

CITY OF STOCKTON

**2013-2014**

**ONE YEAR ACTION PLAN**

**DRAFT**

FOR THE

COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)

HOME INVESTMENT PARTNERSHIP (HOME)

EMERGENCY SOLUTIONS GRANT (ESG)

PROGRAMS

PREPARED BY THE CITY OF STOCKTON

ECONOMIC DEVELOPMENT DEPARTMENT

FOR INFORMATION CONTACT (209) 937-8539

# City of Stockton Fourth Program Year Action Plan

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# Fourth Program Year Action Plan

The CPMP Annual Action Plan includes the [SF 424](#), Executive Summary, and Narrative Responses to Action Plan questions that CDBG, HOME, HOPWA, and ESG grantees must respond to each year in order to be compliant with the Consolidated Planning Regulations.

## Narrative Responses

### EXECUTIVE SUMMARY

#### **Executive Summary**

*The Executive Summary is required. Include the objectives and outcomes identified in the plan and an evaluation of past performance.*

#### ***Program Year 4 Action Plan Executive Summary:***

This Annual Action Plan outlines the activities which will be undertaken during the program year beginning July 1, 2013 and ending June 30, 2014 using the Community Development Block Grant (CDBG), HOME Investment Partnership (HOME), and Emergency Solutions Grant (ESG) program funds that are received by the City of Stockton from the U.S. Department of Housing and Urban Development (HUD). The Action Plan describes how the City will address the priority needs and specific objectives identified in the Five-Year strategy of the City of Stockton's 2010-2015 Consolidated Plan. The One-Year Action Plan is a component of the Consolidated Plan and is updated annually to reflect changes in resource allocation. The 2010-2015 Consolidated Plan provides additional information about the City's efforts to address federal requirements related to the CDBG, HOME, and ESG programs.

#### **Public Participation Process**

The planning process for the development of this One-Year Action Plan began in November 2012 with published notices and a direct mailing providing notification that the City was accepting applications for funding under the CDBG and ESG programs through January 18, 2013. The City accepts applications for HOME funding throughout the year. The Notice of Funding Availability (NOFA), in combination with a Needs Assessment Hearing held on December 6, 2012, allowed agencies and interested citizens the opportunity to express their comments, concerns and thoughts on the housing and community development needs of the community (Copies of the notice are included in Appendix B). Additional meetings were held by the Community Development Committee on February 28, 2013 and March 14, 2013 to discuss housing needs (including public housing needs), the needs of the homeless population, community development needs (including economic development), and non-homeless special needs.

Following the application submission period, funding requests were reviewed by staff and members of the Community Development Committee (CDC). Applications were reviewed for compliance with appropriate Federal regulations, Council-adopted local community

development objectives, and consistency with the priorities and objectives contained in the 2010-2015 Consolidated Plan. In addition, each application was assessed for project readiness, financial leverage, and other relevant concerns. The CDC held two public meetings which resulted in recommendations to the Council on the use of funds. The One-Year Action Plan was adopted by the City Council on May 7, 2013 for submission to the U.S. Department of Housing and Urban Development (HUD).

Objectives and Outcomes

The One-Year Action Plan for the 2013-14 program year illustrates the various programs and projects that will be implemented and funded under the CDBG, HOME, and ESG federal programs to meet the goals and objectives identified in the Consolidated Plan. Appendix D, Tables 1, 2, and 3 illustrate the projected sources and uses of funds. The objectives and outcomes that are anticipated from the implementation of the 2013-14 Action Plan are identified in Table 1 below.

**TABLE 1: PERFORMANCE MEASUREMENTS**

<b>ACTIVITY</b>	<b>OUTCOME ***</b>	<b>PERFORMANCE INDICATORS</b>	<b>FUNDING SOURCE</b>
<b>OBJECTIVE: DECENT HOUSING</b>			
San Joaquin Fair Housing	DH-1 Availability/Accessibility	700 People*	CDBG
Multi-Family Loan Pool	DH-2 Affordability	180 Housing Units	CDBG/HOME
CHDO Set Aside	DH-2 Affordability	4 Housing Units	HOME
Housing Rehabilitation	DH-2 Affordability	4 Housing Units	CDBG/HOME
Down Payment Assistance	DH-2 Affordability	3 Housing Units	CDBG/HOME
Emergency Repair	DH-1 Availability/Accessibility	5 Housing Units	CDBG
Disability Resource Agency	DH-1 Availability/Accessibility	8 Housing Units	CDBG
CVLHC	DH-2 Affordability	175 People	ESG
<b>OBJECTIVE: SUITABLE LIVING ENVIRONMENT</b>			
Second Harvest Food Bank	SL-1 Availability/Accessibility	60,000 People	CDBG
Code Enforcement	SL-3 Sustainability	1,156 Housing Units	CDBG
Mobile Farmers Market	SL-1 Availability/Accessibility	2,900 People	CDBG
Community Center for the Blind	SL-1 Availability/Accessibility	30 People	CDBG
Cold Weather Shelter	SL-1 Availability/Accessibility	185 People	CDBG
Farm to Family Fresh Produce Program	SL-1 Availability/Accessibility	105,000 People	CDBG
Meals on Wheels	SL-1 Availability/Accessibility	247 People	CDBG

**TABLE 1: PERFORMANCE MEASUREMENTS (CONT.)**

ACTIVITY	OUTCOME ***	PERFORMANCE INDICATORS	FUNDING SOURCE
New Directions	SL-1 Availability/Accessibility	147 People	CDBG
Gospel Center Rescue Mission	SL-1 Availability/Accessibility	532 People	ESG
Haven of Peace	SL-1 Availability/Accessibility	300 People	ESG
Stockton Shelter	SL-1 Availability/Accessibility	1,944 People	ESG/CDBG
Women's Center - Family and Youth Services**	SL-1 Availability/Accessibility	730 People	ESG
Tender Hands Safe Haven	SL-1 Availability/Accessibility	80 People	ESG
St. Mary's	SL-1 Availability/Accessibility	482,061 People	ESG
<b>OBJECTIVE: Economic Opportunity</b>			
Façade Loans	E0-3 Sustainability	6 Businesses	CDBG
Micro-Business Loan Pool	EO-1 Availability/Accessibility	10 Jobs	CDBG
Emergency Repair Grant Program	E0-3 Sustainability	2 Businesses	CDBG

\*San Joaquin Fair Housing will assist approximately 700 people with mediation services. Several thousand more inquires will be answered via the telephone, email, and mailings.

\*\*The Women's Center and Family and Youth Services merged into one organization in 2012.

\*\* HUD's Outcomes/Objectives Code

	Availability/ Accessibility	Affordability	Sustainability
Decent Housing	DH-1	DH-2	DH-3
Suitable Living Environment	SL-1	SL-2	SL-3
Economic Opportunity	E0-1	E0-2	E0-3

The City will continue to use CDBG, HOME, and ESG funds to meet the Objectives identified in the Consolidated Plan, including the High Priority Objectives of conducting housing rehabilitations for renters, the elderly, and homeowners. In the 2013-14 program year, the City will fund eight activities which will result in additional decent housing. Three of the activities will result in making additional decent housing available and/or accessible and five will provide affordable housing. Through these activities, it is anticipated that during this Program Year 700 people will receive mediation services from Fair Housing which will assist in making safe, affordable housing available, three housing units will be purchased by first time low-income homebuyers with assistance from the City's downpayment program and one hundred eighty-two multi-family units will be rehabilitated through the various programs offered by the City. CDBG funds are also being allocated for the construction of wheel chair ramps, lifts and grab bars for low-income households. It is expected that eight housing units will be modified.

Fourteen activities which will result in creating a more suitable living environment are being funded this fiscal year. Six programs will be funded with Emergency Solutions Grant funds and

will result in 3,586 homeless people receiving shelter and approximately 482,000 meals provided. Activities funded with CDBG funds will result in over 168,000 low-income people receiving food, 185 people receiving emergency shelter during the winter, and approximately 1,156 housing units being inspected for code violations in an effort to maintain the City's affordable housing stock at a safe and livable standard.

The City is funding three programs which will assist in providing Economic Opportunities for the community. The City's façade program will assist in providing improvements to sustain six businesses in downtown Stockton, and the Micro-Business Loan Pool will assist small businesses to start or expand, creating and/or retaining ten low/moderate jobs. The City is also funding an Emergency Repair Program which will assist two businesses repair Code Violations.

The City will also utilize other funding sources to implement its housing and community development programs. These include a wide variety of federal, state, local and private resources. At least two housing projects have applied for Nine Percent Low Income Housing Tax Credits.

#### Evaluation Of Past Performance

The 2010-2015 Consolidated Plan establishes five year goals and objectives upon which the prior one-year action plans were based. The projects and programs that the City funded with CDBG, HOME, and ESG funds during the previous five fiscal years have contributed toward substantial improvements in the lives and neighborhoods of Stockton's low-income residents and provided safe, decent housing for many who would not otherwise be able to afford it. The programs and activities funded in the FY 2013-14 Action Plan will build on these prior successes and continue to meet the objectives of the 2010-2015 Consolidated Plan.

The following is an analysis of the City's progress in meeting the goals and objectives established in our 2010-2015 Consolidated Plan.

