

DRAFT
Action Plan

FY 2016
July 1, 2016 – June 30, 2017



Alameda County
HOME Consortium
May 2016

Executive Summary

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

1. Introduction

The Annual Action Plan includes a listing of projects and activities to be funded with CDBG funds during FY2016/17 as well as an annual assessment of the City's progress toward meeting its goals for housing and community development. Pleasanton will receive \$272,699 in federal CDBG funds for federal Fiscal Year 2016 and the City will allocate \$300,161 in local Lower Income Housing Funds and \$185,626 in local General Funds to supplement funding for several housing projects and services which sought funds under the CDBG program funding allocation process.

In FY2015, the City was the sponsor/borrower of a Section 108 Guaranteed Loan in the amount of \$1,250,000 to provide funding for construction of a new community medical clinic for Axis Community Health which will allow Axis to double its capacity to serve low-income households and meet the increased demands of changing health care laws. This project was collaboratively funded effort among four local jurisdictions – the cities of Pleasanton, Livermore, Dublin, and the County of Alameda – and Axis Community Health, a nonprofit healthcare provider that has served low-income residents in the Tri Valley area since 1972. Axis completed development of the project in February 2016.

In February 2016, the Pleasanton Housing Authority completed the disposition of its property, Kottinger Place, to the City. In March 2016, MidPen Housing, a non-profit developer, executed a Ground Lease for the property and provided a loan from its Lower Income Housing Fund for the first phase of the Kottinger Gardens project which involves the redevelopment of two aging rental complexes for elderly into a new development that will increase the total units from 90 to 185. The City has committed \$13,750,000 towards the project and also provided a HOME loan for the project in the amount of \$450,000 in HOME Funds. Construction of the first phase of Kottinger Gardens is scheduled to complete by March 2017.

The City may, on a case by case basis, waive (or pay on the behalf of developers) City development fees for projects which include the construction of lower income units, either rental or ownership. The City provided this assistance to the Anton Hacienda Apartments project which leased 35 Below Market Rate Units at 50% of Area Median Income in July 2015.

Activities undertaken with federal HOME Investment Partnership Program (HOME) funds are described separately in the Alameda County HOME Consortium Action Plan. In order to implement its Housing and Community Development Strategic Plan during the next fiscal year, the City of Pleasanton will allocate CDBG funds to non-profit agencies serving low income persons for the implementation of the FY16/17 Housing and Human Services Grants Program which will fund 27 different projects (including projects that are wholly locally funded). Approximately \$145,000 in CDBG funds will go toward capital

projects, benefiting formerly homeless families, domestic violence victims and low income persons without access to health care. Approximately \$40,900 will go to fund public services in the community which are needed by low income persons, including housing counseling. All FY 2016 activities are targeted to serve eligible households which reside within the City of Pleasanton, although several projects are located in the adjacent cities of Livermore and Dublin but serve Pleasanton residents.

The Alameda County Housing and Community Development (HCD) Program administers the HOPWA program for Alameda County, under contract from the City of Oakland. The HOPWA entitlement is received by Oakland as the largest city in the eligible Metropolitan Area. HOPWA funds can be used for a variety of housing and service activities for persons living with HIV and AIDS and are intended to serve all of Alameda County.

FY 2016 Housing and Human Services Grant (HHS) Funding

| FY 2016-17 Housing and Human Services Grant (HHS) Recommended Funding Allocation | | | | | | | | | | | |
|--|--|-----------------|------------|----------|---------------------------|--------------|------------|---------------|------------|------------|------------|
| Agency Name | Project Title | Funds Requested | Total | % of Req | CDBG Cap/Reh | CDBG Pub Svc | CDBG Admin | City Gen Fund | HOME | LMF | |
| 1) CAPITAL / REHAB | | | | | | | | | | | |
| Axis Community Health | Capital Project for Dental Services | \$ 100,000 | \$ 100,000 | 100% | \$ 100,000 | | | | | | |
| City of Pleasanton | Section 108 Loan Repayment | \$ 20,062 | \$ 20,062 | 100% | \$ 20,062 | | | | | | |
| Tri-Valley Haven | Telephone System Replacement | \$ 25,000 | \$ 25,000 | 100% | \$ 25,000 | | | | | | |
| | | \$ 145,062 | \$ 145,062 | | \$ 145,062 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 2) HOUSING PROGRAMS | | | | | | | | | | | |
| Abode Services | Tri-Valley Rapid Re-Housing Program (Rent Subsidies) | \$ 87,000 | \$ 52,544 | 60% | | | | | \$ 52,544 | | \$ 36,000 |
| | Tri-Valley Rapid Re-Housing (Case Management) | \$ 43,355 | \$ 36,000 | 83% | | | | | | | \$ 15,617 |
| Comm. Resources for Indep. Living | Housing and Indep Living Services for People with Disabilities | \$ 15,617 | \$ 15,617 | 100% | | | | | | | \$ - |
| Neighborhood Solutions | Housing Rehabilitation Program for City of Pleasanton | \$ 160,000 | \$ - | 0% | | | | | | | \$ - |
| Housing Rehabilitation Program | Appropriation for Future Contract through Joint RFP | \$ - | \$ 156,000 | N/A | | | | | \$ 30,000 | | \$ 126,000 |
| Eden Council for Hope and Opportunity | Housing Counseling Services | \$ 40,000 | \$ 40,000 | 100% | | | | | | | \$ 40,000 |
| | | \$ 345,972 | \$ 300,161 | | | | | | \$ 82,544 | | \$ 217,617 |
| 3) SERVICES - MEDICAL / HEALTH | | | | | | | | | | | |
| Hope Hospice | Grief Support Center | \$ 11,400 | \$ 5,000 | 44% | | | | \$ 5,000 | | | |
| Pleasanton Unified School District | Student Health Services | \$ 5,000 | \$ 5,000 | 100% | | | | \$ 5,000 | | | |
| Tri-Valley YMCA | Behavioral Health Care Services for Families | \$ 25,000 | \$ 16,095 | 64% | | | | \$ 16,095 | | | |
| | | \$ 41,400 | \$ 26,095 | | \$ - | \$ - | \$ - | \$ - | \$ 26,095 | \$ - | \$ - |
| 4) SERVICES - FOOD | | | | | | | | | | | |
| Open Heart Kitchen | Pleasanton Hot Meal and Weekend Box Lunch Program | \$ 10,000 | \$ 10,000 | 100% | | | | \$ 10,000 | | | |
| Open Heart Kitchen | Senior Meal Programs | \$ 42,000 | \$ 40,905 | 97% | | \$ 40,905 | | | | | |
| Spectrum Community Services | Meals On Wheels for Homebound Elders | \$ 10,000 | \$ 7,000 | 70% | | | | \$ 7,000 | | | |
| Tri-Valley Haven | Tri-Valley Haven's Food Pantry | \$ 20,000 | \$ 15,000 | 75% | | | | \$ 15,000 | | | |
| | | \$ 82,000 | \$ 72,905 | | \$ - | \$ 40,905 | \$ - | \$ 32,000 | \$ - | \$ - | \$ - |
| 5) SERVICES - HOMELESS | | | | | | | | | | | |
| Abode Services | HOPE Street Outreach | \$ 58,719 | \$ 58,719 | 100% | | | | \$ 10,000 | | | \$ 48,719 |
| Tri-Valley Haven | Shloh Domestic Violence Shelter and Services | \$ 20,000 | \$ 14,000 | 70% | | | | \$ 14,000 | | | |
| Tri-Valley Haven | Sojourner House Homeless Shelter | \$ 20,000 | \$ 20,000 | 100% | | | | \$ 20,000 | | | |
| | | \$ 98,719 | \$ 92,719 | | \$ - | \$ - | \$ - | \$ 44,000 | \$ - | \$ - | \$ 48,719 |
| 6) SERVICES - FINANCIAL / LEGAL | | | | | | | | | | | |
| CALICO Center | Pleasanton Child Abuse Intervention | \$ 11,000 | \$ 7,000 | 64% | | | | \$ 7,000 | | | |
| Legal Assistance for Seniors | Free Legal Services for Low-income Seniors | \$ 12,000 | \$ 8,281 | 69% | | | | \$ 8,281 | | | |
| Tri-Valley Haven | Counseling and Temp Restraining Order Clinic | \$ 20,000 | \$ 11,000 | 55% | | | | \$ 11,000 | | | |
| | | \$ 43,000 | \$ 26,281 | | \$ - | \$ - | \$ - | \$ 26,281 | \$ - | \$ - | \$ - |
| 7) SERVICES - DISABLED / SPECIAL NEEDS | | | | | | | | | | | |
| East Bay Innovations | Ramping Up for Independent Living | \$ 5,000 | \$ 5,000 | 100% | | | | \$ 5,000 | | | |
| Easter Seals Bay Area | Easter Seals Kaleidoscope Teen Group | \$ 25,000 | \$ 10,000 | 40% | | | | \$ 10,000 | | | |
| Sandra J. Wing Healing Therapies Fdn. | Healing Therapy Funds to Assist Cancer Patients | \$ 10,000 | \$ - | 0% | | | | \$ - | | | \$ 15,000 |
| | | \$ 40,000 | \$ 15,000 | | \$ - | \$ - | \$ - | \$ 15,000 | \$ - | \$ - | \$ - |
| 8) SERVICES - OTHER | | | | | | | | | | | |
| Chabot Las Positas CCC District | Pleasanton Job Initiative | \$ 15,611 | \$ 7,000 | 45% | | | | \$ 7,000 | | | |
| Chabot Las Positas CCC District | Tri-Valley Volunteer Income Tax Assistance | \$ 6,000 | \$ - | 0% | | | | \$ - | | | |
| CityServe of the Tri-Valley | CityServe of the Tri-Valley | \$ 15,000 | \$ 5,000 | 33% | | | | \$ 5,000 | | | |
| Eden I&R, Inc. | 2-1-1 Alameda County Communication System | \$ 20,000 | \$ 14,000 | 70% | | | | \$ 14,000 | | | |
| Hope Hospice | The Volunteer Program | \$ 7,000 | \$ 5,000 | 71% | | | | \$ 5,000 | | | |
| Pleasanton Unified School District | College Preparation and Readiness | \$ 50,000 | \$ 6,250 | 13% | | | | \$ 6,250 | | | |
| Tri-Valley YMCA | Community Outreach to Those in Need | \$ 20,000 | \$ 5,000 | 25% | | | | \$ 5,000 | | | |
| | | \$ 133,611 | \$ 42,250 | | \$ - | \$ - | \$ - | \$ 42,250 | \$ - | \$ - | \$ - |
| 9) ADMINISTRATION | | | | | | | | | | | |
| City of Pleasanton | Administration of CDBG Program | \$ 54,539 | \$ 54,539 | 100% | | | \$ 54,539 | | | | |
| | | \$ 54,539 | \$ 54,539 | | \$ - | \$ - | \$ 54,539 | \$ - | \$ - | \$ - | \$ - |
| Subtotal HHS Requests (w/o Admin) | | \$ 929,764 | \$ 775,012 | | \$ 145,062 | \$ 40,905 | \$ 54,539 | \$ 185,626 | \$ 82,544 | \$ 266,336 | |
| | | | | | Funding Available: | \$ 177,255 | \$ 49,905 | \$ 54,539 | \$ 185,626 | \$ 82,544 | \$ 266,336 |

