility, and must ensure that the units assisted meet the habitability standards in [Section 5](#) below.

## **5: Housing Unit Requirements**

In addition to the household being eligible, the unit to be assisted must also meet eligibility requirements. These include that the rent is both reasonable and at or below the Fair Market Rent market rent, and that the unit meets habitability standards.

## ***A. Rent Reasonableness and Compliance with Fair Market Rent***

ESG programs must perform both a rent reasonableness determination and document that the rent falls at or below the Fair Market Rent on every unit assisted, whether for prevention or rehousing.

“Rent reasonableness” means that the total rent charged for a unit must be reasonable in relation to the rents being charged during the same time period for comparable units in the private unassisted market and must not be in excess of rents being charged by the owner during the same time period for comparable non-luxury unassisted units.

To make this determination, the recipient or subrecipients should consider

- (a) the location, quality, size, type, and age of the unit; and
- (b) any amenities, housing services, maintenance and utilities to be provided by the owner.

Comparable rents can be checked by using a market study, by reviewing comparable units advertised for rent, or with a note from the property owner verifying the comparability of charged rents to other units owned (for example, the landlord would document the rents paid in other units). NOTE that not every element in the suggested list of nine things to check for must be known to establish a comparable unit. See more guidance at [http://portal.hud.gov/hudportal/documents/huddoc?id=DOC\\_11753.pdf](http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_11753.pdf)

The Fair Market Rent (FMR) is a benchmark established by HUD for regions. For ESG, the FMR is the maximum rent permitted even if other similar units rent for more.

Final FY 2013 FMRs By Unit Bedrooms Oakland-Fremont, CA HUD Metro FMR Area ( <b>Alameda and Contra Costa Counties</b> )					
SRO	Studio/Efficiency	1-bedroom	2-bedroom	3-bedroom	4-bedroom
\$669	\$892	\$1,082	\$1,361	\$1,901	\$2,332

Source: <http://www.huduser.org/portal/datasets/fmr.html>

The above chart displays the Fair Market Rents applicable during FY2013. Fair Market Rents are updated and published by HUD every year. Programs must ensure that they are using the FMR’s in effect at the time of their determination.



A copy of a [Rent Reasonableness and FMR Certification](#) form can be found in the forms appendix. Subrecipients may use an alternative rent reasonableness determination form meets the requirements of the ESG regulations §576.106 and has been approved by the ESG recipient.

## ***B. Housing Inspection***

In order to ensure that ESG funds are used in housing that meets minimum habitability standards, an inspection must be performed on every unit assisted, whether for prevention or rehousing. This inspection includes compliance with the Lead Paint Poisoning Prevention Act.



A copy of a suggested [Habitability Standards Inspection](#) Form can be found in the forms appendix. Subrecipients may use an alternative inspection form as long as it covers all of topic areas required under ESG regulations §576.403 and has been approved by the ESG recipient.



## ***C. Rental Assistance Agreement***

Relationships with landlords are a central component of the program. The housing specialist assists both the participant and the landlord to make the housing successful.

Once a unit has been identified and inspected, the housing agency must ensure that:

- a) The tenant receives a written lease or rental agreement from the landlord which clearly outlines the terms of tenancy and conforms with applicable California and local law; and
- b) The landlord is apprised of the nature of the program, the anticipated support to the participant, the obligations of the landlord, and the manner in which the landlord may contact the program if there are concerns.

At a minimum, the housing agency will provide the landlord with a copy of the Rental Assistance Agreement Letter describing the program and outlining the basic support the participant is anticipated to receive. The landlord must sign the letter and return it to the agency. Some agencies may prefer to use a contract or housing assistance payments (HAP) agreement that outlines in greater detail the rights and obligations of the parties. Use of such an agreement is fine if it covers all requirements in the ESG regulations §576.106 and has been approved in advance by the ESG recipient.

In order to determine that the landlord named on the lease is the legitimate owner of the property, the housing agency will use a database service, such as Realquest, or another manner to verify and document the ownership. In addition, the housing agency shall collect a W-9 from the landlord or property management agency and follow all IRS reporting requirements.



A copy of the [Rental Assistance Agreement Letter](#) is included in the appendix. A copy of this letter or an acceptable substitute agreement should be kept in the participants file, along with a copy of the tenant's lease and ~~printout from the database used to verify the ownership of the unit~~ and a copy of the W-9. The original W-9 must be given to ~~the housing agency's finance division~~ ***the City of Berkeley. The City of Berkeley will verify property ownership.***

## **6: Three Month Reassessment of Eligibility**

Any participant who receives more than three months of assistance from the program needs to be formally reassessed. This is distinguished from the more frequent check-ins and meetings with the client, which should occur frequently and as needed, and are recorded in case notes.

During the reassessment process, the program is, at a minimum, confirming:

- The participant has not received more than 24 months of assistance, including any arrears coverage.
- The participant's income level is such that there is still a need to provide financial assistance in order to maintain housing stability.
  - Income is not greater than 30% of the Area Median Income (AMI)
  - Rent is more than 50% of participant income (unless the participant is awaiting a permanent subsidy and is currently paying 30% of income.)

- The participant is making documented progress on their housing plan and taking the steps needed towards housing stability without program financial assistance.
- The participant lacks the financial resources or support networks to secure their housing without continued assistance.

The three month reassessment is also used to update the participant's HMIS record with current information about housing and income.

Once the three month reassessment of eligibility is completed, the household should be notified whether they will continue to receive assistance or not, including signing the reassessment form. If continuing to receive assistance, new documents, including an updated housing stability plan, budget and financial assistance calculation should be prepared and discussed with the client.



A copy of the [Three Month Reassessment of Eligibility](#) is included in the appendix. The Reassessment requires updated documentation of income, which should be attached to the form and included in the file.



Key pieces of information from the Three Month Reassessment Form, including any change in income or address is to be entered into HMIS. (In the future, the Three Month Reassessment may be an HMIS provided form.)

## **7: Termination of Housing Assistance or Program Participation**

Housing assistance under this program is intended to be temporary and to help participants secure housing that they can remain in without long-term financial support. Any housing assistance is contingent on the participant's active participation in carrying out the terms of his/her Housing Stability Plan. Failure to take steps agreed to in the plan, such as seeking work, applying for benefits, looking for housing or accepting housing that meets the participant's criteria are a reasonable basis for recommending termination of financial assistance.

If a program participant is found to be violating the participation agreement, reasonable efforts will be made and documented by staff to assist the participant to address the issue or correct the violation prior to terminating services. Violations that endanger staff, any other participant, any other person, or the viability of the program as a whole will be acted upon immediately.

If a participant is determined to be in continued or grave violation of the program rules, a written Notice of Termination of Assistance will be provided to the program participant containing a clear statement of the reasons for termination, the date on which the termination will become effective, and the process for appealing the decision.

Participants receiving a Notice may request that the decision to terminate participation be reviewed by making a request to the designated supervisor within the agency. This request must be made in writing and must be reviewed within 14 calendar days. A written notice of the final decision will be issued to the participant.

The program may also resume assistance to a program participant whose assistance was previously terminated with the approval of the agency supervisor.



A sample [Notification of Termination of ESG Assistance](#) is provided in the Appendix of Forms. Subrecipients may use an alternative Termination form as long as it covers all of topic areas required under ESG regulations §576.402 and has been approved by the ESG recipient, *the City of Berkeley*.

### ***Grievances and Appeals***

Agencies ESG-subrecipients must notify participants of the agency's grievance policy at the time of program enrollment, including providing them with a written copy of the policy and keeping a copy of a signed version of the policy or other notification in the participant file. Housing agencies will follow their agency grievance and appeals process, through to the level of the highest ranking staff member of the agency or as may be otherwise specified in the agency's approved policy and procedures.

If there is a grievance specific to the ESG which has not been resolved through the agency grievance process, ESG program participants may appeal to the local recipient, *the City of Berkeley*. Recipients will follow their appeal process.

### **8: Program Exit**

Upon completion of the program, or upon termination prior to completion, all members of the household should be exited from the program in HMIS. At this time all information including household income, final address and housing status are recorded and updated.



The Exit Form is an HMIS-provided form. A printed copy of the form(s) should be kept in the participant file and all data entered into HMIS.