**TABLE 2: ACCOMPLISHMENTS**

ACTIVITY	FIVE YEAR GOALS	ESTIMATED ACCOMPLISHMENTS FOR 2012-13	GOALS FOR 2013-14
<b>HOUSING</b>			
Renter housing rehabilitation, site acquisition and/or new construction	Rehabilitate or construct 90 units for renter-occupied households	100 units expect to be rehabilitated or constructed	180 units will be rehabilitated or constructed
Owner housing rehabilitation, homebuyer assistance, and/or new construction	Rehabilitate or construct 50 units for owner-occupied households	19 units expect to be rehabilitated	16 units will be rehabilitated or constructed
Owner and renter Fair Housing Mediation Services	Provide mediation & counseling services to 10,000 people	700 people expect to receive Fair Housing services	700 will receive Fair Housing services
Housing code enforcement	Inspect 2,000 housing units for compliance with building codes	1,360 units expect to be inspected	1,156 units will be inspected
<b>COMMUNITY DEVELOPMENT</b>			
Assist in the acquisition, construction or renovation of neighborhood facilities	Assist 2 public facilities	No new public facilities projects were funded in this program year	2 new public facilities will be assisted
Construct needed infrastructure in target neighborhoods	Assist 1 infrastructure project	No new infrastructure projects were funded in this program year	No new infrastructure projects are being funded in this program year
Rehabilitate existing businesses in addressing code violations and to make exterior improvements	Assist 20 businesses	10 businesses will be assisted with façade improvements and emergency repairs	8 businesses will be assisted with façade improvements and emergency repairs
Assist in the provision of public services that provide assistance to low-income persons or areas	Assist 16,250 people	129,825 are receiving services	168,324 people will receive services
<b>HOMELESS</b>			
Seasonal Shelter provided during the Winter months in conjunction with San Joaquin County	Provide housing and services to 350 homeless persons	185 homeless people were provided shelter during the winter months	185 homeless people will be provided shelter
Emergency Shelter operation for homeless persons and families	Provide housing and services to 2,000 homeless persons	4,600 homeless persons and families are being provided shelter	3,000 homeless persons will be provided housing and services
Transitional Housing for runaway, throwaway youth, abused women and children	Provide housing and services to 100 homeless persons	850 abused women and children are receiving housing and services	810 abused women and children will receive housing and services

ECONOMIC DEVELOPMENT			
Commercial/industrial rehabilitation, micro enterprise assistance, and other business assistance	Provide business assistance to 10 businesses	20 jobs will be created as the result of micro enterprise loans and 12 businesses are expected to receive Façade and Emergency Repair loans.	10 jobs will be created as the result of micro enterprise loans and 7 businesses are expected to receive Façade and Emergency Repair loans.
Small Business Development Center	Provide business assistance to 1,300 people	1,300 people have already been provided business assistance	1,300 people will be provided business assistance

As outlined in the above table, measurable progress is being made on the majority of the five-year goals established in the 2010-2015 Consolidated Plan. Although no funding is identified for infrastructure or public facility projects, prior year accomplishments have more than met the five-year goals established in the 2010-2015 Consolidated Plan for both public facilities and infrastructure projects.

## GENERAL

### **Citizen Participation**

1. *Provide a summary of the citizen participation and consultation process (including efforts to broaden public participation in the development of the plan).*
2. *Provide a summary of citizen comments or views on the plan.*
3. *Provide a written explanation of comments not accepted and the reasons why these comments were not accepted.*

#### **Program Year 4 Action Plan Citizen Participation response:**

The City followed the requirements for citizen participation outlined in the City of Stockton Citizen's Participation Plan. The planning process for the development of this One-Year Action Plan began on November 28, 2012 with a published notice, followed by a direct mailing on December 4, 2012 to approximately forty agencies and interested groups providing notification that the City was accepting funding applications through January 18, 2013. The Notice of Funding Availability (NOFA), in combination with a Needs Assessment Hearing held on December 6, 2012, allowed agencies and interested citizens the opportunity to express their comments, concerns, and thoughts on the needs of the community. The public hearing announcement and the list of the agencies and interested citizens invited to participate in the development of the Action Plan are included in Appendix B of this document.

The CDC is an advisory body comprised of representatives from each Council District and one from the community at large. This body is responsible for identifying community needs and recommending to the City Council program priorities that address those needs.

Following the application submission period, the sixteen funding requests which were received were reviewed by staff and the CDC. Applications were reviewed for compliance with appropriate Federal regulations, Council-adopted local community development objectives, and consistency with the priorities and objectives contained in the 2010-2015 Consolidated Plan. In addition, each application was assessed for project readiness, financial leveraging, and other relevant concerns. Two public meetings were held with CDC members and City Staff to review the applications, which resulted in recommendations to the Council on the use of funds.

A summary of the proposed uses of CDBG, HOME, and ESG funds was published in THE RECORD on April 3, 2013, including the recommendations made by the CDC concerning CDBG and ESG allocations. This public notice marked the start of a 30-day public comment period. In addition, the public notice advised the general public that the draft 2013-2014 One-Year Action Plan was available for review on the City's website and at the Economic Development Department. There were no comments received on the Draft Plan during the 30 day public comment period. Public comments on the Action Plan were also accepted during the May 7, 2013 public hearing before City Council. Minutes of the meeting are included in Appendix B of this document. The One-Year Action Plan will be adopted by the City Council in final form for submission to the U.S. Department of Housing and Urban Development (HUD). Copies of the public hearing announcements are also included in Appendix B.

## Resources

1. *Identify the federal, state, and local resources expected to be made available to address the needs identified in the plan. Federal resources should include Section 8 funds made available to the jurisdiction, Low-Income Housing Tax Credits, and competitive McKinney-Vento Homeless Assistance Act funds expected to be available to address priority needs and specific objectives identified in the strategic plan*
2. *Explain how federal funds will leverage resources from private and non-federal public sources.*

### **Program Year 4 Action Plan Resources Response:**

The Action Plan for the 2013-14 program year illustrates the various programs and projects that will be implemented and funded under the federal Community Development Block Grant (CDBG), HOME Investment Partnerships, and Emergency Solutions Grant (ESG) programs to meet the goals and objectives identified in the Consolidated Plan.

The City has identified the lack of sufficient funding as the greatest obstacle to meeting the underserved needs. During the next year the City will continue to apply for funding and/or support applications by other organizations to expand affordable housing opportunities, homeless assistance and supportive services, and to meet the other needs of the low-income residents and neighborhoods. The other resources will include:

#### Federal Resources

- **McKinney-Vento Homeless Assistance Act funds** – The San Joaquin County Community Development Department is the lead agency for the San Joaquin County Continuum of Care in applying for the Shelter Plus Care and Supportive Housing Program (SHP) funds. Approximately \$4 million will be available through these programs to help meet the needs of the homeless population in San Joaquin County during FY 2013-14. The Shelter Plus Care Program is currently providing housing and supportive services on a long term basis for approximately 240 persons with disabilities, primarily those with serious mental illnesses, chronic problems with alcohol and/or drugs, AIDS or related diseases who are living in places not intended for human habitation or in emergency shelters. SHP is providing housing for over 200 homeless individuals and families with the necessary supportive services to help the participants make a successful transition from homelessness to permanent housing.
- **Section 8 Rental Voucher Program** – The Federal Government assists very-low income families with rental assistance payments, which are made to private owners who lease their units to assisted families. This program is administered by the Housing Authority of the County of San Joaquin.
- **Neighborhood Stabilization Program (NSP)** – The City of Stockton was awarded \$12.1 million of Neighborhood Stabilization Program (NSP1) funds in Program Year 2008-09. The City of Stockton also received an allocation of just over \$4 million through the third round of the Neighborhood Stabilization Program (referred to as NSP3). The City's NSP3 operates the same as NSP1. During Program Year 2013-14 the City will continue to utilize the funds to purchase foreclosed homes, rehabilitate them, and sell them to qualifying households. Program income received from the sale of the homes will be used to purchase additional homes. NSP funds have also been used to acquire or rehabilitate four apartment

complexes. Rehabilitation of one of the complexes has been completed and rehabilitation of the other three will be completed during the program year. The units will be rented to households with incomes at or below 50% of Area Medium Income (AMI). The program also stresses the importance of using local contractors and service providers and is encouraging “green” aspects, such as water conservation and energy efficient appliances, to help make the homes more affordable.

- Homelessness Prevention and Rapid Re-Housing (HPRP) - The City fully expended its allocation of \$1.7 million in Homelessness Prevention and Rapid Re-Housing Program (HPRP) funds to assist individuals and families who are homeless or at risk of becoming homeless in August, 2012. Continued Homelessness Prevention and Rapid Re-Housing funding is provided through ESG.

#### State Resources

- **Low Income Housing Tax Credit (LIHTC) Programs** – The LIHTC programs, which are administered through the State Treasurer’s Office, create additional affordable rental housing units for low-income persons through the encouragement of private capital investment. The program provides a federal tax credit to owners of low-income rental housing that may be claimed annually over a 10-year period. A companion state tax credit may be claimed over a 4-year period as a supplement to the federal credit. Eligible activities include new construction and rehabilitation of low-income units. Applications are competitively ranked for reservations of credits in each cycle.

During the 2012-13 Program Year, one City-supported project was awarded Low Income Housing Tax Credits (LIHTC), and another was awarded LIHTC. The Casa de Esperanza project has started construction of 70 affordable to low- and very-low income housing units. Two other projects, Zettie Miller’s Haven and Bradford Apartments applied and will be notified during the summer of 2013 whether their application was successful. If the project receives tax credits, they will be required to begin construction by the end of 2013, which will result in 112 affordable housing units.

- **Tax Exempt Bond Program** – Administered through the State Treasurer’s Office, this program provides proceeds from the issuance of private activity bonds for the development of affordable housing. Bond proceeds are often combined with 4 percent Low Income Housing Tax Credits (LIHTC) to assist in financing affordable housing projects.
- **CalHome Program** – Administered by the State of California Department of Housing & Community Development, this program provides funds to local jurisdictions or non-profit housing developers. The City of Stockton has received a total of \$3,000,000 of CalHome funds, having received \$500,000 in 2001, 2003, and 2005; \$600,000 in 2007; and \$900,000 in 2008. After requesting an extension, the City now has until September 2013 to use the 2008 CalHome funds for our owner-occupied housing rehabilitation and downpayment assistance programs.

#### Local Resources

- **Lease-To-Own Program** – The City of Stockton, through a joint powers authority made up of California cities, offers long-term financing for new or resale homes where a qualified

homebuyer enters into a three-year lease with an option to purchase. After three years, the lease payments are applied towards down payment and closing costs for the purchase. The program is compatible with the FHA 203K Program for existing homes that need repairs.

#### Private Resources

- **Affordable Housing Program (AHP)** – AHP is a competitive program that provides grants twice a year for investment in low- or moderate-income housing initiatives. AHP is one of the programs available through financial institutions that are members of the twelve FHL Banks. Through the AHP program, member banks partner with developers and community organizations to finance the purchase, construction, or rehabilitation of owner-occupied or rental housing. Grants can be used to lower the interest rate on loans or cover down payment and closing costs. The program is flexible so that AHP funds can be used with other programs and funding sources to help ensure a project's feasibility.
- **Private Mortgages** – Many of the larger housing projects and some of the CDBG projects are also partially financed with private mortgages. In some instances the CDBG or HOME funds provide funds that close the financing gap that make a project feasible. In other instances the City's funds are the first money committed to a project and help in obtaining the private mortgages.