2. Summarize the objectives and outcomes identified in the Plan

The Action Plan includes a detailed table that describes this year's priorities and objectives along with goals and objectives from the five-year Consolidated Plan for fiscal years 2015 through 2019.

3. Evaluation of past performance

The City's performance relative to its annual objectives can be reviewed in detail in the most recent Consolidated Annual Performance & Evaluation Report (CAPER) for FY 2014 that was produced by the Alameda County HOME Consortium. This document is available for review at the City of Pleasanton offices or on-line at www.cityofpleasantonca.gov.

A continuing impediment to affordable housing development is the occasional negative perception of affordable housing held by many members of the public. The City of Pleasanton provides local funding to East Bay Housing Organizations (EBHO) to implement an ongoing program which aimed at improving people's perceptions and understanding of affordable housing. In conjunction with other Tri-Valley cities, the City of Pleasanton will collaborate with EBHO in FY 2016 to sponsor activities related to Affordable Housing Week, held annually in May.

As stated previously, the City has provided Lower Income Housing Funds and HOME Funds for the renovation of the former PHA owned Kottinger Place apartments. The City has been working since the mid-1990's with small nonprofit agencies such as East Bay Innovations, Bay Area Community Services (BACS), and REACH (formerly HOUSE, Inc.) to secure housing for persons with special needs. The City provides housing resource information targeted specifically at housing needs for persons with disabilities and provides funding for Community Resources for Independent Living (CRIL) to assist persons with disabilities. Pleasanton has provided tenant-based rental assistance through the Tri-Valley Housing Scholarship Program since 1999 in collaboration with the City of Livermore using HOME funds for rental subsidies and local funds for case management services. In 2016, those activities will be modified by Abode Services to assist households who are homeless or at risk through the Tri-Valley Rapid Rehousing Program. The City will utilize local HHS funds in FY 2016 to provide counseling and case management services for households with special needs.

The Section 8 certificate and voucher program is currently coordinated through the Housing Authority of the County of Alameda. The City coordinates with HACA to promote the inclusion of Section 8 vouchers holders by local landlords through annual outreach and an educational workshop. In addition, the City coordinated with MidPen and HACA on an application for 50 Project Based vouchers which are dedicated to the Kottinger Gardens project.

The major update to the Housing Element of the General Plan which was completed in late 2011 and certified by State HCD in 2012 included the rezoning of approximately 80 acres of land for high residential use which has significantly increased opportunities for affordable housing development. The City's Inclusionary Ordinance for new development has since generated an additional 143 units of affordable rental housing at 50% and 60% of Area Median Income (AMI) located within market rate developments. The policies and programs stated in the Housing Element continue to guide City programs for affordability, preservation, discrimination, and other housing and community development issues. The City continues utilize its Inclusionary ordinance and Lower Income Housing Fund to provide affordable housing opportunities for low/moderate income seniors, families and persons with Economic Development.

3. Evaluation of past performance

An evaluation of FY14 activities was developed for public comment in August 2015. Accomplishments for FY13 activities were included in the FY14 CAPER that was released for public comment in September 2015. Please refer to prior year CAPERs for an evaluation of past performance. The CAPER for FY15/16 will be completed in September 2016.

4. Summary of Citizen Participation Process and consultation process

The City held two joint HHSB grant application workshops in collaboration with the cities of Livermore and Dublin in early December 2015. Notices regarding the workshops were mailed directly to over agencies and persons in an "interest list" data base, and notices were also published in the key local newspapers and on city web sites prior to the workshops. HHSB grant applications were reviewed in three public meetings held in March and April 2016. All meetings were noticed in a newspaper of general circulation as well as a local paper that is delivered to all Pleasanton residents. Alameda County also published notices regarding the overall Action Plan (which includes all entitlement cities and the urban county) in ANG newspapers throughout the County. Copies of the draft Action Plan were provided to the main Library and City Hall in Pleasanton for public review. A 30-day public review period, coordinated by Alameda County HOME Consortium, was held from late March through the end of April 2016.

5. Summary of public comments

To-date no comments have been received.

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

Not applicable.

7. Summary

Not applicable.

