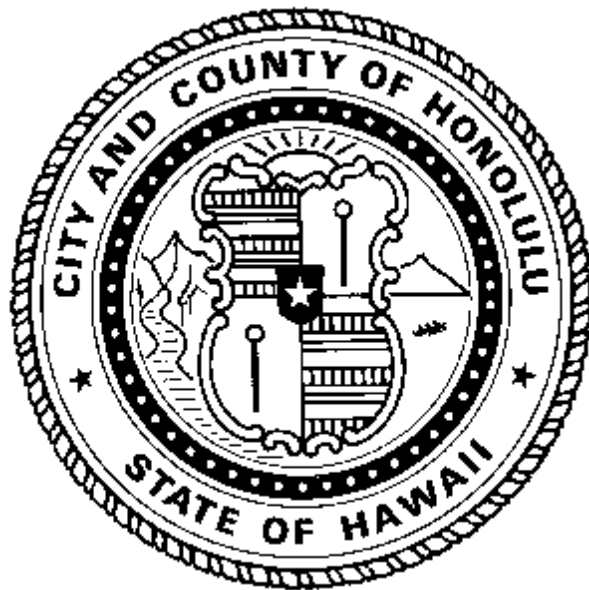


# AMENDED TWENTY-THIRD YEAR ACTION PLAN



Program Year  
2017 - 2018

Prepared By  
Department of Budget & Fiscal Services  
City and County of Honolulu

AMENDED  
December 2018

Presented By  
Kirk Caldwell, Mayor  
City and County of Honolulu



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# Executive Summary

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

### 1. Introduction

The Twenty Third (23rd) Year Action Plan for the City and County of Honolulu (City) represents a blueprint for the planning and application aspects of HUD's Community Development Block Grant (CDBG), Emergency Solutions Grants (ESG), HOME Investment Partnerships (HOME), Housing Trust Fund (HTF), and Housing Opportunities for Persons With AIDS (HOPWA) formula programs. The purpose of the Action Plan is to ensure that jurisdictions receiving federal assistance plan for the housing and related needs of low- and moderate-income families in a way that improves the availability and affordability of decent, safe and sanitary housing and a suitable living environment.

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

The Action Plan priorities are based on the results of conducting needs assessments and market analyses, consultations with community groups, an on-line survey and collaborations with other agencies. Through the consultation process the City identified a range of housing and community development needs as listed below. It is anticipated that high priority needs will receive funding during the five-year Consolidated Plan period and lower priority needs may be funded, based on the availability of funds.

#### Homelessness

- Acquisition, construction and renovation of emergency and transitional shelters.
- Acquisition, development or renovation of buildings/housing to support the City's Housing First Initiative.
- Services and outreach programs to persons/families experiencing homelessness.
- Operating costs to existing transitional housing facilities.
- Services such as case management, work readiness, housing placement and other services to persons experiencing homelessness.
- Homelessness prevention services.
- Rapid re-housing services.
- Rental Assistance.

### Affordable Housing

- Development of new and preservation of existing affordable and special needs rental housing.
- Low-interest down payment loans and closing costs to low- and moderate-income homebuyers.
- Low-interest rehabilitation loans to low- and moderate-income homeowners to correct conditions in deteriorated homes.

### Public Improvements and Infrastructure

- Infrastructure improvements related to the production or preservation of affordable housing.
- Construction or renovation of facilities to comply with accessibility requirements.
- Acquisition, construction, replacement or renovation of City-owned facilities and infrastructure in low- and moderate-income communities.

### Public Facilities

- Acquisition, construction or renovation of public facilities to benefit low- and moderate-income persons or presumed low-income persons other than homeless (e.g. elderly, victims of domestic violence, neglected children, and others).
- Acquisition of facilities and equipment for fire, police, and emergency medical services and traffic safety measures in low- and moderate-income communities.

### Public Services

- Services to seniors or persons with disabilities to maintain independent living.
- Support services, child development and life skills, and remedial education for adults.
- Services to victims of domestic violence.
- Services to benefit low- and moderate-income persons with literacy, financial literacy, employment training, limited English proficiency, parenting, family services, transportation, micro-enterprise assistance, legal counseling, fair housing, home counseling, and others.

### Community and Economic/Development

- Support Neighborhood Revitalization Strategy Areas.
- Support micro-enterprise assistance.

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

During the past Consolidated Plan period, the City successfully assisted low- to moderate-income communities and individuals and met or exceeded most of its goals and objectives identified in the 2010-2015 Consolidated Plan.

*Housing:* The City provided funding to projects that preserved affordable housing, developed rental housing for low- and moderate-income households, renovated an affordable housing complex for very low-income adults with physical disabilities and/or traumatic brain injury, and provided low-interest loans to homeowners to correct conditions in deteriorated homes. The City also provided funding to various nonprofit agencies to carry out capital improvements on housing units for low- and moderate-income families and special needs populations.

*Homelessness:* Funding was provided to renovate emergency and transitional shelters that provide services to homeless individuals and families and persons at-risk of homelessness. Annually, over 2,000 individuals and families were provided with shelter and supportive services. The City also funded projects that provided stabilizing services such as work readiness, housing placement, legal services, emergency rent and utility assistance and tenant-based rental assistance.

*Special Needs (Other than Homeless):* The City provided funding to renovate or construct facilities that provided health care, services for the elderly and persons with disabilities, childcare activities, and improvements to comply with accessibility requirements. The City also provided funding for emergency services such as the acquisition of fire apparatus.

*Community Development (Other than Housing):* Twenty percent (20%) of the City's formula grant allocation is targeted to fund projects in Neighborhood Revitalization Strategy Areas (NRSAs). The City funded a Community Based Development Organization (CBDO) project in a NRSA and also funded projects that provided entrepreneurial and business start-up training to low- and moderate-income individuals.

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

A Public Hearing was conducted on September 22, 2016, to obtain the views and comments of the public with regard to the City's performance, and the housing and community development needs for the upcoming Action Plan. However, at the appointed time and place, no members of the public were present. As such, no testimony was given on the above subjects and no written testimony was received by the cut-off date of September 28, 2016.



To obtain further public input, the City utilizes several City Council and Budget Committee meetings for the Action Plan resolution scheduled during the months of June through July 2017 as public hearings.

In order to broaden participation, the City uses its website to facilitate providing information to the public. The current and several prior year Action Plans, as well as the Consolidated Plan for Fiscal Years 2016-2020, are available at <http://www.honolulu.gov/cms-bfs-menu/site-bfs-sitearticles/408-federal-grants.html>. The Request for Proposal documents along with Project Proposal applications were available at [www.honolulu.gov/pur](http://www.honolulu.gov/pur) and the City also maintains an e-mail subscription list where interested parties may sign up to receive notification of future funding announcements.

A public notice was published on June 19, 2017 inviting the public to review and comment on the Draft Twenty-Third (23rd) Year Action Plan, which outlines how the City will be implementing the CDBG, ESG, HOME and HOPWA programs. A final notice reflecting actual program plans was published in the Honolulu Star Advertiser on July 26, 2017.

The Draft Twenty-Third (23rd) Year Action Plan was made available through July 5, 2017 to all interested parties as a way of further soliciting input and comments on the Action Plan in total and on specific areas of concern. No comments or corrections concerning the Draft Action Plan were received. The final version will be made available in August 2017.

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

In lieu of a public informational/orientation session, concerning the CDBG and HOME programs, information and an overview of the programs was provided with the Notice of Funding Availability (NOFA) funding application packet. The public was given an opportunity to submit written questions about each program and the NOFA process or to submit their inquiries by voicemail. Nine (9) questions were received. The questions and answers provided are noted below.

Q1. What kinds of proposals need to attach Appendix E?

A1. An explanation regarding the CDBG National Objectives and the requirements regarding income certification is provided on page 6-7 of the Notice of Funding Availability. Except for housing and microenterprise assistance, Appendix E is utilized when the CDBG national objective is limited clientele and the client/household income must be documented to determine that the client/household being assisted by the CDBG funded public facility/public service meets the low- and moderate-income eligibility requirement.

Q2. If we have completed an Environmental Assessment for Chapter 343, Hawaii Revised Statutes, and received a FONSI from OEQC, do we need to submit Appendix F-2?

A2 Although you may have a Final Environmental Assessment (FEA) for Chapter 343, Hawaii Revised Statutes, it is unknown if the FEA fulfills the requirements of the National Environmental Policy Act of 1969 (NEPA). Page 11 of the Application requests the following information and provides a link to the HUD NEPA review requirements.

Does the EIS/EA comply with the requirements of the National Environmental Policy Act (NEPA)?

<http://www.epa.gov/nepa/national-environmental-policy-act-review-process>

A completed Appendix F-2, Environmental Assessment Worksheet must be completed and attached to the application.

Q3. In lieu of a purchase option agreement, is a LOI for a long term lease acceptable for site control?

A3. A Letter of Intent for a long term lease may be used in lieu of an Option Agreement. However, the Letter of Intent must meet the requirements of an Option Agreement.

Q4. For the financial assistance program, can that be used towards granting zero interest loans to low-income home-buyers?

A4. HOME funds can be utilized for a project that provides financial assistance to eligible homebuyers.

Q5. What is included in "project administrative costs"?

A5. Project administrative costs include, but are not limited to, general management, oversight and coordination costs, staff and overhead costs, and public information costs.

Q6. If we received CDBG funds for Planning & Engineering for a capital improvement project, would we need to go out to bid for the surveyor, geotechnical consultant, and each of the civil/mechanical/electrical/structural engineers? Or could they all be hired by the architectural firm?

A6. If awarded CDBG funds, subcontracts for any part of the services that are covered under an agreement with the City would be subject to the procurement requirements at 2 CFR 200.317-326 at a minimum.

Q7. Can HOME funding be used towards salaries?

A7. No, HOME funds cannot be used to administer a Financial Assistance program.

Q8. What are other allowable costs? Construction costs?

A8. Eligible costs for financial assistance projects are limited to Tenant Based Rental Assistance projects, which provide rent, security deposits and, under certain conditions, utility deposits to eligible tenants or Down Payment projects, which assist in the acquisition of homes for eligible homebuyers.

Q9. Are supportive services to participants in a proposed project an allowable HOME cost?

A9. Supportive services to participants is not an allowable HOME cost.

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

Not applicable. The City did not receive any comments.

**7. Summary**

The objectives and outcomes reflect the City's highest priorities. Two (2) objectives, Housing First Development and Housing First Services, stress an updated approach to reducing chronic homelessness. The target outcome levels reflect the availability of resources more than they reflect the level of need. Consultation and comments were conducted in accordance with the City's Citizen Participation Plan and Consolidated Planning requirements.

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

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

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

Agency Role	Name	Department/Agency
CDBG Administrator	HONOLULU	Office of the Managing Director
HOPWA Administrator	HONOLULU	Office of the Managing Director
HOME Administrator	HONOLULU	Office of the Managing Director
ESG Administrator	HONOLULU	Office of the Managing Director
HTF Administrator	HONOLULU	Office of the Managing Director

**Table 1 – Responsible Agencies**

### Narrative (optional)

The Department of Budget and Fiscal Services is the lead agency responsible for the preparation of the Consolidated Plan, and is responsible for the implementation of City activities funded by the CDBG, HOME, HTF, ESG, and HOPWA programs.

The Department of Community Services assists in the preparation of the Consolidated Plan and is responsible for the implementation of nonprofit activities funded by [each program] the CDBG, HOME, HTF, ESG, and HOPWA programs.

### Consolidated Plan Public Contact Information

Ms. Holly Kawano, Federal Grants Coordinator  
Department of Budget and Fiscal Services  
City and County of Honolulu  
530 South King Street #208  
Honolulu, Hawaii 96813  
Telephone No: (808) 768-3930, Fax No: (808) 768-3294  
Email Address: bfscdbgmail@honolulu.gov

Ms. Pamela A. Witty-Oakland, Director  
City and County of Honolulu  
Department of Community Services  
925 Dillingham Boulevard, Suite 200  
Honolulu, Hawaii 96817  
Telephone No: (808) 768-7760, Fax No: (808) 768-7792  
Email Address: pwittyoakland@honolulu.gov

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

### **1. Introduction**

Two community stakeholder meetings were held for the Consolidated Planning process. One was conducted on the West (Kapolei) and the other on the East (Ala Wai) side of the island to encourage community participation. The participants included nonprofit organizations and City agencies. These groups are actively involved in affordable housing development or continuum of services, community development, or the provision of employment training, domestic violence assistance, and social services for low-income and presumed low-income groups.

The City's Department of Planning and Permitting (DPP) completed an Island-wide Housing Strategy and the Mayor's Office of Housing is responsible for the implementation of the City's Housing First strategy. The City's Island-wide Housing Strategy and Housing First Initiatives were presented at the forums and helped the City gauge the more specific needs and gaps that had to be considered in the planning process.

For its online survey and two community meetings, the City also asked networks and collaborative entities to reach out to targeted stakeholders. Three entities, Hawaii Interagency Council on Homelessness (HICH), Partners In Care (PIC), and the State Legislature's Ad Hoc Task Force on Affordable Housing and Homelessness, have shared objectives and extensive lists of targeted stakeholders. Individual stakeholders also took it upon themselves to forward information to others. The online survey was extended to the general public via a City website link, the Neighborhood Board Commission and City Council members. Email notifications were also sent to individuals/organizations on the City's email subscription list. The survey gauged priority needs and groups to be served.

In addition, one-on-one consultations were initiated with representatives from HOPWA service providers, PIC, Hawaii Public Housing Authority (HPHA), DOH Adult Mental Health Division (AMHD), Hawaii Housing and Finance Development Corporation (HHFDC), and others.

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

The HICH was enacted by the State of Hawaii in 2012. HICH is required to meet four times a year and its membership includes the mayors of all four counties and directors of the State agencies that have a role in the prevention and remediation of homelessness in the islands. These State agencies are:

- Department of Health (DOH)
- Department of Human Services (DHS)

- Department of Labor and Industrial Relations (DLIR)
- Department of Business, Economic Development, and Tourism (DBEDT)
- HHFDC
- HPHA
- Office of Hawaiian Affairs (OHA)
- Department of Hawaiian Home Lands (DHHL)

Coordination through the HICH is enhanced because of four goal-oriented working groups with several City stakeholders as lead coordinators or active participants. The goals are:

- Retooling the Homeless Crisis Response System;
- Increasing Access to Stable and Affordable Housing;
- Increasing Economic Stability and Self-Sufficiency; and
- Improving Health and Stability.

As the goals suggest, the working groups bring together many stakeholders, including public and private housing providers. It brings together government and private health service entities who deal with relevant health concerns like mental health, alcohol and substance abuse, communicable diseases, AIDS/HIV and others. It brings together the stakeholders who are addressing economic development, employment, and the interests of Native Hawaiians. It also includes the “Partners In Care – Oahu Continuum of Care” (PIC), a planning, coordinating, and advocacy alliance that develops recommendations for programs and services to fill needs within Oahu’s Continuum of Care (CoC) for homeless persons. PIC assists in developing new programs, while working to preserve or expand existing effective programs.

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

The City is a partner of the PIC and is currently a collaborative applicant for HUD’s Continuum of Care homelessness assistance grant. In serving as a collaborative applicant, it also supports the PIC’s coordinated efforts to address the details of the needs of the City’s homeless population.

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

The PIC’s governance charter formalized PIC’s consultation role in the allocation of ESG funds and the assessment of performance of ESG subrecipients. In determining how to allocate ESG funds, the City and PIC assess past performance and current

needs to determine if existing performance standards and outcomes need to be modified. In consultation with ESG subrecipients, PIC is also responsible for setting up a coordinated needs assessment system. HUD compliance requirements and results of consultation become the basis for improving existing policies and procedures or creating new ones. PIC's governance charter formalized PIC's role in developing funding, policies and procedures for the administration of Homeless Management Information System (HMIS). HUD's Priority Community Initiative provided technical assistance and this helped PIC develop a strategic HMIS plan to ensure that the HMIS is administered in compliance with the HUD's Continuum of Care (CoC) Program rules, data standards and HUD requirements.

City staff attended a PIC general meeting on April 18, 2017 to solicit input from the PIC regarding future ESG funding allocations. At the meeting, the PIC expressed a desire to revise the Consolidated Plan priorities and funding allocations and created a Planning Committee to address this issue. A draft document was received and reviewed by the City however, the version approved by the PIC membership was not received by the City's June 30, 2017 deadline.

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

1	<b>Agency/Group/Organization</b>	City Department of Planning and Permitting
	<b>Agency/Group/Organization Type</b>	Other government - County Planning organization
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homelessness Strategy Market Analysis Economic Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
2	<b>Agency/Group/Organization</b>	Hawaii Public Housing Authority
	<b>Agency/Group/Organization Type</b>	PHA
	<b>What section of the Plan was addressed by Consultation?</b>	Public Housing Needs
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
3	<b>Agency/Group/Organization</b>	City Mayor's Office of Housing
	<b>Agency/Group/Organization Type</b>	Housing Services-homeless Other government - County
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.