#### Matching Funds

The federal ESG and HOME programs require the use of the funds to be matched with other funding. ESG grants are required to be matched 100%. The City's FY 2013-14 ESG allocation of \$320,276 will be distributed to seven organizations that anticipate matching funds of approximately \$5 million. The sources of these matching funds include private and public donations; proceeds from thrift shops and other fund raising and special events; grants from San Joaquin County through the Probation, Mental Health, and Human Services Departments; State EHAP funds; and grants from EFSP (FEMA) and the U.S. Department of Health and Human Services.

The HOME Program requires a minimum 25% match. However, HUD can reduce the matching contribution requirement under two circumstances: fiscal distress or in an area of a presidentially-declared state of emergency. For the past nine years, Stockton's HOME match requirement has been waived. For the five years prior to that it was reduced to 12.5%. The City currently has excess HOME match of over \$78 million.

#### Leveraging Funds

The availability of federal funds makes obtaining some of the sources of funds discussed above possible. For example, applications for LIHTCs would not be competitive without contributions from the local government. Previously, this contribution was typically HOME or Redevelopment funds. With the elimination of Redevelopment, HOME is the only available source for new construction projects.

As noted above, private financing may not be available for some projects if it weren't for the inclusion of CDBG or HOME funding. In addition, the City's Downpayment Assistance Program often makes it possible for low-income homebuyers to obtain a private mortgage and purchase their first home.

## **Annual Objectives and Description of Activities**

### ***Program Year 4 Action Plan Annual Objectives response:***

A description of the activities that will be undertaken during the 2013-14 Program Year and the Objectives that they will meet are described in Table 1, Performance Measurements (Page 2) and in Appendix D, Action Plan Projects Table

## **Geographic Distribution/Allocation Priorities**

- 1. Describe the geographic areas of the jurisdiction (including areas of low income families and/or racial/minority concentration) in which assistance will be directed during the next year. Where appropriate, the jurisdiction should estimate the percentage of funds the jurisdiction plans to dedicate to target areas.*
- 2. Describe the reasons for allocation priorities, the rationale for allocating investments geographically within the jurisdiction during the next year, and identify and obstacles to addressing underserved needs.*

### ***Program Year 4 Action Geographic Distribution response:***

The City of Stockton allocates resources on a City-wide basis. Activities such as the housing rehabilitation programs and down-payment assistance programs are available city-wide, with eligibility determined based on the income of the recipient of the assistance. However, as shown on the maps in Appendix D, many of the projects and programs funded are located in areas with concentrations of low-income and/or minority populations.

The City has identified the lack of sufficient funding as the greatest obstacle to meeting the underserved needs. During the next year the City will continue to apply for funding and/or support applications by other organizations to expand affordable housing opportunities, homeless assistance and supportive services, and to meet the other needs of the low-income residents and neighborhoods.

## HOUSING

### Annual Affordable Housing Goals

1. Describe the one-year goals for the number of homeless, non-homeless, and special-needs households to be provided affordable housing using funds made available to the jurisdiction and one-year goals for the number of households to be provided affordable housing through activities that provide rental assistance, production of new units, rehabilitation of existing units, or acquisition of existing units using funds made available to the jurisdiction.

#### **Program Year 4 Action Plan Annual Affordable Housing Goals response:**

The 2010-2015 Consolidated Plan establishes housing strategies for renter, owner, and homeless populations and Five-Year goals for each of these strategies. The City operates its various housing programs based on these strategies, which have been prioritized to guide the allocation of resources. Consistent with the priorities outlined in the Consolidated Plan, the City will undertake or fund the following activities to address housing needs:

- Multi-Family Loan Pool
- CHDO Set-Aside
- Housing Rehabilitation Program
- Down Payment Assistance Program
- Emergency Repair Program
- Disability Resource Agency for Independent Living
- San Joaquin Fair Housing

Table 1, Performance Measurements (Page 3) identifies the proposed outcomes of each of the activities proposed for funding. In 2013-2014 the City plans to use CDBG and/or HOME to:

- Rehabilitate or construct 180 affordable multi-family rental housing units for small and large families and elderly households.
- Rehabilitate or reconstruct four owner occupied housing units;
- Assist three homebuyers with downpayment or closing costs;
- Provide five emergency repair loans;
- Provide funds for the construction of eight wheel chair ramps, lifts or grab bars at the homes of those with special needs; and
- Ensure that fair housing mediation services are available for 700 people.

The City will fund these activities with entitlement, program income, or revolving loan funds.

The City of Stockton is also beginning to put more emphasis on long-term operational affordability in the rehabilitation and construction of housing. With the continuing expansion of energy efficient products available in the market place, many materials and products have gradually been incorporated into the City's rehabilitation and new construction programs. While the use of most of the techniques and materials has occurred through assimilation, the current and future approach will be more concentrated and diligent. The rehabilitation and new construction programs will include requirements for energy efficient products with ENERGY

STAR ratings, the use of recycled materials, and the use of items developed from renewable resources.

The City's Neighborhood Stabilization Program is becoming a model program for energy and water efficiency. The techniques that are most successful in the NSP program will also be incorporated into the City's other rehabilitation and construction programs.

## **Public Housing**

1. *Describe the manner in which the plan of the jurisdiction will help address the needs of public housing and activities it will undertake during the next year to encourage public housing residents to become more involved in management and participate in homeownership.*
2. *If the public housing agency is designated as "troubled" by HUD or otherwise is performing poorly, the jurisdiction shall describe the manner in which it will provide financial or other assistance in improving its operations to remove such designation during the next year.*

### **Program Year 4 Action Plan Public Housing response:**

The City continues to maintain a partnership with the local Housing Authority in an effort to assist public housing residents achieve homeownership. The City's Downpayment Assistance Program funds can be used in conjunction with the Housing Authority's homebuyer program funds including the Housing Choice Voucher Program.

The Housing Authority of San Joaquin County is not designated as "troubled" by HUD.

## **Barriers to Affordable Housing**

1. *Describe the actions that will take place during the next year to remove barriers to affordable housing.*

### **Program Year 4 Action Plan Barriers to Affordable Housing response:**

The City's Housing Element and Consolidated Plan found that the City's processing and permit procedures do not constitute a barrier to development. However, the Housing Element did state that the City could consider amending the Development Code to further streamline the permitting process for affordable housing projects as an incentive for their development. The City updated its development standards for in-fill projects during the recent update of its General Plan. However, as the result of an agreement to avoid a lawsuit, the City has committed to producing additional infill housing in downtown Stockton and within other developed areas. This Agreement may lead to additional modifications to development standards which will further encourage infill development.

Prevailing wage is also becoming a larger barrier to the development of affordable housing. Because many of the larger projects require a combination of many funding sources, it often becomes necessary to pay prevailing wage which in some cases increases the cost of a project by as much as one-third.

Unfortunately, the primary barriers to the production of affordable housing in Stockton remain the availability of financing, cost of the land, cost of construction, and insufficient funding. These barriers are, for the most part, beyond the control of the local jurisdiction.

Thanks in part to continued declines in home prices and rock-bottom mortgage rates, homes in Stockton are more affordable than they have been for many years. In 2006, less than 5 percent of households in Stockton could afford a median priced home. Today, 80 percent of households can afford a home. While that number is down five percent over last year, it is noteworthy that affordability remains historically high thanks to favorable mortgage rates even as national home price indexes show some rise in values.

## **Other Actions**

- 1. Describe the actions that will take place during the next year to address obstacles to meeting underserved needs, foster and maintain affordable housing, evaluate and reduce the number of housing units containing lead-based paint hazards, reduce the number of poverty-level families, develop institutional structure, and enhance coordination between public and private agencies.*
- 2. Describe the actions to coordinate its housing strategy with local and regional transportation planning strategies to ensure to the extent practicable that residents of affordable housing have access to public transportation.*

### ***Program Year 4 Action Plan Obstacles to Meeting Underserved response:***

The City will work in partnership with several non-profit and public service agencies to address the needs of the underserved populations in the City of Stockton. The City will fund several agencies to provide food, assistance, shelter and/or services for the homeless, elderly, and working poor. The Disability Resource Agency has been allocated funds to provide adaptive aids and wheelchair ramps for persons with disabilities. Housing staff also participates in Homeownership Expositions to promote these types of programs.

### ***Program Year 4 Action Plan Lead-based Paint response:***

The actions described in the Lead Based Paint Hazards section of the Consolidated Plan will be carried out as needed during FY 2013-14. The City of Stockton collaborates with the following agencies to identify and reduce lead-based paint incidences: the Housing Authority, San Joaquin County Public Health Services, and San Joaquin County Environmental Health.

The City of Stockton becomes involved in lead-based paint hazard evaluation and reduction as a result of its implementation and operation of all federally funded projects available to the residents of Stockton. This includes projects funded with Community Development Block Grant, HOME, and Neighborhood Stabilization Program funds. Housing units that are recommended to be rehabilitated are inspected and if necessary, tested for lead-based paint hazards. Based on the test results, any identified hazards are remediated prior to unit occupancy.

The City complies with all federal requirements related to prevention of lead-based paint poisoning as provided in the Residential Lead-Based Pain Hazard Act of 1992, also commonly referred to as Title X, Housing and Community Development Act of 1992.

***Program Year 4 Action Plan Antipoverty Strategy response:***

The City's Consolidated Plan includes an Antipoverty Strategy. The activities in the City's Antipoverty Strategy can be classified under two categories: Economic Development and Supportive Service Programs. The Consolidated Plan recognizes that in order for households to transition from unemployment or low-income positions to median income positions, there needs to be vocational training, resource management, and life skill training. The Plan also recognizes that while households are obtaining the training, the families will continue to need assistance in meeting their basic needs.

In these difficult economic conditions, the City's Community Development Committee determined that allocating scarce resources to those agencies that will provide some of the most basic services, such as food, to the most number of people was the best way to assist households.

Consistent with the City's Antipoverty Strategy, the City proposes to fund the following programs:

- Five programs that will provide food and nutritional education to homeless and low-income individuals;
- Fund non-staff operational costs for six emergency shelters. In addition to providing shelter, these organizations also provide services that assist individuals in achieving self-sufficiency; and
- Fund homelessness prevention and re-housing activities which will help keep households in their homes or provide assistance to re-housing households that have become homeless.

***Program Year 4 Action Plan Institutional Structure and Enhance Coordination response:***

The City of Stockton Economic Development Department is the lead agency responsible for the development of the Consolidated Plan and Annual Action Plan. The Economic Development Department is also the primary agency responsible for the administration and management of programs and projects covered by these Plans.