The Process

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

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

The following are the agencies/entities responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

| Agency Role | Name | Department/Agency |
|-----------------------|------------|---------------------------------|
| Lead Agency | PLEASANTON | |
| CDBG Administrator | PLEASANTON | City Manager / Housing Division |
| HOPWA Administrator | | |
| HOME Administrator | | |
| HOPWA-C Administrator | | |

Table 1– Responsible Agencies

Narrative

The Consolidated Plan is prepared by the City's Housing Specialist who reports directly to the Assistant City Manager in the City Manager's office. The Housing Specialist is also responsible for administering the CDBG program and is the liaison to County of Alameda for matters related to the HOME program (the City of Pleasanton is a member of the Alameda County HOME Consortium).

Action Plan/Consolidated Plan Public Contact Information

City of Pleasanton

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AP-10 Consultation - 91.100, 91.200(b), 91.215(l)

1. Introduction

The Consolidated Plan and Action Plan is an important document for the HOME Consortium. Built on interagency coordination, consultation, and public participation, the Consolidated Plan focuses attention on housing and community development needs and resources available to meet these needs.

The FY15-FY19 Consolidated Plan was prepared through consultation with other public and private entities. At the countywide level, the HOME Consortium Technical Advisory Committee (TAC), composed of staff from all jurisdictions in the HOME Consortium, met bi-monthly to provide policy input into the Action Plan planning process. Additional countywide consultation efforts are discussed in detail in the Alameda County section of the Consolidated Plan is an important document for the HOME Consortium. This Action Plan implements the Consolidate Plan priorities.

Funding priorities are reviewed through two City commissions in addition to publication throughout the community and public hearing by City Council. The City commission review process for the application review, funding recommendation and award are summarized as follows:

The City's Human Services Commission (HSC) is appointed by the City Council and holds public meetings monthly on the first Wednesday of the month. The HSC provides the main public forum for discussion of a range of issues related to public services in Pleasanton and the Tri-Valley region. Of specific relevance to the FY 2016/2017 Housing and Human Services Grants (CDBG)Program were meetings held in November 2015 (discussion of priorities for the upcoming Housing and Human Services Grant, or HHSB, process), February 2016 (discussion of the process for reviewing and evaluating applications for HHSB funding), and March 2016 (recommendation for HHSB funding for projects to be included in the next Action Plan).

The City's Housing Commission (HC) is also appointed by the City Council and holds public meetings monthly on the third Thursday of the month. The HC is similar to the HSC but focuses on housing-related projects and issues. In March 2016, the HC developed a recommendation for HHSB funding for housing-related projects and programs to be included in the next Action Plan.

The City Council served as the highest level decision making body for all matters related to the Consolidated Plan. The Council holds public meetings twice monthly on the first and third Tuesday of the month. On April 19, 2016, City Council will review and consider recommendations for HHSB funding from the HSC and HC for projects to be included in the next Action Plan.

2. 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)).

In October 2014, the cities of Pleasanton and Livermore formed a multi-jurisdictional subcommittee specifically to discuss policies and priorities for incorporation into the FY 2015-19 Consolidated Plan. The subcommittee, comprised of commission and staff representatives from both cities, held two open public meetings which resulted in an updated set of common regional priorities for incorporation into the Con Plan.

As stated previously, the City of Pleasanton collaborates with Livermore and Dublin to hold two annual grant kickoff meetings in early December. The City maintains an active database of potential interested parties and uses it to send out notification of grant funding opportunities at the beginning of every application cycle (early December). The list currently includes approximately 250 nonprofit agencies, individuals, and other interested parties. In addition, ads are placed in local newspapers (including the Pleasanton Weekly which is distributed to every household in Pleasanton) and on the City’s web site. Representatives from approximately 50 agencies (primarily non-profit) and other interested parties attended the annual meetings held in December 2015 and were able to use these opportunities to learn and provide feedback regarding policies and programs of relevance to the Consolidated Plan.

The City has also worked in collaboration regionally on other housing and human services planning and assessment processes including :

- The Tri-Valley Human Services Needs Assessment
- The Housing Element update (certified in early 2015) to solicit public input regarding goals, policies, and programs for the City’s future housing development. The Housing Element process involved two public community workshops, stakeholder consultations, and focus group meetings that took place throughout 2014. Stakeholder meetings involved participation from both non-profit and for-profit groups.

3. Describe coordination with the Continuum of Care and efforts to address the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans, and unaccompanied youth) and persons at risk of homelessness

Stakeholders in Alameda County have been assessing the needs of persons experiencing homelessness and working to improve our response across the county since the founding of Alameda County-wide Homeless Continuum of Care Council in 1997. The collaboration includes cities and Alameda County government agencies representing three separate care systems — homeless services, HIV/AIDS services and mental health services — that share overlapping

client populations. Alameda Countywide Homeless and Special Needs Housing Plan, now known as the EveryOne Home plan, helped to form EveryOne Home into a community based organization to implement the Plan and now serves as the County's Continuum of Care.

EveryOne Home coordinates local efforts to address homelessness, seeks to maintain the existing service capacity, build new partnerships that generate greater resources for the continuum of housing, services, and employment, and establish inter-jurisdictional cooperation. EveryOne Home leverages substantial federal, state, and local resources for homeless housing and services, standardize data collection, and facilitate a year-round process of collaboration. EveryOne Home includes representation from HOME Consortium jurisdictions and CDBG entitlement jurisdictions in the County, service providers and advocates, homeless or formerly homeless persons, representatives of the faith community, business representatives, and education and health care professionals. EveryOne Home receives administrative funding through Alameda County's General Fund as well as contributions from each of Alameda County's jurisdictions.

The EveryOne Home plan is structured around five major goals: 1) **Prevent homelessness and other housing crises.** The most effective way to end homelessness is to prevent it in the first place by making appropriate services accessible at the time they are needed. In particular, people leaving institutions such foster care, hospitals, jails and prisons need interventions and planning that will prevent them from exiting into homelessness. 2) **Increase housing opportunities for the plan's target populations.** Increasing affordable and supportive housing opportunities requires creative use of existing resources, developing new resources and using effective models of housing and services. This plan identifies a need for 15,000 units of housing for people who are homeless or living with HIV/AIDS or mental illness over the next 15 years. 3) **Deliver flexible services to support stability and independence.** Culturally competent, coordinated support services must accompany housing. Direct service providers in all systems throughout the county must have a degree of knowledge about and access to a range of housing resources and supportive services. 4) **Measure success and report outcomes.** Evaluating outcomes will allow systems and agencies to identify successful programs and target resources toward best practices. 5) **Develop long-term leadership and build political will.** The goals of EveryOne Home will only be achieved by developing a long-term leadership structure that can sustain systems change activities. Implementation of this plan will also require building and sustaining political and community support for its vision and activities.

4. Describe consultation with the Continuum(s) of Care that serves the jurisdiction's area in determining how to allocate ESG funds, develop performance standards and evaluate outcomes, and develop funding, policies and procedures for the administration of HMIS

Alameda County Housing and Community Development Department through HMIS and leadership of the EveryOne Home Performance Management Committee supports the EveryOne Home initiative to establish system wide outcomes and to evaluate effectiveness of programs against those outcomes. These outcomes include shortening the period of time homeless and reducing the recidivism rates for homeless people.