4	<b>Agency/Group/Organization</b>	Partners in Care Oahu (PIC)
	<b>Agency/Group/Organization Type</b>	Services-homeless CoC
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
5	<b>Agency/Group/Organization</b>	Hawaii Interagency Council on Homelessness
	<b>Agency/Group/Organization Type</b>	Housing Services-homeless Planning organization Public-Private Council
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

6	<b>Agency/Group/Organization</b>	State Legislature Task Force on Affordable Housing and Homelessness
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing Services - Victims Other government - State Business Leaders Civic Leaders Business and Civic Leaders Multi-Stakeholder Legislative Task Force
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Public Housing Needs Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Market Analysis Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

7	<b>Agency/Group/Organization</b>	Hawaii Housing Finance Development Corporation
	<b>Agency/Group/Organization Type</b>	Housing Other government - State Planning organization
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Market Analysis
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
8	<b>Agency/Group/Organization</b>	State Department of Health
	<b>Agency/Group/Organization Type</b>	Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-homeless Services-Health Health Agency Other government - State Planning organization
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homelessness Strategy Non-Homeless Special Needs Market Analysis Lead-based Paint Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

9	<b>Agency/Group/Organization</b>	Weed and Seed Hawaii
	<b>Agency/Group/Organization Type</b>	Community Program Neighborhood Organization
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Community Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
10	<b>Agency/Group/Organization</b>	Ewa Beach Community-Based Development Organization
	<b>Agency/Group/Organization Type</b>	Services-Children Services-Elderly Persons Services-Employment Business Leaders Civic Leaders Community Based Development Organization Neighborhood Organization
	<b>What section of the Plan was addressed by Consultation?</b>	Non-Homeless Special Needs Economic Development Anti-poverty Strategy Community Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

11	<b>Agency/Group/Organization</b>	Hawaii Homeownership Center
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Market Analysis Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
12	<b>Agency/Group/Organization</b>	DCS Community Assistance Division
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Other government - County
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Public Housing Needs Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs HOPWA Strategy Market Analysis Economic Development Anti-poverty Strategy Lead-based Paint Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

13	<b>Agency/Group/Organization</b>	DCS Elderly Affairs Division
	<b>Agency/Group/Organization Type</b>	Services-Elderly Persons Services-Persons with Disabilities Other government - County Planning organization
	<b>What section of the Plan was addressed by Consultation?</b>	Non-Homeless Special Needs
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
14	<b>Agency/Group/Organization</b>	DCS WorkHawaii
	<b>Agency/Group/Organization Type</b>	Housing Services-homeless Services-Employment Other government - County
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

15	<b>Agency/Group/Organization</b>	Kuakini Foundation
	<b>Agency/Group/Organization Type</b>	Services-Elderly Persons Services-Health Foundation
	<b>What section of the Plan was addressed by Consultation?</b>	Non-Homeless Special Needs
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
16	<b>Agency/Group/Organization</b>	Waimanalo Health Center
	<b>Agency/Group/Organization Type</b>	Services-Persons with Disabilities Services-Health Health Agency Nonprofit
	<b>What section of the Plan was addressed by Consultation?</b>	Non-Homeless Special Needs
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
17	<b>Agency/Group/Organization</b>	Honolulu Habitat for Humanity
	<b>Agency/Group/Organization Type</b>	Housing Nonprofit
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

18	<b>Agency/Group/Organization</b>	Domestic Violence Action Center
	<b>Agency/Group/Organization Type</b>	Services-Victims of Domestic Violence Nonprofit
	<b>What section of the Plan was addressed by Consultation?</b>	Non-Homeless Special Needs
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
19	<b>Agency/Group/Organization</b>	Catholic Charities Hawaii
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing Services - Victims Nonprofit
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homelessness Strategy Non-Homeless Special Needs Market Analysis
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.



20	<b>Agency/Group/Organization</b>	PHOCUSED - Hawaii
	<b>Agency/Group/Organization Type</b>	Services-homeless Planning organization Civic Leaders
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
21	<b>Agency/Group/Organization</b>	State Department of Human Services
	<b>Agency/Group/Organization Type</b>	Services - Victims Publicly Funded Institution/System of Care Other government - State Child Welfare Agency
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

22	<b>Agency/Group/Organization</b>	State Executive Office on Aging
	<b>Agency/Group/Organization Type</b>	Housing Services-Elderly Persons Services-Persons with Disabilities Other government - State Planning organization
	<b>What section of the Plan was addressed by Consultation?</b>	Non-Homeless Special Needs Market Analysis
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
23	<b>Agency/Group/Organization</b>	Department of Hawaiian Home Lands
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Other government - State Planning organization Organization Addressing Native Hawaiian Needs
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
24	<b>Agency/Group/Organization</b>	Gregory House Programs
	<b>Agency/Group/Organization Type</b>	Services-Persons with HIV/AIDS Nonprofit
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment HOPWA Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

25	<b>Agency/Group/Organization</b>	Neighborhood Board Commission
	<b>Agency/Group/Organization Type</b>	Other government - County Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Outreach Assistance
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
26	<b>Agency/Group/Organization</b>	Honolulu City Council
	<b>Agency/Group/Organization Type</b>	Other government - County
	<b>What section of the Plan was addressed by Consultation?</b>	Outreach Assistance
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.
27	<b>Agency/Group/Organization</b>	Pacific Disaster Center
	<b>Agency/Group/Organization Type</b>	Other government - Federal Regional organization Disaster Center
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

28	<b>Agency/Group/Organization</b>	City DCS Community Based Development Division
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing Services - Victims Other government - County
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Public Housing Needs Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs HOPWA Strategy Market Analysis Economic Development Anti-poverty Strategy Lead-based Paint Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Public consultation meetings were held and emails sent to various stakeholders requesting their participation and input to develop a coordinated plan.

**Table 2 – Agencies, groups, organizations who participated**

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

None

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

<b>Name of Plan</b>	<b>Lead Organization</b>	<b>How do the goals of your Strategic Plan overlap with the goals of each plan?</b>
Continuum of Care	Partners in Care Oahu (PIC)	Strategic goals overlap with and/or are supportive of goals under homelessness.
Honolulu General Plan	City Department of Planning and Permitting	This plan provides the overall City development framework. Goals in the ConPlan are consistent with the City's General Plan.
Transit-Oriented Development Neighborhood Plans	City Department of Planning and Permitting	These community-based neighborhood plans consider the use of HOME funds for affordable housing and CDBG for supportive infrastructure.
Hawaii Interagency Council on Homelessness Plan	State of Hawaii Governor's Office/ State Department of Human Services (DHS)	Strategic goals overlap with and/or are supportive of goals under homelessness.
Honolulu Islandwide Housing Strategy Report Draft	City Department of Planning and Permitting	Strategic action goals overlap with and/or supports goals under all priorities especially housing and homelessness.
2014 Public Housing Agency 5-year and Annual Plan	State Hawaii Public Housing Authority	Strategic goals overlap with and/or are supportive of community development/self-sufficiency related-goals.
Four-Year Area Plan on Aging 2011-2015	City Department of Community Services - Elderly Affairs Division	Strategic goals overlap with and/or are supportive of goals for population 60+ and those with disabilities.
State Comprehensive Economic Development Strategy	State DBEDT- Office of Planning	This plan overlaps with NRSA Economic Development (Agriculture) goals.
State Workforce Investment Plan/ Local Area Plan	State Workforce Development Council/Oahu Workforce Investment Board	Strategic goals overlap with and/or are supportive of community development/self-sufficiency goals.

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

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

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

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

The City encouraged citizen participation in the development of the Action Plan. The citizen participation process was guided by the City's Citizen Participation Plan (CPP) which details the manner in which the public is notified of upcoming meetings and other opportunities to provide comments on the development of and updates to the City's Consolidated and Annual Action Plans.

The City held public meetings, published public notices in a newspaper of general circulation and sent out notifications to its email subscribers.

Notices were also posted on the City's website at <http://www.honolulu.gov/cms-bfs-menu/site-bfs-sitearticles/408-federal-grants.html>

A summary of responses is noted in the Table 4.

#### **Citizen Participation Outreach**

<b>Sort Order</b>	<b>Mode of Outreach</b>	<b>Target of Outreach</b>	<b>Summary of response/attendance</b>	<b>Summary of Comments received</b>	<b>Summary of comments not accepted and reasons</b>	<b>URL (If applicable)</b>
1	Public Meeting	Non-targeted/broad community	A public meeting was held on May 22, 2017 to solicit public input on the projects applying for CDBG funding.	None	N/A	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of Comments received	Summary of comments not accepted and reasons	URL (If applicable)
2	Public Meeting	Non-targeted/broad community	A public meeting was held on May 30, 2017 to solicit public input on the projects recommended for CDBG funding in the City's FY2018 Action Plan.	None	N/A	
3	Internet Outreach	Non-targeted/broad community	The Public Notice was posted on City's website to increase opportunities for public participation and public comments.	None	N/A	
4	Newspaper Ad	Non-targeted/broad community	A public notice was published in the Honolulu Star Advertiser on June 19, 2017, informing the public that copies of the Draft Action Plan would be available for review online on the City's website or by calling the Municipal Reference Center.	None	N/A	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of Comments received	Summary of comments not accepted and reasons	URL (If applicable)
5	Library Outreach	Non-targeted/broad community	The Draft Action Plan was sent to the Municipal Reference Center to increase opportunities for public participation and public comments.	None	N/A	
6	City Council Public Hearing	Non-targeted/broad community	Resolution 17-170, CD1 approving the City's Draft Action Plan was heard at the Budget Committee on June 28, 2017 and reported out for adoption by the City Council.	None	N/A	
7	City Council Public Hearing	Non-targeted/broad community	Resolution 17-170. CD1, FD1 approving the City's Draft Action Plan was heard at the full Council meeting on July 12, 2017 and approved by the City Council.	None	N/A	
8	Newspaper Ad	Non-targeted/broad community	A public notice was published in the Honolulu Star Advertiser on July 26, 2017.	None	N/A	

**Table 4 – Citizen Participation Outreach**



## **Expected Resources**

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

#### **Introduction**

The Twenty-Third (23rd) Year Action Plan for the City and County of Honolulu (City) represents a blueprint for the planning and application aspects of HUD's Community Development Block Grant (CDBG), Emergency Solutions Grants (ESG), HOME Investment Partnerships (HOME), Housing Trust Fund (HTF), and Housing Opportunities for Persons With AIDS (HOPWA) programs. The purpose of the Action Plan is to ensure that jurisdictions receiving federal assistance plan for the housing and related needs of low- and moderate-income families in a way that improves the availability and affordability of decent, safe and sanitary housing and a suitable living environment

## Priority Table

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	7,209,223	601,615	0	7,810,838	18,000,000	CDBG funds will be utilized for the following activities: Housing First - Housing, Housing First - Services, Homeless Services, Homeless Shelter, Housing - Rehabilitation Assistance, Senior Services, Youth Services, Domestic Violence Services, Services to LMI Population, Public Facilities - Non-Homeless. Funds will also be used for administrative costs and other eligible activities as needs arise.
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	2,263,262	589,117	2,500,000	5,352,379	5,750,000	HOME funds will be utilized for the following activities: Development of affordable housing, Tenant-based rental assistance (TBRA) including Housing First, and Home Ownership programs. Funds will also be used for administrative costs and other eligible activities as needs arise.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HTF	public - federal	Acquisition Homebuyer assistance Multifamily rental new construction New construction for ownership	1,425,000	0	0	1,425,000	2,850,000	HTF funds will be utilized for the following activities: Development of affordable housing, administrative costs and other eligible activities as needs arise.
HOPWA	public - federal	Permanent housing in facilities Permanent housing placement Short term or transitional housing facilities STRMU Supportive services TBRA	501,094	0	0	501,094	850,000	HOPWA funds will be utilized for the following activities: Tenant-based rental assistance (TBRA); Short Term Rent, Mortgage and Utilities (STRMU); and Supportive Services for persons living with HIV/AIDS. Grant funds will also be used for administrative costs and other eligible activities as needs arise.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	1,937,791	0	0	1,937,791	1,250,000	ESG funds will be utilized for the following activities: emergency shelter, homelessness prevention, rapid re-housing, and Homeless Management Information Systems ("HMIS"). Grant funds will also be used for administrative costs and other eligible activities as needs arise.
General Fund	public - local	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rental Assistance Services Transitional housing	1,937,791	0	0	1,937,791	1,250,000	General Funds will be used to satisfy the 1:1 ESG match requirement. Funds will be utilized for the following activities: emergency shelter, homelessness prevention, rapid re-housing, and Homeless Management Information Systems ("HMIS"). Grant funds will also be used for administrative costs and other eligible activities as needs arise.

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

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

The table above reflects anticipated HUD CPD resources which will be administered by the City. The ESG match is expected to be satisfied through the use of other City funds. The HOME match requirement is expected to be satisfied with Low-Income Housing Tax Credits (LIHTC) that are administered by the State of Hawaii Housing Finance and Development Corporation, waived Real Property Taxes, and/or waived General Excise Taxes.

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

For properties assisted with CDBG, HOME, HTF or matching funds, the City may require that units remain affordable and obtain concurrence from HUD prior to completing the sale or lease.

In addition, the City's CDBG, HTF, and HOME funded affordable housing projects includes units whose required affordability period expires within the ConPlan period. However, the units may remain in the affordable housing inventory as some projects may become permanent supportive housing under the Housing First Initiative approach to ending homelessness.

Of note is that the City focuses its allocation of HTF on the following geographic priority areas:

1. Housing First Model- scattered sites, in particular the Waianae Coast, Downtown Honolulu, and East Honolulu. These regions are local priority areas based on the City's strategic development scheme and assessment.
2. Eligible/Approved Neighborhood Revitalization Strategic Areas ("NRSA"). The City currently has one HUD approved NRSA, the Wahiawa NRSA, but supports the creation of new NRSA's.

In regards to HTF, the City's Consolidated Plans have historically identified the development of new affordable housing as a top priority. Thus the projects propose to provide at least five-units in Maili, Waianae and at least three units in Downtown Honolulu.

**Discussion:**

The City will continue to pursue other available federal, state and private funding sources to leverage funding for the proposed community development initiatives in the Consolidated Plan

On July 3, 2017, HUD informed the City that it would receive ESG supplemental funding in addition to its annual allocation in the amount of \$1,281,866 for Rapid Re-Housing or other critical activities. The City is in the process of identifying the specific projects that will be assisted with the additional funds.

In addition, the City intends to exercise its Pre-Award option for the Community Development Block Grant (CDBG) and HOME Investment Partnerships (HOME) funded projects. The projects below represent the 25% pre-award project costs that may be incurred without HUD approval.

**CDBG**

BFS – Program Administration	\$ 160,387
BFS – Fiscal Support	\$ 23,466
DCS – Community Based Development Division	\$ 177,357
DCS – Community Assistance Division	\$ 29,333
DCS – Work Readiness Program	\$ 80,000
DVAC – Safe on Scene Program	\$ 57,262
HFD – Waianae Engine Apparatus	\$ 192,125
HFD – McCully-Moiliili Engine Apparatus	\$ 192,125
Easter Seals Hawaii	\$ 102,125
Feeding Hawaii Together	<u>\$ 785,820</u>
Total CDBG Pre-Award	\$1,800,000

**HOME**

BFS – Program Administration	\$ 13,944
DCS – Down Payment Loan Program	\$ 152,500
DCS – Tenant Based Rental Assistance	\$ 150,000
DCS - Tenant Based Rental Assistance Administration	\$ 57,366
Honolulu Habitat for Humanity	<u>\$ 191,190</u>
Total HOME Pre-Award	\$ 565,000

## Annual Goals and Objectives

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

#### Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Housing First - Housing	2015	2019	Homeless	Waikiki Region Waianae Region Downtown Region Citywide	Homeless	HOME: \$1,200,000	Tenant-based rental assistance / Rapid Rehousing: 100 Households Assisted
2	Homeless Services	2015	2019	Homeless	Citywide	Homeless	CDBG: \$641,383 ESG: \$258,615 General Fund: \$1,777,791	Public service activities other than Low/Moderate Income Housing Benefit: 1,708 Persons Assisted Public service activities for Low/Moderate Income Housing Benefit: 560 Households Assisted
3	Homeless Prevention	2015	2019	Homeless	Wahiawa Citywide	Homeless	HOME: \$1,765,090 ESG: \$1,539,176 General Fund: \$120,000	Tenant-based rental assistance: 218 Households Assisted Homelessness Prevention: 79 Households Assisted Rapid Rehousing: 128 Households Assisted



Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
4	Housing - Development	2015	2019	Affordable Housing	Citywide	Affordable Housing	HOME: \$1,492,051  HTF: \$1,350,000	Rental units constructed: 24 Household Housing Unit Homeowner Housing Rehabilitated: 4 Household Housing Unit
5	Housing - Down Payment Assistance	2015	2019	Affordable Housing	Citywide	Affordable Housing	HOME: \$610,000	Direct Financial Assistance to Homebuyers: 15 Households Assisted
6	Domestic Violence Services	2015	2019	Non-Housing Community Development	Citywide	Public Services	CDBG: \$466,185	Public service activities other than Low/Moderate Income Housing Benefit: 510 Persons Assisted
7	Services to LMI Population	2015	2015	Non-Housing Community Development	Citywide	Public Services	CDBG: \$18,931 HOPWA: \$486,061	Public service activities other than Low/Moderate Income Housing Benefit: 195 Persons Assisted
8	Public Facilities - Non-Homeless	2015	2019	Non-Housing Community Development	Waianae Region Citywide	Public Facilities	CDBG: \$5,122,171	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 185 Persons Assisted Public Facility or Infrastructure Activities for Low/Moderate Income Housing Benefit: 111,993 Households Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
9	Administration	2015	2019	Administration	Citywide	Administration, Planning, and Monitoring	CDBG: \$1,562,168 HOPWA: \$15,033 HOME: \$285,238 ESG: \$105,000 General Fund: \$75,000 HTF: \$75,000	Other: 11 Other

**Table 6 – Goals Summary**

## Goal Descriptions

1	<b>Goal Name</b>	Housing First - Housing
	<b>Goal Description</b>	Development of housing to support the City's Housing First approach to ending homelessness. Acquisition or renovation of a building or units to support the City's Housing First approach to ending homelessness. Provide Housing First Tenant Based Rental Assistance to persons and/or families experiencing homelessness.
2	<b>Goal Name</b>	Homeless Services
	<b>Goal Description</b>	Provide services to persons experiencing homelessness including case management; work readiness and employment assistance; one stop resource centers to access services; housing placement services; and legal services.
3	<b>Goal Name</b>	Homeless Prevention
	<b>Goal Description</b>	Provide homeless prevention services including, but not limited to, emergency rental and utility assistance to persons and/or families experiencing homelessness and/or persons and/or families at risk of homelessness. Provide Re-housing services including, but not limited to, Tenant Based Rental Assistance to persons and/or families experiencing homelessness and/or persons and/or families at risk of homelessness.
4	<b>Goal Name</b>	Housing - Development
	<b>Goal Description</b>	Development of new and preservation of existing affordable and special needs rental housing.
5	<b>Goal Name</b>	Housing - Down Payment Assistance
	<b>Goal Description</b>	Provide low-interest down payment loans and closing costs to LMI homebuyers.
6	<b>Goal Name</b>	Domestic Violence Services
	<b>Goal Description</b>	Provide services to benefit victims of domestic violence.
7	<b>Goal Name</b>	Services to LMI Population

	<b>Goal Description</b>	Provide services to benefit LMI persons, other than the homeless, in the following areas: food; outreach; case management; life skills, remedial and employment training and job development, creation and retention; legal counseling and assistance; literacy; budgeting, financial literacy and asset building; language access and limited English proficiency services; parenting and family strengthening; anger management; housing counseling and eviction prevention; foster family services; services to ex-offenders; transportation; transportation oriented development, and other applicable services.
<b>8</b>	<b>Goal Name</b>	Public Facilities - Non-Homeless
	<b>Goal Description</b>	Acquire, construct or renovate a building to benefit LMI persons, other than the homeless, by providing services for seniors or persons with disabilities; by providing health care including mental health and substance abuse treatment; by providing childcare or activities for youth; or by providing services to persons in need.
<b>9</b>	<b>Goal Name</b>	Administration
	<b>Goal Description</b>	Administer the CDBG, HOME, ESG, HTF, and HOPWA Programs. Maintenance and management of HMIS.