During the 2013-14 Program Year the City will:

- Continue to work with private housing developers to expand the availability of affordable housing.
- Continue to participate in the San Joaquin County Continuum of Care Committee.
- Continue implementation of the updated Housing Element.
- Continue to work with affordable housing developers to ensure that their developments include the facilities to provide the services needed for the residents.
- Continue to work with participants in the establishment of goals and objectives of the Consolidated Plan to ensure measurable progress is made.
- Update website, provide handouts and program guidelines to keep the public informed.

***Program Year 4 Action Plan Transportation Planning response:***

Transit-oriented development (TOD) is increasingly recognized as having the potential to improve the quality of life for American households, by creating vibrant, livable communities in proximity to transit. Improved access to transit can reduce transportation costs for working families and mitigate the negative impacts of automobile travel on the environment and the economy. Multi family projects are evaluated based upon proximity to public transportation.

The availability of public transportation is one of many factors that are considered when locating multi-family housing projects, especially those that will apply for Low Income Housing Tax Credits. Low Income Housing Tax Credits are awarded on a competitive basis and the availability of public transportation is one of the amenities that are considered in awarding points. Most tax credit applications receive all of the points that are available, so if a project does not get the points for public transportation, it is not likely that it will be awarded tax credits.

The City has been working with the San Joaquin Regional Rail Commission (SJRRRC), the organization who owns and operates the Altamont Commuter Express (ACE) train service to implement TOD through the Miner Avenue Streetscape Plan and the ACE Planning and Parking Strategy. Implementation measures include incorporation of a form-based overlay zone for the Miner Avenue corridor and Cabral Station neighborhoods, which will provide a foundation to encourage a mix of moderate and high density development within walking distance of transit stations; create a pedestrian-friendly environment to encourage walking, bicycling and transit use; provide an alternative to traditional development by emphasizing mixed use, pedestrian oriented development; and to provide a range of housing options for people of different income levels.

## HOMELESS

### Homeless and Special Needs

1. *Describe, briefly, the jurisdiction's plan for the investment and use of available resources and one-year goals for reducing and ending homelessness.*
2. *Describe specific action steps for reducing and ending homelessness that (1) reach out to homeless persons (especially unsheltered persons) and assessing their individual needs; (ii) address emergency shelter and transitional housing needs; (iii) help homeless persons (especially persons that are chronically homeless, families with children, veterans, and unaccompanied youth) make the transition to permanent housing and independent living.*
3. *Homelessness Prevention – Describe planned action steps for reducing ending homelessness that help low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families who are likely to be discharged from publicly funded institution and systems of care or those receiving assistance from public or private agencies that address housing, health, social service, employment, education or youth needs.*
4. *Describe specific activities the jurisdiction plans to undertake to address the housing and supportive service needs of persons who are not homeless (elderly, frail elderly, persons with disabilities, persons with HIV/AIDS, persons with alcohol or other substance abuse problems).*

#### **Program Year 4 Action Plan Homeless response:**

The 2010-2015 Consolidated Plan establishes strategies and five-year goals for providing assistance to the City's homeless population. The City's allocation of CDBG and ESG funds are based on these strategies. Table 1, Performance Measurements (Page 3) identifies the 2013-14 funded activities which assist the homeless. Below are the City's homeless prevention strategies:

- Continue to develop strong working partnerships between existing networks of support service providers.
- Maintain and improve current employment support practices and services and develop continuing strategies to implement and build on elements identified in the Continuum of Care plan.
- Focus support service strategies on improving education and skill sets of program participants while still emphasizing the importance of immediate employment even if at entry level positions.
- Use available ESG funds, or other available resources, to both prevent households with children from becoming homeless and to identify households with children who need minimal assistance to obtain and maintain permanent housing.

The Consolidated Plan includes an analysis of the needs of the homeless population as well as deficiencies in services. In accordance with that assessment and the above strategies, the City established the following priorities:

- High Priority is given to the following:

- Homeless individuals and families needing immediate and transitional shelter; and
- Homeless persons/families who are victims of domestic violence.
- Medium Priority is given to the following:
  - Homeless persons who are both severely mentally ill and have substance abuse problems;
  - Homeless persons who have substance abuse problems only; and
  - Homeless person with AIDS and related issues.

Based on these priorities, the City established objectives for assisting the homeless population which include:

- Continued Assistance for Shelter Programs;
- Acquisition/Rehabilitation or Construction of Shelter Facilities and Transitional Housing Facilities;
- Permanent Housing for the Homeless;
- Provide a homelessness prevention and rapid re-housing program ; and
- Provide services that assist in fulfilling the needs of the homeless and other special needs populations.

Consistent with the priorities outlined in the Consolidated Plan, the City will undertake or fund the following activities to address homelessness:

- ESG funds will be used to assist five homeless shelters and one service provider with maintenance and operation expenses and one housing provider with funds for rent assistance. The 2013-14 ESG funds will be used to:
  - Provide over 3,500 homeless persons with housing and services;
  - Distribute nearly 500,000 units of food, medical care, dental care, clothing, and other services to homeless and working poor; and
  - Provide homelessness prevention and rapid re-housing assistance to 175 households.
- CDBG funds will be used to:
  - Fund a winter emergency shelter program. The program will provide housing for up to 185 people; and
  - Provide food assistance to approximately 168,000 individuals.

The City will utilize Emergency Solutions Grant funds to implement both Homeless Prevention and Rapid Re-Housing activities which will assist in reducing homelessness. The City is committed to working with the San Joaquin Continuum of Care to further implement policies, procedures and performance standards for those providing those services and to further address the needs identified in the Continuum's planning process. The meetings of the San Joaquin Continuum of Care, which are open to all providers, will continue to serve as a venue for ongoing program planning and coordination and feedback for program improvement.

In addition, Central Valley Low Income Housing Corporation (CVLIHC), the organization that will be implementing these activities, has established relationships with all of the local shelters and service providers. CVLIHC will conduct outreach to the shelters to notify them of the activities

and the process for making referrals to the programs. CVLIHC is also well known in the community and receives many calls directly from those looking for housing assistance.

***Program Year 4 Action Plan Special Needs response:***

The City has given a high priority to ensuring the continued operation as well as the expansion of services and supplies to persons with special needs. Consistent with priority needs identified in the Consolidated Plan, during the 2013-14 Program Year the City will provide funding for the following activities that address special needs populations:

- Fund four programs that will provide food to seniors, other low-income individuals and families, and to the homeless; and
- Provide funding to a program that will construct wheelchair ramps, wheelchair lifts, and grab bars for those with disabilities.

## COMMUNITY DEVELOPMENT

### Community Development

1. *Identify the jurisdiction's priority non-housing community development needs eligible for assistance by CDBG eligibility category specified in the Community Development Needs Table (formerly Table 2B), public facilities, public improvements, public services and economic development.*

#### ***Program Year 4 Action Plan Community Development response:***

The 2010-2015 Consolidated Plan identified community development strategies which are to serve as a guide for the allocation of resources. Table 1, Performance Measurements (Page 3) identifies the 2013-14 funded Community Development activities. The City's Community Development strategies and priorities fall into several categories, including: Economic Development, Public Facilities, and Public Services. The strategies for each are identified below:

#### Economic Development

- High Priority Activities:
  - Façade Improvements Forgivable Loan Program
  - Emergency Grant Program (to correct serious code violations)
  - Economic Development/Commercial Rehabilitation Loan and Grant Program
  - Downtown Financial Incentive Program
  - Enterprise Zone

#### Public Facilities

- High and Medium Priority Activities:
  - Other Public Facility Needs
  - Neighborhood Facilities

#### Public Service

- Other Public Services

Consistent with these priorities, the City will undertake or fund the following activities in 2013-2014:

- Rehabilitate and assist two privately owned, existing commercial businesses in addressing code violations or exterior improvements within targeted areas;
- Fund a Micro-Business Loan Pool that will create 10 jobs; and
- With funds allocated to them in FY 2012-2013, the Small Business Development Center that will help 1,300 people with business assistance.

## PROGRAM SPECIFIC REQUIREMENTS

### Community Development Block Grant (CDBG)

1. *Identify program income expected to be received during the program year, including:*
  - *Amount expected to be generated by and deposited to revolving loan funds;*
  - *total amount expected to be received from each new float-funded activity included in this plan; and*
  - *amount expected to be received during the current program year from a float-funded activity described in a prior statement or plan.*
2. *Program income received in the preceding program year that has not been included in a statement or plan.*
3. *Proceeds from Section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in its strategic plan.*
4. *Surplus funds from any urban renewal settlement for community development and housing activities.*
5. *Any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan.*
6. *Urgent need activities, only if the jurisdiction certifies.*
7. *Estimated amount of CDBG that will be used for activities that benefit persons of low- and moderate income.*

#### **Program Year 4 Action Plan CDBG response:**

The City expects to receive approximately \$165,000 of program income during the 2013-2014 program year. Approximately \$15,000 will be deposited in the City's revolving loan fund.

The City does not have any float funded activities. The City also does not have any program income received in the preceding program year that has not been included in a prior plan nor any surplus funds from an urban renewal settlement. No grant funds have been returned to the line of credit. We do not anticipate funding any urgent need activities.

The City expects to spend 98 percent of its CDBG allocation for activities that benefit persons of low- and moderate income.

### Home Investment Partnerships Program (HOME)

1. *Describe other forms of investment (See Section § 92.205(b). If grantee (PJ) will use HOME funds for homebuyers, did they state the guidelines for resale or recapture, as required in § 92.254.*
2. *If grantee (PJ) plans to use HOME funds to refinance existing debt secured by multifamily housing that is that is being rehabilitated with HOME funds, it must state its refinancing guidelines required under § 92.206(b).*
3. *Resale Provisions -- For homeownership activities, describe its resale or recapture guidelines that ensure the affordability of units acquired with HOME funds? See 24 CFR 92.254(a)(4).*
4. *HOME Tenant - Based Rental Assistance -- Describe the local market conditions that led to the use of a HOME funds for tenant based rental assistance program.*

If the tenant based rental assistance program is targeted to or provides a preference for a special needs group, that group must be identified in the Consolidated Plan as having an unmet need and show the preference is needed to narrow the gap in benefits and services received by this population.