Consultation with EveryOne Home, the Alameda Countywide Continuum of Care, on the use of Emergency Solutions Grant (ESG) funds, began in early 2012, when representatives from the City of Berkeley, the City of Oakland, Alameda County Housing and Community Development Department (Urban County grantee), and EveryOne Home worked together to implement the new ESG requirements in a way that would be consistent county-wide and would continue a collaboration which began in 2009 with American Recovery and Reinvestment Act (ARRA) Homelessness Prevention and Rapid Re-housing (HPRP) funds. This collaboration resulted in the creation of Priority Home Partnership (PHP), which was a single county-wide program to implement HPRP. EveryOne Home held a community-wide meeting at which additional consultation and public input into the use of ESG funds was solicited. A series of meetings with EveryOne Home and the ESG grantees continues through the year and a coordinated ESG program was established and began implementation in early 2013. This coordinated program will use this same structure for FY16 ESG funding.

5. Describe Agencies, groups, organizations and others who participated in the process and describe the jurisdictions consultations with housing, social service agencies and other entities

| | | |
|---|--|--|
| 1 | Agency/Group/Organization | ABODE SERVICES |
| | Agency/Group/Organization Type | Housing Services-homeless |
| | What section of the Plan was addressed by Consultation? | Housing Need Assessment Homelessness Strategy Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 2 | Agency/Group/Organization | AXIS COMMUNITY HEALTH |
| | Agency/Group/Organization Type | Services-Health Health Agency |
| | What section of the Plan was addressed by Consultation? | Non-Homeless Special Needs Health care |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 3 | Agency/Group/Organization | COMMUNITY RESOURCES FOR INDEPENDENT LIVING |
| | Agency/Group/Organization Type | Housing Services-Persons with Disabilities |

| | | |
|---|--|---|
| | What section of the Plan was addressed by Consultation? | Housing Need Assessment Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 4 | Agency/Group/Organization | EAST BAY INNOVATIONS |
| | Agency/Group/Organization Type | Services-Persons with Disabilities |
| | What section of the Plan was addressed by Consultation? | Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 5 | Agency/Group/Organization | EASTER SEALS BAY AREA |
| | Agency/Group/Organization Type | Services-Persons with Disabilities |
| | What section of the Plan was addressed by Consultation? | Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 6 | Agency/Group/Organization | EDEN COUNCIL FOR HOPE AND OPPORTUNITY |
| | Agency/Group/Organization Type | Housing Services-homeless Service-Fair Housing |
| | What section of the Plan was addressed by Consultation? | Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |

| | | |
|---|--|---|
| 7 | Agency/Group/Organization | EDEN INFORMATION AND REFERRAL |
| | Agency/Group/Organization Type | Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing |
| | What section of the Plan was addressed by Consultation? | Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 8 | Agency/Group/Organization | LEGAL ASSISTANCE FOR SENIORS |
| | Agency/Group/Organization Type | Services-Elderly Persons |
| | What section of the Plan was addressed by Consultation? | Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 9 | Agency/Group/Organization | Neighborhood Solutions |
| | Agency/Group/Organization Type | Housing |
| | What section of the Plan was addressed by Consultation? | Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |

| | | |
|----|--|--|
| 10 | Agency/Group/Organization | OPEN HEART KITCHEN |
| | Agency/Group/Organization Type | Services-homeless |
| | What section of the Plan was addressed by Consultation? | Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 11 | Agency/Group/Organization | SPECTRUM COMMUNITY SERVICES |
| | Agency/Group/Organization Type | Services-Elderly Persons |
| | What section of the Plan was addressed by Consultation? | Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 12 | Agency/Group/Organization | TRI-CITY HEALTH CENTER |
| | Agency/Group/Organization Type | Services-Health |
| | What section of the Plan was addressed by Consultation? | Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 13 | Agency/Group/Organization | TRI-VALLEY HAVEN FOR WOMEN |
| | Agency/Group/Organization Type | Services-Victims of Domestic Violence |
| | What section of the Plan was addressed by Consultation? | Homeless Needs - Families with children |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 14 | Agency/Group/Organization | Human Services Commission |
| | Agency/Group/Organization Type | Other government - Local |

| | | |
|----|--|--|
| | What section of the Plan was addressed by Consultation? | Non-Homeless Special Needs |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |
| 15 | Agency/Group/Organization | Housing Commission |
| | Agency/Group/Organization Type | Housing Other government - Local |
| | What section of the Plan was addressed by Consultation? | Housing Need Assessment |
| | Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination? | Provided input in the development of the Tri-Valley Human Services Needs Assessment. |

Identify any Agency Types not consulted and provide rationale for not consulting

[None]

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

| Name of Plan | Lead Organization | How do the goals of your Strategic Plan overlap with the goals of each plan? |
|---------------------|---|---|
| Continuum of Care | Alameda County Community Development Agency | They are incorporated. |

Table 2 – 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

The City maintains (in collaboration with our neighbor cities of Livermore and Dublin) an on-going data base of over 200 nonprofit agencies and other parties who have expressed an interest in the Housing and Human Services Grant (HHSO) program (which serves as the local umbrella program for allocating federal CDBG and HOME funds). The City held two joint application workshops in collaboration with the cities of Livermore and Dublin in early December 2015. Notices regarding the workshops were mailed directly to agencies and persons in the aforementioned data base, and notices were also published in the key local newspapers and on city web sites prior to the workshops. At the workshops (which had identical agendas and formats), staff from each city discussed all aspects of the HHSO program and disbursed application packets along with city-specific policy and procedures manuals.

HHSO applicants attended meetings before either Pleasanton Human Services Commission (March 2, 2016) or the Pleasanton Housing Commission (March 17, 2016) for funding consideration. The Commissions considered the applications and formulated funding recommendations for consideration by the Pleasanton City Council. The funding recommendations will be considered by the Council in a public hearing in April 2016, at which time the FY 2016 Action Plan will be considered for approval. All meetings were noticed in the Valley Times, a newspaper of general circulation, as well as in the Pleasanton Weekly, a local paper that is delivered to all Pleasanton residents. Alameda County also published notices regarding the overall Action Plan (which includes all entitlement cities and the urban county) in ANG newspapers throughout the County. Copies of the draft Action Plan were provided to the main Library and City Hall in Pleasanton for public review. A 30-day public review period, coordinated by Alameda County HOME Consortium, was held from late March through the end of April 2016.

Citizen Participation Outreach

| Sort Order | Mode of Outreach | Target of Outreach | Summary of response/attendance | Summary of comments received | Summary of comments not accepted and reasons | URL (If applicable) |
|------------|---------------------------|-------------------------------------|---|---|--|---|
| 1 | NOFA Notice Card Mail-Out | Agencies Serving Low-Income Persons | Representatives from approximately 50 agencies (and other interested parties) attended two application workshops in early December 2015). | Information was provided by City representatives regarding the local grant programs offered by the cities of Pleasanton, Livermore, and Dublin. | [None] | http://www.cityofpleasantonca.gov/resident/housing/grant/default.asp |

| Sort Order | Mode of Outreach | Target of Outreach | Summary of response/attendance | Summary of comments received | Summary of comments not accepted and reasons | URL (If applicable) |
|------------|------------------|---|---|---|--|---------------------|
| 2 | Newspaper Ad | Minorities Non-English Speaking - Specify other language: Spanish Persons with disabilities Non-targeted/broad community Residents of Public and Assisted Housing | Representatives from approximately 50 agencies (and other interested parties) attended two application workshops in early December 2015). | Information was provided by City representatives regarding the local grant programs offered by the cities of Pleasanton, Livermore, and Dublin. | [None] | |

| Sort Order | Mode of Outreach | Target of Outreach | Summary of response/attendance | Summary of comments received | Summary of comments not accepted and reasons | URL (If applicable) |
|------------|------------------|------------------------------|--|---|--|---------------------|
| 3 | Public Meeting | Non-targeted/broad community | Representatives from approximately 25 agencies that applied for HHSF funding attended public meetings of the Pleasanton Human Services Commission (3/2/2016) and Housing Commission (3/17/2016). | Minutes from the public meetings are on file at the City of Pleasanton. In general, applicant agencies expressed appreciation for the availability of HHSF funds to support important local housing and services for low-income residents and noted ongoing funding challenges. | [None] | |