**Table 7 – Goal Descriptions**

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

The City estimates the following based on past HOME performance:

- 100 Extremely Low-Income Families
- 80 Low-Income Families
- 16 Moderate-Income Families

## AP-35 Projects – 91.220(d)

### Introduction:

The following tables list the projects the City's CDBG, HOME, HTF, ESG and HOPWA programs will carry out and/or fund during the City's fiscal year (FY) 17-18

### Projects:

No.	Project Name
1	Department of Budget and Fiscal Services - Fiscal Support
2	Department of Budget and Fiscal Services - Program Administration
3	Department of Community Services - Community Assistance Division
4	Department of Community Services - Community Based Development Division
5	Department of Community Services - Work Readiness Program (PS)
6	City and County of Honolulu – Ena Road Acquisition
7	Gregory House Programs – Young Street Acquisition

No.	CDBG Public Service - Alternate Project Name
1	Gregory House Programs - Support Services (PS)
2	Gregory House Programs - Housing Assistance (PS)
3	Council for Native Hawaiian Advancement - MEAP Program

**Table 8 – CDBG Project Information**

No.	Project Name
1	ALEA Bridge - The Wahiawa HoM Project
2	Department of Budget and Fiscal Services - Program Administration
3	Department of Community Services - Down Payment Loan Program
4	Department of Community Services - Tenant Based Rental Assistance Program
5	Department of Community Services - Tenant Based Rental Assistance Program Administration
6	Honolulu Habitat for Humanity - Building Homes for Low- Income Families
7	IHS, The Institute for Human Services - Clean & Sober Transitions Out of Homelessness

**Table 9 – HOME Project Information**

No.	Project Name
1	Affordable Housing and Economic Development Foundation – Queen Emma Tower
2	Hawaii Community Development Board – Hale Makana O Maili
3	Department of Community Services - Program Administration

**Table 10 – HTF Project Information**

<b>No.</b>	<b>Project Name</b>
1	ALEA Bridge – Wahiawa HoM Project
2	Alternative Structure International, Inc. – ASI Rapid Rehousing for Oahu Chronically Homeless Households.
3	Catholic Charities Hawaii – Maililand Transitional Shelter
4	Child and Family Service – Domestic Abuse Shelters
5	Homeless Management Information System (HMIS)
6	Department of Community Services – Program Administration
7	Family Promise of Hawaii – Housing Placement for Homeless Families with Children
8	Gregory House Programs – Emergency Solutions Program
9	Hale Kipa – Emergency Shelters for Youth
10	IHS, The Institute for Human Services, Inc. – Rapid Re-Housing
11	IHS, The Institute for Human Services, Inc. – Sumner Street Emergency Shelter
12	Kalihi-Palama Health Center – Emergency Relief Program
13	Parents and Children Together – Ohia Domestic Violence Shelter
14	United States Veterans Initiative – Emergency Shelters for Homeless Veterans
15	United States Veterans Initiative - Rapid Re Housing
16	Women in Need – Ala I Ka Kupaa
17	ESG Supplemental Funding

**Table 11 – ESG Project Information**

<b>No.</b>	<b>Project Name</b>
1	Department of Community Services – Program Administration
2	Gregory House Programs – Financial Assistance and Support Services for Persons with HIV/AIDS
3	Life Foundation – Support Services for Persons with HIV/AIDS

**Table 12 – HOPWA Project Information**

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

As a requirement to continuing to receive funds from HUD, the City must submit annually a one-year action plan which details the housing and community development activities that it intends to carry out using monies from HUD entitlement programs (i.e. CDBG, HOME, ESG, HOPWA, NHTF). The City will identify and reserve portions of funding for City capital improvement and public service projects (City Sponsored Initiatives) and may reserve portions of the funding for delayed projects carried forward from prior-year Action Plan(s). Subject to the availability of funds, proposals from qualified non-profits are solicited annually through a Notice of Funding Availability process for CDBG public service projects, HOME, NHTF, and ESG projects and every two years for HOPWA projects.

Funding decisions for the annual action plan are based on the needs and strategies identified in the amended Consolidated Plan. City staff will review all proposals for eligibility, timeliness, and other factors related to HUD requirements. Funding recommendations for the ESG, HOPWA, and HTF programs will be made by selection committees comprised of members from various nonprofit agencies with oversight

provided by City staff. All eligible CDBG, HOME, ESG, HOPWA, and HTF proposals will be forwarded to the Managing Director who will select the projects for funding.

All funding recommendations are presented to the public for comment and the City Council for approval before being submitted to HUD.

For the CDBG, HOME, ESG, HOPWA and HTF programs, the City may include a list of alternate projects each year in the Annual Action Plan. If funds become available from program income or because a funded project is delayed, canceled, performed at a lower cost than the budgeted amount, or proves not feasible for funding, the Administration may select an alternate project from the current Annual Action Plan.

In the event that projects recommended for funding are not proceeding in a timely manner or other issues are encountered, which will jeopardize current and/or future HUD entitlement programs funding, the Administration may, in accordance with any applicable ordinance requirements or budget procedures, re-direct funds to any of the following activities, in any order:

- Increased funding for projects selected under the current-year Action Plan or previously selected under a prior year Action Plan, where the funds can be spent within twelve (12) months after contract amendment;
- Capital Improvement Projects undertaken by the City that: (1) fulfill the CDBG National Objective of principally benefiting low and moderate income persons; (2) are identified in the City budget; and (3) require additional funding.
- Property acquisition projects either by the City or by non-profit subrecipients that fulfill either the CDBG National Objective of principally benefiting low and moderate income persons or HOME or NHTF program eligibility requirements;
- Capital Improvement or Acquisition Projects on prior year Alternate Lists that have the requisite approvals and permits in place and are ready for construction so that CDBG, HOME, or NHTF funds can be spent within twelve (12) months upon contract execution; and
- Other Projects which have previously completed a Competitive Selection process, within the last two years, conducted by the City and County of Honolulu that have the requisite approvals and permits in place and are ready for construction so that CDBG funds can be spent within twelve (12) months upon contract execution.

Upon identification of eligible projects and prior to the submission of any required Action Plan amendment or reprogramming resolution, the Administration shall provide the City Council with a list of said projects.

Obstacles to addressing underserved needs stem from a lack of funding, although the City will collaborate with other agencies to address any shortfalls.

# Projects

## AP-38 Projects Summary

### Project Summary Information:

	<b>Project Name</b>	Department of Budget and Fiscal Services - Program Administration - BHO17AD
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Administration
	<b>Needs Addressed</b>	Administration, Planning, and Monitoring
	<b>Funding</b>	CDBG: \$574,546
	<b>Description</b>	Provision of grant funds for administration of City HUD-funded programs. This is a continuation project. CDBG funds will be used for General Program Administration, eligible under 24 CFR 570.206(a).
	<b>Target Date of Completion</b>	6/30/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	This project is administration only.
	<b>Location Description</b>	530 South King Street, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Partial Funding for 10 positions = 9 FTE. Federal Grants Coordinator (1), Planners (8), and a Senior Clerk Typist (1). Time sheets are submitted to accurately reflect staff time being charged to the program.



	<b>Project Name</b>	Department of Budget and Fiscal Services - Fiscal Support - BHO17AD
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Administration
	<b>Needs Addressed</b>	Administration, Planning, and Monitoring
	<b>Funding</b>	CDBG: \$93,864
	<b>Description</b>	Provision of grant funds for fiscal support of HUD-funded programs. This is a continuation project. CDBG funds will be used for General Program Administration, eligible under 24 CFR 570.206(a).
	<b>Target Date of Completion</b>	6/30/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	This project is administration only.
	<b>Location Description</b>	650 South King Street, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Partial Funding for 6 positions = 2 FTE. This is a continuation project. Account Clerk (1), Accountant II (1), Accountant III (2), Accountant IV (1), and Accountant V (1). Time sheets are submitted to accurately reflect staff time being charged to the program.

	<b>Project Name</b>	Department of Community Services - Community Assistance Division - BHO17AD
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Administration
	<b>Needs Addressed</b>	Administration, Planning, and Monitoring
	<b>Funding</b>	CDBG: \$117,332
	<b>Description</b>	Provision of grant funds for administrative support of the DCS Community Assistance Division (CAD). This is a continuation project. CDBG funds will be used for General Program Administration, eligible under 24 CFR 570.206(a).
	<b>Target Date of Completion</b>	6/30/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	This project is administration only.
	<b>Location Description</b>	51 Merchant Street, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Partial Funding for 9 positions = 3 FTE. Branch Chief (1), Rehab Loan Specialists (2), Urban Rehab Inspectors (3), Rehab Loan Clerk (1), and Senior Clerk Typists (2). Time sheets are submitted to accurately reflect staff time being charged to the program.

	<b>Project Name</b>	Department of Community Services - Community Based Development Division - BHO17AD
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Administration
	<b>Needs Addressed</b>	Administration, Planning, and Monitoring
	<b>Funding</b>	CDBG: \$613,354
	<b>Description</b>	Provision of grant funds for administrative support of the DCS Community-Based Development Division (CBDD). The City certifies that CDBG administrative funds will not be used to pay for staff time administering the ESG, HOPWA, and CoC programs. This is a continuation project. CDBG funds will be used for General Program Administration, eligible under 24 CFR 570.206(a).
	<b>Target Date of Completion</b>	6/30/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	This project is administration only.
	<b>Location Description</b>	715 South King Street, Suite 311, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Partial Funding for 16 positions = 16 FTE. Administrator (1), Planners (12), Standards and Specifications Clerks (2), and a Senior Clerk Typist (1). Time sheets are submitted to accurately reflect staff time being charged to the program.

	<b>Project Name</b>	Department of Community Services - Work Readiness Program (PS) - BHO17SG
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homeless
	<b>Funding</b>	CDBG: \$320,000
	<b>Description</b>	<p>Provision of grant funds for staff and operating costs for the Work Readiness Program, an employment and work readiness program for persons experiencing homelessness. Services include work readiness and life skills training, financial management, vocational training in a classroom or worksite setting, and job search skills training. This is a continuation project.</p> <p>CDBG funds will be used to provide employment services, eligible under 24 CFR 570.201(e), and will meet the CDBG national objective described in 24 CFR 570.208(a)(2)(i)(A), an activity that benefits a clientele (homeless persons) who are generally presumed to be principally low- and moderate-income persons.</p>
	<b>Target Date of Completion</b>	6/30/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 180 persons/families experiencing homelessness will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	1505 Dillingham Boulevard, Room 216, Honolulu, Hawaii 96817
	<b>Planned Activities</b>	Approximately 180 persons experiencing homelessness will be provided services including, but not limited to, work readiness and life skills training, financial management, vocational training in a classroom or worksite setting, and job search skills training.

	<b>Project Name</b>	City and County of Honolulu – Ena Road Acquisition
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Hosing – Development
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	CDBG: \$6,850,000
	<b>Description</b>	<p>Acquisition of a property, located in Waikiki, which would provide affordable housing to low- and moderate income households. The City proposes to acquire the property in fee simple, then convey the property on a lease or operating license basis to an agency that will oversee the management and operation of the property.</p> <p>CDBG funds will be used for the acquisition of real property for a public purpose, eligible under 24 CFR §570.201(a), relocation payments required in connection with a CDBG activity, eligible under 24 CFR §570.201 (i), and will meet the CDBG national objective described in 24 CFR §570.208(a)(3), a housing activity carried out for the purpose of providing or improving permanent residential structures which, upon completion, will be occupied by low- and moderate-income households.</p>
	<b>Target Date of Completion</b>	8/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Low-income households will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	Waikiki.
	<b>Planned Activities</b>	Acquisition of affordable rental units for low-income households.

	<b>Project Name</b>	Gregory House Programs – Young Street Acquisition
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Housing - Development
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	CDBG: \$650,000
	<b>Description</b>	<p>Acquisition of two (2) buildings, consisting of four (4) one-bedroom/one-bathroom units, four (4) two - bedroom/one-bathroom unit, and two (2) three-bedroom,/one-bathroom units, to be occupied by low income households and, if needed, relocation benefits.</p> <p>CDBG funds will be used for the acquisition of real property for a public purpose, eligible under 24 CFR §570.201(a), relocation payments required in connection with a CDBG activity, eligible under 24 CFR §570.201 (i), and will meet the CDBG national objective described in 24 CFR §570.208(a)(3), a housing activity carried out for the purpose of providing or improving permanent residential structures which, upon completion, will be occupied by low- and moderate-income households.</p>
	<b>Target Date of Completion</b>	8/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately ten (10) low-income households will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	Location Suppressed
	<b>Planned Activities</b>	Acquisition of affordable rental units for low-income households.

	<b>Project Name</b>	Gregory House Programs - Support Services (PS) - BHO17SS (CDBG Public Services Alternate #1)
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Services to LMI Population
	<b>Needs Addressed</b>	Public Services
	<b>Funding</b>	CDBG: \$250,000
	<b>Description</b>	<p>Provision of grant funds to provide supportive services, in the form of supplemental food and case management services, to 320 individuals and families with HIV/AIDS. This is a continuation project.</p> <p>CDBG funds will be used to provide supportive services, eligible under 24 CFR 570.201(e), and will meet the CDBG national objective described in 24 CFR 570.208(a)(2)(i)(A), an activity that benefits a clientele (persons living with HIV/AIDS) who are generally presumed to be principally low- and moderate-income persons.</p>
	<b>Target Date of Completion</b>	8/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 320 individuals and families with HIV/AIDS will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	200 North Vineyard Blvd., A310, Honolulu, Hawaii 96817
	<b>Planned Activities</b>	Approximately 320 individuals and families with HIV/AIDS will be provided supportive services, in the form of supplemental food and case management services.

	<b>Project Name</b>	Council for Native Hawaiian Advancement - MEAP Program - BHO17SG (CDBG Public Services Alternate #2)
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Services to LMI Population
	<b>Needs Addressed</b>	Public Services
	<b>Funding</b>	CDBG: \$82,544
	<b>Description</b>	<p>Provision of grant funds for staff and operating costs for the Micro-Enterprise Assistance Program (MEAP), which provides participants with the tools and resources necessary to support micro-enterprise development. This is a new project.</p> <p>CDBG funds will be used to provide services to low/moderate income individuals, eligible under 24 CFR 570.201(e), and will meet the CDBG national objective described in 24 CFR 570.208(a)(2)(i)(B), as an activity which requires information on family size and income so that it is evident that at least 51 percent of the clientele are low- and moderate-income persons.</p>
	<b>Target Date of Completion</b>	8/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately fifteen (15) low/moderate income individuals will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	2149 Lauwiliwili Street, Suite 200, Kapolei, HI 96707
	<b>Planned Activities</b>	Approximately fifteen (15) low/moderate income individuals will be provided financial literacy classes, micro-enterprise group trainings and individual technical assistance to complete a business plan.



	<b>Project Name</b>	ALEA Bridge - The Wahiawa HoM Project - MBO17TB
	<b>Target Area</b>	Wahiawa
	<b>Goals Supported</b>	Homeless Prevention
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$753,368
	<b>Description</b>	<p>Provision of grant funds to provide rental assistance services to eligible low-income persons. This is a new project.</p> <p>HOME funds will be utilized to provide tenant-based rental assistance, including security deposits, eligible under 24 CFR 92.209.</p>
	<b>Target Date of Completion</b>	8/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 40 low income households will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	P.O. Box 893573, Mililani, HI 96789
	<b>Planned Activities</b>	Approximately 40 low-income households will be provided rental assistance.

	<b>Project Name</b>	Department of Budget and Fiscal Services - Program Administration - MHO17AD
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Administration
	<b>Needs Addressed</b>	Administration, Planning, and Monitoring
	<b>Funding</b>	HOME: \$55,774
	<b>Description</b>	Provision of grant funds for the administration and coordination of the HOME program. This is a continuation project. HOME funds will be utilized to provide administrative costs, eligible under 24 CFR 92.207(a)(1).
	<b>Target Date of Completion</b>	6/30/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	This project is administration only.
	<b>Location Description</b>	530 South King Street, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Partial funding for 10 positions = 1 FTE. Federal Grants Coordinator (1), Planners (8), and a Senior Clerk Typist (1). Time sheets are submitted to accurately reflect staff time being charged to the program.

	<b>Project Name</b>	Department of Community Services - Down Payment Loan Program - MHO17HB
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Housing - Down Payment Assistance
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$20,883; HOME Program Income: \$589,117
	<b>Description</b>	Provision of grant funds to assist low-income, first-time homebuyers. This is a continuation project. HOME funds will be utilized to provide assistance to home buyers, eligible under 24 CFR 92.206(c).
	<b>Target Date of Completion</b>	8/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 15 low-income first-time homebuyers will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	51 Merchant Street, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Approximately 15 low-income first-time homebuyers will be provided zero interest down payment loans.

	<b>Project Name</b>	Department of Community Services - Tenant Based Rental Assistance Program - MHO17TB
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Prevention
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$600,000
	<b>Description</b>	Provision of grant funds to expand rental assistance services to eligible low-income persons. This is a continuation project.  HOME funds will be utilized to provide tenant-based rental assistance, including security deposits, eligible under 24 CFR 92.209.
	<b>Target Date of Completion</b>	6/30/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 80 low-income households will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	1505 Dillingham Boulevard, Room 216, Honolulu, Hawaii 96817
	<b>Planned Activities</b>	Approximately 80 low-income households will be provided rental assistance.