# City of Berkeley ESG Rapid Rehousing and Prevention



## Appendix of Forms and Documents

(click [here](#) to return to the main section of manual)

**City of Berkeley**  
**ESG Client File Document Check List**  
 (click [here](#) to return to relevant section of manual)

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ HMIS ID: \_\_\_\_\_

**I. Eligibility Documentation** (check or indicate date completed in blank to left)

- \_\_\_\_\_ Application for Assistance and Eligibility Screening Form  
 \_\_\_\_\_ Homeless Status/At-Risk Housing Status and Back up Documentation  
 \_\_\_\_\_ Income Eligibility Determination and Back up Documentation  
 \_\_\_\_\_ Asset Verification Documentation  
 \_\_\_\_\_ Intake on Head of Household (HMIS SIF form)  
 \_\_\_\_\_ Intake(s) on other household members (*if applicable*) (HMIS SIF form)  
     Intake on other adult \_\_\_\_\_ Intake on other adult \_\_\_\_\_  
     Intake on child: \_\_\_\_\_ Intake on child: \_\_\_\_\_  
 \_\_\_\_\_ Other: \_\_\_\_\_  
 \_\_\_\_\_ Current ROI \_\_\_\_\_ Date: \_\_\_\_\_

**II. Documentation on the Housing Unit and/or Utilities** (check or indicate date completed in blank to left)

- \_\_\_\_\_ Documentation of ~~rent~~ or utility arrears (*if applicable*)  
 \_\_\_\_\_ Rent Reasonableness and Payment Standard determination for rental unit  
 \_\_\_\_\_ Habitability Inspection (includes Lead Assessment)  
 \_\_\_\_\_ Lease between Participant and Landlord  
 \_\_\_\_\_ Rental Assistance Agreement with Landlord  
 \_\_\_\_\_ W-9 Form  
 \_\_\_\_\_ Other: \_\_\_\_\_  
 \_\_\_\_\_ RealQuest or other owner verification documentation

**III. Documentation of Assistance/Ongoing Services** (check or indicate date completed in blank to left)

- \_\_\_\_\_ Household Budget  
 \_\_\_\_\_ Housing Stability Plan  
 \_\_\_\_\_ Financial Assistance Calculation Form  
 \_\_\_\_\_ Links to Mainstream Resources  
 \_\_\_\_\_ Case Management Notes  
     Three Month Reassessment(s) (*if applicable, insert dates*)  
     1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_ 4. \_\_\_\_\_  
 \_\_\_\_\_ Exit Form (HMIS form)  
 \_\_\_\_\_ Termination of Housing Assistance Form (*if applicable*)  
 \_\_\_\_\_ Other: \_\_\_\_\_

## City of Berkeley ESG Application for Assistance and Eligibility Determination Form

(click [here](#) to return to relevant section of the manual)

Complete this form and have the head of household sign it. This form will determine eligibility and act as an application by the household for assistance.

Assessment Date: \_\_\_ / \_\_\_ / \_\_\_\_\_

Staff: \_\_\_\_\_ Agency: \_\_\_\_\_

**A. General Information**

1. Head of Household:

First: \_\_\_\_\_ Middle: \_\_\_\_\_ Last: \_\_\_\_\_ Suffix: \_\_\_\_\_

**Complete ROI for Head of Household or check here \_\_\_\_\_ if current ROI on file**

2. Other Members of Household

First Name	Last Name	Age	Relationship to Head of Household

Total number of persons in household: \_\_\_\_\_

***If applicant is determined to be eligible for assistance, you must complete an HMIS Standard Intake Form (SIF) for every household member.***

3. Why are you seeking assistance? Please choose an option, then describe below.

- I am living on the streets, or a place not meant for human habitation
- I am in a shelter or TH housing program and have been referred for rapid re-housing
- I am applying for shelter because I must leave where I am currently staying
- ~~I want to keep the housing I have and am at imminent risk of losing it~~ ***Not eligible under the City of Berkeley PHP***

**Explanation:** \_\_\_\_\_

I understand that I am applying for assistance from the federally-funded Emergency Solutions Grant Program. I understand that I am required to certify that all information in this application is true and to provide all required documents to determine eligibility and to enter into a housing stability plan if I am eligible for assistance. I also understand that financial assistance is not guaranteed, is time-limited, and may be terminated or adjusted at any time. I declare that all information I have provided in this application is true to the best of my knowledge.

Head of Household Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**B . Rapid Rehousing Assessment** (Cross through and skip this section if applicant household is applying for prevention assistance)

**Homeless Status Documentation:** To receive rapid rehousing assistance, clients must be homeless by the HUD Homeless Definition and eligible for assistance under certain categories. Use this portion of the form if the applicant client household is Literally Homeless (Category 1), or is fleeing/attempting to flee domestic violence (*Category 4*) **and** also meets the category of Literally Homeless. Otherwise, complete Section B. of this form for Homeless Prevention.

**1. Is household among the eligible target population for this program?**

- Living/staying in a shelter.
- Living on the streets, a car, an encampment or a place not meant for human habitation.
- Living/staying in transitional housing. **Transitional housing clients are only eligible for security deposit assistance.**
- Exiting an institution where s(he) resided for 90 days or less and previously resided in a shelter or the streets of place not mean for human habitation.
- Fleeing or attempting to flee domestic violence **and also meets one of the above conditions.**

Documentation	
Literally Homeless – on the streets or in a shelter	(in order of preference for documentation) <input type="checkbox"/> Written observation by an outreach worker (attached), or <input type="checkbox"/> Written referral by another housing or service provider (attached) HMIS intake for shelter/TH, or <input type="checkbox"/> Self- certification that s(he) was living on the streets or in a shelter (attached)
Exiting an institution and entered from literal homelessness	One of the forms of evidence above <u>and</u> <input type="checkbox"/> Discharge paperwork or written/ or documented oral referral (attached), or <input type="checkbox"/> Written report of intake workers due diligence to obtain above evidence <u>and</u> certification by the individual that they exited institution (attached)

**Be sure to attach the supporting documentation to the application in file.**

**2. This household is a candidate for ESG rapid rehousing because:**

- They are homeless but have adequate income to afford a place if assisted to obtain one with short-term assistance (deposit and up to one to three month’s rent subsidy).
- They are homeless and don’t currently have adequate income for housing but have potential to increase income to be self sustainable within approximately 6 months and are willing to commit to a housing stability plan.
- They are currently homeless but with assistance can move into a stable situation with friends or family or another situation that doesn’t require an increase in income **and will be included on a lease.**
- They are currently homeless and are expected to receive a housing subsidy within six months from another source but need financial assistance to gain housing and/or support services

Subsidy anticipated:

- OPRI  VASH  Shelter Plus Care  Other: \_\_\_\_\_

Benefit anticipated: SSI      Date expected: \_\_\_\_\_ (within 3 months)      Verified by 3<sup>rd</sup> Party: \_\_\_\_\_

**Note:** ESG funds may not be used to cover any cost covered by another subsidy source. For rapid rehousing candidates with a subsidy, ESG may only be used to pay security deposit and utility deposits if needed to secure housing.

Current Subsidy \_\_\_\_\_ pays for: \_\_\_\_\_

No other subsidy currently

*Proceed to Part D: Income Verification Section*

**C. Homelessness Prevention** (Cross through and skip this section if applicant household is applying for Rapid Rehousing)

To receive Prevention assistance, clients may either be homeless under certain categories of the HUD Homeless Definition or At risk of Homelessness under any category of that definition. Use this portion of the form if the applicant client household is at Imminent Risk of Homelessness (Category 2), fleeing/attempting to flee domestic violence **but** does not meet the category of Literally Homeless (Category 4) or is At Risk of Homelessness. Households who do not qualify for rapid rehousing or prevention assistance under these definitions are not eligible for ESG assistance under this program.

**1. This household is a candidate for prevention assistance because:**

- They are currently seeking shelter, and have been staying with family or friends who will no longer let them remain there. (Must be required to leave within 14 days.)
- They are staying in a hotel or motel using their own resources, have no other residence and lack the resource and support networks to obtain other permanent housing.
- They are fleeing or attempting to flee domestic violence, have no other residence and lack the resource and support networks to obtain other permanent housing.
- ~~They have a place to live with their name on the lease from which they are being evicted (must be required to leave within 14 days.)~~ **Not eligible under the City of Berkeley PHP.**
- They are about to be discharged from foster care, or have recently been discharged from foster care, and the residence where they are currently living will be lost within 14 days

Documentation	
Imminent Risk of Homelessness	<input type="checkbox"/> A court order resulting from an eviction action notifying the individual or family that they must leave (attached), or <input type="checkbox"/> Leaving a hotel or motel – evidence that household has been staying in hotel/ motel (attached), and this application documents lack of resources <input type="checkbox"/> A documented and verified oral statement that residence will be lost within 14 days of the date of this application (attached), and this application documents lack of resources.
Leaving an institution, including foster care	One of the forms of evidence above <u>and</u> <input type="checkbox"/> Discharge paperwork or written/oral referral (attached), or <input type="checkbox"/> Written report of intake workers due diligence to obtain above evidence <u>and</u> certification by the individual that they exited an institution or foster care (attached)
Fleeing domestic violence	For victim services providers: <input type="checkbox"/> An oral statement, by the individual or head of household self-certified or certified by the intake worker, which states they are fleeing and have no subsequent resident or resources. For non-victim services providers: <input type="checkbox"/> An oral statement, by the individual or head of household self which states they are fleeing and have no subsequent resident or resources. Where the safety of the individual or family is not jeopardized, the oral statement must be verified.



**2. Housing Assessment (Prevention Only) *Households with a lease in their name are not eligible for the City of Berkeley PHP assistance. Please go to section II of this page.***

I. If household intends to keep current housing, what is the monthly rent? \_\_\_\_\_

**STOP** *If the household intends to remain in their current unit, does the rent amount exceed the FMR payment standard (based on the chart below)?*

No: Proceed to next page.

Yes: Client is not eligible to be subsidized in their current unit. Ask the client if they are interested in relocating to less expensive housing and if so, proceed with assessment. Otherwise, stop here; client is not eligible. Proceed to end of form

Final FY 2013 FMRs By Unit Bedrooms Oakland-Fremont, CA HUD Metro FMR Area					
SRO	Studio/Efficiency	1-bedroom	2-bedroom	3-bedroom	4-bedroom
\$669	\$892	\$1,082	\$1,361	\$1,901	\$2,332

Source: <http://www.huduser.org/portal/datasets/fmr.html> 2/5/12

Is your name on a rental agreement?

No Yes

If you owe back rent, how much do you owe? \_\_\_\_\_ **Not eligible under the City of Berkeley PHP.**

How many month's rent is that?

One Two Three Four Five Six or more Don't Know

Is your landlord willing to accept rent from you?