Table 3 – Citizen Participation Outreach

AP-15 Expected Resources - 91.420(b), 91.220(c)(1,2)

Introduction

N/A

Anticipated Resources

| Program | Source of Funds | Uses of Funds | Expected Amount Available Year 2 | | | | Expected Amount Available Reminder of ConPlan \$ | Narrative Description |
|---------|------------------|--|----------------------------------|--------------------|--------------------------|-----------|--|--|
| | | | Annual Allocation: \$ | Program Income: \$ | Prior Year Resources: \$ | Total: \$ | | |
| CDBG | public - federal | Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services | 272,699 | 30,000 | 0 | 302,699 | 907,301 | The City of Pleasanton is an entitlement community and receives funding on an annual basis from the CDBG Program. Program income is an estimate based on projected repayment of past CDBG-funded loans issued through the City's Housing Rehabilitation Program. |

Table 4 - Expected Resources – Priority Table

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

To maximize leveraging of its own funds and increase the funds available for housing and community development activities, the City of Pleasanton plans to undertake the following activities:

- Support applications by organizations or agencies for other public and private sources of financing to leverage City funds.
- Include leveraging as a goal to the maximum extent possible in the City's HHSG funding application review process.
- Support the acquisition and rehabilitation of existing and new construction of units by nonprofit housing developers.
- Promote private sector rehabilitation through the City's Housing Rehabilitation Program (HRP).
- Continue to provide support to nonprofit, community-based housing developers and service providers in obtaining other sources of financing.
- Promote joint development with other governmental or quasi-governmental agencies to implement housing community development programs and combine multiple sources of financing.

Matching requirements must be satisfied in the following federal entitlement housing programs: the HOME Program and the Emergency Solutions Grant Program. A variety of non-federal sources may be used for the HOME match requirements, which requires that \$0.25 be "permanently contributed" to the HOME Program or to HOME-assisted projects for every HOME dollar spent. This requirement applies to the program as a whole, not to individual projects. The liability for matching funds occurs when the HOME Consortium actually draws down HOME funds from HUD. Sources of HOME match include cash or cash equivalents from a non-federal source, value of waived taxes or fees, value of donated land or real property, a portion of housing bond proceeds, and the cost of infrastructure improvements, among others.

As a member jurisdiction, the City must comply with the HOME match requirements that have been established by the County. The County will evaluate match requirements for HOME and determine potential match sources. Some match sources may come from local affordable housing trust funds, housing bond proceeds, the value of waived local fees or permits, foregone property tax revenue, local road funds, private donations, services funded by service providers, the State, County, or foundations, other local agency funds, and publicly owned land.

The City does not receive a direct allocation of Emergency Solutions Grant Program (ESG) funds.

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

In 2016, the City executed a long-term ground lease for the former Public Housing Authority land (the approximately 5 acre Kottinger Place project) to MidPen Housing to redevelop as the first 131 unit phase of Kottinger Gardens Senior Apartments. Total units for both phases, when complete, will have a total of 185 units affordable for very low and extremely low income seniors. To assist with the project, in 2012, the City acquired a half-acre parcel immediately adjacent to the existing Kottinger Place Public Housing development to incorporate the property into the new project.

Discussion

N/A

Annual Goals and Objectives

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

Goals Summary Information

| Sort Order | Goal Name | Start Year | End Year | Category | Geographic Area | Needs Addressed | Funding | Goal Outcome Indicator |
|------------|-------------------------------------|------------|----------|--------------------|-----------------|---------------------------|----------------|--|
| 1 | Affordable Rental Housing | 2015 | 2019 | Affordable Housing | Citywide | Rental Housing Production | CDBG: \$0 | Rental units constructed: 20 Household Housing Unit |
| 2 | Preservation - Owner | 2015 | 2019 | Affordable Housing | Citywide | Housing Preservation | CDBG: \$30,000 | Homeowner Housing Rehabilitated: 10 Household Housing Unit |
| 3 | Preservation - Rental | 2015 | 2019 | Affordable Housing | Citywide | Housing Preservation | CDBG: \$0 | Rental units rehabilitated: 10 Household Housing Unit |
| 4 | First Time Homebuyer | 2015 | 2019 | Affordable Housing | Citywide | First Time Homebuyer | CDBG: \$0 | Direct Financial Assistance to Homebuyers: 5 Households Assisted |
| 5 | Reduction of Housing Discrimination | 2015 | 2019 | Fair housing | Citywide | Fair Housing | CDBG: \$0 | Public service activities for Low/Moderate Income Housing Benefit: 20 Households Assisted |
| 6 | Homelessness Prevention | 2015 | 2019 | Homeless | Citywide | Homelessness | CDBG: \$0 | Homelessness Prevention: 20 Persons Assisted |
| 7 | Service Enriched Housing | 2015 | 2019 | Affordable Housing | Citywide | Supportive Housing | CDBG: \$0 | Public Facility or Infrastructure Activities for Low/Moderate Income Housing Benefit: 10 Households Assisted |

| Sort Order | Goal Name | Start Year | End Year | Category | Geographic Area | Needs Addressed | Funding | Goal Outcome Indicator |
|------------|--|------------|----------|-----------------------------------|-----------------|--|-----------------|---|
| 8 | Improved Health Care Access | 2015 | 2019 | Non-Homeless Special Needs | Citywide | Community Development - Health Care Access | CDBG: \$120,062 | Public service activities other than Low/Moderate Income Housing Benefit: 3100 Persons Assisted |
| 9 | Improve Opportunities for Youth | 2015 | 2019 | Youth Services | Citywide | Community Development - Youth Opportunities | CDBG: \$0 | Public service activities other than Low/Moderate Income Housing Benefit: 50 Persons Assisted |
| 10 | Improve Opportunities for Seniors | 2015 | 2019 | Senior Services | Citywide | Community Development - Seniors | CDBG: \$40,905 | Public service activities other than Low/Moderate Income Housing Benefit: 100 Persons Assisted |
| 11 | Address Emerging Community Needs | 2015 | 2019 | Public Services | Citywide | Community Development - Emerging Community Needs | CDBG: \$0 | Public service activities other than Low/Moderate Income Housing Benefit: 50 Persons Assisted |
| 12 | Improve Public Service Support | 2015 | 2019 | Non-Homeless Special Needs | Citywide | Community Development - Infrastructure Improvement | CDBG: \$25,000 | Public service activities other than Low/Moderate Income Housing Benefit: 20 Persons Assisted |
| 13 | Promote Economic Development Opportunities | 2015 | 2019 | Non-Housing Community Development | Citywide | Community Development - Economic Development | CDBG: \$0 | Businesses assisted: 1 Businesses Assisted |