	<b>Project Name</b>	Department of Community Services - Tenant Based Rental Assistance Program Administration - MHIO17AD
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Administration
	<b>Needs Addressed</b>	Administration, Planning, and Monitoring
	<b>Funding</b>	HOME: \$229,464
	<b>Description</b>	Provision of grant funds for the administration and coordination of the Tenant Based Rental Assistance program. This is a continuation project. HOME funds will be utilized to provide administrative costs, eligible under 24 CFR 92.207(a)(1).
	<b>Target Date of Completion</b>	6/30/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	This project is administration only.
	<b>Location Description</b>	1505 Dillingham Boulevard, Room 216, Honolulu, Hawaii 96817
	<b>Planned Activities</b>	Partial funding for 6 positions = 6 FTE. Administrator (1), Housing Assistant (1), Community Service Specialists (2), Planner (1), Clerk Typist (1), and Accountant III (1). Time sheets are submitted to accurately reflect staff time being charged to the program.

	<b>Project Name</b>	Honolulu Habitat for Humanity - Building Homes for Low-Income Families - MHO17NC
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Housing - Development
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$936,000
	<b>Description</b>	Provision of grant funds for the demolition and re-construction of four (4) homes currently occupied by low-income families. This is a new project.  HOME funds will be utilized to develop and support affordable housing, through new construction, eligible under 24 CFR 92.206.
	<b>Target Date of Completion</b>	8/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Four (4) low-income households will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	922 Austin Ln C-1, Honolulu, Hawaii 96817
	<b>Planned Activities</b>	Re-construction of four (4) homes currently occupied by low-income households.

	<b>Project Name</b>	IHS, The Institute for Human Services - Clean & Sober Transitions Out of Homelessness 2018 - MHO17TB
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Prevention
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$411,722
	<b>Description</b>	Provision of grant funds to provide rental assistance services to homeless adults who are substance abusers. This is a continuation project. HOME funds will be utilized to provide tenant-based rental assistance, including security deposits, eligible under 24 CFR 92.209.
	<b>Target Date of Completion</b>	8/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 98 persons experiencing homelessness who are substance abusers will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	546 Kaaahi Street, Honolulu, Hawaii 96817
	<b>Planned Activities</b>	Approximately 98 persons experiencing homelessness who are substance abusers will be provided rental assistance and supportive services.

	<b>Project Name</b>	Affordable Housing and Economic Development Foundation – Queen Emma Tower
	<b>Target Area</b>	Downtown
	<b>Goals Supported</b>	Housing - Development
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HTF - \$343,815
	<b>Description</b>	Provision of grant funds for the acquisition and redevelopment of three (3) rental units for families at or below 30% AMI in a 71 unit rental housing project. This is a new project. HTF funds will be utilized to develop one or more housing units in a multi-unit project, eligible under 24 CFR §93.200(c).
	<b>Target Date of Completion</b>	6/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately three (3) households at or below 30% AMI will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	1254/1270 Queen Emma Street, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Renovation of existing 12 story dilapidated commercial building for 71 unit rental project.



	<b>Project Name</b>	Hawaii Community Development Board – Hale Makana O Maili
	<b>Target Area</b>	Waianae Region
	<b>Goals Supported</b>	Housing – Development
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HTF - \$1,006,185
	<b>Description</b>	Provision of \$1,006,185 HTF grant funds for the development of five (5) rentals units, of a 52 unit rental project in Waianae for families at or below 30% AMI.  This is a new project. HTF funds will be utilized to develop one or more housing units in a multi-unit project, eligible under 24 CFR §93.200(c).
	<b>Target Date of Completion</b>	6/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately five (5) households at or below 30% AMI will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	87-137 Kulaaupuni Street, Waianae, Hawaii 96792
	<b>Planned Activities</b>	Site acquisition, grading, and construction of townhouse-type 52 unit rental project.

	<b>Project Name</b>	Department of Community Services - Program Administration
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Administration
	<b>Needs Addressed</b>	Administration, Planning, and Monitoring
	<b>Funding</b>	HTF - \$75,000
	<b>Description</b>	Provision of grant funds for the administration and coordination of the HTF program. This is a new project. HTF funds will be utilized to provide administrative costs, eligible under 24 CFR §93.200(a)(1).
	<b>Target Date of Completion</b>	6/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	This project is administration only.
	<b>Location Description</b>	925 Dillingham Boulevard, Suite 200, Honolulu Hawaii 96817
	<b>Planned Activities</b>	Partial Funding for 2 positions = 1 FTE. Planner (2). Time sheets are submitted to accurately reflect staff time being charged to the program.

	<b>Project Name</b>	ALEA Bridge – Wahiawa HoM Project
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Prevention
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$ 100,000
	<b>Description</b>	Provision of grant funds for financial assistance, housing relocation and stabilization services for a rapid re-housing program. This is a new project. ESG funds will be utilized to provide rapid re-housing assistance, eligible under 24 CFR §576.104.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 15 households at-risk of becoming homeless will be supported under this project.
	<b>Location Description</b>	219 Crest Avenue, Wahiawa, Hawaii 96786
	<b>Planned Activities</b>	Approximately 15 households at-risk of becoming homeless will be provided financial assistance, housing relocation and stabilization services.

	<b>Project Name</b>	Alternative Structures International – ASI Rapid Rehousing for Oahu Chronically Homeless Households.
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Prevention
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$ 117,196
	<b>Description</b>	Provision of grant funds for financial assistance, housing relocation and stabilization services for a rapid re-housing program. This is a new project. ESG funds will be utilized to provide rapid re-housing assistance, eligible under 24 CFR §576.104.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 15 households at-risk of becoming homeless will be supported under this project.
	<b>Location Description</b>	86-660 Lualualei Homestead Road, Waianae, Hawaii 96792.
	<b>Planned Activities</b>	Approximately 15 households at-risk of becoming homeless will be provided financial assistance, housing relocation and stabilization services.

	<b>Project Name</b>	Catholic Charities Hawaii – Ma’ili Land Transitional Shelter
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$5,000; City General Funds - \$58,000
	<b>Description</b>	Provision of grant funds for operating costs for a transitional shelter for families. No ESG funds will be used for staff costs. This is a continuation project. ESG funds will be utilized for operating costs, eligible under 24 CFR §576.102.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 48 households experiencing homelessness that will be supported under this project.
	<b>Location Description</b>	87-190 and 87-191 Maliona Street, Waianae Hawaii 96792
	<b>Planned Activities</b>	Approximately 48 households experiencing homelessness will be provided transitional shelter.

	<b>Project Name</b>	Child and Family Services - Domestic Abuse Shelters
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$5,000; City General Funds - \$60,000
	<b>Description</b>	Provision of grant funds for operating costs for transitional apartments and emergency shelters for homeless individuals that are victims of domestic violence. No ESG funds will be used for staff costs. This is a continuation project. ESG funds will be utilized for operating costs, eligible under 24 CFR §576.102.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 425 victims of domestic violence will benefit from the activities that will be supported under this project.
	<b>Location Description</b>	Location Suppressed
	<b>Planned Activities</b>	Approximately 425 victims of domestic violence will be provided emergency shelter.

	<b>Project Name</b>	Homeless Management Information System (HMIS)
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$30,000
	<b>Description</b>	Provision of grant funds for the maintenance and management of HMIS. ESG funds will be utilized for the HMIS component, eligible under 24 CFR § 576.107.
	<b>Target Date of Completion</b>	June 30, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	This project is data collection only
	<b>Location Description</b>	715 South King Street, Suite 311, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	HMIS is designated as the homeless Continuum of Care data collection, management and reporting system and is used to collect and maintain client-level data as well as data on the provision of housing and services in the region. Data is pulled from the system for HUD reporting.

	<b>Project Name</b>	Department of Community Services - Program Administration
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Administration
	<b>Needs Addressed</b>	Administration, Planning, and Monitoring
	<b>Funding</b>	ESG Funds - \$44,160; City General Funds - \$105,840
	<b>Description</b>	Provision of grant funds for administrative costs related to the Emergency Solutions Grant (ESG) program. This is a continuation project. ESG funds will be utilized to provide administrative costs, eligible under 24 CFR § 576.108.
	<b>Target Date of Completion</b>	June 30, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	This project is administration only.
	<b>Location Description</b>	715 South King Street, Suite 311, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Partial Funding for 2 positions = 1 FTE. Senior Clerk Typist (1) and a Planner (1). Time sheets are submitted to accurately reflect staff time being charged to the program.



	<b>Project Name</b>	Family Promise of Hawaii – Housing Placement for Homeless Families with Children
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$135,342 Shelter \$ 44,000 Rapid Re-Housing <u>\$ 91,342</u> \$135,342
	<b>Description</b>	Provision of grant funds for essential services for a transitional shelter for families. This is a new project. ESG funds will be utilized to provide rapid re-housing assistance, eligible under 24 CFR §576.104 and essential services and operating costs, eligible under 24 CFR §576.102.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 160 persons experiencing homelessness will be supported under this project.
	<b>Location Description</b>	245 North Kukui Street, Honolulu, Hawaii 96819
	<b>Planned Activities</b>	Approximately 160 persons experiencing homelessness will be provided emergency shelter.

	<b>Project Name</b>	Gregory House Programs – Emergency Solutions Program
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Prevention / Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$372,619 Homelessness Prevention - \$100,000 <u>Rapid Re-Housing - \$272,619</u> \$372,619
	<b>Description</b>	Provision of grant funds for financial assistance, housing relocation and stabilization services for a homelessness prevention and rapid re-housing program. This is a new project. ESG funds will be utilized to provide homeless prevention assistance, eligible under 24 CFR §576.103, rapid re-housing assistance, eligible under 24 CFR §576.104
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 54 households experiencing homelessness or at-risk of becoming homeless will be supported under this project.
	<b>Location Description</b>	200 North Vineyard Boulevard, #A310, Honolulu, Hawaii 96817
	<b>Planned Activities</b>	Approximately 27 households experiencing homelessness and 27 households at-risk of becoming homeless will be provided financial assistance, housing relocation and stabilization services.

	<b>Project Name</b>	Hale Kipa - Emergency Shelters for Youth
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	City General Funds - \$53,000
	<b>Description</b>	Provision of grant funds for essential services for homeless youth. This is a continuation project. ESG funds will be utilized to provide essential services, eligible under 24 CFR §576.102.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 150 youth experiencing homelessness will be supported under this project.
	<b>Location Description</b>	1828 Makuahine St., Honolulu, Hawaii 96819; and 91-1259 Renton Road, Ewa Beach, Hawaii 96706.
	<b>Planned Activities</b>	Approximately 150 youth experiencing homelessness will be provided emergency shelter.

	<b>Project Name</b>	IHS, The Institute for Human Services - Rapid Re-Housing
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$278,567
	<b>Description</b>	Provision of grant funds for financial assistance, housing relocation and stabilization services for a rapid re-housing program. This is a continuation project. ESG funds will be utilized to provide rapid re-housing assistance, eligible under 24 CFR §576.104.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 36 households experiencing homelessness or at-risk of becoming homeless will be supported under this project.
	<b>Location Description</b>	916 Ka'amahu Place #A, Honolulu, Hawaii 96817
	<b>Planned Activities</b>	Approximately 36 households experiencing homelessness will be provided financial assistance and stabilization services.

	<b>Project Name</b>	IHS, The Institute for Human Services - Sumner Street Emergency Shelter
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	City General Funds - \$229,085
	<b>Description</b>	Provision of grant funds for operating costs and essential services at the Sumner Street Emergency Shelter for Men. This is a continuation project. ESG funds will be utilized to provide essential services and operating costs, eligible under 24 CFR §576.102.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 650 males experiencing homelessness will be supported under this project.
	<b>Location Description</b>	350 Sumner Street, Honolulu, Hawaii 96817
	<b>Planned Activities</b>	Approximately 650 males experiencing homelessness will be provided emergency shelter.

	<b>Project Name</b>	Kalihi-Palama Health Center – Emergency Relief Program
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Prevention
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$ 200,000 Homelessness Prevention - \$ 64,634 Rapid Re-Housing - <u>\$135,366</u> \$200,000
	<b>Description</b>	Provision of grant funds for financial assistance, housing relocation and stabilization services for a homelessness prevention and rapid re-housing program. This is a new project. ESG funds will be utilized to provide homeless prevention assistance, eligible under 24 CFR §576.103 and rapid re-housing assistance, eligible under 24 CFR §576.104.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 76 households experiencing homelessness or at-risk of becoming homeless will be supported under this project.
	<b>Location Description</b>	915 North King Street, Honolulu, Hawaii 96817
	<b>Planned Activities</b>	Approximately 36 households experiencing homelessness and 40 households at-risk of becoming homeless will be provided financial assistance, housing relocation and stabilization services.

	<b>Project Name</b>	Parents and Children Together – Ohia Domestic Violence Shelter
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$172,949 Shelter (ESG Funds) \$ 45,455 Homeless Prevention (ESG Funds) \$ 6,631 Rapid Re-Housing (ESG Funds) <u>\$120,863</u> \$172,949
	<b>Description</b>	Provision of grant funds for emergency shelter operations, homelessness prevention assistance, and rapid re-housing assistance for victims of domestic violence. This is a continuation project. ESG funds will be utilized to provide essential services and operating costs, eligible under 24 CFR §576.102, homeless prevention assistance, eligible under 24 CFR §576.103, and rapid re-housing assistance, eligible under 24 CFR §576.104.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 60 persons (shelter) and 11 households (rapid re-housing) experiencing homelessness will be supported under this project.
	<b>Location Description</b>	Location suppressed
	<b>Planned Activities</b>	Approximately 60 persons experiencing homelessness will be provided emergency shelter and 11 households experiencing homelessness will be provided financial assistance, housing relocation and stabilization services.

	<b>Project Name</b>	United States Veterans Initiative – Emergency Shelters for Homeless Veterans
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	City General Funds - \$150,000
	<b>Description</b>	Provision of grant funds for operating costs and essential services for Senior HOPTEL and Single Male HOPTEL, emergency shelter for homeless veterans. This is a continuation project. ESG funds will be utilized to provide essential services and operating costs, eligible under 24 CFR §576.102.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 90 veterans experiencing homelessness will be supported under this project.
	<b>Location Description</b>	91-1200 Keaunui Drive, #21, Ewa Beach Hawaii 96706; 2343 Amokemoke Street, Pearl City, Hawaii 96782; and 1175 Hookahi Street, Pearl City, Hawaii 96782
	<b>Planned Activities</b>	Approximately 90 veterans experiencing homelessness will be provided emergency shelter.



	<b>Project Name</b>	United States Veterans Initiative –Rapid Re-Housing
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$336,592
	<b>Description</b>	Provision of grant funds for financial assistance, housing relocation and stabilization services for a rapid re-housing program. This is a continuation project. ESG funds will be utilized to provide rapid re-housing assistance, eligible under 24 CFR §576.104.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 14 households experiencing homelessness will be supported under this project.
	<b>Location Description</b>	85-638 Farrington Highway, Waianae, Hawaii 96792; and Building 37 Shangrila Street, Kapolei, Hawaii 96707
	<b>Planned Activities</b>	Approximately 14 households experiencing homelessness will be provided financial assistance, housing relocation and stabilization services.

	<b>Project Name</b>	Women in Need – Ala I Ka Kupa`a
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services / Homeless Prevention
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG Funds - \$140,366 Shelter \$105,000 Rapid Re-Housing <u>\$ 35,366</u> \$140,366
	<b>Description</b>	Provision of grant funds for emergency shelter operations and homelessness prevention assistance for victims of domestic violence. This is a new project. ESG funds will be utilized to provide essential services and operating costs, eligible under 24 CFR §576.102 and financial assistance and housing relocation and stabilization services assistance, eligible under 24 CFR §576.104.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 10 households experiencing homelessness and 16 households at risk of homelessness will be supported under this project.
	<b>Location Description</b>	99-159 Puakala Street., Aiea, Hawaii 96701; 86-914 Pukui Place, Waianae, Hawaii 96792; and 98-939 Moanalua Road, Aiea, Hawaii 96701
	<b>Planned Activities</b>	Approximately 10 households experiencing homelessness will be provided emergency shelter and 16 households at risk of homelessness will be provided financial assistance, housing relocation and stabilization services.

	<b>Project Name</b>	ESG Match
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Homeless Services / Homeless Prevention
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	City General Funds - \$1,281,866
	<b>Description</b>	Provision of grant funds for emergency shelter operations and homelessness prevention assistance for victims of domestic violence. This is a new project. Funds will be utilized to provide essential services and operating costs, eligible under 24 CFR §576.102.
	<b>Target Date of Completion</b>	August 31, 2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 50 persons experiencing homelessness will be supported under this project.
	<b>Location Description</b>	715 South King Street, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Approximately 50 persons experiencing homelessness will be provided emergency shelter.

	<b>Project Name</b>	Gregory House Program
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Services to LMI Population
	<b>Needs Addressed</b>	Public Services
	<b>Funding</b>	HOPWA: \$403,430
	<b>Description</b>	Provision of funds for tenant-based rental assistance, short-term rent/mortgage/utility assistance, supportive services, and administrative expenses to support persons with HIV/AIDS. HOPWA funds will be utilized to provide the following: Project- or tenant-based rental assistance (\$352,265), eligible under 24 CFR 574.300(b)(5); Short-term rent, mortgage, and utility payments (\$12,000), eligible under 24 CFR 574.300(b)(6); Supportive services (\$15,750), eligible under 24 CFR 574.300(b)(7); and Payment of reasonable administrative expense (\$23,415), eligible under 24 CFR 574.300(b)(10)(ii).
	<b>Target Date of Completion</b>	8/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 35 persons with HIV/AIDS and their families will be supported under this project.
	<b>Location Description</b>	200 North Vineyard Boulevard, Suite A310, Honolulu, Hawaii 96818
	<b>Planned Activities</b>	Approximately 35 persons with HIV/AIDS and their families will be provided tenant-based rental assistance, short-term rent/mortgage/utility assistance, and supportive services.

	<b>Project Name</b>	Life Foundation
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Services to LMI Population
	<b>Needs Addressed</b>	Public Services
	<b>Funding</b>	HOPWA: \$82,631
	<b>Description</b>	Provision of funds for supportive services to support persons with HIV/AIDS. HOPWA funds will be utilized to provide supportive services, eligible under 24 CFR 574.300(b)(7).
	<b>Target Date of Completion</b>	8/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 150 persons with HIV/AIDS and their families will be supported under this project.
	<b>Location Description</b>	677 Ala Moana Boulevard, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Approximately 150 persons with HIV/AIDS will be provided supportive services.