No Yes Don't Know Does Not Apply

If you are at risk of eviction, where are you in the eviction process?

Have not been served formal notice Does not apply Served a 3-day notice to pay rent or quit Served an Unlawful Detainer summons Eviction judgment has been issued

II. If your name is not on a rental agreement, are you living with someone who has a rental agreement and who has notified you in writing that you must leave?

No Yes

Do you currently receive any type of housing or utility subsidy or assistance from any other source?

No Yes

Subsidy pays for: \_\_\_\_\_

**Note:** ESG funds cannot be used to cover any cost covered by another subsidy source. ~~For prevention candidates with a housing subsidy, ESG may only be used to pay the tenant portion of overdue back rent.~~

**Be sure to attach housing status verification form and supporting documentation in file.** Proceed to Part D: Income Verification Section

**D. Income Verification**

What is the combined income of this applicant household? \_\_\_\_\_

Household size: \_\_\_\_\_

Alameda County, California FY2013 Income Limits								
Household Size	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
Extremely Low Income (30% of AMI)	\$18,750	\$21,400	\$24,100	\$26,750	\$28,900	\$31,050	\$33,200	\$35,350

Source: <http://www.huduser.org/portal/datasets/il/il2013/2013summary.odn> 12/11/12

At or below 30% AMI for household size

Above 30% AMI for household size and seeking rapid rehousing assistance. **The City of Berkeley authorization of recipient may be is required to proceed.**

Required Authorization: \_\_\_\_\_ (if applicable)

Above 30% AMI for household size and seeking prevention assistance– INELIGIBLE: Proceed to end of form.

*You may use the ESG Income Eligibility Calculation Form or another similar form to determine income. Be sure to include income verification form and supporting documentation for determination in file.*

**E. Resources, Networks and Asset Determination**

In addition to meeting the housing status and income requirements, applicants must demonstrate that they do not have sufficient support or resources to retain or gain housing on their own.

**ii. Asset Assessment**

To determine whether the applicant household has resources that could be used to prevent or end their homelessness, and to determine the amount of financial assistance to be provided, the program must review their assets. This portion of the form applies to all adults in the household listed on page 1.

No Bank accounts

Bank Accounts (attach appropriate third party documentation for all accounts listed below)

1. Name of Financial Institution: \_\_\_\_\_ Type of account: \_\_\_\_\_

Name(s) on Account: \_\_\_\_\_

Acct #: \_\_\_\_\_ Acct. Balance: \_\_\_\_\_ as of \_\_\_\_/\_\_\_\_/\_\_\_\_

2. Name of Financial Institution: \_\_\_\_\_ Type of account: \_\_\_\_\_

Name(s) on Account: \_\_\_\_\_

Acct #: \_\_\_\_\_ Acct. Balance: \_\_\_\_\_ as of \_\_\_\_/\_\_\_\_/\_\_\_\_

Investment Accounts (obtain appropriate third party documentation for all accounts listed below)

1. Name of Financial Institution: \_\_\_\_\_ Type of account: \_\_\_\_\_

Name(s) on Account: \_\_\_\_\_

Acct #: \_\_\_\_\_ Acct. Balance: \_\_\_\_\_ as of \_\_\_\_/\_\_\_\_/\_\_\_\_

Other Assets

# of Vehicles: \_\_\_\_\_  No Vehicles

Make: \_\_\_\_\_ Model: \_\_\_\_\_ Year: \_\_\_\_\_


Make: \_\_\_\_\_ Model: \_\_\_\_\_ Year: \_\_\_\_\_

For cars that are 2007 or newer, note blue book value: \_\_\_\_\_

Property (describe and note value): \_\_\_\_\_

Other (describe): \_\_\_\_\_

***Be sure to attached copies of bank statements or other asset verification***

 If assets exceed **\$2,000** per individual or **\$3,000** per couple, if any vehicle is worth more than \$10,000, or if household has more working cars than adult drivers, the household is ineligible.

No  Yes: ineligible. Proceed to end of form

**ii. Personal Resource and Networks**

**Other subsequent housing options**

What steps have you taken to identify other appropriate housing options that you can afford *without any assistance from this program*?

Summary of assessment: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Does the household have any other appropriate housing options?  Yes  No

**2) Financial Resources**

Do you have any other resources that you could use to help your household gain housing or remain in your housing? (See asset assessment; discuss use of participants personal resources to resolve situation.)

Summary of assessment: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Does the household have other financial resources sufficient to obtain other appropriate subsequent housing or remain in their existing housing?  Yes  No

**3) Support Networks**

Do you have any other support networks that could help you gain housing or remain in your housing? (This would include family or friends who can lend or give money, a faith-based organization that can assist you, someone with whom you can live, etc.)?

Summary of assessment: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Does the household have support networks needed to obtain other appropriate subsequent housing or remain in their existing housing?  Yes  No

**F. Approach to housing stability**

How did your current situation of homelessness or housing instability come about?

Describe: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Are you currently doing anything to increase your household income or decrease your costs?

No  Yes  Does Not Apply

Describe: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

If you are to be assisted, are you willing to participate in services to increase your income or decrease your costs?

No  Yes  Does Not Apply

**STOP** If household is not currently working toward increasing income or decreasing costs and is unwilling to do so, the household *may be* determined as ineligible. (Note that households with a fixed income may not need to increase income to remain stable.)

Please add any other information pertinent to eligibility determination:


**FOR STAFF USE ONLY:**

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ HMIS ID: \_\_\_\_\_

**Eligibility Determination**

**A. Household is not eligible to receive ESG assistance due to:**

- Not among target population for local program
- Ineligible Housing Status
- Over Income
- Households Assets exceed asset limit
- Household is already receiving a subsidy for the same cost for which the household is seeking assistance
- Adults in household unwilling to engage in activities or participate in services designed to support housing stability plan
- Household as already received 24 months of ESG assistance in last 36 months

**If client is not eligible, inform client of determination and refer client to other programs that may be able to assist the household. Programs referred to:**

1. Program: \_\_\_\_\_ How was referral made?: \_\_\_\_\_
2. Program: \_\_\_\_\_ How was referral made?: \_\_\_\_\_
3. Program: \_\_\_\_\_ How was referral made?: \_\_\_\_\_
4. Program: \_\_\_\_\_ How was referral made?: \_\_\_\_\_

**B. Household is eligible to receive ESG assistance.**

- Eligibility for rapid rehousing verified;** household will be enrolled and housing search assistance will begin.
- Eligibility for prevention assistance verified;** new housing has been identified or current housing is to be retained and program will proceed to check on unit eligibility and to offer financial assistance and housing stability support.

**Staff signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Proceed to ~~enroll~~ collect the below documents from the Household:

- Complete ROI and HMIS Intake
- Enter data into HMIS
- Sign the Participation Agreement
- Complete the Household Budget
- Develop Housing Stability Plan
- Complete Request for Tenancy Approval
- Complete Financial Assistance Calculation Form

**City of Berkeley**  
**ESG Program Participation Agreement**

(click [here](#) to return to relevant section of the manual)

**The ESG Program** provides support services and limited financial resources to help households gain housing or remain housed. I understand that this program may provide me with some or all of the following services:

- Assistance finding and obtaining housing
- Assistance developing a housing plan
- Assistance to stay in housing I currently occupy, including legal assistance and/or negotiations with family members, friends or landlords;
- One-time or short-term financial assistance to support gaining or retaining housing which may include rental deposits, rental or utility arrears, or short to medium term rental assistance payments designed to secure or retain housing;
- Referrals and support to apply for benefits for which I or a member of my household may be eligible.
- Other services related to securing housing, such as, but not limited to, assistance getting identification, preparing housing applications, searching for housing, negotiating with landlords and other services.

I agree to do the following:

- Provide accurate and honest information to my housing specialist and other program staff.
- Work with a housing specialist to develop a housing plan.
- Take all necessary steps to achieve the goals outlined in the plan.
- Meet with my housing specialist at intervals established in my housing plan, and not less than monthly during my participation in the program.
- Permit home visits and inspections of my housing during my participation in the program. (Advance notice will be provided.)
- Provide current proof of income when requested.
- Pay my portion of rent on time every month and *immediately* advise the housing specialist if I have any trouble in doing so.
- Provide any documentation required by the housing specialist as it pertains to progress on my housing plan, my rent status or income (i.e. attendance record for job training program, proof of application for benefits, etc.)
- Be contacted for follow-up phone calls about my participation in ESG for up to 24 months after I complete the program.

***I understand that neither \_\_\_\_\_ (agency name) nor any party to the ESG Program is responsible for my rent or lease. I understand that assistance will only be provided if I am in compliance with the program requirements including the terms of my Housing Stability Plan.***

Client Name: \_\_\_\_\_ Client Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Housing Specialist: \_\_\_\_\_ Agency Name : \_\_\_\_\_ Date: \_\_\_\_\_

**City of Berkeley**

**Sample Budgeting Worksheet**

(click [here](#) to return to relevant section of the manual)

Participant Name:	Date:	
	Actual (with current income)	Proposed (with anticipated income and/or subsidy)
<b>Housing Expenses</b>		
Rent		
PG&E		
Water		
Other:		
<b>Car Expenses</b>		
Loan payment		
Insurance		
Gas		
Maintenance & repairs		
<b>Debt</b>		
Creditor 1		
Creditor 2		
<b>Miscellaneous</b>		
Groceries, Lunches, meals		
Childcare		
School supplies		
Prescriptions		
Cable TV		
Internet Connection		
Telephone		
Clothing		
Hair supplies/Toiletries		
Other:		
Other:		
<b>Expense Total</b>		
<b>Income</b>		
Earnings		
Social Security related \$		
Unemployment		
Food Stamps		
Other:		
Other:		
<b>Income Total</b>		
<b>Total Income Minus Expenses</b>		

Participant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Case Manager/Housing Specialist Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**City of Berkeley  
ESG Housing Stability Plan**

ATTACHMENT 2

Client/Head of Household Name: \_\_\_\_\_ Initial Plan Date \_\_\_\_\_

My 30 day housing goal is: \_\_\_\_\_

If different, my 90 day goal is \_\_\_\_\_

If different, my permanent housing goal is \_\_\_\_\_

I have or will have the following resources to help me achieve my goals:

- 1.
- 2.
- 3.