Table 5 – Goals Summary

Goal Descriptions

| | | |
|---|-------------------------|---|
| 1 | Goal Name | Affordable Rental Housing |
| | Goal Description | Support the efforts of private developers seeking to develop affordable rental housing in Pleasanton (City financial assistance and fee waivers; tax credits secured by project developers); approve 20 new units with rents affordable to low and very low income households. |
| 2 | Goal Name | Preservation - Owner |
| | Goal Description | Provide Housing Rehabilitation Program (HRP) services to 10 low and very low income households. |
| 3 | Goal Name | Preservation - Rental |
| | Goal Description | Identify existing rental properties that might benefit from rehabilitation. When possible, enter into regulatory agreements with owners to ensure long-term affordability (using CDBG and City Housing Funds). |
| 4 | Goal Name | First Time Homebuyer |
| | Goal Description | Continue to offer down payment assistance loans through the Down Payment Assistance program to help bridge the gap between a minimum down payment and first mortgage and increase buying capacity. |
| 5 | Goal Name | Reduction of Housing Discrimination |
| | Goal Description | Contract annually with ECHO Housing or a similar agency for fair housing and complaint investigations services throughout the City. This service is funded through a combination of City Housing Funds and CDBG funding and includes information and outreach to owners, renters, and buyers concerning their rights and obligations and the support services available in the community. |

| | | |
|----|-------------------------|--|
| 6 | Goal Name | Homelessness Prevention |
| | Goal Description | Continue to work with EveryOne Home, Abode Services, ECHO Housing, the City of Livermore, and other parties involved in the coordination and delivery of homelessness services to reduce the incidence of homelessness in Pleasanton and the Tri-Valley area. |
| 7 | Goal Name | Service Enriched Housing |
| | Goal Description | Work with Alameda County and other partners to create new transitional and permanent housing units county-wide for special needs individuals and families who are extremely low and low income households. |
| 8 | Goal Name | Improved Health Care Access |
| | Goal Description | Continue to provide technical and material support to Axis Community Health regarding implementation of the new clinic. Reserve funding for predevelopment costs for Axis Community Health to provide a dental clinic for low income Tri Valley persons who are Medicaid eligible. |
| 9 | Goal Name | Improve Opportunities for Youth |
| | Goal Description | Continue to implement the recommendations in the City's adopted Youth Master Plan. |
| 10 | Goal Name | Improve Opportunities for Seniors |
| | Goal Description | Work with the City of Pleasanton Paratransit Program and agencies that deliver services to seniors (e.g., Spectrum, Open Heart Kitchen, Senior Support Program, etc.) to improve outreach and access. |
| 11 | Goal Name | Address Emerging Community Needs |
| | Goal Description | Strive to approve one new program or service for low income and/or underserved populations during the fiscal year. |

| | | |
|----|-------------------------|---|
| 12 | Goal Name | Improve Public Service Support |
| | Goal Description | Provide services in the following areas: child care services; services for persons with developmental disabilities; shelter, counseling, and related services for domestic violence victims; pediatric medical services; services for victims of HIV/AIDS; services to Pleasanton school-age at-risk youth; meal delivery service to homebound elderly persons; Alzheimers counseling and referral services and senior day care; bereavement counseling for low income seniors. |
| 13 | Goal Name | Promote Economic Development Opportunities |
| | Goal Description | Assist one to two businesses during the fiscal year according to demand. |

AP-35 Projects - 91.420, 91.220(d)

Introduction

This section of the Action Plan includes the programs and activities which the City of Pleasanton will carry out to implement its Housing and Community Development Strategic Plan during FY2016/2017.

This section describes individual activities to be funded with FY2016/2017 Community Development Block Grant (CDBG) funding. The City's use of HOME funding is addressed separately under the County's section of the Consolidated Plan. This section also includes a description of how Pleasanton will ensure geographic distribution of its resources, the process by which assistance will be distributed in the case that an activity location is currently unknown (e.g., the City's Housing Rehabilitation Program), activities benefiting homeless and other special needs populations, and other local or state programs being used to further the jurisdiction's housing and community development goals.

| # | Project Name |
|---|--|
| 1 | City of Pleasanton |
| 2 | Axis Community Health - Tri-Valley Dental Clinic |
| 3 | City of Pleasanton - Housing Rehabilitation Program |
| 4 | Tri-Valley Haven – Phone System Replacement |
| 5 | Open Heart Kitchen - Ridge View Commons Senior Meal Program & Senior Center Meal Program |
| 6 | City of Pleasanton Section 108 Loan Repayment – Axis Health Clinic |

Table 6 – Project Information

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

Allocation priorities are based on the Consolidated Plan. There are a number of barriers to providing affordable housing in Pleasanton, based on real estate market and non-market factors. Affordable housing projects are difficult to build due to the high cost of building materials. The cost and limited availability of land in Pleasanton contribute to high development costs. Affordable housing developments generally require multiple funding sources from public and private sources. HUD's cap of 15% of the allocation for public services is an obstacle for providing supportive services to homeless population, especially in smaller cities like Pleasanton which does not receive a significant allocation of CDBG funds.

AP-38 Project Summary

Project Summary Information

| | | |
|----------|------------------------|---|
| 1 | Project Name | City of Pleasanton |
| | Target Area | Citywide |
| | Goals Supported | Affordable Rental Housing Preservation - Owner Preservation - Rental First Time Homebuyer Reduction of Housing Discrimination Homelessness Prevention Service Enriched Housing Improved Health Care Access Improve Opportunities for Youth Improve Opportunities for Seniors Address Emerging Community Needs Improve Public Service Support Promote Economic Development Opportunities |

| | | |
|---|--|---|
| | Needs Addressed | Rental Housing Production Housing Preservation First Time Homebuyer Fair Housing Homelessness Supportive Housing Community Development - Health Care Access Community Development - Youth Opportunities Community Development - Seniors Community Development - Emerging Community Needs Community Development - Economic Development |
| | Funding | CDBG: \$54,539 |
| | Description | Administration of CDBG program by City of Pleasanton staff. |
| | Target Date | 6/30/2017 |
| | Estimate the number and type of families that will benefit from the proposed activities | Not applicable. |
| | Location Description | 200 Old Bernal Avenue, Pleasanton, CA 94566-0802 123 Main Street, Pleasanton, CA 94566-0802 |
| | Planned Activities | Administration of CDBG program by City of Pleasanton staff. |
| 2 | Project Name | Axis Community Health – Tri-Valley Dental Clinic |
| | Target Area | Citywide |
| | Goals Supported | Improved Health Care Access |
| | Needs Addressed | Community Development - Health Care Access |

| | | |
|----------|--|---|
| | Funding | CDBG: \$100,000 |
| | Description | Pre-Construction planning costs for a new community dental clinic. |
| | Target Date | 6/30/2017 |
| | Estimate the number and type of families that will benefit from the proposed activities | An estimated 3,100 unduplicated individuals will be served through this project once completed. |
| | Location Description | Undetermined |
| | Planned Activities | Feasibility and preconstruction costs for design of the clinic by the end of 2016. |
| 3 | Project Name | Housing Rehabilitation Program |
| | Target Area | Citywide |
| | Goals Supported | Preservation - Owner Preservation - Rental |
| | Needs Addressed | Housing Preservation |
| | Funding | CDBG: \$30,000 (est. Program Income) |
| | Description | Provision of grants and loans to low-income Pleasanton home owners and rental housing tenants through the City's Housing Rehabilitation Program. A program administrator will be identified through a joint RFP with the City of Livermore. |
| | Target Date | 6/30/2016 |
| | Estimate the number and type of families that will benefit from the proposed activities | 5 Pleasanton home owners and/or renters will receive housing rehabilitation services during the fiscal year. |
| | Location Description | Properties will be located throughout Pleasanton based on demand and need. |
| | Planned Activities | |

| | | |
|---------------------------|--|--|
| 4 | Project Name | Tri-Valley Haven – Phone System Replacement |
| | Target Area | Citywide |
| | Goals Supported | Improve Public Service Support Capital Improvement Projects |
| | Needs Addressed | Community Development – Homeless & DV |
| | Funding | CDBG: \$25,000 |
| | Description | Installation of telephone infrastructure for the crisis line serving homeless and domestic violence survivors calling into the agency. |
| | Target Date | 6/30/2017 |
| | Estimate the number and type of families that will benefit from the proposed activities | 1,100 clients will be served through the crisis line in FY2016. |
| | Location Description | Not applicable (services will be provided throughout the City to any client who meets eligibility requirements). |
| Planned Activities | | |
| 5 | Project Name | Open Heart Kitchen - Ridge View Commons Senior Meal Program & Senior Center Hot Meal Program |
| | Target Area | Citywide |
| | Goals Supported | Improve Opportunities for Seniors Address Emerging Community Needs Improve Public Service Support |
| | Needs Addressed | Community Development - Seniors |
| | Funding | CDBG: \$40,905 |