5. If a participating jurisdiction intends to use forms of investment other than those described in 24 CFR 92.205(b), describe these forms of investment.
6. Describe the policy and procedures it will follow to affirmatively market housing containing five or more HOME-assisted units.
7. Describe actions taken to establish and oversee a minority outreach program within its jurisdiction to ensure inclusion, to the maximum extent possible, of minority and women, and entities owned by minorities and women, including without limitation, real estate firms, construction firms, appraisal firms, management firms, financial institutions, investment banking firms, underwriters, accountants, and providers of legal services, in all contracts, entered into by the participating jurisdiction with such persons or entities, public and private, in order to facilitate the activities of the participating jurisdiction to provide affordable housing under the HOME program or any other Federal housing law applicable to such jurisdiction.
8. If a jurisdiction intends to use HOME funds to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds, state its financing guidelines required under 24 CFR 92.206(b)

***Program Year 4 Action Plan HOME response:***

The City of Stockton proposes to use its allocation of HOME funds to rehabilitate and construct both rental and owner-occupied housing units and to fund the City's Down Payment Assistance Program (DAP). Funds will be used for a variety of eligible activities, including real property acquisition, site improvements, construction, and rehabilitation costs. The City does not propose to use HOME funds to provide any assistance in a form not included in Section 92.205 (b).

The City uses a variety of methods to conduct outreach for all of its housing programs, including the DAP. Information about all of the housing programs is posted on the City's website. Economic Development Department staff also participates in various housing workshops and homeownership fairs throughout the year. Notices of these events are sent to the Housing Authority. Advertisements and public notices are also run in local newspapers, including the local Spanish newspaper.

In order to ensure that households utilizing the City's DAP are ready to undertake and maintain homeownership, the City requires that all households must have completed a minimum eight classroom-hour homebuyer training course given by a HUD-approved trainer prior to the close of escrow. The City also ensures that the households become successful homeowners by making sure that the home they are purchasing is affordable for them. The total housing cost cannot exceed 35 percent of the household's income and their total debt cannot exceed 41 percent of their income.

**Recapture of HOME Subsidy**

The City of Stockton's Down Payment Assistance Program requires that units assisted with HOME funds must remain affordable to initial low-income purchasers for a period of time based upon the amount of HOME funds provided for the property. In order to ensure compliance with this affordability period, recapture provisions are incorporated into each property's Promissory Note. The City recaptures the HOME subsidy and any accrued interest upon the sale or

transfer of the property at any time during the affordability period. When the recapture requirement is triggered by a sale (voluntary or involuntary), and there are insufficient net proceeds to repay the City's HOME investment, the City will accept any amount of net proceeds (net proceeds are defined as the sales price minus any superior loan repayment and any closing costs). The City will reinvest these recaptured subsidies in other eligible activities.

### **Marketing and Outreach for HOME funded projects**

In an effort to ensure affirmative marketing of HOME-assisted housing projects, the City has adopted an Affirmative Marketing Policy. The policy has been in use since 2000 and is made a part of all HOME agreements for projects of five or more units. The purpose of the policy is to assure that individuals who normally might not apply for vacant units because they are socially and/or economically disadvantaged be informed of vacancies, be encouraged to apply, and have an equal opportunity to rent units. The policy establishes methods for informing the public about fair housing laws and affirmative marketing policies; procedures to be used by owners to solicit applications; records that must be maintained; and how the City will assess the success of affirmative marketing actions.

The City also ensures that outreach to minority and women-owned businesses occur for the issuance of all contracts. The City has adopted Affirmative Outreach Action Guidelines for use with all federally funded projects.

Affirmative action requirements are also included in all of the subrecipient agreements to ensure that if subrecipients are hiring contractors and subcontractors, they adhere to the provisions of the City's Affirmative Action Program and meet all federal requirements.

### **Monitoring**

1. *Describe actions that will take place during the next year to monitor its housing and community development projects and ensure long-term compliance with program requirements and comprehensive planning requirements.*

#### ***Program Year 4 Action Plan Monitoring response:***

##### Grantee Monitoring

To continue to effectively use funds to meet the changing needs of the Stockton community, the City is continually monitoring its performance in meeting the goals and objectives set forth in the 2010-2015 Consolidated Plan. As part of the annual Action Plan process, the City reevaluates its Five-Year goals and its various housing programs. As a result of this review, the housing programs are kept up-to-date with changes in the housing market.

The City of Stockton continues to take all necessary steps to ensure compliance with program requirements. All activities are looked at on an individual basis to determine what regulations are applicable and how they should be met. City Staff receives on-going training to develop the knowledge and skills to operate and comply with program requirements.

##### Timeliness of Expenditures

It is the City of Stockton's practice to expend local dollars for project/activity costs and seek reimbursement of federal funds at a later date. Internal procedures to request reimbursement of funds through IDIS on a regular monthly basis have been established and will continue in Fiscal Year 2013-14.

City of Stockton staff will continue to provide technical assistance to subrecipients in project development so that projects steadily progress, billings are submitted regularly, and projects are completed on time. The City has taken a more proactive approach to assisting subrecipients. It begins during the allocation process by giving greater consideration to those able to spend the money within twelve months. Potential recipients were notified that, if the projects were not underway and generating expenditures within twelve months of the allocation award, the funds could be de-obligated.

The City will continue to monitor subrecipients very closely from the outset. By helping to identify problems such as higher than anticipated project costs and/or lack of capacity, construction delays can be minimized.

#### Subrecipient Monitoring

Monitoring is a means by which the City carries out its statutorily mandated responsibilities to review subrecipients' performance in administering programs funded with CDBG, HOME, and ESG monies. Monitoring helps subrecipients to improve their performance, develop greater self-reliance, and augment their management and technical capacity. It assures that Federal funds are being managed properly and are not being wasted or used for fraudulent purposes. The City of Stockton has a Subrecipient Monitoring Plan and will continue to follow the Plan during the 2013-2014 Program Year.

#### Affordable Housing Monitoring

In order to meet program requirements for affordable housing projects, incomes of tenants must be verified initially (at or around the time of formal program application) as well as annually thereafter for the term of the affordability period. The affordability period for rental production is dependent on the amount of and source of funds invested and whether the project is acquisition, rehabilitation or new construction. Determination of income is based on the income definitions used in the Section 8 program.

Rental projects are monitored to ensure that the units continue to meet Section 8 Housing Quality Standards after funds are invested. The units are monitored for the term of the affordability period. If the project consists of 26 or more units, monitoring of the units for Section 8 compliance is done annually. Projects of 5 to 25 units are required to be monitored every two years. Projects of four units or less are required to be monitored every three years.

## **Housing Opportunities for People With AIDS (HOPWA)**

- 1. One year goals for the number of households to be provided housing through the use of HOPWA activities for: short-term rent, mortgage, and utility assistance to prevent homelessness of the individual or family, tenant-based rental assistance, units provided in housing facilities that are being developed, leased, or operated.*

### ***Program Year 4 Action Plan HOPWA response:***

The City is not a recipient of HOPWA funds; therefore this section does not apply.

## Other Narrative

*Include any Action Plan information that was not covered by a narrative in any other section.*

### **CDBG Neighborhood Economic Development Areas**

At this point, due to a lack of funding, the City does not anticipate any publicly funded activities within its two HUD-approved Neighborhood Economic Development Areas. However, the City continues to encourage private development. If any public service activities are funded in the future, the City will report those through CAPER.

### **CSUS-S/Midtown Neighborhood Strategy**

The Midtown Neighborhood Area was approved by HUD as a Neighborhood Economic Development Strategy Area in 2001. Utilizing Redevelopment bond funds, past accomplishments include: eleven miles of streets repaired along with installation of traffic calming features along California Street; improvements to Eden Park including the installation of new barbeque pits and new play equipment; and the installation of 114 new street lights. Ongoing development of the University Park project, incorporating office space, retail, apartments, and the CSU-Stanislaus/Stockton campus will continue to be pursued by a private developer.

### **Gleason Park Neighborhood Strategy**

The Gleason Neighborhood Area was approved by HUD as a Neighborhood Economic Development Strategy area in 1999. The benchmarks that were established in the Neighborhood Strategy have been completed and no additional projects are planned for this area. The accomplishments include: a new 93-unit multi-family complex with housing for very-low and low-income households; 18 new single-family homes for rent to very-low and low-income families; the revitalization of Gleason Park; the new A.G. Spanos Elementary School; and infrastructure improvements.

APPENDIX A:  
CERTIFICATIONS

## 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 antidisplacement 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.

**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

\_\_\_\_\_  
Date

Bob Deis  
\_\_\_\_\_  
Name

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 year(s) 2013 and 2014 (a period specified by the grantee consisting of one, two, or three specific consecutive program years), 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;
4. **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

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
City Manager

Title

## ESG Certifications

The Emergency Shelter Grantee certifies that:

**Major rehabilitation/conversion** – If an emergency shelter's rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation. If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion. In all other cases where ESG funds are used for renovation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 3 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

**Essential Services and Operating Costs** – In the case of assistance involving shelter operations or essential services related to street outreach or emergency shelter, the jurisdiction will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure, so long the jurisdiction serves the same type of persons (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

**Renovation** – Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

**Supportive Services** – The jurisdiction will assist homeless individuals in obtaining permanent housing, appropriate supportive services ( including medical and mental health treatment, victim services, counseling, supervision, and other services essential for achieving independent living), and other Federal State, local, and private assistance available for such individuals.

**Matching Funds** – The jurisdiction will obtain matching amounts required under 24 CFR 576.201.

**Confidentiality** – The jurisdiction has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

**Homeless Persons Involvement** – To the maximum extent practicable, the jurisdiction will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under the ESG program, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted under the program.

**Consolidated Plan** – All activities the jurisdiction undertakes with assistance under ESG are consistent with the jurisdiction’s consolidated plan.

**Discharge Policy** – The jurisdiction will establish and implement, to the maximum extent practicable and where appropriate policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.

\_\_\_\_\_  
Signature/Authorized Official

\_\_\_\_\_  
Date

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 Hall, 425 N. El Dorado Street, Stockton, San Joaquin County, California 95202

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).

APPENDIX B:  
CITIZEN PARTICIPATION



# CITY OF STOCKTON

## ECONOMIC DEVELOPMENT DEPARTMENT

### Housing, Economic Development, Asset Management and Central Parking

City Hall • 425 North El Dorado Street, Suite 317 • Stockton, CA 95202-1997 • 209/937-8539 • Fax 209/937-5099  
www.stocktongov.com

December 4, 2012

TO: ALL INTERESTED INDIVIDUALS / ORGANIZATIONS

SUBJECT: NOTICE OF FUNDING AVAILABILITY

The application period for Community Development Block Grant (CDBG) and Emergency Solutions Grant (ESG) funds will open on Friday, December 7, 2012. On this day, interested parties are invited to pick up an application for the use of CDBG and/or ESG funds. Applications can be obtained at the City of Stockton Economic Development Department, City Hall, 425 N. El Dorado Street, 3<sup>rd</sup> Floor, Stockton, CA, or on the City's website at <http://www.stocktongov.com/government/departments/econDev/houseAffCDBG.html>.