In order to reach these goals, I commit to take the following steps:

Step	Actions	What I'll do/Help I'll Receive	30 day progress	60day progress	90 day progress
1		<input type="checkbox"/> referrals to mainstream resources	CM Sign: _____ Date: _____	CM Sign: _____ Date: _____	CM sign: _____ Date: _____
2		<input type="checkbox"/> referrals to mainstream resources	CM Sign: _____ Date: _____	CM Sign: _____ Date: _____	CM sign: _____ Date: _____
3		<input type="checkbox"/> referrals to mainstream resources	CM Sign: _____ Date: _____	CM Sign: _____ Date: _____	CM sign: _____ Date: _____

Client Signature: \_\_\_\_\_ Date: \_\_\_\_\_ Housing Specialist: \_\_\_\_\_ Date: \_\_\_\_\_



**City of Berkeley**  
**ESG Financial Assistance Calculation Form**  
 (click [here](#) to return to relevant section of the manual)

Before preparing this calculation, complete the budget form with the Head of Household. Use this form and information from the application, the budget and the lease and/or arrears documentation to determine the amount of financial assistance that the household will receive. **This form must be prepared every three months during the time in which the household receives financial assistance.**

Head of Household : \_\_\_\_\_ Service Point ID: \_\_\_\_\_

Assessment date: \_\_\_\_\_ Staff: \_\_\_\_\_

First financial assistance calculation       Reassessment of financial assistance

**A. GENERAL**

Enter the information below from the budget and assets form to determine the amount of financial assistance

Combined Household income: \_\_\_\_\_ (from application) Rent: \_\_\_\_\_ (from lease)

Income minus Rent: \_\_\_\_\_ \* **Percent of income for rent without subsidy:** \_\_\_\_\_

Total Expenses \_\_\_\_\_ (from budget)

\* **Difference between income and expenses:** \_\_\_\_\_

\* **Current Assets:** \_\_\_\_\_ (from application)

*Use information indicated with \* to determine financial assistance below*

**B. SECURITY DEPOSIT** (skip if not applicable)

New residence requires a Security Deposit of: \_\_\_\_\_ (This may include up to two months rent if required as deposit but should not include first month's rent in this calculation. Assistance with First month's rent should be part of the Rental Assistance in section C. below)

Based on income and assets, **household will make:**

No contribution to the deposit without jeopardizing housing stability (household has less than 50% of income left after paying rent and household budget has no disposable income; household has assets of less than \$500.)

A one-time payment toward the security deposit of: \_\_\_\_\_ (household has assets of greater than \$500 and/or budget indicates disposable income available for a payment.)

**Program will make a payment on behalf of household of:** \_\_\_\_\_

**B. UTILITY DEPOSIT** (cross through and skip if not applicable)

To receive utilities at the new residence, one or more utility companies require a Utility Deposit of:

Utility: \_\_\_\_\_ Required Deposit: \_\_\_\_\_

Utility: \_\_\_\_\_ Required Deposit: \_\_\_\_\_

Utility: \_\_\_\_\_ Required Deposit: \_\_\_\_\_

Based on income and assets, *household will make:*

No contribution to the deposit without jeopardizing housing stability (household has less than 50% of income left after paying rent and household budget has no disposable income; household has assets of less than \$500.)

A one-time payment toward the security deposit of: \_\_\_\_\_ (household has assets of greater than \$500 and/or budget indicates disposable income available for a payment.)

**Program will make a payment on behalf of household of:** \_\_\_\_\_

**C. SHORT OR MEDIUM TERM RENTAL ASSISTANCE** (cross through and skip if not applicable)

Client has no income

Program will pay 100% of the rent for up to three months or until a change in income occurs

Household has income and will make payments to the landlord of:

50% of the rent. Amount: \_\_\_\_\_

50% of their income toward the rent: Amount \_\_\_\_\_

Another amount: \_\_\_\_\_ (Requires agency supervisor approval.)  
Authorized Approval: \_\_\_\_\_

Household is awaiting an anticipated permanent subsidy and will pay 30% of their income for rent:  
Subsidy anticipated: \_\_\_\_\_ Date anticipated: \_\_\_\_\_

**Program will make a monthly rental assistance payment of \$ \_\_\_\_\_** (Rent minus client contribution) for up to three months or until a change in income occurs. Projected length of rental assistance: \_\_\_\_\_ months.

~~**D. PREVENTION ARREARS**~~ (skip if not applicable) ***Not eligible under the City of Berkeley PHP***

~~Household owes \_\_\_\_\_ in rental arrears. (From documentation of rent arrears. The document must be dated within the same month that the application is being considered or proof of rent payment must be provided.)~~

~~Based on income and assets available, *Household will make:*~~

~~No payments without jeopardizing housing stability (household pays more than 50% of income for rent and/or household budget has no disposable income; household has assets of less than \$500.)~~

~~A one time payment toward the arrears of: \_\_\_\_\_ (household has assets of greater than \$500 and/or budget indicates disposable income available for a payment.)~~

~~A monthly payment toward the arrears of: \_\_\_\_\_ Payment agreement negotiated with landlord.( budget indicates disposable income available for a payment or household has a housing subsidy.)~~

~~Program will make a payment on behalf of household of: \_\_\_\_\_~~

~~Note Program will not pay more than three months or \$3,000 in rental arrears.~~

**E. UTILITY ARREARS** (skip if not applicable)

This type of support will only be provided if the household will be unable to have utilities in their housing if they do not pay past due arrears.

Household owes \_\_\_\_\_ in past utility arrears (from documentation of utility arrears)

Based on income and assets available, **Household will make:**

No payments without jeopardizing housing stability (household pays more than 50% of income for rent and/or household budget has no disposable income; household has assets of less than \$500.)

A one-time payment toward the arrears of: \_\_\_\_\_ (household has assets of greater than \$500 and/or budget indicates disposable income available for a payment.)

A monthly payment toward the arrears of: \_\_\_\_\_ Payment agreement negotiated with landlord.(budget indicates disposable income available for a payment or household has a housing subsidy – attached copy of payment agreement.)

**Program will make a payment on behalf of household of \_\_\_\_\_**

**F. FINANCIAL ASSISTANCE AGREEMENT**

The participant and the program agree to the terms of payment designated above. The program will make payments on behalf of the participant as long as the participant is in good standing with their portion of the agreement and making progress on their Housing Stability Plan.

This agreement expires: \_\_\_\_\_ (not later than 3 months from first expected payment.)

Participant Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Housing Specialist Signature: \_\_\_\_\_

Date: \_\_\_\_\_

(Attach this agreement to a copy of lease or occupancy agreement and, if past due rent or utilities, a copy of a record from the landlord/lessor or utility company indicating the amount of arrears.)

**City of Berkeley  
Rent Reasonableness and FMR Certification**

(click [here](#) to return to relevant section of the manual)

	<b>PROPOSED UNIT</b>	<b>COMPARISON UNIT #1</b>	<b>COMPARISON UNIT #2</b>	<b>COMPARISON UNIT #3</b>
<b>ADDRESS</b>				
<b>NUMBER OF BEDROOMS</b>				
<b>SQUARE FEET</b>				
<b>TYPE OF UNIT/CONSTRUCTION</b>				
<b>HOUSING CONDITION</b>				
<b>LOCATION/ACCESSIBILITY</b>				
<b>AMENITIES UNIT: SITE: NEIGHBORHOOD:</b>				
<b>AGE IN YEARS</b>				
<b>UTILITIES (TYPE)</b>				
<b>UNIT RENT UTILITY ALLOWANCE GROSS RENT</b>				
<b>HANDICAP ACCESSIBLE?</b>				

**CERTIFICATION:**

**A. Compliance with Payment Standard**

\_\_\_\_\_ + \_\_\_\_\_ = \_\_\_\_\_  
Proposed Contract Rent      +      Utility Allowance      =      Proposed Gross Rent

Approved rent does not exceed applicable Payment Standard of \$\_\_\_\_\_.

**B. Rent Reasonableness**

Based upon a comparison with rents for comparable units, I have determined that the proposed rent for the unit [ ] is [ ] is not reasonable.