| | | |
|---|--|--|
| | Description | Provision of a hot meal program on weekday evenings to Pleasanton seniors. Meals are served at Ridge View Commons senior apartments and the Senior Center. |
| | Target Date | 6/30/2017 |
| | Estimate the number and type of families that will benefit from the proposed activities | 150 unduplicated senior will receive hot, nutritious meals at an affordable cost during the fiscal year. |
| | Location Description | Ridge View Commons, 5200 Case Avenue, Pleasanton, CA 94566 Pleasanton Senior Center, 5353 Sunol Boulevard, Pleasanton, CA 94566 |
| | Planned Activities | |
| 7 | Project Name | City of Pleasanton – Section 108 Loan Repayment for Axis Clinic |
| | Target Area | Citywide |
| | Goals Supported | Improve Community Health Care Access Capital Improvement Projects |
| | Needs Addressed | Community Development - Seniors Community Development - Emerging Community Needs |
| | Funding | CDBG: \$20,062 |
| | Description | Annual repayment (City of Pleasanton portion) for Section 108 Loan for Axis Community Health Clinic construction. |
| | Target Date | 6/30/2017 |
| | Estimate the number and type of families that will benefit from the proposed activities | Project completed in FY2015/16. |
| | Location Description | N/A |

| | |
|---------------------------|--|
| Planned Activities | |
|---------------------------|--|

AP-50 Geographic Distribution - 91.420, 91.220(f)

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

The City of Pleasanton receives an allocation of Community Development Block Grant (CDBG) funds, which may be used for eligible activities, eligible households, and/or eligible areas within its jurisdiction. The CDBG funds are allocated according to a formula based on population data from the 2010 Census and the number of substandard units in each jurisdiction. All projects listed in the “Proposed Projects” tables are intended and open to serve eligible households within the City of Pleasanton. Census tracts that are located completely or partially within the current Pleasanton city limits are as follows: 4506.01, 4506.02, 4506.03, 4506.04, 4506.05, 4506.06, 4506.07, 4506.43, 4506.46, 4507.01, 4507.41, 4507.42, 4507.44, and 4507.45.

Geographic Distribution

| Target Area | Percentage of Funds |
|--------------------|----------------------------|
| | |

Table 7 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

For many programs using CDBG funds, such as residential or business rehabilitation, the exact location of the activity is not determined prior to funding the program as a whole. Pursuant to the CDBG Program Final Rule in these instances, the Consolidated Plan must identify who may apply for assistance, the process by which the grantee will select those to receive assistance, and how much and under what terms the assistance will be given.

The City of Pleasanton has contracted with Neighborhood Solutions in prior fiscal years to administer a Housing Rehabilitation Program (HRP) using CDBG, HOME and Lower Income Housing funds for loans and grants serving eligible low-income home owners and renters in Pleasanton. The goal of the program is to conserve, preserve, and improve the housing and neighborhoods by addressing the needs of low income Pleasanton residents. To that end, the program provides grants or low interest loans to qualifying properties and owners to provide a variety of rehabilitation services, such as rental housing rehabilitation, minor and major home repairs, mobile home repairs, exterior paint or clean-up assistance, seismic retrofitting, and accessibility improvements. Based on past experience, units benefitting from the HRP have been spread throughout the community although mobile home grants are by definition focused in the two largest mobile home parks at 3231 and 3263 Vineyard Avenue in east Pleasanton (census tract 4507.42). These two parks are primarily occupied by low-income seniors.

The rental rehabilitation program is available to those properties in Pleasanton where at least 51% of the units are occupied by low and very low income households, or in which 51% of the units will be rent-restricted through a rental agreement to qualified low income households after rehabilitation. This program provides below-market-interest-rate loans to property owners to complete the rehabilitation. Tenant incomes are verified to determine whether at least half of the units are occupied by lower income households. The property's operating budget is also examined to determine the property's long-term financial feasibility and ability to repay the loan.

HOME Investment Partnership funding is allocated to the jurisdictions within the Alameda County HOME Consortium on a formula basis. HOME funds are distributed throughout all parts of the HOME Consortium. All activities to be undertaken are intended and open to serve eligible households living in the Consortium.

Discussion

AP-85 Other Actions - 91.420, 91.220(k)

Introduction

Low income families have difficulty securing housing without income supports and/or housing assistance. Many times they also do not have additional income to pay for other needs such as food, child care, health care and dependable transportation. Living from paycheck to paycheck causes families to be in constant danger of becoming or returning to homelessness. According to the 2010 Census, 13.2% (3,243) of Pleasanton's households were low income; 8.7% (2,147) were very low income (50% or below median household income) and 5.7% (1,396) were extremely low income (at or below 30% of median household income). The 2000 Alameda County median family income was \$67,600. In 2016, it is \$93,600. This is a 38% increase in 16 years.

The most commonly available anti-poverty strategies are implemented at the county level and are addressed in the County's section of the Consolidated Plan. The Section 8 certificate and voucher program for Pleasanton residents is currently coordinated through the Housing Authority of the County of Alameda (HACA). The City will consider supporting requests by residents of local senior apartment complexes to receive additional rent subsidies for seniors as opportunities arise. [HACA approved a formal award of 50 Project-based Section 8 Vouchers for the first phase of the Kottinger Gardens senior housing development.]

Actions planned to address obstacles to meeting underserved needs

There is significant focus on the provision of affordable housing, supportive social services, and community development programs in Pleasanton among all levels of the public and private sectors. A primary strength of the housing and community development delivery systems is the coordination of efforts between the jurisdictions and the groups that oversee these efforts on an inter-jurisdictional basis. These groups, including the Urban County Technical Advisory Committees, the Alameda County Housing and Community Development Advisory Committee and EveryOne Home, allow the different jurisdictions to ensure that projects compliment rather than duplicate efforts, and that policies and programs have some consistency throughout the Urban County. An additional strength is the growing level of coordination between service providers, particularly those addressing housing needs of the homeless and special needs populations, and affordable housing in collaborations. Non-housing community development programs within the Urban County have involved coordination between the Urban County jurisdictions and the agencies or organizations focused on the particular community development area, which might be infrastructure improvements, economic development, accessibility improvements or child care.

Actions planned to foster and maintain affordable housing

The primary gaps facing Pleasanton and its neighbor cities in delivering affordable and supportive

housing are primarily the lack of financial resources (including land) for development, operations, and support services combined with a location that has the highest costs in the region. Community development efforts are frequently limited due to a lack of financial resources. In some cases, there is need for stronger coordination between agencies and organizations although it is generally felt that the region enjoys a high level of coordination and simply needs to continue to foster and expand existing collaborative relationships.

Addressing gaps will continue to be a high priority for Pleasanton. The City will continue its efforts to identify and utilize new sources of financing for affordable housing, supportive housing, and community development programs; and enhance coordination efforts among housing providers, service providers, and governmental agencies. The City has participated in the larger homeless and special needs housing initiatives (the EveryOne Home Plan and the annual Continuum of Care funding process) to select priorities and projects for homeless and special needs funding, and may participate in more focused subregional efforts in the near future. The City uses Lower Income Housing Trust funds to leverage HOME funds and provide for housing counseling services in conjunction with tenant based rental assistance subsidies for persons experiencing or at risk of homelessness.

Actions planned to reduce lead-based paint hazards

Lead poisoning is a serious issue in some parts of Alameda County where there are significant numbers of older homes occupied by low income families with children (older homes are most likely to contain lead hazards). Lead hazards are defined as any condition that causes exposure to lead from lead-contaminated dust, soil, or paint that is deteriorated or present in accessible surfaces, friction surfaces, or impact surfaces that would result in adverse human health effects. Common sources of lead poisoning are lead-based paint hazards from dust, deteriorated paint, and contaminated soil.