Applications are due **Friday, January 18, 2013 by 5:00 p.m. at the above address.** Applications received after this deadline, regardless of the postmark date, will not be accepted.

For the 2013-14 Program Year, the City of Stockton expects to receive the following federal funds: approximately \$3 million under the CDBG Program, approximately \$300,000 in ESG funds, and approximately \$1.9 million in HOME funds. These estimates are based on the City's 2012-13 allocations, so the actual allocation may vary.

CDBG funds are used to help low- and moderate-income people and to prevent/eliminate slums and blight. Types of eligible activities for CDBG funds include, but are not limited to:

- ❖ Construction or rehabilitation of public improvements and facilities;
- ❖ Architectural barrier removal to assist the elderly and disabled;
- ❖ Public services (under specialized conditions); and
- ❖ Economic Development activities with specific benefits to low- and moderate-income persons.

ESG funds are available to agencies providing emergency shelter, homeless prevention or re-housing services to the homeless.

The City allocates HOME funds into general housing activity types (i.e., homeowner, rental, new construction, rehabilitation and first time homebuyer assistance). Applications for specific use of these funds will be accepted on a continuous basis until all program funds are exhausted.

Please call Housing staff at (209) 937-8539 for more information regarding the CDBG application or funding process.

WENDY S. SAUNDERS, DIRECTOR  
ECONOMIC DEVELOPMENT DEPARTMENT

CYNTHIA M. MARSH, HOUSING FINANCIAL ADVISOR



2013-2014 NOFA Mailing List

Company	FirstName	LastName	Address1	City	State	PostalC	WorkPhor Fax	Email
APSARA	Sovanna	Koert	3830 N. Alvarado Avenue	Stockton	CA	95204		
Central Valley Low Income Housing Corp.	Bill	Mendelson	P.O. Box 4732	Stockton	CA	95207	472-7200 > 954-9548	
Charterhouse Center for Families	Scott	Webb	5665 N. Pershing Avenue, S	Stockton	CA	95207	476-1106 476-8253	
Children's Home of Stockton	Mark	Phelps	P.O. Box 201068	Stockton	CA	95201	466-0853 466-1770	
Community Center for the Blind	Paul	Lamarsh	130 West Flora Street	Stockton	CA	95202	466-3836 466-5692	
Council for the Spanish Speaking	Jose	Rodriguez	308 N. California Street	Stockton	CA	95202	547-2855 547-5870	
Delta Health Care	Irwin	Staller	P.O. Box 550	Stockton	CA	95201	466-3271 € 466-1619	
Disability/ Resources Agency	Heather	Walton	221 McHenry Avenue	Modesto	CA	95354		
Downtown Stockton Alliance	Emily	Bairne	343 East Main Street, #1	Stockton	CA	95202	464-5246 464-4588	
Goodwill Industries of San Joaquin Valley, Inc.	David	Miller	129 South Grant Street	Stockton	CA	95202	466-2311 466-0547	
Gospel Center Rescue Mission	Bill	Brown	445 S. San Joaquin Street	Stockton	CA	95203	466-2138 ( 320-2322 info@gcrms.org	
Greater Faith Baptist Church	Minister H. Jacob	Conton	345 West Worth Street	Stockton	CA	95206	957-8350 NOT VALID	
Greater Stockton Emergency Food Bank	Rebecca	Knott	7 W. Scotts Avenue	Stockton	CA	95203	464-7369 464-0309	
Habitat for Humanity of San Joaquin County Inc	John	Shores	1038 W. Fremont Street	Stockton	CA	95203		
Haven of Peace	Brenda	Castellanos	7070 South Harlan Road	French Cal	CA	95231	982-0396 234-1010 havenpeace4@aol.com	
Hospice of San Joaquin	Barbara	Tognoli	3888 Pacific Avenue	Stockton	CA	95204	957-3888 957-3986	
Housing Authority of San Joaquin County	Barbara	Kauss	448 S. Center Street	Stockton	CA	95201	460-5000	
Jene Wah, Incorporated	Esther	Chan	238 E. Church Street	Stockton	CA	95203	463-7654 463-7657	
Last Chance Inc. of Stockton	Medo	Munoz	535 West. Vine Street	Stockton	CA	95203		
New Directions	Dale	Benner	P.O. Box 5070	Stockton	CA	95205	982-1214 870-6522	
Pat Woods Associates, LLC	Pat	Woods	P.O. Box 660171	Sacramento	CA	95866		
People & Congregations Together (PACT)	Tom	Amato	P.O. Box 4102	Stockton	CA	95204	466-7540 466-3187	
Salvation Army	Captain Eric	Tumale	1305 E. Weber Avenue	Stockton	CA	95205	948-8955	
San Joaquin County Child Abuse Prevention C	Lindy	Turner	540 N. California Street	Stockton	CA	95202	464-4524 464-2272	
Women's Center - Youth & Family Services	Joelle	Gomez	620 North San Joaquin Stree	Stockton	CA	95202	941-2611 941-4963	edwrcsjc@aol.com
San Joaquin Delta College Small Business Dev	Nate	McBride	445 North San Joaquin Stree	Stockton	CA	95202	943-5089 943-8325	
San Joaquin Fair Housing	Peggy	Wagner	247 E. Miner Ave., Suite A	Stockton	CA	95202	209-460-4€ 460-4502	foodbanksj@aol.com
Second Harvest Food Bank of San Joaquin Co	Mike	Mallory	704 East Industrial Park Driv	Manteca	CA	95337	465-3663 239-2086	
St. Mary's Interfaith Dining Room	Edward	Figueroa	545 W. Sonora Street	Stockton	CA	95213	209-937-7€ 209-939-9347	
STAND	Larry	Johnson	P.O. Box 30231	Stockton	CA	95204	465-3612 939-9733	
Stockton Shelter for the Homeless	John	Reynolds	P.O. Box 4803	Stockton	CA	95204	465-3612 939-9733	
Hawkins-Thompson Child Care Center	Mary	Ocegueda	18 East First Street	Tracy	CA	95376	835-7877	hawkinshompson@sbcglobal.net
Mary Magdeline	Bell-Sanford	Geneva	445 N. San Joaquin Street	Stockton	CA	95202		
	Qurlentang	Fred	1404 Seneca Place	Modesto	CA	95358		
	White	Dwayne	2007 S. Pilgrim Street	Stockton	CA	95304		
	Ed	Truitt	4115 Giselle Lane	Stockton	CA	95206		

## Cynthia Marsh - Stockton CDBG & ESG Application Cycle Now Open

---

**From:** Cynthia Marsh  
**To:** Marsh, Cynthia  
**Date:** 12/10/2012 3:12 PM  
**Subject:** Stockton CDBG & ESG Application Cycle Now Open  
**Attachments:** 13-14 CDBG-ESG APPLICATION INSTRUCTIONS.pdf; 13-14 CDBG-ESG APPLICATION.pdf

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Hello,

You are receiving this e-mail because you either requested information in the past about applying for CDBG or ESG funds, or received funds in past cycles. The City of Stockton's application cycle for year 2013-2014 CDBG and ESG is now open. Applications are due by January 18, 2013 at 5pm. Late applications will not be accepted. Please carefully read the attached instructions. Based on last year's allocations, the City of Stockton expects to receive the following entitlement grant amounts:

- CDBG: \$3 Million
  - 2%, or \$123,000 was allocated to outside agencies through this application process in FY 2012-2013.
  - 3%, or \$158,152 was allocated to Fair Housing through this application process in FY 2012-2013.
  - CDBG funds are used to help low- and moderate-income people and to prevent/eliminate slums and blight. Types of eligible activities for CDBG funds include, but are not limited to:
    - Construction or rehabilitation of public improvements and facilities;
    - Architectural barrier removal to assist the elderly and disabled;
    - Public services (under specialized conditions); and
    - Economic Development activities with specific benefits to low- and moderate-income persons.
- ESG: \$300,000
  - Two-year funding cycle beginning in FY 2013-2014 and continuing through FY 2014-2015 through this application process.
  - ESG funds are available to agencies providing emergency shelter, homeless prevention or re-housing services to the homeless.
- HOME: \$1.9 Million
  - The City allocates HOME funds into general housing activity types (i.e., homeowner, rental, new construction, rehabilitation and first time homebuyer assistance). Applications for specific use of these funds are accepted on a continual basis until program funds are exhausted.

I have attached PDFs of the CDBG/ESG Application Instructions and the fillable Application. Please contact me if you prefer a Word version, or have any questions.

Thanks,  
Cindi

**Cynthia M. Marsh**  
 Housing Financial Advisor  
 209.937.7421

City of Stockton  
 Economic Development Department | Housing Division  
 425 N. El Dorado Street, Stockton, CA 95202  
 T 209.937.8539 F 209.937.5099  
[cynthia.marsh@stocktongov.com](mailto:cynthia.marsh@stocktongov.com)

**Subject:** Stockton CDBG & ESG Application Cycle Now Open  
**Created By:** Cynthia.Marsh@stocktongov.com  
**Scheduled Date:**  
**Creation Date:** 12/10/2012 3:12 PM  
**From:** Cynthia Marsh