<b>NAME:</b>	<b>SIGNATURE:</b>	<b>DATE:</b>
--------------	-------------------	--------------

## City of Berkeley Habitability Standards Inspection Form

(click [here](#) to return to relevant section of the manual)

(based on HUD's HQS and the HPRP Notice; Certified HQS Inspectors may use an HQS form instead)

Name of Participant	Participant Phone Number	Date of Request (mm/dd/yyyy)
Inspector		Date of Initial Inspection (mm/dd/yyyy)
Type of Inspection <input type="checkbox"/> Initial <input type="checkbox"/> Special <input type="checkbox"/> Re-inspection	Date of Last Inspection (mm/dd/yyyy)	Agency

### A. General Information

<b>INSPECTED UNIT</b>		<b>Year Constructed (yyyy):</b>
Full Address		<b>Housing Type (check as appropriate)</b> <input type="checkbox"/> Single Family Detached <input type="checkbox"/> Duplex or two family <input type="checkbox"/> Row House or Town House <input type="checkbox"/> Low Rise; 3,4 stories including garden apt. <input type="checkbox"/> High Rise; 5 or more stories <input type="checkbox"/> Manufactured Home <input type="checkbox"/> Congregate <input type="checkbox"/> Cooperative <input type="checkbox"/> Independent Group Residence <input type="checkbox"/> Single Room Occupancy <input type="checkbox"/> Shared Housing <input type="checkbox"/> Other: _____
Number of Children in Family Under 6:		
OWNER NAME	OWNER PHONE	
ADDRESS OF OWNER/AGENT		

**Is Lead Paint inspection required?** (unit was constructed prior to 1978 and children under age 6 or a pregnant woman are in the household.)  Yes     No

### B. Summary Decision on Unit (to be completed after form is filled out)

<input type="checkbox"/> Pass <input type="checkbox"/> Fail <input type="checkbox"/> Inconclusive	Number of bedrooms	Number of sleeping rooms	Signature of Inspector
---	--------------------	--------------------------	------------------------

#### How to use this form

1. Review each room in the house as listing in the form (1. Living Room; 2. Kitchen; 3. Bathroom; 4. Other Rooms Used for Living or Halls (use as many as needed); 5. All Secondary Rooms Not Used for Living; 6. Building Exterior; 7. Heating, Plumbing and Installation; 8. General Health and Safety.  
Important: For each item numbered on the checklist, check one box only (e.g., check one box only for item 1.4 "Security," in the Living Room).
2. In the space to the right of the item, if the decision is "Fail," write what repairs are necessary.
3. If the item passes inspection, check the "Pass" box.
4. A final summary page to note repairs needed is provided on the final page. If owner/manager is present at inspection, gather signature on final page.
5. For lead paint inspections, if not required, mark "not applicable." Otherwise, note if the unit is a "pass" or "fail."

INSPECTION CHECKLIST

Item #	1. LIVING ROOM Description	DECISION		Repairs Required
		Yes, PASS	No, FAIL	
1.1	<b>LIVING ROOM PRESENT</b>			
1.2	<b>ELECTRICITY</b> Are there at least two working outlets or one working outlet and one working light fixture?			
1.3	<b>ELECTRICAL HAZARDS</b> Is the room free from electrical hazards?			
1.4	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable?			
1.5	<b>WINDOW CONDITION</b> Is there at least one window, are all windows free of signs of severe deterioration or missing or broken out panes?			
1.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?			
1.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?			
1.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?			
1.9	<b>LEAD PAINT</b> Are all painted surfaces free of deteriorated paint? If not, do deteriorated surfaces exceed more than two square feet per from and/or is more than 10% of a component?			<input type="checkbox"/> Not Applicable
Item #	2. KITCHEN Description	DECISION		Repairs Required
		Yes, PASS	No, FAIL	
2.1	<b>KITCHEN AREA PRESENT</b>			
2.2	<b>ELECTRICITY</b> Is there at least <i>one</i> working electric outlet and <i>one</i> working, permanently installed light fixture?			
2.3	<b>ELECTRICAL HAZARDS</b> Is the kitchen free from electrical hazards?			
2.4	<b>SECURITY</b> Are <i>all</i> windows and doors that are accessible from the outside lockable?			
2.5	<b>WINDOW CONDITION</b> Are all windows free of signs of deterioration or missing or broken out panes?			
2.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?			
2.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?			
2.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?			
2.9	<b>LEAD PAINT</b> Are all painted surfaces free of deteriorated paint? If not, do deteriorated surfaces exceed more than two square feet per from and/or is more than 10% of a component?			<input type="checkbox"/> Not Applicable
2.10	<b>STOVE OR RANGE WITH OVEN</b> Is there a working oven and a stove (or range) with top burners that work?			
2.11	<b>REFRIGERATOR</b> Is there a refrigerator that works and maintains a temperature low enough so that food does not spoil over a reasonable period of time?			

2.12	<b>SINK</b> Is there a kitchen sink that works with hot and cold running water?			
2.13	<b>SPACE FOR STORAGE AND PREPARATION OF FOOD</b> Is there space to store and prepare food?			
<b>3. BATHROOM</b>		<b>DECISION</b>		<b>Repairs Required</b>
Item #	Description	Yes, PASS	No, FAIL	
3.1	<b>BATHROOM PRESENT</b>			
3.2	<b>ELECTRICITY</b> Is there at least <i>one</i> permanently installed light fixture?			
3.3	<b>ELECTRICAL HAZARDS</b> Is the bathroom free from electrical hazards?			
3.4	<b>SECURITY</b> Are <i>all</i> windows and doors that are accessible from the outside lockable?			
3.5	<b>WINDOW CONDITION</b> Are all windows free of signs of deterioration or missing or broken out panes?			
3.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?			
3.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?			
3.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?			
3.9	<b>LEAD PAINT</b> Are all painted surfaces free of deteriorated paint? If not, do deteriorated surfaces exceed more than two square feet per from and/or is more than 10% of a component?			<input type="checkbox"/> Not Applicable
3.10	<b>FLUSH TOILET IN ENCLOSED ROOM IN UNIT</b> Is there a working toilet in the unit for exclusive private use of the tenant?			
3.11	<b>FIXED WASH BASIN OR LAVATORY IN UNIT</b> Is there a working, permanently installed wash basin with hot and cold running water in the unit?			
3.12	<b>TUB OR SHOWER IN UNIT</b> Is there a working tub or shower with hot and cold running water in the unit?			
3.13	<b>VENTILATION</b> Are there operable windows or a working vent system?			
<b>4. OTHER ROOMS USED FOR LIVING OR HALLS</b>		<b>DECISION</b>		<b>Repairs Required</b>
Item #	Description	Yes, PASS	No, FAIL	
4.1	<b>ROOM CODE and ROOM LOCATION:</b>  right/left _____ front/rear _____ floor level _____	<b>ROOM CODES</b> 1 = Bedroom or any other room used for sleeping (regardless of type of room) 2 = Dining Room, or Dining Area 3 = Second Living Room, Family Room, Den, Playroom, TV Room 4 = Entrance Halls, Corridors, Halls, Staircases 5 = Additional Bathroom 6 = Other		
4.2	<b>ELECTRICITY</b> If Room Code = 1, are there at least two working outlets or one working outlet and one working, permanently installed light fixture? If Room Code does not = 1, is there a means of illumination?			

4.3	<b>ELECTRICAL HAZARDS</b> Is the room free from electrical hazards?			
4.4	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable?			
4.5	<b>WINDOW CONDITION</b> If Room Code = 1, is there at least one window? And, regardless of Room Code, are all windows free of signs of severe deterioration or missing or broken out panes?			
4.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?			
4.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?			
4.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?			
4.9	<b>LEAD PAINT</b> Are all painted surfaces free of deteriorated paint? If not, do deteriorated surfaces exceed more than two square feet per from and/or is more than 10% of a component?			<input type="checkbox"/> Not Applicable
4.10	<b>SMOKE DETECTORS</b> Are smoke detectors in each room used for sleeping? Are they working?			
<b>4. OTHER ROOMS USED FOR LIVING OR HALLS</b>		<b>DECISION</b>		<b>Repairs Required</b>
Item #	Description	Yes, PASS	No, FAIL	
4.1	<b>ROOM CODE and ROOM LOCATION:</b>  right/left _____ front/rear _____ floor level _____	<b>ROOM CODES</b> 1 = Bedroom or any other room used for sleeping (regardless of type of room) 2 = Dining Room, or Dining Area 3 = Second Living Room, Family Room, Den, Playroom, TV Room 4 = Entrance Halls, Corridors, Halls, Staircases 5 = Additional Bathroom 6 = Other		
4.2	<b>ELECTRICITY</b>			
4.3	<b>ELECTRICAL HAZARDS</b>			
4.4	<b>SECURITY</b>			
4.5	<b>WINDOW CONDITION</b>			
4.6	<b>CEILING CONDITION</b>			
4.7	<b>WALL CONDITION</b>			
4.8	<b>FLOOR CONDITION</b>			
4.9	<b>LEAD PAINT</b>			<input type="checkbox"/> Not Applicable
4.10	<b>SMOKE DETECTORS</b>			
<b>4. OTHER ROOMS USED FOR LIVING OR HALLS</b>		<b>DECISION</b>		<b>Repairs Required</b>
Item #	Description	Yes, PASS	No, FAIL	
4.1	<b>ROOM CODE and ROOM LOCATION:</b>  right/left _____ front/rear _____ floor level _____	<b>ROOM CODES</b> 1 = Bedroom or any other room used for sleeping (regardless of type of room) 2 = Dining Room, or Dining Area 3 = Second Living Room, Family Room, Den, Playroom, TV Room 4 = Entrance Halls, Corridors, Halls, Staircases 5 = Additional Bathroom 6 = Other		
4.2	<b>ELECTRICITY</b>			
4.3	<b>ELECTRICAL HAZARDS</b>			