No new programs are being considered for the five-year period to reduce lead-based paint hazards inasmuch as the City's housing stock is generally young (post-1978) and in good condition. Mitigations are currently implemented on an as needed basis in conjunction with County administered Housing Rehabilitation and Minor Home Repair Program activities. The City is not currently a party to the joint powers agreement which established Alameda County's existing lead abatement program. However, Pleasanton is likely to increase its involvement in lead based paint hazard reduction as involvement in housing rehabilitation programs increases in the future. The City will continue its collaboration with the Alameda County Lead Hazard Prevention Program on marketing and outreach efforts in the Tri-Valley area.

Through its subrecipients of federal funds, the City conducts lead-based paint inspections on tenant-based rental assistance for HOME units built before 1978 as required as part of Housing Quality Standard (HQS) Inspections. Lead inspections are also conducted as a part of any grants or loans for owner-occupied or rental units funded through the City's Housing Rehabilitation Program (HRP).

Actions planned to reduce the number of poverty-level families

A primary strength of the housing and community development delivery systems is the coordination of efforts between the jurisdictions and the groups that oversee these efforts on an inter-jurisdictional basis. An additional strength is the level of coordination between service providers, particularly those addressing housing needs of the homeless, special needs populations, and housing providers.

Pleasanton participates on the Alameda County HOME Consortium Technical Advisory Committee (TAC) which is comprised of staff from the member jurisdictions and the County. The TAC meets bi-monthly to discuss programmatic and policy matters relating to the HOME program as well as broader federal housing and community development funding sources.

Many collaboration efforts are coordinated at the County level. The Shelter Plus Care and the Supportive Housing Program serve the homeless through housing rental assistance and supportive services and aim to reduce the number of people living in poverty in the County. Consortium jurisdictions are working to implement the EveryOne Home Plan, which includes representatives from local jurisdictions, service providers and advocates, homeless or formerly homeless persons, representatives of the faith community, business and labor representatives, education and health care professionals.

The Workforce Investment Board emphasizes private sector, employer-driven job training programs. The Alameda County Self-Sufficiency Program is designed to operate as a single, integrated system for the delivery of work-first, employment focused services. It complies with federal Temporary Assistance to Needy Families (TANF) and Food Stamp Employment and Training requirements and incorporates CalWorks program services and activities. The Self-Sufficiency Centers provide employment services, transportation, child care, drug and alcohol abuse treatment and mental health services to help individuals comply with their welfare-to-work plans. The program encourages community partnerships to leverage and maximize funds, prevent duplication of service delivery, and develop the capacity of the community to sustain a safety-net for an expanding population.

The HOME Program provides rental housing projects to assist households earning 60% or less of area median income. Priority considerations are given to proposals that include income targeting to households earning less than 30% of area median income, a target group that includes households living in poverty. Housing developments targeted to families and individuals in this income group often have a social services component to assist the households with other needs such as job training, skill building, case management, and subsidized child care.

Compliance with Section 3 of the Housing Act of 1968 is required in connection with many City of Pleasanton contracts. The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects will be directed to low and very low-income persons, particularly persons who are recipients of HUD assistance for housing. The City has developed materials to distribute to contractors to ensure their good faith efforts in complying with

Section 3 requirements.

Actions planned to develop institutional structure

The primary gaps facing Pleasanton and its neighbor cities in delivering affordable and supportive housing are primarily the lack of financial resources (including land) for development, operations, and support services combined with a location that has the highest costs in the region. Community development efforts are frequently limited due to a lack of financial resources. In some cases, there is need for stronger coordination between agencies and organizations although it is generally felt that the region enjoys a high level of coordination and simply needs to continue to foster and expand existing collaborative relationships.

Addressing gaps will continue to be a high priority for Pleasanton. The City will continue its efforts to identify and utilize new sources of financing for affordable housing, supportive housing, and community development programs; and enhance coordination efforts among housing providers, service providers, and governmental agencies. The City has streamlined and improved the process for selecting and funding housing and community development projects for its HOME and CDBG programs. In addition, the City has participated in the larger homeless and special needs housing initiatives (the EveryOne Home Plan and the annual Continuum of Care funding process) to select priorities and projects for homeless and special needs funding, and may participate in more focused subregional efforts in the near future.

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

See above.

Program Specific Requirements

AP-90 Program Specific Requirements - 91.420, 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 | 30,000 |
| 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: | 30,000 |

Other CDBG Requirements

| | |
|---|---------|
| 1. The amount of urgent need activities | 0 |
| 2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan. | 100.00% |

CERTIFICATIONS

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the jurisdiction certifies that:

Affirmatively Further Fair Housing -- The jurisdiction will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential anti-displacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

Drug Free Workplace -- It will or will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about –
 - a) The dangers of drug abuse in the workplace;
 - b) The grantee's policy of maintaining a drug-free workplace;
 - c) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will –
 - a) Abide by the terms of the statement; and
 - b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted:
 - a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

- b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.

Anti-Lobbying -- To the best of the jurisdiction's knowledge and belief:

- 1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
- 2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
- 3. It will require that the language of paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Authority of Jurisdiction -- The consolidated plan is authorized under State and local law (as applicable) and the jurisdiction possesses the legal authority to carry out the programs for which it is seeking funding, in accordance with applicable HUD regulations.

Consistency with Plan -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.

Signature/Authorized Official
Brian Dolan

Date

Assistant City Manager
Title

Specific CDBG Certifications

The Entitlement Community certifies that:

Citizen Participation -- It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR 91.105.

Community Development Plan -- Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that provide decent housing, expand economic opportunities primarily for persons of low and moderate income. (See CFR 24 570.2 and CFR 24 part 570)

Following a Plan -- It is following a current consolidated plan (or Comprehensive Housing Affordability Strategy) that has been approved by HUD.

Use of Funds -- It has complied with the following criteria:

1. **Maximum Feasible Priority.** With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available);

2. **Overall Benefit.** The aggregate use of CDBG funds including section 108 guaranteed loans during program years **2012, 2013, and 2014** shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;

3. **Special Assessments.** It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements. However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

The jurisdiction will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

Excessive Force -- It has adopted and is enforcing:

1. A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and
2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction;

Compliance With Anti-discrimination laws -- The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Lead-Based Paint -- Its activities concerning lead-based paint will comply with the requirements of 24 CFR Part 35, subparts A, B, J, K and R;

Compliance with Laws -- It will comply with applicable laws.

Signature/Authorized Official
Brian Dolan

Date

Assistant City Manager
Title

Specific HOME Certifications

The HOME participating jurisdiction certifies that:

Tenant Based Rental Assistance -- If the participating jurisdiction intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the participating jurisdiction's consolidated plan for expanding the supply, affordability, and availability of decent, safe, sanitary, and affordable housing.

Eligible Activities and Costs -- it is using and will use HOME funds for eligible activities and costs, as described in 24 CFR § 92.205 through 92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in § 92.214.

Appropriate Financial Assistance -- before committing any funds to a project, it will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing.

Signature/Authorized Official
Brian Dolan

Date

Assistant City Manager
Title

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING AND DRUG-FREE WORKPLACE REQUIREMENTS:

A. Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

B. Drug-Free Workplace Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification.
2. The certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).
6. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant: Place of Performance (Street address, city, county, state, zip code):

City of Pleasanton Offices
123 Main Street / 200 Old Bernal Ave.
Pleasanton, Alameda County, CA 94566

Check ___ if there are workplaces on file that are not identified here.

The certification with regard to the drug-free workplace is required by 24 CFR part 24, subpart F.

7. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes; "Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).