	<b>Project Name</b>	Department of Community Services - Program Administration
	<b>Target Area</b>	Citywide
	<b>Goals Supported</b>	Administration
	<b>Needs Addressed</b>	Administration, Planning, and Monitoring
	<b>Funding</b>	HOPWA: \$15,033
	<b>Description</b>	Provision of funds for administrative support of the HOPWA program. HOPWA funds will be utilized to provide payment of reasonable administrative expense, eligible under 24 CFR 574.300(b)(10)(i).
	<b>Target Date of Completion</b>	6/30/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	This project is administration only.
	<b>Location Description</b>	715 South King Street, Honolulu, Hawaii 96813
	<b>Planned Activities</b>	Partial Funding for 1 position = .5 FTE. Planner (1). Time sheets are submitted to accurately reflect staff time being charged to the program.

**Table 13 – Project Summary**

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

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

The City generally does not target the use of entitlement funds in any particular area. Instead, the City uses entitlement funds where its impact will be greatest and where opportunities arise.

However, the City's Housing First Model to end homelessness will target the Waianae Coast, Downtown Honolulu, and East Honolulu areas and funds may be targeted to the Wahiawa NRSA.

### **Geographic Distribution**

<b>Target Area</b>	<b>Percentage of Funds</b>
Citywide	78.85%
Downtown Honolulu	2.68%
East Honolulu	2.68%
McCully-Moiliili	2.88%
Waianae Coast	7.84%
Wahiawa NRSA	5.06%

**Table 14 - Geographic Distribution**

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

Allocations to specific geographic areas within the City are dependent on the projects proposed for funding, and the selections made by the Selection Committee. No area of the City is excluded from the use of such funds; therefore, agencies serving qualifying LMI populations have an equal footing to receive funding.

However, the City's Housing First Model to end homelessness is a local priority based on the City's strategic development scheme and assessment.

Furthermore, in 2012, the Honolulu City Council passed Resolution 12-11, which stated that no less than 20% of all CDBG funds shall be expended on programs undertaken in NRSAs. The City will continue to support the strategic plan of its existing eligible NRSA and is committed to support the creation of new NRSAs.

### **Discussion**

All HUD funded programs are either targeted directly to low- or moderate-income persons/households or to geographic areas with a majority of low- or moderate-income persons/households.

## Affordable Housing

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

The Consolidated Plan priorities are based on the results of conducting needs assessments and market analyses, consultations with community groups, an on-line survey and collaborations with other agencies. Through the consultation process the City has identified the lack of affordable housing to be one of the highest priority needs for the next five year period and anticipates funding the following affordable housing priorities:

- Development of new and preservation of existing affordable and special needs rental housing.
- Low-interest down payment loans and closing costs to low- and moderate-income homebuyers.
- Low-interest rehabilitation loans to low- and moderate-income homeowners to correct conditions in deteriorated homes.

One Year Goals for the Number of Households to be Supported	
Homeless	218
Non-Homeless	4
Special-Needs	16
<b>Total</b>	<b>238</b>

Table 15 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	218
The Production of New Units	0
Rehab of Existing Units	4
Acquisition of Existing Units	16
<b>Total</b>	<b>238</b>

Table 16 - One Year Goals for Affordable Housing by Support Type

### Discussion:

See above.



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

### **Introduction:**

The Hawaii Public Housing Authority (HPHA) owns and operates public housing for the State of Hawaii. The City and the four other Hawaii counties work with the HPHA on public and assisted housing.

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

At this time, the City currently has no plans to contribute federal funds to public housing.

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

Not applicable.

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

Not applicable.

### **Discussion:**

At this time, the City currently has no plans to contribute federal funds to public housing.

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

### **Introduction**

Homelessness is the top priority of the City Administration and City Council. It is also a top concern expressed by the public. The dire situation is captured by data collected and reported through the State's 2014 Homeless Service Utilization Report and Point in Time Count Report.

**Describe the jurisdictions one-year goals and actions for reducing and ending homelessness including: Reaching out to homeless persons (especially unsheltered persons) and assessing their individual needs:**

Within the Partners In Care - Oahu Continuum of Care (PIC), there are providers who specialize in providing outreach and assistance to homeless individuals and families.

**Addressing the emergency shelter and transitional housing needs of homeless persons:**

The Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH) Act, enacted into law on May 20, 2009, consolidates three of the separate homeless assistance programs administered by HUD under the McKinney-Vento Homeless Assistance Act into a single grant program, revised the Emergency Shelter Grants program and renamed it the HEARTH Act Emergency Solutions Grants (ESG) program and referred to as the Emergency Solutions Grants Program. The HEARTH Act also codifies into law the Continuum of Care planning process, a longstanding part of HUD's application process to assist homeless persons by providing greater coordination in responding to their needs. Under the 1999 Continuum of Care Homeless Assistance Program competitive grant there are three categories: Supportive Housing Program (SHP), Shelter Plus Care Program (S+C) and Moderate Rehabilitation for Single Room Occupancy Dwellings Program (SRO). The Transitional Housing Program element of the Supportive Housing Program provides rehabilitation funding to create transitional shelters for the homeless, as well as operating funds for supportive services programs. The Supplemental Assistance For Facilities To Assist The Homeless Program (SAFAH) supplements assistance provided under the Emergency Solutions Grants (ESG) Program or Supportive Housing Program. These funds can be used for emergency shelters, transitional and permanent housing, supportive services, property acquisition/rehabilitation and operating expenses.

The City will continue to utilize the Emergency Solutions Grant to fund Emergency Shelter Services (essential services and operational costs) to assist shelters and transitional housing programs with the operating costs of those facilities. Rapid Re-Housing, under ESG, allows persons in emergency and transitional housing programs that come from the streets and or shelters to be quickly housed.

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

The Housing First approach to meeting the housing needs of the chronically homeless is being implemented by the City. The approach reverses the existing practice of “stabilizing” conditions first before helping a client find housing. It is anticipated that Housing First will lead to more success in helping the chronically homeless. The Housing First approach will offer permanent housing as quickly as possible to people experiencing homelessness, especially to people with long histories of homelessness and co-occurring health challenges, while providing the supportive services people need to keep their housing and avoid returning to homelessness.

Also, the Continuum-in-Care Oahu (Partners-in-Care Oahu) is actively involved in identifying priorities for allocating ESG funds. A vulnerability assessment indexing tool is utilized to ensure that needs of eligible clients are addressed successfully and it requires benchmarking, e.g. Homeless Management Information System (HMIS) and Point in Time Count reporting.

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

The City’s residents are served by mainstream programs and services of: the State of Hawaii DOH including its Adult Mental Health Division (AMHD) programs; DHS including its Benefit, Employment, and Support Services Division programs, Social Service Division programs (BESSD), HEALTH-MedQuest Division programs, Office of Youth Services (OYS) programs, Division of Vocational Rehabilitation (DVR) programs; the City and County Oahu WorkLinks programs for employers, jobseekers and youth programs; and the City and County Community-Based Development Division programs. An Oahu Homeless Help Card offer a glimpse of the services and facilities that are part of the network serving homeless clients as provided in the ConPlan.

The DOH AMHD implements discharge planning for all State Hospital patients 90 days prior to discharge and assign case managers. It tracks individuals at-risk of losing housing after initial discharge and mandates that case managers include a plan for transitioning the individual into permanent living arrangements. It also provides an AMHD ACCESS line for helping clients in situations where case management services fell apart. The AMHD has housing providers for homeless clients and these providers

are selected through the State's purchase of goods and services process. As such, the housing facilities can change from time to time.

The DOH implements PATH or Project for Assistance in Transition from Homelessness, a new project funded by the federal Substance Abuse and Mental Services Administration (SAMSA) to provide new substance abuse and mental health services to assist in maintaining housing.

The State Homelessness Program Office operates within the State's BESSD and administers various contracts for the provision of shelter, housing, services for the homeless or those at-risk of becoming homeless. Among these are those that may fund entities focusing on particular homeless sub-populations, e.g. veterans.

The City and County's Oahu WorkLinks Program implements a work readiness and rent-to-work program that targets homeless individuals, older and young adults. The City's Rent To Work program provides temporary rental assistance with HOME funds to eligible individuals experiencing homelessness and provides case management, financial literacy and work readiness training, and employment services with CDBG funds to enhance these individuals' self-sufficiency.

### **Discussion:**

The City's Housing First approach to end homelessness is a major factor to address homelessness.

Also, the City's ESG Program is designed to support activities to provide basic shelter and essential supportive services to persons experiencing homelessness or at-risk of experiencing homelessness.

## AP-70 HOPWA Goals – 91.220 (I)(3)

One year goals for the number of households to be provided housing through the use of HOPWA for:	
Short-term rent, mortgage, and utility assistance to prevent homelessness of the individual or family	6
Tenant-based rental assistance	35
Units provided in permanent housing facilities developed, leased, or operated with HOPWA funds	0
Units provided in transitional short-term housing facilities developed, leased, or operated with HOPWA funds	0
<b>Total</b>	<b>41</b>

**Table 17 - Number of Households to be Provided Housing through HOPWA Funds**

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

### **Introduction**

The City is considered to have one of the strictest land use laws in the United States with the government having an unprecedented degree of control over land development. Regulations which were implemented to address environmental concerns and to establish systematic land use review procedures include regulations that protect sensitive environmental and cultural resources, facilitate connectivity, and maintain public health and safety. The City's Affordable Housing Rules for Unilateral Agreements pertaining to the production of affordable housing is not generating enough housing to meet the needs of households earning 80 percent (80%) or less of the average median income of the City and County of Honolulu (AMI). The City's Land Use Ordinance to allow Accessory Dwelling Units (ADUs) was amended to encourage and accommodate the construction of accessory dwelling units to increase the number of affordable rental units.

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

The City is in the process of revising its Affordable Housing regulations. Currently the Unilateral Agreement required for rezoning (UA) requires that thirty percent of housing, in projects of ten units or more, be affordable to households earning 80% to 140% of AMI for a minimum of ten years. Of this thirty percent, a minimum of twenty percent of the total units must be affordable to those earning up to 120% AMI, of which ten percent of the total units must be affordable to those earning up to 80% AMI.

In light of the City's experience with UA's, research on similar programs across the country, and the documented need for rental housing at lower income levels for a longer period, a new proposed affordable housing requirement would apply to all housing projects (not just rezoning). It would require a lower percentage of units, but at lower AMIs and for a longer period. The proposed requirement provides four options for compliance: on-site construction of affordable units, off-site construction, payment of cash in lieu of construction into a fund dedicated to the production and preservation of affordable housing, dedication of suitable land on which to construct affordable housing, or a combination of these options.

Under all four options, the proposed length of the affordability period is thirty years, or three times the current ten-year period under the UA. However, if any City funds or land are allocated to a project, the required affordability period will likely be 60 years or longer. The requirement can be adjusted to account for varying unit sizes, lower income ranges, or other factors, similar to the way the current Unilateral Agreement rules are administered. Additional information can be found at: <http://www.honoluludpp.org/>

In addition, Ordinance 15-41 amending the City's Land Use Ordinance to allow Accessory Dwelling Units (ADUs) was adopted by the Honolulu City Council on September 2, 2015. The purpose of the amendment is to encourage and accommodate the construction of accessory dwelling units to increase the number of affordable rental units, without substantially altering existing neighborhood character, in order to alleviate the housing shortage in the city.

**Discussion:**

See above.

## **AP-85 Other Actions – 91.220(k)**

### **Introduction:**

The actions listed below are Actions taken by City to meet the requirements of §91.320(j). Other Actions include Meeting Underserved Needs, Fostering and Maintaining Affordable Housing, Lead-Based Paint Hazard Mitigation, Reducing Poverty-Level Households, Developing Institutional Structure, and Coordination of Housing and Services.

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

The City has identified the following actions to address obstacles to meeting underserved needs:

- Housing First approach to end homelessness, which reverses the existing practice of “stabilizing” conditions first before helping a client find housing.
- Collaboration with other agencies to address funding shortfalls.

### **Actions planned to foster and maintain affordable housing:**

The City has identified the following actions to foster and maintain affordable housing:

- Prioritize HOME funds for the creation and maintenance of affordable housing.
- Down Payment Assistance Program, which provides low-interest down payment loans and closing costs to low and moderate income homebuyers.
- Rehabilitation Loan Program, which provides low-interest loans to low and moderate income homeowners to correct conditions in deteriorated homes.

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

The City has identified the following actions to reduce lead-based paint hazards:

- Provide each family receiving federal assistance information regarding Lead Based Paint (LBP) hazards.
- Increase access to housing without LBP hazards through the development of new housing stock.
- Require projects that involve children to plan for reduction of LBP hazards relates to the extent of LBP poisoning and hazards by testing for the presence of lead, mitigating or removing potential hazards, increasing safer environments, and requiring third-party certified clearances.



- LBP hazard reduction is integrated into housing policies and programs by incorporating clauses requiring contractors to use safe work practices; and, in cases of LBP removal, to follow Federal and State regulations.

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

The City has identified the following actions to reduce the number of poverty-level families:

- Commencement of the City's Housing First approach to end homelessness.
- Section 8 Housing Choice Voucher Program rental subsidies to extremely low- and low-income families that are primarily elderly, disabled and those with special needs.
- Family Self-Sufficiency (FSS) program to help families obtain employment that will lead to economic independence and self-sufficiency.
- Homeownership Option Program (HOP), which allows eligible Section 8 families to apply their Section 8 Housing Choice Voucher Program assistance towards a homeownership subsidy rather than rent. Eligible families receive case management services, credit repair counseling, money management education, and referrals to community homebuyer education classes.
- Provide employment training to economically disadvantaged adults and youth, including case management, occupational skills training, educational remediation, motivation and life skills training, job development and placement, and support services such as child care and transportation.

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

The City has identified the following actions to produce an institutional structure:

- Provide technical assistance and capacity building support for non-profits.
- Strengthen the partnerships between the City, State, and HUD.
- Collaborate with the State of Hawaii in the creation of affordable housing.

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

The City has identified the following actions to enhance coordination between public and private housing and social service agencies:

- Collaborate with public and private housing advocates, housing developers, and social service agencies to identify opportunities to work together to produce affordable and supportive housing.
- Collaborate with agencies providing supportive services to the homeless and those at risk of becoming homeless to avoid duplication of services.
- Support the Hawaii Interagency Council on Homelessness as it continues its collaborative efforts to develop strategies to address homeless issues.

**Discussion:**

See above.

## Program Specific Requirements

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

#### Introduction:

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table.

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

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

1. The total amount of program income that will have been received before the start of the next program year and that has not yet been reprogrammed	\$601,615
2. The amount of proceeds from section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in the grantee's strategic plan	\$0
3. The amount of surplus funds from urban renewal settlements	\$0
4. The amount of any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan.	\$0
5. The amount of income from float-funded activities	\$0
<b>Total Program Income</b>	<b>\$601,615</b>

#### **Other CDBG Requirements:**

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

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

The City does not provide any other forms of investment beyond those identified in Section 92.205.

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

The procedure used for the City's Downpayment Loan Program is a recapture procedure. DCS enforces the recapture provisions, which requires homebuyers to occupy the units for a minimum of ten (10) years or repay the prorated portion of the loan. The recapture requirement is written in the Downpayment Loan Program Procedures, as well as in the Use Restriction Agreement drafted for homebuyer closings.

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

For units acquired with HOME funds, the City will utilize both the recapture and resale provisions to ensure the affordability of units. The provision will be determined based on underwriting criteria at the time of review and negotiation of the funding to the project. The provision will be described in the contract between the City and the Developer.

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

The City does not use HOME funds to refinance existing debt.

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

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

The written standards for providing ESG assistance are attached as Appendix 1.

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

The Honolulu Continuum of Care Coordinated Entry System operates as a central gathering point of client data, case conferences, and referrals throughout the continuum. At this time, client data consists primarily of information gathered through the Vulnerability Index - Service Prioritization and Decision Assistance Tool 2.0 (VI-SPDAT 2.0) which is collected by outreach workers and shelter case managers.

Several organizations serve as a backbone on behalf of the Honolulu CoC to assist in the setup and planning work around, entering in the VI-SPDAT 2.0, convening regional case conferences, conducting trainings, and coordinating referrals with the CoC. The Honolulu Continuum of Care is comprised of CoC funded partners as well as non-traditional providers of care to homeless populations from the healthcare sector.

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

The City solicited input from Partners in Care (PIC), the City and County of Honolulu's Continuum of Care, on broad funding allocations through a series of planning committee meetings from May 2016 - July 2016. At the July 2016 planning committee meeting, the City was informed that PIC would not have a funding allocation recommendation for FY18. In August 2016, the City's Department of Community Services' Director approved flat funding with fiscal year 2018 funding levels remaining at the same levels as those for fiscal year 2017.

A Notice of Funding Availability (NOFA) was released on January 30, 2017. Potential applicants were informed of the NOFA through:

- 1) a January 30, 2017 public notice in the Star-Advertiser;
- 2) a January 30, 2017 email to the 500+ stakeholders who had registered with Budget and Fiscal Services' HUD funding opportunities email notification system; and

3) a January 31, 2017 email to PIC's Google group email list.

Hard copies of the application were available for pick-up at the Department of Community Services main office. Electronic versions were also available on request. An informational meeting was held on February 14, 2017 from 10:00 a.m. to 11:00 a.m. During the meeting, an overview of the ESG program and the NOFA process was given which was followed by a question and answer period. Interested parties were also provided the opportunity to ask questions via phone calls or emails to the Department of Community Services.

All of the proposals were reviewed for eligibility by a City staff member, before being forwarded to a three member selection committee comprised of community members recommended by PIC.

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

In developing ESG policies and funding allocations, the City works with PIC, the Honolulu CoC's decision making body that consists of government agencies, non-profit service providers, faith-based groups, other community agencies and consumers.

PIC actively works to engage homeless and formerly homeless persons and has reserved a position on its Executive Committee for a homeless or formerly homeless person.

**5. Describe performance standards for evaluating ESG.**

Performance Standards are included with the ESG Written Standards attached as Appendix 1.

**Discussion:**

See above.