Recipient	Action	Date & Time	Comment
BC: (bmendelson@cvlhc.org)	Delivered	12/10/2012 3:12 PM	
BC: "Federico Navarro" <fnavarro@stocktonfoodbank.org> ( <b>"Federico Navarro"</b> <fnavarro@stocktonfoodbank.org>)	Transferred	12/10/2012 3:12 PM	
BC: ceo@gcrms.org (ceo@gcrms.org)	Transferred	12/10/2012 3:12 PM	
BC: comelas@visionaryhomebuilders.org (comelas@visionaryhomebuilders.org)	Transferred	12/10/2012 3:12 PM	
To: Cynthia Marsh (Cynthia.Marsh@stocktongov.com)	Read	12/10/2012 3:12 PM	
BC: dfujimoto@sjgov.org (dfujimoto@sjgov.org)	Transferred	12/10/2012 3:12 PM	
BC: edwcsjc@aol.com (edwcsjc@aol.com)	Transferred	12/10/2012 3:43 PM	2.1.5 message relayed
BC: efigueroa@stmarysinterfaith.com (efigueroa@stmarysinterfaith.com)	Transfer Failed	12/10/2012 3:12 PM	
BC: Emily Baime (ebaime@downtownstockton.org)	Transferred	12/10/2012 3:12 PM	
BC: eric.tumale@usw.salvationarmy.org (Eric.Tumale@usw.salvationarmy.org)	Transferred	12/10/2012 3:12 PM	
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BC: FredSheil <fred@stand.comcastbiz.net> (FredSheil <fred@stand.comcastbiz.net>)	Transferred	12/10/2012 3:12 PM	
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BC: krhea@hacsj.com (krhea@hacsj.com)	Transferred	12/10/2012 3:12 PM	
BC: ktapia@secondharvest.org (ktapia@secondharvest.org)	Transferred	12/10/2012 3:12 PM	
BC: lroos@visionaryhomebuilders.org (lroos@visionaryhomebuilders.org)	Transferred	12/10/2012 3:12 PM	
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BC: peggyw@sjfairhousing.com (peggyw@sjfairhousing.com)	Transferred	12/10/2012 3:12 PM	
BC: rknodt@stocktonfoodbank.org (rknodt@stocktonfoodbank.org)	Transferred	12/10/2012 3:12 PM	
BC: sandra@drail.org (sandra@drail.org)	Transferred	12/10/2012	

BC: shacha425@comcast.net (shacha425@comcast.net)	Transferred	3:12 PM 12/10/2012 3:12 PM	
BC: shelterdirector@aol.com (shelterdirector@aol.com)	Transferred	12/10/2012 3:43 PM	2.1.5 message relayed
BC: vhill@servicefirstnc.org (vhill@servicefirstnc.org)	Transferred	12/10/2012 3:12 PM	

**THE RECORD  
PROOF OF PUBLICATION**

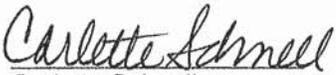
**NOTICE OF FUNDING AVAILABILITY  
AND PUBLIC MEETING**

STATE OF CALIFORNIA  
COUNTY OF SAN JOAQUIN

**THE UNDERSIGNED SAYS:**

I am a citizen of the United States and a resident of San Joaquin County; I am over the age of 18 years and not a part or interested in the above-entitled matter. I am the principal clerk of the printer of THE RECORD, a newspaper of general publication, printed and published daily in the City of Stockton, County of San Joaquin by the Superior Court of the County of San Joaquin, State of California, under the date of February 26, 1952, File No. 52857, San Joaquin County Records; that the notice of which the annexed is a printed copy (set in type not smaller than nonpareil), has been published each regular and entire issue of said newspaper and not in any supplement thereof on the following dates,  
To wit, November 28 2012

I declare under penalty of perjury that the foregoing is true and correct. Executed on November 28, 2012 In Stockton California

  
Carlette Schnell,  
The Record

0000941882

For the upcoming 2013-14 Program Year the City of Stockton expects to receive the following federal funds: approximately \$3 million under the Community Development Block Grant (CDBG) Program, approximately \$300,000 in Emergency Solutions Grant (ESG) funds, and approximately \$1.9 million in HOME funds.

CDBG funds are used to help low- and moderate-income people and to prevent/ eliminate slums and blight. Types of eligible activities for CDBG funds include, but are not limited to:

- Construction or rehabilitation of public improvements and facilities;
  - Architectural barrier removal to assist the elderly and disabled;
  - Public services (under specialized conditions); and
  - Economic Development activities with specific benefits to low- and moderate-income persons.
- ESG funds are available to agencies providing emergency shelter, homeless prevention or re-housing services to the homeless.

The City allocates HOME funds into general housing activity types (i.e., homeowner, rental, new construction, rehabilitation and first time homebuyer assistance). Applications for specific use of these funds will be accepted on a continuous basis until all program funds are exhausted.

Interested citizens or groups are invited to: Attend a Public Meeting on Thursday, December 6, 2012, at 5:00 p.m., in the Economic Department Conference Room, 3rd Floor of City Hall, 425 N. El Dorado Street, Stockton. At this meeting, community needs and the application process will be discussed; and/or Submit an application for the use of funds to the City of Stockton Economic Development Department, 425 North El Dorado Street, 3rd Floor, Stockton, CA 95202. Applications will be available at the above address and on-line at <http://www.stocktongov.com/government/departments/econDev/houseAffCDBG.html> on December 7, 2012.

Attendance at the meeting is not required to submit an application. Applications must be received by January 18, 2013, no later than 5:00 p.m. at the address noted above. Applications received after the deadline cannot be accepted (postmarks and faxes are not acceptable).

You may contact the Economic Development Department at (209) 937-8539 for information regarding any of the above mentioned programs or the application process.

BONNIE PAIGE, STOCKTON CITY CLERK

APPENDIX C:  
SOURCES AND USES OF FUNDS

## COMMUNITY DEVELOPMENT BLOCK GRANT

	2012-13 ALLOCATION	2013-14 ALLOCATION	DIFFERENCE
<b>REVENUE:</b>			
New Entitlement	\$3,103,142	\$2,848,684	(\$254,458)
Program Income	\$65,000	\$150,000	\$85,000
Revolving Loan Program Income	\$85,000	\$15,000	(\$70,000)
Reprogrammed Funds	\$2,631,000	\$2,236,515	(\$394,485)
<b>TOTAL REVENUE</b>	<b>\$5,884,142</b>	<b>\$5,250,199</b>	<b>(\$633,943)</b>
<b>EXPENDITURES:</b>			
<b>Program Delivery Costs</b>			
Administration	\$633,628	\$599,737	(\$33,891)
Program Delivery	\$410,000	\$376,380	(\$33,620)
Code Enforcement	\$458,802	\$ 389,982	(\$68,820)
<b>City Operated Programs/Projects</b>			
Land Hotel Pocket Park	\$0	\$300,000	\$300,000
Housing Loan Pool	\$1,192,890	\$546,109	(\$646,780)
<b>Sub-Recipient Assistance</b>			
San Joaquin Fair Housing	\$158,152	\$160,000	\$1,848
Disability Resource Agency for Independent Living	\$10,000	\$10,000	\$0
Emergency Food Bank – Mobile Farmers Market	\$8,000	\$11,500	\$3,500
Emergency Food Bank – Farm to Family Produce	\$15,000	\$18,500	\$3,500
Second Harvest Food Bank	\$35,000	\$35,000	\$0
Community Center for the Blind	\$5,000	\$10,000	\$5,000
Stockton Shelter for the Homeless	\$0	\$30,000	\$30,000
SJC Human Services Agency	\$0	\$10,000	\$10,000
New Directions	\$0	\$55,000	\$55,000
Cold Weather Shelter	\$25,000	\$25,000	\$0
Other Subrecipients	\$25,000	\$0	(\$25,000)
<b>Subrecipient Assistance Total</b>	<b>\$281,152</b>	<b>\$365,000</b>	<b>\$83,848</b>
<b>Economic Development Program</b>			
Façade Improvement Program	\$300,000	\$350,000	\$50,000
Micro-Business Loan Pool	\$350,000	\$125,000	(\$225,000)
Emergency Grant Program	\$50,000	\$15,000	(\$35,000)
<b>Economic Development Total</b>	<b>\$700,000</b>	<b>\$490,000</b>	<b>(\$210,000)</b>
<b>Debt Service - Section 108 Loan</b>	<b>\$2,207,670</b>	<b>\$2,182,991</b>	<b>(\$24,679)</b>
<b>TOTAL EXPENDITURES</b>	<b>\$5,884,142</b>	<b>\$5,250,199</b>	<b>(\$633,943)</b>

\*Revolving Loan Fund estimated balance of \$1,243,766 will remain in Revolving Loan Housing Loan Pool

## HOME INVESTMENT PARTNERSHIPS

	2012-13 ALLOCATION	2013-14 ALLOCATION	DIFFERENCE
<b>SOURCES OF FUNDS</b>			
New Entitlement	\$1,144,923	\$1,051,039	(\$93,884)
Program Income	\$60,000	\$120,000	\$60,000
Reprogrammed Funds	\$2,324,053	\$1,146,633	(\$1,177,420)
<b>Total Revenue</b>	<b>\$3,528,976</b>	<b>\$2,317,672</b>	<b>(\$1,211,304)</b>
<b>USES OF FUNDS</b>			
HOME Administration	\$120,492	\$117,104	(\$3,388)
Program Delivery	\$114,492	\$105,104	(\$9,388)
Loan Fund	\$3,122,254	\$1,937,808	(\$1,184,446)
CHDO Set-Aside	\$171,738	\$157,656	(\$14,082)
<b>Total Uses</b>	<b>\$3,528,976</b>	<b>\$2,317,672</b>	<b>(\$1,211,304)</b>

## EMERGENCY SHELTER GRANT

	2012-13 ALLOCATION	2013-14 ALLOCATION	DIFFERENCE
<b>EMERGENCY SHELTER GRANT FUNDS</b>			
<b>SOURCES OF FUNDS</b>			
New Entitlement	\$327,098	\$300,276	(\$26,822)
<b>Total Sources</b>	<b>\$327,098</b>	<b>\$300,276</b>	<b>(\$26,822)</b>
<b>USES OF FUNDS</b>			
<b>Sub-Recipient Assistance</b>			
Administration	\$12,000	\$11,016	(\$984)
Gospel Center Rescue Mission	\$24,887	\$25,389	\$502
Haven of Peace	\$17,027	\$22,004	\$4,977
St. Mary's Interfaith Dining Room	\$46,048	\$42,315	(\$3,733)
Stockton Shelter for the Homeless	\$61,964	\$52,470	(\$9,494)
Women's Center – Youth & Family Services	\$33,607	\$22,004	(\$11,603)
CVLHC	\$131,565	\$120,000	(\$11,565)
Tender Hands Safe Haven	\$0	5,078	\$5,078
<b>Total Uses</b>	<b>\$327,098</b>	<b>\$300,276</b>	<b>(\$26,822)</b>