4.4	<b>SECURITY</b>			
4.5	<b>WINDOW CONDITION</b>			
4.6	<b>CEILING CONDITION</b>			
4.7	<b>WALL CONDITION</b>			
4.8	<b>FLOOR CONDITION</b>			
4.9	<b>LEAD PAINT</b>			<input type="checkbox"/> Not Applicable
4.10	<b>SMOKE DETECTORS</b>			
	<b>5. ALL SECONDARY ROOMS NOT USED FOR LIVING</b>	<b>DECISION</b>		<b>Repairs Required</b>
Item #	Description	Yes, PASS	No, FAIL	
5.1	<b>NONE. GO TO PART 6</b>			
5.2	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable in each room?			
5.3	<b>ELECTRICAL HAZARDS</b> Are all these rooms free from electrical hazards?			
5.4	<b>OTHER POTENTIALLY HAZARDOUS FEATURES IN ANY OF THESE ROOMS</b> Are all of these rooms free of any other potentially hazardous features? For each room with an "other potentially hazardous feature" explain hazard and means of control of interior access to room.			
	<b>6. BUILDING EXTERIOR</b>	<b>DECISION</b>		<b>Repairs Required</b>
Item #	Description	Yes, PASS	No, FAIL	
6.1	<b>CONDITION OF FOUNDATION</b> Is the foundation sound and free from hazards?			
6.2	<b>CONDITION OF STAIRS, RAILS, AND PORCHES</b> Are all the exterior stairs, rails and porches sound and free from hazards?			
6.3	<b>CONDITION OF ROOF AND GUTTERS</b> Are the roof, gutters and downspouts sound and free from hazards?			
6.4	<b>CONDITION OF EXTERIOR SURFACES</b> Are exterior surfaces sound and free from hazards?			
6.5	<b>CONDITION OF CHIMNEY</b> Is the chimney sound and free from hazards?			
6.6	<b>LEAD PAINT: EXTERIOR SURFACES</b> Are all painted surfaces free of deteriorated paint? If not, do deteriorated surfaces exceed 20 square feet of total exterior surface area?			<input type="checkbox"/> Not Applicable
6.7	<b>MANUFACTURED HOMES: TIE DOWNS</b> If the unit is a mobile home, is it properly placed and tied down? If not a mobile home, check "Not Applicable."			
	<b>7. HEATING, PLUMBING AND INSULATION</b>	<b>DECISION</b>		<b>Repairs Required</b>
Item #	Description	Yes, PASS	No, FAIL	
7.1	<b>ADEQUACY OF HEATING EQUIPMENT</b> a. Is the heating equipment capable of providing adequate heat (either directly or indirectly) to all rooms used for living?			

	b. Is the heating equipment oversized by more than 15%?			
	c. Are pipes and ducts located in unconditioned space insulated?			
7.2	<b>SAFETY OF HEATING EQUIPMENT</b> Is the unit free from unvented fuel burning space heaters, or any other types of unsafe heating conditions?			
7.3	<b>VENTILATION AND ADEQUACY OF COOLING</b> Does this unit have adequate ventilation and cooling by means of operable windows or a working cooling system?			
7.4	<b>HOT WATER HEATER</b> Is hot water heater located, equipped, and installed in a safe manner?			
7.5	<b>WATER SUPPLY</b> Is the unit served by an approvable public or private sanitary water supply?			
7.6	<b>PLUMBING</b> Is plumbing free from major leaks or corrosion that causes serious and persistent levels of rust or contamination of the drinking water?			
7.7	<b>SEWER CONNECTION</b> Is plumbing connected to an approvable public or private disposal system, and is it free from sewer back up?			
	<b>8. GENERAL HEALTH AND SAFETY</b>	<b>DECISION</b>		<b>Repairs Required</b>
<b>Item #</b>	<b>Description</b>	<b>Yes, PASS</b>	<b>No, FAIL</b>	
8.1	<b>ACCESS TO UNIT</b> Can the unit be entered without having to go through another unit?			
8.2	<b>EXITS:</b> Is there an acceptable fire exit from this building that is not blocked?			
8.3	<b>EVIDENCE OF INFESTATION</b> Is the unit free from rats or severe infestation by mice or vermin?			
8.4	<b>GARBAGE AND DEBRIS</b> Is the unit free from heavy accumulation of garbage or debris inside and outside?			
8.5	<b>REFUSE DISPOSAL</b> Are there adequate covered facilities for temporary storage and disposal of food wastes, and are they approved by a local agency?			
8.6	<b>INTERIOR STAIRS AND COMMON HALLS</b> Are interior stairs and common halls free from hazards to the occupant because of loose, broken or missing steps on stairways, absent or insecure railings;, or other hazards?			
8.7	<b>OTHER INTERIOR HAZARDS</b> Is the interior of the unit free from any other hazards not specifically identified previously?			
8.8	<b>ELEVATORS</b> Are they working and safe?			
8.9	<b>INTERIOR AIR QUALITY</b> Is the unit free from abnormally high levels of air pollution from vehicular exhaust, sewer gas, fuel gas, dust, or other pollutants?			



**Priority Home Partnership  
Rental Assistance Agreement Letter**

(click [here](#) to return to relevant section of the manual)

(date)

(landlord address)

\_\_\_\_\_ (Head of Household) has been approved to receive temporary financial assistance through the Emergency Solutions Grant program. The program is designed to help the participant secure and/or retain housing and be a successful tenant. Our agency will maintain regular contact during his/her time in the program to assist him/her with any problems related to his/her housing or tenancy. The program does not, however, assume any responsibility for the tenant's rent or for compliance with the lease. The tenant is fully responsible for complying with the terms of the lease he/she has with you.

The person named above has been approved for assistance with (check all that apply):

- A rental deposit in the amount of \$\_\_\_\_\_
- A short-term rent subsidy in the amount of \$\_\_\_\_\_ (currently approved until \_\_\_\_\_ date. This subsidy may be extended at the program's discretion)
- Assistance with past due rent in the amount of \$\_\_\_\_\_

All other payments under the terms of the lease are the responsibility of the tenant.

The City of Berkeley Priority Home Partnership Program will provide the above housing assistance payments to you beginning [date]. By signing below, you agree to apply all payments you receive on the tenant's behalf toward the specified housing-related costs on the check. The termination of housing assistance payments shall not affect the household's other rights under the lease.

The tenant is required to notify us if he or she moves; however, if you ever receive a subsidy check for a tenant who has moved, it is your responsibility to return the check to us. Financial assistance from this program can only be used toward the housing-related costs of the tenant named above while he/she resides in your housing. You also must notify us if during the term of this agreement you notify the tenant to vacate or if you lodge any complaint under state or local law to commence an eviction.

You are welcome to contact me if you have any questions or concerns regarding the program or this tenant's housing. [ name, title at 510 XXX-XXXX or [housing specialist @ agency.org](mailto:housing_specialist@agency.org)]. Thank you for working with us.

Sincerely,

**I have read this agreement and I agree to accept payments on behalf of the tenant listed above as described in this letter. I have provided a W-9 form to the agency.**

**Property Owner/Property Manager Name:** \_\_\_\_\_

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

### Three Month Reassessment of Eligibility

(click [here](#) to return to relevant section of the manual)

Reassessment Date: \_\_\_ / \_\_\_ / \_\_\_\_\_

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

Agency: \_\_\_\_\_

Program:  ESG  FRHP  PRCS  Other: \_\_\_\_\_

Head of Household Name: \_\_\_\_\_

Service Point ID: \_\_\_\_\_

**Before beginning this Reassessment form, collect copies of updated income documentation for the household.**

Has there been a change in address or phone since the last assessment?

- No Change
- Address and/or phone has changed; new information below **(Enter into HMIS InHOUSE Housing Sub-assessment)**

Current STREET Address: \_\_\_\_\_

Apartment or Unit Number: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Alternate Phone: \_\_\_\_\_

Start Date (Date moved into Permanent Housing) \_\_\_ / \_\_\_ / \_\_\_\_\_

- a) Total Household Members living/will live at this address: \_\_\_\_
- b) Total ADULTS living/will live at this address: \_\_\_\_
- c) Total CHILDREN living/will live at this address \_\_\_\_ (NOTE: a – b = c)

#### Time in Program

Has household **a)** received 24 months of ESG assistance in last 36 months or **b)** exceeded other program time limits?

- Yes
- No

**STOP** If household has exceeded eligible time in program, record the determination below, and complete the HMIS Exit Form for all adults.

#### Income Status Eligibility (Complete the income reassessment form attached for each adult and enter into HMIS)

What is the total gross household monthly income (include all household members)? \$ \_\_\_\_\_

What is the total gross household annual income? \$ \_\_\_\_\_ (monthly amount x 12)

Using the chart below, circle the household size and determine the percent of Area Median Income (AMI)

Household Size	1	2	3	4	5	6	7	8
30% AMI	\$18,750	\$21,400	\$24,100	\$26,750	\$28,900	\$31,050	\$33,200	\$35,350
50% AMI	\$31,250	\$35,700	\$40,150	\$44,600	\$48,200	\$51,750	\$55,350	\$58,900

AMI information current as of 12/11/2012

Please check the household's current income status AND the documentation attached

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> No Income           | <input type="checkbox"/> Copy of Payment Statement / Benefit Notice | <input type="checkbox"/> Copies of Pay Stubs                 |
| <input type="checkbox"/> 1-30% AMI           | <input type="checkbox"/> Alimony, spousal or child support          | <input type="checkbox"/> Earned Income                       |
| <input type="checkbox"/> 31-50% AMI          | <input type="checkbox"/> GA, SSI, SSDI, or TANF                     | <input type="checkbox"/> Copy of Federal or State Tax Return |
| <input type="checkbox"/> Over 50% AMI        | <input type="checkbox"/> Private Disability                         | <input type="checkbox"/> Self-Employment                     |
| <input type="checkbox"/> Other Documentation | <input type="checkbox"/> Pension / Retirement                       | <input type="checkbox"/> Income Self-Certification           |
|  | <input type="checkbox"/> Unemployment or Workers' Comp              | <input type="checkbox"/> No Income                           |
|  | <input type="checkbox"/> Interest / Dividend Income                 |  |



**If household has income greater than 30% of Median Income for the ESG program, or greater than 50% of AMI for the PRCS or FRHP program, discontinue assistance.** Record the determination below, and complete the Exit Form for all adults. (For other programs, check program guidelines.)