**Housing Trust Fund (HTF)**  
**Reference 24 CFR 91.220(I)(5)**

**1. Distribution of Funds**

**a. Describe the eligibility requirements for recipients of HTF funds (as defined in 24 CFR § 93.2).**

The National Housing Trust Fund (“HTF”), regulated by 24 CFR Part 93, to increase and preserve housing for extremely low- and very low-income households (with incomes at or below 30% and 50% of the Area Median Income, including homeless families. The Hawaii Housing Finance Development Corporation (“HHFDC”) is the HTF “Grantee” for the State of Hawaii. HHFDC, as approved by HUD, uses an Allocation Plan to allocate funds to the City and County of Honolulu (“City”) as well as the other counties (called the “Subgrantees”) for the purpose of providing affordable rental housing to extremely low-income households (not exceeding 30% AMI) including homeless families.

In turn, the City, through a Notice of Funding Availability (NOFA) process, solicits, selects, and awards its HTF funds to eligible, and qualified, nonprofit agencies (called the “Recipients”).

§93.2 Definitions states: “Recipient means an organization, agency, or other entity (including a public housing agency, or a for-profit entity or a nonprofit entity) that receives HTF assistance from a Grantee.

To rise to the level of being considered eligible to be a “Recipient,” a nonprofit agency respondent to the NOFA must be compliant to:

“Subpart E- Eligible and Prohibited Activities §93.200(a)(1) HTF funds may be used for the production, preservation, and rehabilitation of affordable rental housing and affordable housing for first-time homebuyers through the acquisition (including assistance to homebuyers), new construction, reconstruction, or rehabilitation of non-luxury housing with suitable amenities, including real property acquisition, site improvements, conversion, demolition, and other expenses, including financing costs, relocation expenses of any displaced persons, families, businesses, or organizations; for operating costs of HTF-assisted rental housing; and for reasonable administrative and planning costs.... The activities and costs are eligible only if the housing meets the property standards in §93.301, as applicable, upon project completion.

(2) Acquisition of vacant land or demolition must be undertaken only with respect to a particular housing project intended to provide affordable

housing within the time frames established in the definition of “commitment” in §93.2.”

**b. Describe the jurisdiction’s application requirements for eligible recipients to apply for HTF funds.**

Under the presumption that the aforementioned “jurisdiction” is HHFDC and the aforementioned “recipient” is the City: The State of Hawaii Governor designated HHFDC to be Hawaii’s HTF Grantee. States are required to use at least 80% of each annual grant for rental housing; in addition, states may use up to 10% for homeownership housing and up to 10% for administrative and planning costs.

HHFDC decided to distribute HTF funds to its counties through an “Allocation Plan” aimed to develop or preserve rental housing with rents deemed affordable for households with incomes at, or below, 30% AMI. HHFDC, after retaining about 5% of the HTF funds for its administrative costs, allocates 50% of its annual allocation to the City, and rotates the remaining 50% on the same rotational basis as its HOME program.

Under the presumption that the aforementioned “jurisdiction” is the City and the aforementioned “recipient” is a nonprofit agency: The City, through its Consolidated Plan, decided to make its HTF funds available to the following geographic priority areas:

- a. Housing First Model – Scattered sites, based on the City’s strategic development scheme and assessment, in particular the Waianae Coast, Downtown Honolulu, and East Honolulu.
- b. Eligible/Approved Neighborhood Revitalization Strategic Areas (NRSAs).

Of note, is that the City eligibility requirements mirror HHFDC’s Allocation Plan. The City emphasizes that it does not intend to use HTF funds for refinancing of existing debt or homebuyer activities. Therefore, there are no applicable resale, recapture, or affordability provisions related to homebuyer activities.

In regards to application requirements, the City publishes a Notice of Funding Availability (NOFA) to solicit respondents and prescribes application requirements. In brief, an application must:

- 1. Describe the eligible activity in accordance with 24 CFR 93.200
- 2. Demonstrate the applicant’s ability to obligate the HTF funds and undertake eligible activities in a timely manner
- 3. Describe the knowledge and experience of the managers and staff



4. Specify the extent to which rents will be affordable to the target income
5. State the duration of the proposed affordability period for the HTF assisted units
6. Explain how the project meets priority housing needs of the City, including those in its Consolidated Plan
7. Explain how the proposed project relates to the location of existing affordable housing
8. Contain performance goals and benchmarks, including schedules and expenditure schedules
9. Provide updated financial information to include project budget, funding sources and their terms, construction as well as permanent financing
10. Written financial commitments from funding sources
11. Pro forma to establish that the “minimum threshold requirements” (refer to following responses) can be assured
12. For projects involving new construction, explain how the project site provides housing that further complies with civil rights as well as neighborhood requirements in 24 CFR 983.57(e)(2)
13. Contain a certification that units assisted with HTF will comply with all HTF requirements

**c. Describe the selection criteria that the jurisdiction will use to select applications submitted by eligible recipients.**

First and foremost, the City immediately rejects applications that do not meet the following “Minimum Threshold” criteria:

1. Market assessment of the housing needs of the extremely low income individuals to be served by the project
2. Site control substantiated by providing evidence such as an executed lease or sales option agreement
3. For projects that intend to acquire an existing property, a capital needs assessment that assesses a property’s current physical condition and identifies work that must be completed to address health and safety issues, and code violations
4. Debt service ratio
5. Phase 1 environmental site assessment
6. Developer fee
7. Income limits for 30% AMI
8. Rent limits
9. Maximum per unit development subsidy limits

Second, the City strongly considers the following selection criteria:

1. Timeliness and Readiness to Proceed

2. Consolidated Plan Priorities
3. Developer Experience and Financial Capacity
4. Financial Feasibility
5. Use of Non-Federal Funding Sources

- d. **Describe the jurisdiction's required priority for funding based on geographic distribution, which is a description of the geographic areas of the State (including areas of low-income and minority concentration) in which it will direct assistance during the ensuing program year.**

Under the presumption that the jurisdiction is the City, planning documents such as the "Consolidated Plan" and "Action Plan" refer to geographic priority areas:

- a. Housing First Model – Scattered sites, in particular the Waianae Coast, Downtown Honolulu, and East Honolulu
- b. Eligible/Approved Neighborhood Revitalization Strategic Areas (NRSAs), such as the HUD approved Wahiawa NRSA.

- e. **Describe the jurisdiction's required priority for funding based on the applicant's ability to obligate HTF funds and undertake eligible activities in a timely manner.**

Under the presumption that the jurisdiction is the City, the City has elevated the applicant's ability to obligate HTF funds and undertake eligible activities in a timely manner a significant priority by specifying it as a selection criteria as well as a characteristic of the Minimum Threshold that involves the use of 24 CFR 93.300(b) regarding underwriting and pro forma.

- f. **Describe the jurisdiction's required priority for funding based on the extent to which rents for units in the rental project are affordable to extremely low-income families.**

The HHFDC, as the grantee of the HTF program, has stated in its Allocation Plan that it will focus the State's HTF funds on providing rental housing to 30% AMI households. The City and County of Honolulu, as a subgrantee, will comply with the HHFDC focus and utilize HTF resources accordingly. This is confirmed in the City's HTF Allocation Plan that states all HTF rental units must benefit households that earn less than 30% of median income for families with incomes at, or below, the poverty line (whichever is greater) upon initial income certification. The projects selected by the City will need to follow this requirement. Rent limits will be updated as the projects are implemented.

- g. Describe the jurisdiction's required priority for funding based on the financial feasibility of the project beyond the required 30-year period.**

The minimum HTF affordability period is 30 years. Priority to be given to projects with extended affordability periods and project based rental assistance.

- h. Describe the jurisdiction's required priority for funding based on the merits of the application in meeting the priority housing needs of the jurisdiction (such as housing that is accessible to transit or employment centers, housing that includes green building and sustainable development features, or housing that serves special needs populations).**

The City's Consolidated Plan identified a substantial need for affordable housing throughout the City. Consistent with the City's Consolidated Plan, the City will make its allocation of HTF funds available to the following geographic priority areas:

- a. Housing First Model - Scattered sites, in particular the Waianae Coast, Downtown Honolulu, and East Honolulu. These regions are local priority areas based on the City's strategic development scheme and assessment.
- b. Eligible/Approved Neighborhood Revitalization Strategic Areas (NRSAs). The City currently has one (1) HUD approved NRSA, the Wahiawa NRSA. The City is committed to supporting eligible NRSAs and the creation of new NRSAs.

- i. Describe the jurisdiction's required priority for funding based on the location of existing affordable housing.**

Refer to "d." above.

- j. Describe the jurisdiction's required priority for funding based on the extent to which the application makes use of non-federal funding sources.**

Given the 30% AMI income targeting requirements, viable projects will require other funding sources compatible with HTF. Priority consideration will be given to projects that leverage non-federal funding sources. The City's HTF NOFA states that proposers are to provide updated financial information to include project budget; sources and uses statements to include the amount, source, use and terms of all funding sources. In addition priority consideration is given to the extent HTF leverages non-

federal funding sources. Proposers are given a maximum 10 points as a selection priority. The proposals received to date have addressed this selection criteria and provided the necessary information.

- 2. Does the jurisdiction's application require the applicant to include a description of the eligible activities to be conducted with HTF funds?**

Yes.

- 3. Does the jurisdiction's application require that each eligible recipient certify that housing units assisted with HTF funds will comply with HTF requirements?**

Yes.

- 4. Performance Goals and Benchmarks. The jurisdiction has met the requirement to provide for performance goals, consistent with the jurisdiction's goals established under 24 CFR 91.215(b)(2), by including HTF in its housing goals in the housing table on the SP-45 Goals and AP-20 Annual Goals and Objectives screens.**

The City is in the process of including HTF in the housing goals section of the housing table (SP-45 Goals) of the Consolidated Plan.

- 5. Rehabilitation Standards. The jurisdiction must establish rehabilitation standards for all HTF-assisted housing rehabilitation activities that set forth the requirements that the housing must meet upon project completion. The jurisdiction's description of its standards must be in sufficient detail to determine the required rehabilitation work including methods and materials. The standards may refer to applicable codes or they may establish requirements that exceed the minimum requirements of the codes. The jurisdiction must attach its rehabilitation standards below. If the jurisdiction will not use HTF funds for the rehabilitation of housing, enter "N/A".**

The HTF rehabilitation standards will be attached to the Action Plan.

**In addition, the rehabilitation standards must address each of the following: health and safety; major systems; lead-based paint; accessibility; disaster mitigation (where relevant); state and local codes, ordinances, and zoning requirements; Uniform Physical Condition Standards; and Capital Needs Assessments (if applicable).**

Please see above response.

6. **Resale or Recapture Guidelines.** Below, the jurisdiction must enter (or attach) a description of the guidelines that will be used for resale or recapture of HTF funds when used to assist first-time homebuyers. If the jurisdiction will not use HTF funds to assist first-time homebuyers, enter "N/A".

N/A

7. **HTF Affordable Homeownership Limits.** If the jurisdiction intends to use HTF funds for homebuyer assistance and does not use the HTF affordable homeownership limits for the area provided by HUD, it must determine 95 percent of the median area purchase price and set forth the information in accordance with §93.305. If the jurisdiction will not use HTF funds to assist first-time homebuyers, enter "N/A".

N/A

8. **Limited Beneficiaries or Preferences.** Describe how the jurisdiction will limit the beneficiaries or give preferences to a particular segment of the extremely low- or very low-income population to serve unmet needs identified in its consolidated plan or annual action plan. If the jurisdiction will not limit the beneficiaries or give preferences to a particular segment of the extremely low- or very low-income population, enter "N/A."

N/A

Any limitation or preference must not violate nondiscrimination requirements in § 93.350, and the jurisdiction must not limit or give preferences to students. The jurisdiction may permit rental housing owners to limit tenants or give a preference in accordance with § 93.303 only if such limitation or preference is described in the action plan.

Agree.

9. **Refinancing of Existing Debt.** Enter or attach the jurisdiction's refinancing guidelines below. The guidelines describe the conditions under which the jurisdiction will refinance existing rental housing project debt. The jurisdiction's refinancing guidelines must, at minimum, demonstrate that rehabilitation is the primary eligible activity and ensure that this requirement is met by establishing a minimum level of rehabilitation per unit or a required ratio between rehabilitation and refinancing. If the jurisdiction will not refinance existing debt, enter "N/A."

N/A. The City does not intend to use HTF funds for refinancing of existing debt. Additionally, the HHFDC, as the grantee, stated in its Allocation Plan that it does not intend to use HTF funds for refinancing of existing debt.

**Discussion:**

See above.

## **Appendix 1**

### **EMERGENCY SOLUTIONS GRANT PROGRAM STANDARDS**

## **CITY AND COUNTY OF HONOLULU EMERGENCY SOLUTIONS GRANT PROGRAM STANDARDS**

The Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act of 2009, reauthorized the McKinney-Vento Homeless Assistance programs. Based on provisions in the HEARTH Act, an interim rule was published in the Federal Register on December 5, 2011 which established the regulations for the Emergency Solutions Grant (ESG) program. The new regulations require the establishment of written standards for providing ESG assistance and the consistent application of these standards to all program participations (*24 CFR 576.400(e)*).

The City and County of Honolulu (City) goals in establishing and promulgating these standards are:

- greater consistency and coordination among ESG projects,
- increased system transparency regarding local priorities and performance standards, and
- increased community-wide expectations on the quality of ESG funded homeless assistance programs.

### **I. PROGRAM-WIDE POLICIES AND PROCEDURES**

All ESG subrecipients must agree to administer their assistance in compliance with these standards. Subrecipients may develop additional standards for administering assistance, but they cannot be in conflict with these standards or the ESG interim rule.

#### **a. Coordination among Providers**

With limited ESG funding, it is important that subrecipients coordinate and integrate, to the maximum extent practicable, their activities with other homeless providers as well as providers of mainstream housing, health, social services, employment, education, and youth programs.

To facilitate coordination, the City and County of Honolulu and its subrecipients will undertake the following activities.

##### **1. Participation in Partners In Care**

Within the City and County of Honolulu, Partners in Care (PIC), is the primary organizational body for the coordination of resources for homeless and at-risk of homelessness individuals and families. PIC is a coalition composed of representatives of organizations from nonprofit homeless providers, government stakeholders, private businesses, community advocates, public housing agencies, hospitals, universities, affordable housing developers, law enforcement, and homeless and formerly homeless persons. PIC is a planning, coordinating, and advocacy alliance that develops



recommendations for programs and services to fill needs within Oahu's Continuum of Care for homeless persons.

The City and ESG subrecipients will participate in PIC in the following ways:

1. City staff will regularly attend PIC general meetings.
2. At least one City staff member will be a member of the PIC planning committee and consult with the committee on ESG funding allocations, performance standards, and outcome evaluation.
3. All ESG subrecipients will be voting members of PIC and regularly attend PIC general meetings.
4. All ESG subrecipients will be encouraged to become a member of at least one PIC subcommittee.
5. All ESG subrecipients will be encouraged to attend PIC's Homeless Awareness Conference which includes breakout sessions on mainstream (i.e. non-homeless specific) services.

NOTE: regular attendance is defined as attending to at least 75% of the meetings.

The City will also assist PIC in gathering the necessary information for PIC to complete its annual gaps analysis of the homeless needs and services available within the City and County of Honolulu.

## 2. City Sponsored Discussions and Opportunities

On a periodic basis, the City will hold structured discussions with various social service providers to explore various ways homeless providers can help their clients tap into mainstream benefits. ESG subrecipients will be encouraged to attend these meetings to further their knowledge on potential benefits for their clients.

In addition, the City will send out emails informing the ESG subrecipients of City resources which may be of interest to their agency or to their clients. Examples include agency specific funding opportunities (e.g. Request for Proposals for the City's Grant-in-Aid or Housing First programs) or the opening of the Section 8 wait list.

## 3. Participation with Other Groups

In addition to PIC participation, subrecipients are expected to take part in other groups dedicated to the coordination and deployment of resources for homeless persons such as:

- the Hawaii Interagency Council on Homelessness
- the Mayor's Challenge to End Veterans Homelessness
- 25 Cities Boot Camp
- the Leeward Housing Coalition
- Hale O Malama Case Conferencing for the Coordinated Entry System

NOTE: even though domestic violence providers are exempt from participating in the Coordinated Entry System, they are still encouraged to attend case conferencing sessions to network with other homeless providers and familiarize themselves with services available to their clients.

**b. Participation of Homeless Persons**

Subrecipients must, to the greatest extent practicable, involve homeless individuals and families in the construction, renovation, maintenance, and operations of ESG funded shelters and services. Involvement can be both paid or volunteer.

Subrecipients are encouraged, but not required, to have one homeless or formerly homeless individual on its board of directors or other policy-making entity, to the extent that the entity considers and makes policies and decisions regarding any ESG funded facility or service.

**c. Participation in the State of Hawaii's Homeless Management and Information System (HMIS)**

All subrecipients must enter client data into the State of Hawaii's Homeless Management and Information System (HMIS). Subrecipients which are victim service providers or legal services providers are exempt from HMIS participation. However, such exempt agencies must still use a comparable database to collect client-level longitudinal data and generate unduplicated aggregate reports based on that data.

**d. Housing Standards**

1. Emergency Shelters. Shelters which receive funding for shelter operations or renovation must meet the following safety, sanitation, and privacy standards (24 CFR 576.403(b)).

(1) *Structure and materials*. The shelter building must be structurally sound to protect residents from the elements and not pose any threat to health and safety of the residents. Any renovation (including major rehabilitation and conversion) carried out with ESG assistance must use Energy Star and WaterSense products and appliances.

(2) *Access*. The shelter must be accessible in accordance with Section 504 of the Rehabilitation Act (29 U.S.C. 794) and implementing regulations at 24 CFR part 8; the Fair Housing Act (42 U.S.C. 3601 *et seq.*) and implementing regulations at 24 CFR part 100; and Title II of the Americans with Disabilities Act (42 U.S.C. 12131 *et seq.*) and 28 CFR part 35; where applicable.

(3) *Space and security*. Except where the shelter is intended for day use only, the shelter must provide each program participant in the shelter with an acceptable place to sleep and adequate space and security for themselves and their belongings.

(4) *Interior air quality.* Each room or space within the shelter must have a natural or mechanical means of ventilation. The interior air must be free of pollutants at a level that might threaten or harm the health of residents.

(5) *Water supply.* The shelter's water supply must be free of contamination.

(6) *Sanitary facilities.* Each program participant in the shelter must have access to sanitary facilities that are in proper operating condition, are private, and are adequate for personal cleanliness and the disposal of human waste.

(7) *Thermal environment.* The shelter must have any necessary heating/cooling facilities in proper operating condition.