APPENDIX D:  
ACTION PLAN PROJECTS TABLE

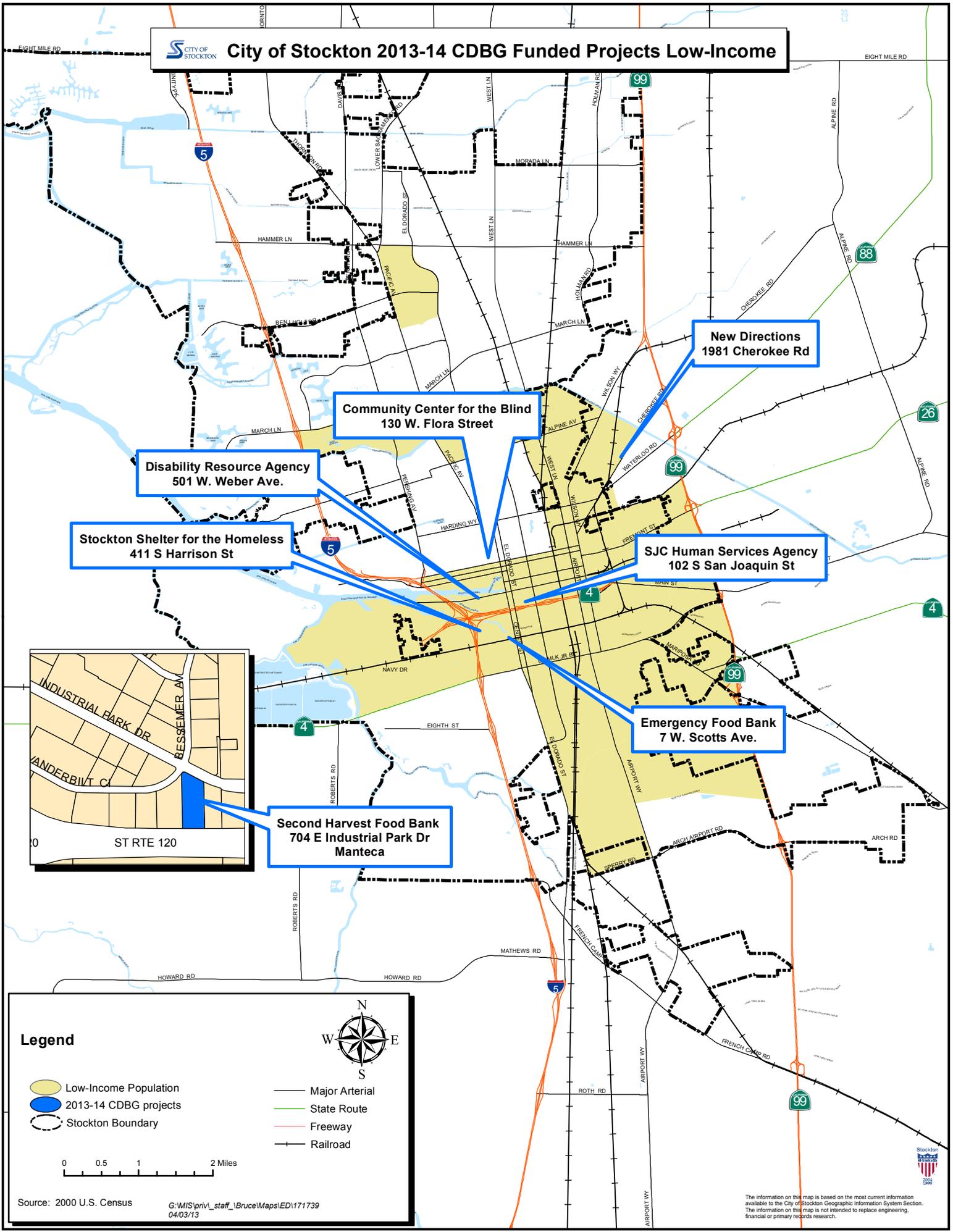
To be added at later date

# APPENDIX E:

## MAPS



# City of Stockton 2013-14 CDBG Funded Projects Low-Income



**Disability Resource Agency**  
501 W. Weber Ave.

**Stockton Shelter for the Homeless**  
411 S Harrison St

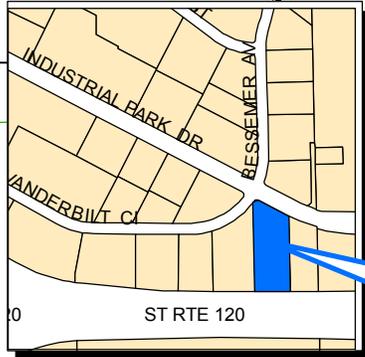
**Community Center for the Blind**  
130 W. Flora Street

**New Directions**  
1981 Cherokee Rd

**SJC Human Services Agency**  
102 S San Joaquin St

**Emergency Food Bank**  
7 W. Scotts Ave.

**Second Harvest Food Bank**  
704 E Industrial Park Dr  
Manteca



**Legend**

- Low-Income Population
- 2013-14 CDBG projects
- Stockton Boundary
- Major Arterial
- State Route
- Freeway
- Railroad

0 0.5 1 2 Miles

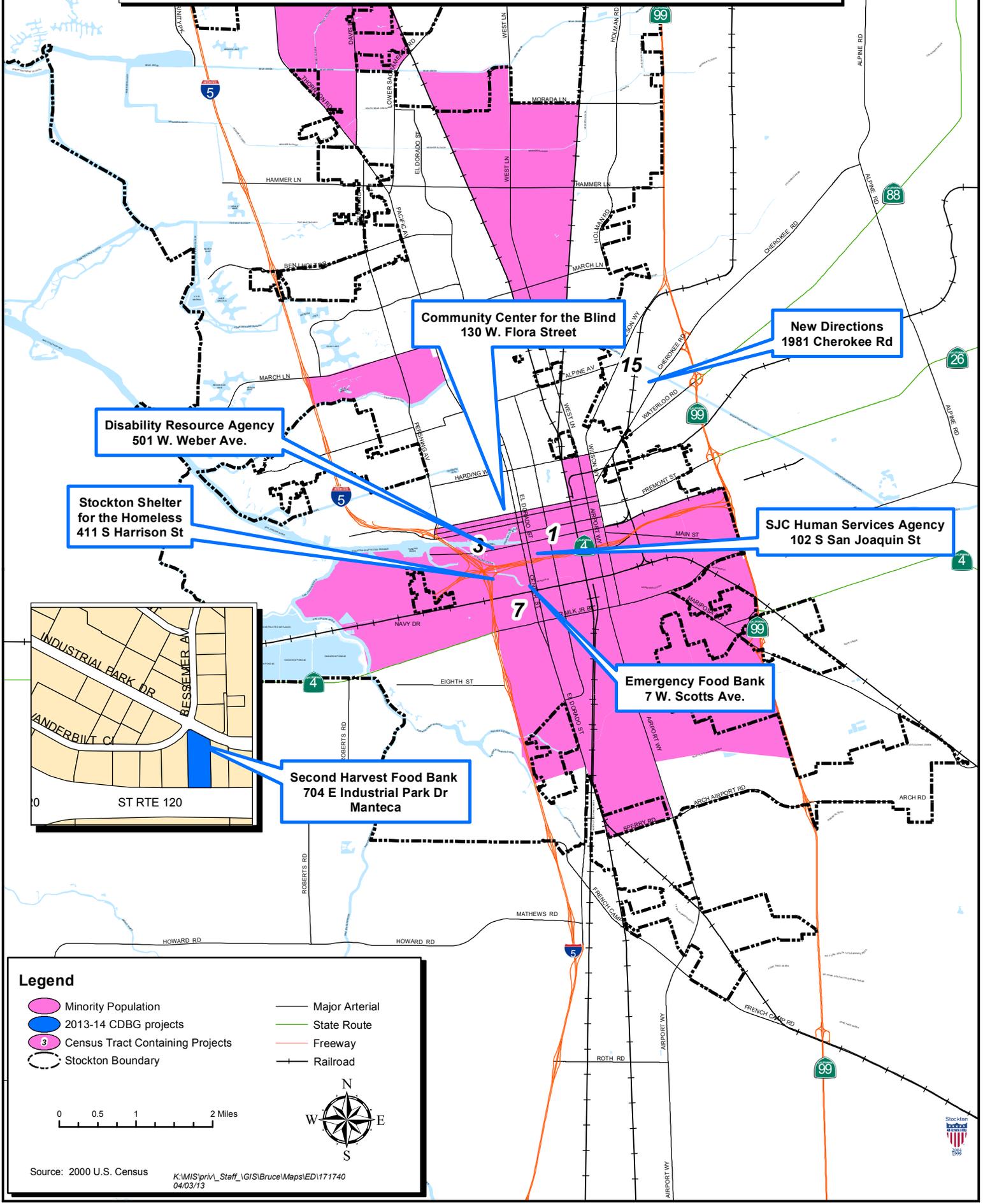
Source: 2000 U.S. Census  
G:\WIS\priv\staff\_\Bruce\Maps\ED\171739  
04/03/13

The information on this map is based on the most current information available to the City of Stockton Geographic Information System Section. The information on this map is not intended to replace engineering, financial or primary records research.





# City of Stockton 2013-14 CDBG Funded Projects Minority Population



**Disability Resource Agency**  
501 W. Weber Ave.

**Community Center for the Blind**  
130 W. Flora Street

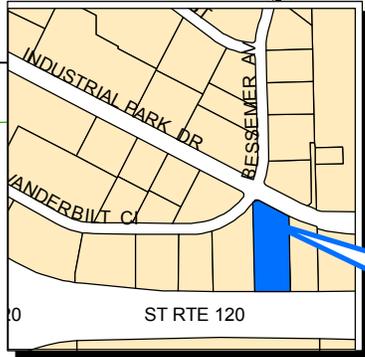
**New Directions**  
1981 Cherokee Rd

**Stockton Shelter for the Homeless**  
411 S Harrison St

**SJC Human Services Agency**  
102 S San Joaquin St

**Emergency Food Bank**  
7 W. Scotts Ave.

**Second Harvest Food Bank**  
704 E Industrial Park Dr  
Manteca



**Legend**

- Minority Population
- 2013-14 CDBG projects
- Census Tract Containing Projects
- Stockton Boundary
- Major Arterial
- State Route
- Freeway
- Railroad

0 0.5 1 2 Miles

Source: 2000 U.S. Census  
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04/03/13



Women's Center - Youth & Family Services  
620 N San Joaquin St

Haven of Peace  
7070 Harlan Rd  
French Camp

Tender Hands  
Safe Haven  
1305 Robinhood Dr

CVLIHC  
1833 W. March Ln.  
Stockton

Saint Mary's  
Interfaith Dining Room  
545 W Sonora St

Gospel Center  
Rescue Mission  
403 S. San Joaquin St

Stockton Shelter  
for the Homeless  
411 S Harrison St

### Legend

Parks



0 205 410 820 Feet