**Is household receiving now or going to begin to receive a housing subsidy from another program?**

- Yes  No

Subsidy: \_\_\_\_\_ Start date: \_\_\_ / \_\_\_ / \_\_\_\_\_



**If household will be starting another subsidy, household is not eligible for continued financial assistance.** Household may continue to receive supportive services if needed to prevent homelessness. Skip to Housing Stability Plan Progress.

**Rent as Portion of Income**

Is the household receiving Financial Assistance to remain housed?

- Yes  No

What is the **TOTAL** monthly rent? \_\_\_\_\_ (the total rent, *not the portion currently paid by tenant*)

Rent to Income ratio:  $\frac{\text{Total Monthly Rent (_____)}}{\text{Gross Monthly Household Income (_____)}} \times 100 = \text{_____} \%$



**If the income to rent ratio is lower than 50% for ESG and PRCS and 40% for FRHP, discontinue financial assistance.** Household may continue to receive supportive services if needed to prevent homelessness.

**Housing Stability Plan Progress**

Progress toward Obtaining or Maintaining Appropriate Housing:

- Achieved and Complete  Making adequate progress  Not making adequate progress

Progress toward Income or Employment Goals:

- Achieved and Complete  Making adequate progress  Not making adequate progress  Does Not Apply

Progress toward Other Stability Goals:

- Achieved and Complete  Making adequate progress  Not making adequate progress  Does Not Apply

**Comments on Plan Progress, Accomplishments and Barriers:**




**If the household has achieved/completed all goals, they are no longer in need of assistance; discontinue assistance.** If the household is not making adequate progress on the Housing Stability Plan, and the household has been offered all assistance necessary to make progress and has refused such assistance, **you may discontinue assistance.** Indicate in comments below efforts made and current status of plan. Programs are strongly encouraged not to discontinue assistance if household is making appropriate efforts but progress is delayed. If discontinuing assistance, record the determination below, and complete the Exit Form for all adults.

**Does household have financial resources and/or support networks that can help them gain/remain in housing?**




If household has other resources or support networks that can help them gain or remain in housing that are adequate to secure their housing, **discontinue assistance**. Record the determination below, and complete the HMIS Exit Form for all adults.

**RESULT OF REASSESSMENT:**

**Discontinuing Program Assistance:**

- |   |   |  |   |
|---|---|--|---|
| <input type="checkbox"/> Received maximum permitted assistance  | <input type="checkbox"/> Over Income                  | <input type="checkbox"/> Below targeted rent to income ratio and does not require services.  | <input type="checkbox"/> Receiving housing subsidy and does not require services. |
| <input type="checkbox"/> Completed Housing Stability Plan Goals | <input type="checkbox"/> Not making adequate progress | <input type="checkbox"/> has other resources or support networks that can secure the housing | <input type="checkbox"/> Other: _____   |

*After completing the reassessment of eligibility, I have been informed that I/my household am/are no longer eligible for assistance from this program. I understand that I and my household will be exited from the program. I understand that if I am in need at a later time I may reapply for assistance (as long as I have not exceeded the maximum length of assistance and continue to be eligible.)*

Head of Household Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Staff member signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Continuing Assistance:**

- Continue *housing stabilization services only*. Revise/update Housing Stability Plan, and prepare new household budget if income has changed.
- Continue financial assistance and housing stabilization services. Complete new financial assistance calculation, revise/update housing stability plan and prepare new budget.

**Attached:**

- |   |   |  |
|---|---|--|
| <input type="checkbox"/> Revised Housing Stability Plan | <input type="checkbox"/> New Budget (if applicable) | <input type="checkbox"/> New Financial Assistance Calculation form (if applicable) |
|---|---|--|

*After completing the reassessment of eligibility, I have been informed that I/my household am/are eligible for continued assistance from this program. I understand that my participation agreement remains in force and that a new stability plan, budget and financial contribution may be required. I understand that I will be reassessed again within three months **or less** and that assistance may be discontinued at any time.*

Head of Household Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Staff member signature: \_\_\_\_\_ Date: \_\_\_\_\_

**INHOUSE — 3 Mo. INCOME REASSESSMENT FORM** – 01/22/2013

Assessment Date: \_\_\_/\_\_\_/\_\_\_ (For backdate mode)      ServicePoint ID # \_\_\_\_\_

Program/Provider: \_\_\_\_\_

**Client Profile**

First: \_\_\_\_\_ Middle: \_\_\_\_\_ Last: \_\_\_\_\_ Suffix: \_\_\_\_\_

Monthly Income	Non-Cash Benefits																																
<p>Have you received income from any source in the past 30 days?</p> <p><input type="checkbox"/> No                                      <input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Don't Know                              <input type="checkbox"/> Refused</p>	<p>Have you received any of the non-cash benefits listed below in the past 30 days?</p> <p><input type="checkbox"/> No                                      <input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Don't Know                              <input type="checkbox"/> Refused</p>																																
<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; border-bottom: 1px solid black;"><u>Source Amount</u></th> <th style="text-align: right; border-bottom: 1px solid black;"><u>Monthly</u></th> </tr> </thead> <tbody> <tr><td><input type="checkbox"/> Alimony or other spousal support</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Child support</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Earned Income</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> General Assistance (GA)</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Pension from a former job</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Private disability insurance</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Social Security (retirement income)</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Social Security Disability Income (SSDI)</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Supplemental Security Income or SSI</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> (TANF) Temporary Assistance for Needy Families</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Unemployment Insurance</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> A veteran's disability payment</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Veteran's pension</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Worker's compensation</td><td style="text-align: right;">\$ _____ .00</td></tr> <tr><td><input type="checkbox"/> Other source</td><td style="text-align: right;">\$ _____ .00</td></tr> </tbody> </table>	<u>Source Amount</u>	<u>Monthly</u>	<input type="checkbox"/> Alimony or other spousal support	\$ _____ .00	<input type="checkbox"/> Child support	\$ _____ .00	<input type="checkbox"/> Earned Income	\$ _____ .00	<input type="checkbox"/> General Assistance (GA)	\$ _____ .00	<input type="checkbox"/> Pension from a former job	\$ _____ .00	<input type="checkbox"/> Private disability insurance	\$ _____ .00	<input type="checkbox"/> Social Security (retirement income)	\$ _____ .00	<input type="checkbox"/> Social Security Disability Income (SSDI)	\$ _____ .00	<input type="checkbox"/> Supplemental Security Income or SSI	\$ _____ .00	<input type="checkbox"/> (TANF) Temporary Assistance for Needy Families	\$ _____ .00	<input type="checkbox"/> Unemployment Insurance	\$ _____ .00	<input type="checkbox"/> A veteran's disability payment	\$ _____ .00	<input type="checkbox"/> Veteran's pension	\$ _____ .00	<input type="checkbox"/> Worker's compensation	\$ _____ .00	<input type="checkbox"/> Other source	\$ _____ .00	<p><b><u>Source</u></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Supplemental Nutrition Assistance Program (SNAP) (<i>Previously known as Food Stamps</i>)</li> <li><input type="checkbox"/> MediCAL health insurance program (MEDICAID)</li> <li><input type="checkbox"/> <b>MEDICARE</b> health insurance program</li> <li><input type="checkbox"/> Healthy Families Insurance program (SCHIP)</li> <li><input type="checkbox"/> Special Supplemental Nutrition Program for Women, Infants, and Children (WIC)</li> <li><input type="checkbox"/> Veteran's Administration (VA) Medical Services</li> <li><input type="checkbox"/> <b>TANF/CalWORKS Child Care</b> services</li> <li><input type="checkbox"/> <b>TANF/CalWORKS transportation</b> services</li> <li><input type="checkbox"/> <b>Other TANF/ CalWORKS-funded</b> services</li> <li><input type="checkbox"/> <b>Section 8</b>, public housing, or other rental assistance</li> <li><input type="checkbox"/> Other source</li> <li><input type="checkbox"/> Temporary Rental Assistance</li> </ul>
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**Total monthly income**                      \$ \_\_\_\_\_ .00

Complete one income reassessment for each adult in the household and combine for total household income for program reassessment purposes.



**Priority Home Partnership  
Notification of Termination of ESG Assistance**

(click [here](#) to return to relevant section of the manual)

You/your household has violated the terms of your ESG Participation Agreement, signed by \_\_\_\_\_ on \_\_\_\_\_ (date.) The program violation(s) consist of

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_.

The program is hereby advising you that as of \_\_\_/\_\_\_/\_\_\_\_\_ no further

- financial assistance
- housing stabilization services

will be provided to you/your household.

You/your household will be solely responsible for covering all housing/utility costs as of that date.

\_\_\_\_\_ (staff signature) \_\_\_\_\_ (date)

I have reviewed and authorized this notification:

\_\_\_\_\_  
(Supervisor signature) \_\_\_\_\_ (date)

**Procedure for due process:** If you disagree with this determination, you may request a review of this decision within 10 days of the date of this notice by making a request **in writing\*** to:

{job title}  
{Address}  
{Address}

The {job title} will review your request and may investigate your claims, ask to interview you, members of your household, your landlord, or call a hearing with yourself, agency staff, and any others that may be needed to review this decision. The {job title} must review your request and make a final determination within 14 calendar days. A written notice of the final decision will be provided to you.