(8) *Illumination and electricity.* The shelter must have adequate natural or artificial illumination to permit normal indoor activities and support health and safety. There must be sufficient electrical sources to permit the safe use of electrical appliances in the shelter.

(9) *Food preparation.* Food preparation areas, if any, must contain suitable space and equipment to store, prepare, and serve food in a safe and sanitary manner.

(10) *Sanitary conditions.* The shelter must be maintained in a sanitary condition.

(11) *Fire safety.* There must be at least one working smoke detector in each occupied unit of the shelter. Where possible, smoke detectors must be located near sleeping areas. The fire alarm system must be designed for hearing-impaired residents. All public areas of the shelter must have at least one working smoke detector. There must also be a second means of exiting the building in the event of fire or other emergency.

2. Permanent Housing. ESG funds may only be used to assist program participants remain or move into permanent housing that meets the following habitability standards.

(1) *Structure and materials.* The structures must be structurally sound to protect residents from the elements and not pose any threat to the health and safety of the residents.

(2) *Space and security.* Each resident must be provided adequate space and security for themselves and their belongings. Each resident must be provided an acceptable place to sleep.

(3) *Interior air quality.* Each room or space must have a natural or mechanical means of ventilation. The interior air must be free of pollutants at a level that might threaten or harm the health of residents.

(4) *Water supply.* The water supply must be free from contamination.

(5) *Sanitary facilities.* Residents must have access to sufficient sanitary facilities that are in proper operating condition, are private, and are adequate for personal cleanliness and the disposal of human waste.

(6) *Thermal environment.* The housing must have any necessary heating/cooling facilities in proper operating condition.

(7) *Illumination and electricity.* The structure must have adequate natural or artificial illumination to permit normal indoor activities and support health and safety. There must be sufficient electrical sources to permit the safe use of electrical appliances in the structure.

(8) *Food preparation.* All food preparation areas must contain suitable space and equipment to store, prepare, and serve food in a safe and sanitary manner.

(9) *Sanitary conditions.* The housing must be maintained in a sanitary condition.

(10) *Fire safety.* (i) There must be a second means of exiting the building in the event of fire or other emergency. (ii) Each unit must include at least one battery-operated or hard-wired smoke detector, in proper working condition, on each occupied level of the unit. Smoke detectors must be located, to the extent practicable, in a hallway adjacent to a bedroom. If the unit is occupied by hearing impaired persons, smoke detectors must have an alarm system designed for hearing-impaired persons in each bedroom occupied by a hearing-impaired person. (iii) The public areas of all housing must be equipped with a sufficient number, but not less than one for each area, of battery-operated or hard-wired smoke detectors. Public areas include, but are not limited to, laundry rooms, community rooms, day care centers, hallways, stairwells, and other common areas.

#### **e. Definition of Homeless and At-Risk of Homelessness**

The definitions and categories of homeless and at-risk of homelessness are attached as Exhibit A (24 CFR 576.2).

Subrecipients should refer to Exhibit A when determining client eligibility for ESG assistance.

## **II. STREET OUTREACH – SPECIFIC PROVISIONS**

While the City does not currently fund street outreach activities, the following policies and procedures will apply in the event that street outreach activities receive future funding.

### **a. Evaluation of Individuals' and Families' Eligibility for Assistance.**

Subrecipients must conduct an initial evaluation to determine the eligibility of each individual or family's eligibility for ESG assistance and the amount and types of assistance the individual or family needs to regain stability in permanent housing.

In order to be eligible for street outreach assistance, individuals and families must be defined as homeless under the following categories:

- Category 1 – literally homeless AND unable or unwilling to access services in an emergency shelter
- Category 4 – fleeing / attempting to flee a domestic violence situation.

Once a person is determined to be eligible for ESG funded street outreach services, subrecipients must enter that person into PIC's coordinated assessment system, Hale `O Malama, if that person is not already in the system.

Subrecipients are encouraged to re-evaluate participant eligibility on an annual basis or whenever a participant's living situation changes.

b. Targeting of Clientele and Provision of Essential Services. Street outreach is limited to persons described in Section II.a. who are living on the island of Oahu. Services are limited to:

(1) *Engagement* - activities to locate, identify, and build relationships with unsheltered homeless people and engage them for the purpose of providing immediate support, intervention, and connections with homeless assistance programs and/or mainstream social services and housing programs.

(2) *Case management* - assessing housing and service needs, arranging, coordinating, and monitoring the delivery of individualized services to meet the needs of the program participant.

(3) *Emergency health services* - direct outpatient treatment of medical conditions provided by licensed medical professionals operating in community-based settings, including streets, parks, and other places where unsheltered homeless people are living.

(4) *Emergency mental health services* - direct outpatient treatment by licensed professionals of mental health conditions operating in community-based settings, including streets, parks, and other places where unsheltered people are living.

(5) *Transportation* - transporting unsheltered people to emergency shelters or other service facilities.

The City may determine that community need dictates funding of a particular service or the targeting of services to a particular geographic location or client population. In that instance, the City will solicit input from PIC before releasing a Request for Proposal (RFP) which outlines the target service or area. In addition, subrecipients will also be allowed to target services to a particular location or client population as long as the limitations are included in the project proposal which is submitted to the City in response to a RFP.

c. Performance Standards. Street outreach projects will be evaluated based on deliverables outlined in the project proposal. At a minimum, subrecipients will be evaluated on the following:

- number of persons served (actual v. proposed).

- percentage of program participants who move into sheltered housing which may include emergency or transitional housing (goal = 50%).

### **III. EMERGENCY SHELTERS – SPECIFIC PROVISIONS**

Funds are available for facilities whose primary purpose is to provide a temporary shelter for the homeless and which does not require occupants to sign leases or occupancy agreements. In addition, any transitional shelter funded under a Fiscal Year 2011 (FY11) Emergency Solutions grant may continue to receive ESG Emergency Shelter funding. The four transitional shelters which have received ESG funding continuously from FY11 through FY16 are:

- Catholic Charities Hawaii – Ma`ili Land Transitional Shelter
- Child and Family Service – Domestic Violence Shelters
- Housing Solutions, Inc. – Loliana Apartments
- Housing Solutions, Inc. – Vancouver House

#### **a. Evaluation of Individuals' and Families' Eligibility for Assistance.**

Subrecipients must conduct an initial evaluation to determine the eligibility of each individual or family's eligibility for ESG assistance and the amount and types of assistance the individual or family needs to regain stability in permanent housing.

In order to be eligible for emergency shelter assistance, individuals and families must be defined as homeless under the following categories:

- Category 1 – literally homeless
- Category 2 – imminent risk of homelessness
- Category 3 – homeless under other federal statutes
- Category 4 – fleeing / attempting to flee a domestic violence situation.

Once a person is determined to be eligible for residence at an ESG funded emergency shelter, subrecipients must enter that person into PIC's coordinated assessment system, Hale `O Malama, if that person is not already in the system. Victim service providers are encouraged, but not required, to participate in the coordinated assessment system and/or regionwide case conferences.

b. Admission, Diversion and Referral Policies. All homeless persons seeking shelter should be provided shelter if there are available and/or appropriate beds. Agencies are allowed to have entry requirements which help to maintain the health and safety of the residents (e.g. current TB test), but are encouraged to keep such requirements to a minimum. In addition, families with children under age 18 may not be involuntarily separated because of the ages of the children if the shelter provides services to families with children under 18.

During the initial assessment, subrecipients must screen clients to determine whether a client can be diverted to more permanent housing or referred to mainstream

resources such as Section 8. Permanent housing options include ESG funded homelessness prevention or rapid re-housing services, HUD funded permanent supportive housing programs such as those under the Continuum of Care and HUD VASH as well as local initiatives such as the City's Housing First Program.

Vulnerable populations such as victims of domestic violence, the medically frail, victims of human trafficking, the mentally ill, youth, and the elderly oftentimes have special needs which serves as barriers to more stable housing and may be better served at smaller shelters which target those vulnerable populations and can more effectively deal with safety and service concerns. At a minimum, shelters must develop policies and procedures to identify and divert vulnerable residents to more appropriate locations.

Once PIC's coordinated assessment system is completely functional, diversions and referrals will be handled through Hale 'O Malama. Until then, subrecipients are encouraged to attend case conferencing sessions to become aware of available housing options.

c. Discharge Policy / Maximum Length of Stay

There is no City imposed maximum length of stay for emergency or transitional shelters. Subrecipients have the discretion to set their own limitations on stays, but such limitations must be clearly communicated to residents.

Emergency shelters are encouraged to move their residents into more stable housing, which may include transitional shelters, as quickly as possible. Emergency shelter stays beyond 6 months are discouraged.

Transitional shelters are encouraged to move their residents into permanent housing within 24 months; however, subrecipients have the discretion to allow residents to stay beyond the recommended maximum if they determine an extended stay would allow for increased housing stability.

Shelters are allowed to involuntarily discharge (evict) residents who violate program rules. Such shelters must establish and consistently apply policies and procedures regarding involuntary discharges.

d. Essential Services – Assessing, Prioritizing and Reassessing Needs.

If a shelter receives ESG funds for to provide services to its residents, the shelter must determine the suitability of offering the service to each resident upon client intake. Shelters may limit services to particular clients, however the eligibility criteria must be outlined in the project proposal submitted in response to a RFP.

In instances where the shelter resources exceed need and the shelter is unable to provide ESG funded services to all eligible tenants, the shelter will have the discretion to determine its own prioritization policy, subject to approval by the City.

Subrecipients must re-evaluate participant eligibility and/or suitability for services every six months or whenever a participant's living situation changes.

e. Performance Standards. Shelters will be evaluated based on deliverables outlined in the project proposal. At a minimum, subrecipients will be evaluated on the following:

- number of persons served (actual v. proposed).
- percentage of program participants moving into more stable housing at exit (goal = 60%).
- percentage of program participants who remain in more stable housing 6 months after exit (goal = 75%).

#### **IV. HOMELESSNESS PREVENTION – SPECIFIC PROVISIONS**

a. Evaluation of Individuals' and Families' Eligibility for Assistance. Subrecipients must conduct an initial evaluation to determine the eligibility of each individual or family's eligibility for ESG assistance and the amount and types of assistance the individual or family needs to regain stability in permanent housing.

In order to be eligible for homelessness prevention assistance, individuals and families must be defined as at-risk of homeless under the following categories and have the ability to remain stably housed after the ESG assistance ends:

- Category 1 – individuals and families with an annual income below 30% of area median income, lacks sufficient resources or support networks and meets on the following conditions:
  - moved two or more times during the last 60 days (i.e. couch surfing);
  - living in home of another because of economic hardship (i.e. doubling up);
  - 21-day eviction notice;
  - lives in a hotel or motel;
  - lives in a unit in which there resides more than one and a half persons per room (doubling up); or
  - exiting a publicly funded institution or system of care.

NOTE: the City has determined that the above list sufficiently covers those persons who are at-risk of homelessness. The City will not be adding any additional characteristics relating to housing instability.



- Category 2 – youth not defined as homeless under the ESG homeless definition but defined as homeless under another federal statute.
- Category 3 – parents or guardians of youth defined in Category 2 above.

Individuals and families who are defined as homeless under the following categories, have income less than 30% of area median income and have the ability to remain stably housed after the ESG assistance ends are also eligible for homelessness prevention assistance:

- Category 2 – imminent risk of homelessness
- Category 3 – homeless under other federal statutes
- Category 4 – fleeing / attempting to flee a domestic violence situation

Subrecipients must evaluate client eligibility every three months or whenever a client's situation changes, whichever occurs earlier.

b. Priorities for Assistance. The City does not have any priorities for homelessness prevention assistance. Clients will receive assistance in the order that they submit a complete application. In the event that two or more completed applications are received at the same time, subrecipients will give preference to the following groups: 1) families with children, 2) persons with disabilities, and 3) persons over 65.

Subrecipients are allowed to create their own priorities as long as they are not discriminatory, are applied consistently, and are subject to the City's approval.

c. Participant's Contribution. Subrecipients have the discretion to determine the amount of a participant's contribution, if any, based on the following: 1) financial assistance requested, 2) client's monthly income, 3) client's assets, and 4) the client's housing situation. Subrecipients may require participants to contribute a percentage of income, a percentage of rent, or a flat dollar amount as a condition to receiving financial assistance.

d. Rental Assistance - Limitations. Program participants can only receive up to 24 months of rental assistance during any 3-year period. Rental arrears is limited to a one-time payment of up to 6 months of rental arrears. Subrecipients have the discretion to establish a maximum amount of assistance, a maximum number of months, or a maximum number of times assistance can be provided.

In addition, except for a one-time payment of rental arrears of the tenant portion of the rent, rental assistance cannot be provided to a program participant who is already receiving rental assistance through other public sources (e.g. Section 8), including those receiving relocation assistance.

Also, rental assistance cannot be provided if the rent exceeds the Fair Market Rent established by HUD under 24 CFR part 888, and complies with HUD's standard of rent reasonableness, as provided under 24 CFR 982.507.

e. Housing Stabilization and/or Relocation Services – Limitations. Program participants can only receive up to 24 months of housing stabilization and assistance during any 3-year period. Housing stability case management is limited to 30 days when seeking permanent housing and 24 months when the program participant is living in permanent housing. Subrecipients have the discretion to establish a maximum amount of assistance, a maximum number of months, or a maximum number of times assistance can be provided.

Additional limitations on housing relocation and stabilization services are:

- security deposits – no more than 2 months' rent.
- utility payments – up to 24 months, including up to 6 months of utility arrears. Eligible utility services are gas, electric, water and sewer.

f. Performance Standards. Service providers will be evaluated based on deliverables outlined in the project proposal. At a minimum, subrecipients will be evaluated on the following:

- number of persons served (actual v. proposed).
- percentage of program participants who remain stably housed, 6 months after assistance (goal = 80%).
- percentage of program participants who remain stably housed, 1 year after assistance (goal = 60%).

## **V. RAPID RE-HOUSING SPECIFIC PROVISIONS**

a. Evaluation of Individuals' and Families' Eligibility for Assistance. Subrecipients must conduct an initial evaluation to determine the eligibility of each individual or family's eligibility for ESG assistance and the amount and types of assistance the individual or family needs to regain stability in permanent housing.

In order to be eligible for rapid re-housing assistance, individuals and families must be defined as homeless under the following categories and have the ability to remain stably housed after the ESG assistance ends:

- Category 1 – literally homeless
- Category 4 – fleeing / attempting to flee a domestic violence situation.

Subrecipients must evaluate client eligibility annually or whenever a client's situation changes, whichever occurs earlier. During the annual re-evaluation, a client's income must be below 30% of area median income in order to continue receiving rapid re-housing assistance.

Once a person is determined to be eligible for ESG funded rapid re-housing, subrecipients should enter that person into PIC's coordinated assessment system, Hale 'O Malama, if that person is not already in the system.

b. Priorities for Assistance. The City does not have any priorities for rapid re-housing assistance. Clients will receive assistance in the order that they submit a complete application. In the event that two or more completed applications are received at the same time, subrecipients will give preference to the client with the higher Vulnerability Index – Service Prioritization and Decision Assistance Tool (VI-SPDAT) score.

Subrecipients are allowed to create their own priorities as long as they are not discriminatory, are applied consistently, and are subject to the City's approval.

c. Participant's Contribution. Subrecipients have the discretion to determine the amount of a participant's contribution, if any, based on the following: 1) financial assistance requested, 2) client's monthly income, 3) client's assets, and 4) the client's housing situation. Subrecipients may require participants to contribute a percentage of income, a percentage of rent, or a flat dollar amount as a condition to receiving financial assistance.

d. Rental Assistance - Limitations. Program participants can only receive up to 24 months of rental assistance during any 3-year period. Rental arrears is limited to a one-time payment of up to 6 months of rental arrears. Subrecipients have the discretion to establish a maximum amount of assistance, a maximum number of months, or a maximum number of times assistance can be provided.

In addition, except for a one-time payment of rental arrears of the tenant portion of the rent, rental assistance cannot be provided to a program participant who is already receiving rental assistance through other public sources (e.g. Section 8), including those receiving relocation assistance.

Also, rental assistance cannot be provide if the rent exceeds the Fair Market Rent established by HUD under 24 CFR part 888, and complies with HUD's standard of rent reasonableness, as provided under 24 CFR 982.507.

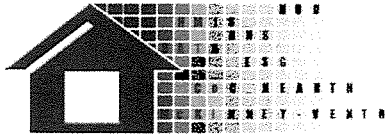
e. Housing Stabilization and/or Relocation Services – Limitations. Program participants can only receive up to 24 months of housing stabilization and assistance during any 3-year period. Housing stability case management is limited to 30 days when seeking permanent housing and 24 months when the program participant is living in permanent housing. Subrecipients have the discretion to establish a maximum amount of assistance, a maximum number of months, or a maximum number of times assistance can be provided.

Additional limitations on housing relocation and stabilization services are:

- security deposits – no more than 2 months' rent.
- utility payments – up to 24 months, including up to 6 months of utility arrears. Eligible utility services are gas, electric, water and sewer.

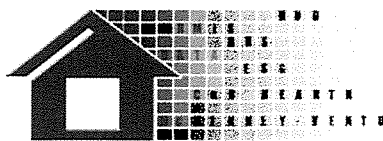
f. Performance Standards. Service providers will be evaluated based on deliverables outlined in the project proposal. At a minimum, subrecipients will be evaluated on the following:

- number of persons served (actual v. proposed).
- percentage of program participants who remain stably housed, 6 months after assistance (goal = 80%).
- percentage of program participants who remain stably housed, 1 year after assistance (goal = 60%).