*\*Reasonable accommodation: If you are unable to prepare a request in writing due to a disability and need a reasonable accommodation, you may request a specific accommodation, such as assistance in preparing the request, from the program manager or another staff member.*

**City of Berkeley ESG Income Eligibility Calculation Worksheet**

ATTACHMENT 2

To be eligible for ESG, households must be at or below 30% of the Area Median Income (and meet other Federal and local ESG eligibility requirements.) This worksheet has been adapted from the HUD authorized form used for HPRP can be used to determine whether an applicant household meets the ESG eligible income requirement. A copy of this form or a similar document used to determine income should be kept in the client file. Be sure to attach to the document copies of all income documentation used to prepare the calculation. See the income verification policy for further information and instructions.

Household Member Number	Household Member Name			Age of Household Member	
1					
2					
3					
4					
5					
	<b>Total Household Members (Household size)</b>				
	<b>30% of Area Median Income (AMI) for Household Size</b>			<b>\$</b>	
Household Member Number/Name	Sources of Household Income	Gross Documented Current Income Amount	Frequency of Income	Number of Payments per Year	Annual Gross Income (gross income amount X # of payments per year)
	Earned Income (for ADULT household members only)	\$			\$
	Earned Income (for ADULT household members only)	\$			\$
	Self-employment/business income	\$			\$
	Interest & Dividend Income	\$			\$
	Pension/Retirement Income	\$			\$
	Unemployment & Disability Income	\$			\$
	Unemployment & Disability Income	\$			\$
	TANF/Public Assistance	\$			\$
	Alimony, Child Support and Foster Care Income	\$			\$
	Armed Forces Income	\$			\$
	Other (specify):	\$			\$
<b>Total Annual Gross Income from all Sources</b>					<b>\$</b>
<b>30% of Area Median Income for Household Size</b>					<b>\$</b>
<b>Variance (If less than AMI, then household is income eligible)</b>					<b>\$</b>
<i>Is the household at or below 30% Area Median Income?</i>					<i><b>YES-Income Eligible NO-COB approval needed</b></i>

Progress Measure: For all outcome and efficiency goals, programs can meet or exceed the numerical benchmark or show and improvement of 10 percentage points over past year's outcome rates.

Outcomes	Shelter (winter and year round shelters)	Transitional Housing (site based, scattered site, and subsidy-based programs, e.g., Linkages & Project Independence)	Supportive Housing (site-based and subsidy-based programs [e.g. Shelter + Care and HOST])	Rapid Rehousing (programs w/financial assistance and/or services)	Prevention (programs with financial assistance and/or supportive services) <sup>1</sup>	Drop-in Centers (material support and services for homeless or unstably housed, e.g. WDDC, MASC, MSC, Henry Robinson)	Street Outreach (specifically intended to address housing, e.g. HOPE & MOP)	Service Only- Employment Programs (programs targeted to homeless or housing stability)	Service Only- Services tied to perm. Housing (e.g. Lifelong HHISN or APC Service Center for PH residents)	Services Only- Case mgmt tied to other housing (e.g. RISE, OHFP, APC Service Center for Trans Housing clients)
Obtain permanent housing	<u>30% or greater</u> <sup>2</sup>	<u>80%</u>	Increase exits to other perm hsg by 10% over prev year	<u>80%</u>		<u>35%</u>	<u>25%</u>	<u>40%</u>	Increase exits to other perm hsg by 10% over prev year	<u>65%</u>
Maintain/retain permanent housing			95% > 6 mos 85% > 12 mos 65% > 3 years		<u>90%</u>	90% of those who have housing at entry		95% > 6 mos 85% > 12 mos 65% > 3 years		
Exiting to streets or shelter	<u>&lt;30%</u>						<u>&lt;40%</u>			<u>&lt;20%</u>
Exiting to permanent <u>OR</u> interim housing						50%				
Exit with earned income	20%	50%	20%	50%	45%			40%	40%	15%
Of those adults entering with no income, an increase in those who exit with an income	<u>15%</u>	<u>30%</u>	<u>40%</u>	10%	10%	15%	10%	40%	30%	15%
Return to homelessness in 12 months				<10%						
<b>Efficiency/Process Measures</b>										
Occupancy	90% single/mix 85% families	90%	95%							
Exit to Known Destination	85%	95%	95%	95%	95%	60%	60%	70%	95%	85%
Time from entry to permanent housing for those obtaining permanent housing	50% of those who gain permanent housing do so within 60 days	Reduce by 10% length of time from entry to permanent housing for programs with ave. stays over 12 mos	Average of 45 days	Average 45 days for those who move; 14 days to first payment for those who stay	50% of those who gain permanent housing do so within 6 months	50% of those who gain permanent housing do so within 6 months	50% of those who gain perm. housing do so within 6 months	50% of those who gain permanent housing do so within 6 months	Reduce by 10% length of time from entry to permanent housing for programs with average stays over 6 months	
Other								50% of those who gain employment do so within 13 weeks		

System-wide goal: Returns to homelessness (as measured by a new entry in HMIS) within 12 months of exit to permanent housing are less than 10%.

<sup>1</sup> For prevention, persons with Housing Status other than "Literally Homeless" are included.  
<sup>2</sup> All italicized, underlined numbers are benchmarked on actual performance and subject to annual updating.  
 System-wide Measures Chart Page 1 of 1

**NOTICE OF PUBLIC HEARING  
BERKELEY CITY COUNCIL**

The Health, Housing & Community Services Department is proposing a Public Hearing addressing the proposed **Annual Action Plan for Program Year (PY) 2014** (7/01/14-6/30/15) which includes recommended allocations of Community Development Block Grant (CDBG), Emergency Solutions Grant (ESG), and Home Investment Partnership Program (HOME) funds.

The hearing will be held on **Tuesday, April 29, 2014, at 7:00 P.M.**, in the City Council Chambers, **2134 Martin Luther King, Jr. Way**, Berkeley.

The proposed **PY2014 Annual Action Plan** required by the U.S. Department of Housing and Urban Development, outlines the City's housing and community development program for the period July 1, 2014 through June 30, 2015. The plan also outlines the allocation of \$2.8 million in **Community Development Block Grant (CDBG)** funds available for housing related activities, improvement of public facilities, public services, and planning and administration. In addition, the plan outlines the proposed use of approximately \$169,000 for homeless rapid re-housing, prevention, and other related activities under the **Emergency Solutions Grant (ESG)**, and the use of approximately \$650,000 in **HOME** funds for affordable housing development and rehabilitation.

**A copy of the agenda material for this hearing will be available on the City's website at [www.CityofBerkeley.info](http://www.CityofBerkeley.info) as of April 17, 2014.**

**PUBLIC COMMENT PERIOD:** The public also has from March 25, 2014 to May 1, 2014 to submit written comments on the PY2014 Annual Action Plan. **A draft of the Plan is available for public review** at the reference desk of the Berkeley Public Library at 2090 Kittredge Street, and at the Front Desk of the Health, Housing and Community Services Department at 2180 Milvia Street, 2<sup>nd</sup> Floor between the hours of 9 a.m. and 5 p.m. The Plans are also available on the City's website at <http://www.cityofberkeley.info/ContentDisplay.aspx?id=12160>. For more information or to provide written comments on any of these plans or funding allocations, contact Kristen Lee at [kslee@ci.berkeley.ca.us](mailto:kslee@ci.berkeley.ca.us) or 981-5427.



**This meeting is being held in a wheelchair accessible location.**

**Accommodations Provided Upon Request.** To request a disability-related accommodation(s) to participate in the meeting, including auxiliary aids or services, please contact the Disability Services specialist at 981-6342 (V) or 981-6345 (TDD) at least three business days before the meeting date. Providing at least three working days' notice will help to ensure availability at the meeting.

El Honorable Concejo Municipal de la Ciudad de Berkeley da aviso que el día martes, 29 de abril de 2014 a las 7:00 pm en la Sala Municipal ubicada en 2134 Martin Luther King, Jr. Way el Departamento de Salud, Vivienda y Servicios Comunitarios auspiciará una Audiencia Pública para discutir la distribución de los fondos monetarios de la Beca de Desarrollo del

Bloque Comunitario (Community Development Block Grant- CDBG) Beca de Soluciones de Emergencia (Emergency Solutions Grant - ESG), la beca HOME y el Plan Anual de Acción para el Año Fiscal 2015 (que cubre el periodo de 07/01/14 – 06/30/15). Si necesitan más información o si desean presentar comentarios por escrito, favor comunicarse con Roxana Andrade-Lizarzaburu al 510.981.5402 o por correo electrónico a [randrade@cityofberkeley.info](mailto:randrade@cityofberkeley.info) .

## 通告

柏克萊市議會將舉行公聽會，討論聯邦經費分配，計劃建議書，及市民參與計劃。

時間：二零一四年，四月二十九日，星期二，下午七時

地點：柏克萊市議廳，2134 Martin Luther King Jr. Way

經費包括：社區發展經費(CDBG)，緊急庇護經費(ESG)，及房屋建設經費(HOME)，並討論計劃建議書（二零一四年七月一日至二零一五年六月三十日）。

詳情請致電：（510）981 4928 鄭女士查詢

Published: March 28, 2014 – The Berkeley Voice