# Homeless Definition

CRITERIA FOR DEFINING HOMELESS	Category 1	Literally Homeless	(1) Individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning: (i) Has a primary nighttime residence that is a public or private place not meant for human habitation; (ii) Is living in a publicly or privately operated shelter designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels and motels paid for by charitable organizations or by federal, state and local government programs); <u>or</u> (iii) Is exiting an institution where (s)he has resided for 90 days or less <u>and</u> who resided in an emergency shelter or place not meant for human habitation immediately before entering that institution
	Category 2	Imminent Risk of Homelessness	(2) Individual or family who will imminently lose their primary nighttime residence, provided that: (i) Residence will be lost within 14 days of the date of application for homeless assistance; (ii) No subsequent residence has been identified; <u>and</u> (iii) The individual or family lacks the resources or support networks needed to obtain other permanent housing
	Category 3	Homeless under other Federal statutes	(3) Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under this definition, but who: (i) Are defined as homeless under the other listed federal statutes; (ii) Have not had a lease, ownership interest, or occupancy agreement in permanent housing during the 60 days prior to the homeless assistance application; (iii) Have experienced persistent instability as measured by two moves or more during in the preceding 60 days; <u>and</u> (iv) Can be expected to continue in such status for an extended period of time due to special needs or barriers
	Category 4	Fleeing/ Attempting to Flee DV	(4) Any individual or family who: (i) Is fleeing, or is attempting to flee, domestic violence; (ii) Has no other residence; <u>and</u> (iii) Lacks the resources or support networks to obtain other permanent housing



# At Risk of Homelessness

CRITERIA FOR DEFINING AT RISK OF HOMELESSNESS	Category 1	Individuals and Families	<p>An individual or family who:</p> <ul style="list-style-type: none"> <li>(i) Has an annual income below <u>30%</u> of median family income for the area; <u>AND</u></li> <li>(ii) Does not have sufficient resources or support networks immediately available to prevent them from moving to an emergency shelter or another place defined in Category 1 of the "homeless" definition; <u>AND</u></li> <li>(iii) Meets one of the following conditions: <ul style="list-style-type: none"> <li>(A) Has moved because of economic reasons 2 or more times during the 60 days immediately preceding the application for assistance; <u>OR</u></li> <li>(B) Is living in the home of another because of economic hardship; <u>OR</u></li> <li>(C) Has been notified that their right to occupy their current housing or living situation will be terminated within 21 days after the date of application for assistance; <u>OR</u></li> <li>(D) Lives in a hotel or motel and the cost is not paid for by charitable organizations or by Federal, State, or local government programs for low-income individuals; <u>OR</u></li> <li>(E) Lives in an SRO or efficiency apartment unit in which there reside more than 2 persons or lives in a larger housing unit in which there reside more than one and a half persons per room; <u>OR</u></li> <li>(F) Is exiting a publicly funded institution or system of care; <u>OR</u></li> <li>(G) Otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness, as identified in the recipient's approved Con Plan</li> </ul> </li> </ul>
	Category 2	Unaccompanied Children and Youth	A child or youth who does not qualify as homeless under the homeless definition, but qualifies as homeless under another Federal statute
	Category 3	Families with Children and Youth	An unaccompanied youth who does not qualify as homeless under the homeless definition, but qualifies as homeless under section 725(2) of the McKinney-Vento Homeless Assistance Act, and the parent(s) or guardian(s) or that child or youth if living with him or her.

## **Appendix 2**

### **APPLICATIONS FOR FEDERAL ASSISTANCE**

**Application for Federal Assistance SF-424**

**\* 1. Type of Submission:**

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

**\* 2. Type of Application:**

- ☐ New  
☒ Continuation  
☐ Revision

**\* If Revision, select appropriate letter(s):**

**\* Other (Specify):**

**\* 3. Date Received:**

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

**8. APPLICANT INFORMATION:**

**\* a. Legal Name:** City and County of Honolulu

**\* b. Employer/Taxpayer Identification Number (EIN/TIN):**

99-6001257

**\* c. Organizational DUNS:**

0777016470000

**d. Address:**

\* Street1: 530 South King Street

Street2:

\* City: Honolulu

County/Parish:

\* State:

HI: Hawaii

Province:

\* Country:

USA: UNITED STATES

\* Zip / Postal Code: 96813-3099

**e. Organizational Unit:**

**Department Name:**

Budget and Fiscal Services

**Division Name:**

Fiscal/CIP Administration

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix:

Ms.

\* First Name:

Holly

Middle Name:

\* Last Name:

Kawano

Suffix:

Title: Federal Grants Coordinator

**Organizational Affiliation:**

\* Telephone Number: (808) 768-3930

Fax Number: (808) 768-3294

\* Email: hkawano@honolulu.gov



## Application for Federal Assistance SF-424

### \* 9. Type of Applicant 1: Select Applicant Type:

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

### \* 10. Name of Federal Agency:

U.S. Department of Housing and Urban Development

### 11. Catalog of Federal Domestic Assistance Number:

14-218

CFDA Title:

Community Development Block Grant

### \* 12. Funding Opportunity Number:

\* Title:

### 13. Competition Identification Number:

Title:

### 14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

### \* 15. Descriptive Title of Applicant's Project:

Twenty-Third Year Action Plan

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424****16. Congressional Districts Of:**

\* a. Applicant

1 &amp; 2

\* b. Program/Project

1 &amp; 2

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

07/01/2017

\* b. End Date:

06/30/2018

**18. Estimated Funding (\$):**

\* a. Federal

7,209,223.00

\* b. Applicant

\* c. State

\* d. Local

\* e. Other

\* f. Program Income

601,615.00

\* g. TOTAL

7,810,838.00

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**☐ a. This application was made available to the State under the Executive Order 12372 Process for review on☒ b. Program is subject to E.O. 12372 but has not been selected by the State for review.☐ c. Program is not covered by E.O. 12372.**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes☒ No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:

Mr.

\* First Name:

Nelson

Middle Name:

H.

\* Last Name:

Koyanagi

Suffix:

Jr.

\* Title:

Director of Budget and Fiscal Services

\* Telephone Number:

(808) 768-3901

Fax Number:

(808) 768-3179

\* Email:

nkoyanagi@honolulu.gov

\* Signature of Authorized Representative:

\* Date Signed:

AUG 14 2017

### Application for Federal Assistance SF-424

**\* 1. Type of Submission:**

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

**\* 2. Type of Application:**

- ☐ New  
☒ Continuation  
☐ Revision

**\* If Revision, select appropriate letter(s):**

**\* Other (Specify):**

**\* 3. Date Received:**

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

**8. APPLICANT INFORMATION:**

**\* a. Legal Name:** City and County of Honolulu

**\* b. Employer/Taxpayer Identification Number (EIN/TIN):**

99-6001257

**\* c. Organizational DUNS:**

0777016470000

**d. Address:**

**\* Street1:**

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**\* City:**

Honolulu

**County/Parish:**

**\* State:**

HI: Hawaii

**Province:**

**\* Country:**

USA: UNITED STATES

**\* Zip / Postal Code:**

96813-3099

**e. Organizational Unit:**

**Department Name:**

Budget and Fiscal Services

**Division Name:**

Fiscal/CIP Administration

**f. Name and contact information of person to be contacted on matters involving this application:**

**Prefix:**

Ms.

**\* First Name:**

Holly

**Middle Name:**

**\* Last Name:**

Kawano

**Suffix:**

**Title:** Federal Grants Coordinator

**Organizational Affiliation:**

**\* Telephone Number:**

(808) 768-3930

**Fax Number:**

(808) 768-3294

**\* Email:**

hkawano@honolulu.gov

## Application for Federal Assistance SF-424

### \* 9. Type of Applicant 1: Select Applicant Type:

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

### \* 10. Name of Federal Agency:

U.S. Department of Housing and Urban Development

### 11. Catalog of Federal Domestic Assistance Number:

14-239

CFDA Title:

HOME Investment Partnerships Program

### \* 12. Funding Opportunity Number:

\* Title:

### 13. Competition Identification Number:

Title:

### 14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

### \* 15. Descriptive Title of Applicant's Project:

Twenty-Third Year Action Plan

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424****16. Congressional Districts Of:**\* a. Applicant \* b. Program/Project 

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**\* a. Start Date: \* b. End Date: **18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="2,263,262.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text" value="2,500,000.00"/>
* f. Program Income	<input type="text" value="589,117.00"/>
* g. TOTAL	<input type="text" value="5,352,379.00"/>

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- ☐ a. This application was made available to the State under the Executive Order 12372 Process for review on
- ☒ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☐ c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes ☒ No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

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21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

☒ \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:

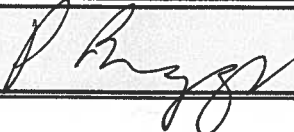
Middle Name:

\* Last Name:

Suffix:

\* Title: \* Telephone Number:  Fax Number: \* Email: 

\* Signature of Authorized Representative:

\* Date Signed: 

AUG 14 2017

### Application for Federal Assistance SF-424

**\* 1. Type of Submission:**

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

**\* 2. Type of Application:**

- ☐ New  
☒ Continuation  
☐ Revision

**\* If Revision, select appropriate letter(s):**

**\* Other (Specify):**

**\* 3. Date Received:**

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

**8. APPLICANT INFORMATION:**

**\* a. Legal Name:** City and County of Honolulu

**\* b. Employer/Taxpayer Identification Number (EIN/TIN):**

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**\* c. Organizational DUNS:**

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\* Last Name:

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Title: Federal Grants Coordinator

Organizational Affiliation:

\* Telephone Number: (808) 768-3930

Fax Number: (808) 768-3294

\* Email: hkawano@honolulu.gov

## Application for Federal Assistance SF-424

### \* 9. Type of Applicant 1: Select Applicant Type:

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

### \* 10. Name of Federal Agency:

U.S. Department of Housing and Urban Development

### 11. Catalog of Federal Domestic Assistance Number:

14-231

CFDA Title:

Emergency Solutions Grants Program

### \* 12. Funding Opportunity Number:

\* Title:

### 13. Competition Identification Number:

Title:

### 14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

### \* 15. Descriptive Title of Applicant's Project:

Twenty-Third Year Action Plan

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424****16. Congressional Districts Of:**\* a. Applicant \* b. Program/Project 

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**\* a. Start Date: \* b. End Date: **18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="1,937,791.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text" value="1,937,791.00"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="3,875,582.00"/>

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- ☐ a. This application was made available to the State under the Executive Order 12372 Process for review on
- ☒ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
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**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes ☒ No

If "Yes", provide explanation and attach

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Delete Attachment

View Attachment

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:

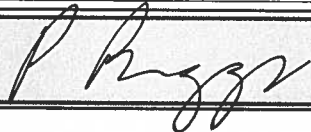
Middle Name:

\* Last Name:

Suffix:

\* Title: \* Telephone Number:  Fax Number: \* Email: 

\* Signature of Authorized Representative:

\* Date Signed: 

AUG 14 2017



### Application for Federal Assistance SF-424

**\* 1. Type of Submission:**

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

**\* 2. Type of Application:**

- ☐ New  
☒ Continuation  
☐ Revision

**\* If Revision, select appropriate letter(s):**

**\* Other (Specify):**

**\* 3. Date Received:**

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

**8. APPLICANT INFORMATION:**

**\* a. Legal Name:** City and County of Honolulu

**\* b. Employer/Taxpayer Identification Number (EIN/TIN):**

99-6001257

**\* c. Organizational DUNS:**

0777016470000

**d. Address:**

\* Street1: 530 South King Street

Street2:

\* City: Honolulu

County/Parish:

\* State:

HI: Hawaii

Province:

\* Country:

USA: UNITED STATES

\* Zip / Postal Code: 96813-3099

**e. Organizational Unit:**

**Department Name:**

Budget and Fiscal Services

**Division Name:**

Fiscal/CIP Administration

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix:

Ms.

\* First Name:

Holly

Middle Name:

\* Last Name:

Kawano

Suffix:

Title: Federal Grants Coordinator

**Organizational Affiliation:**

\* Telephone Number: (808) 768-3930

Fax Number: (808) 768-3294

\* Email: hkawano@honolulu.gov

## Application for Federal Assistance SF-424

### \* 9. Type of Applicant 1: Select Applicant Type:

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

### \* 10. Name of Federal Agency:

U.S. Department of Housing and Urban Development

### 11. Catalog of Federal Domestic Assistance Number:

14-241

CFDA Title:

Housing Opportunities for Persons With AIDS

### \* 12. Funding Opportunity Number:

\* Title:

### 13. Competition Identification Number:

Title:

### 14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

### \* 15. Descriptive Title of Applicant's Project:

Twenty-Third Year Action Plan

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424****16. Congressional Districts Of:**

\* a. Applicant

1 &amp; 2

\* b. Program/Project

1 &amp; 2

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

07/01/2017

\* b. End Date:

06/30/2018

**18. Estimated Funding (\$):**

\* a. Federal

501,094.00

\* b. Applicant

\* c. State

\* d. Local

\* e. Other

\* f. Program Income

\* g. TOTAL

501,094.00

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**☐ a. This application was made available to the State under the Executive Order 12372 Process for review on☒ b. Program is subject to E.O. 12372 but has not been selected by the State for review.☐ c. Program is not covered by E.O. 12372.**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes☒ No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:

Mr.

\* First Name:

Nelson

Middle Name:

H.

\* Last Name:

Koyanagi

Suffix:

Jr.

\* Title:

Director of Budget and Fiscal Services

\* Telephone Number:

(808) 768-3901

Fax Number:

(808) 768-3179

\* Email:

nkoyanagi@honolulu.gov

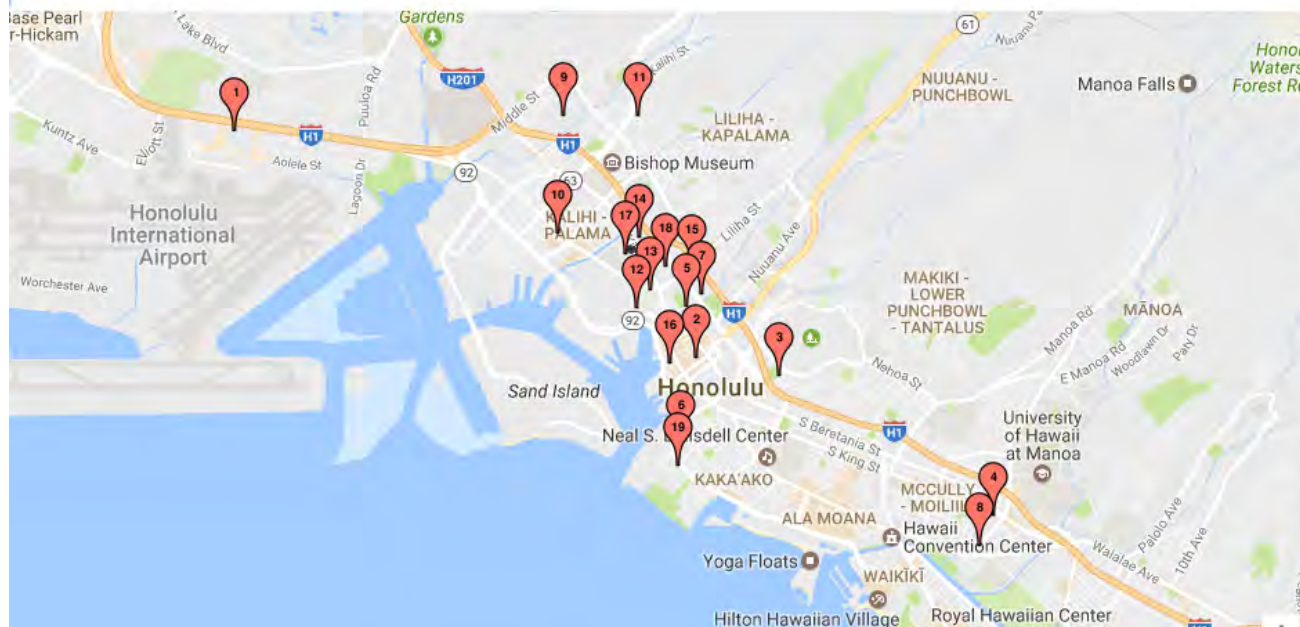
\* Signature of Authorized Representative:

\* Date Signed:

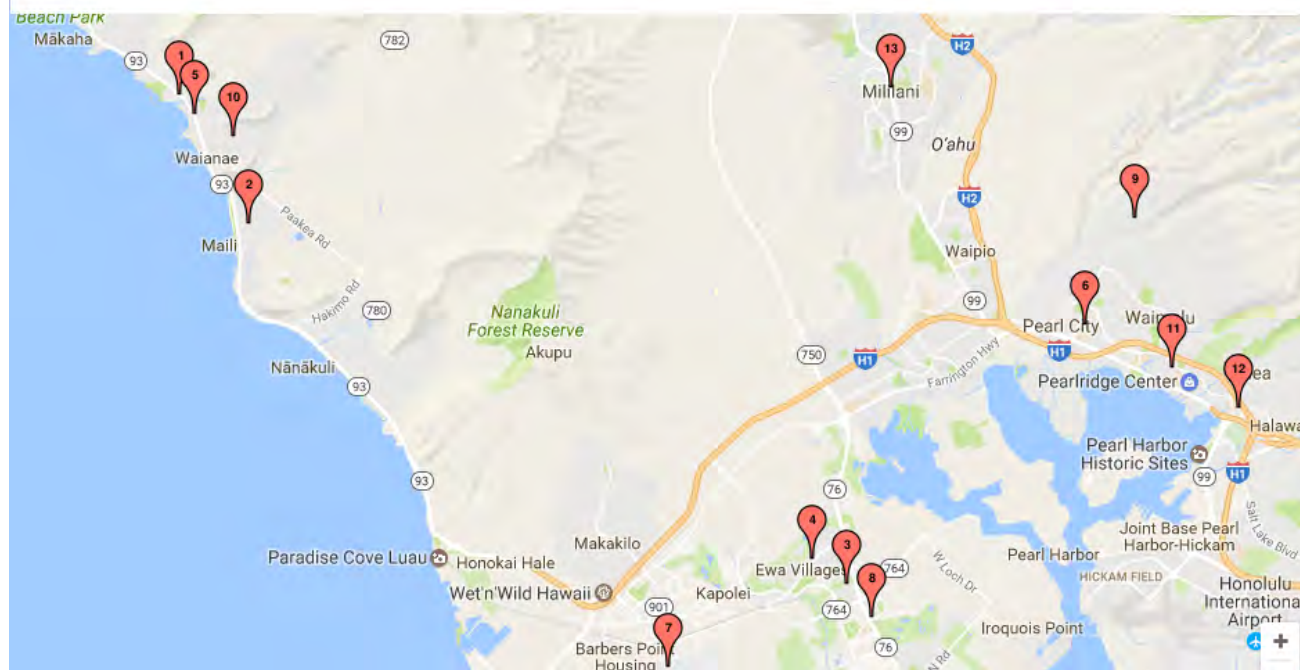
AUG 14 2017

## **Appendix 3**

### **MAPS**

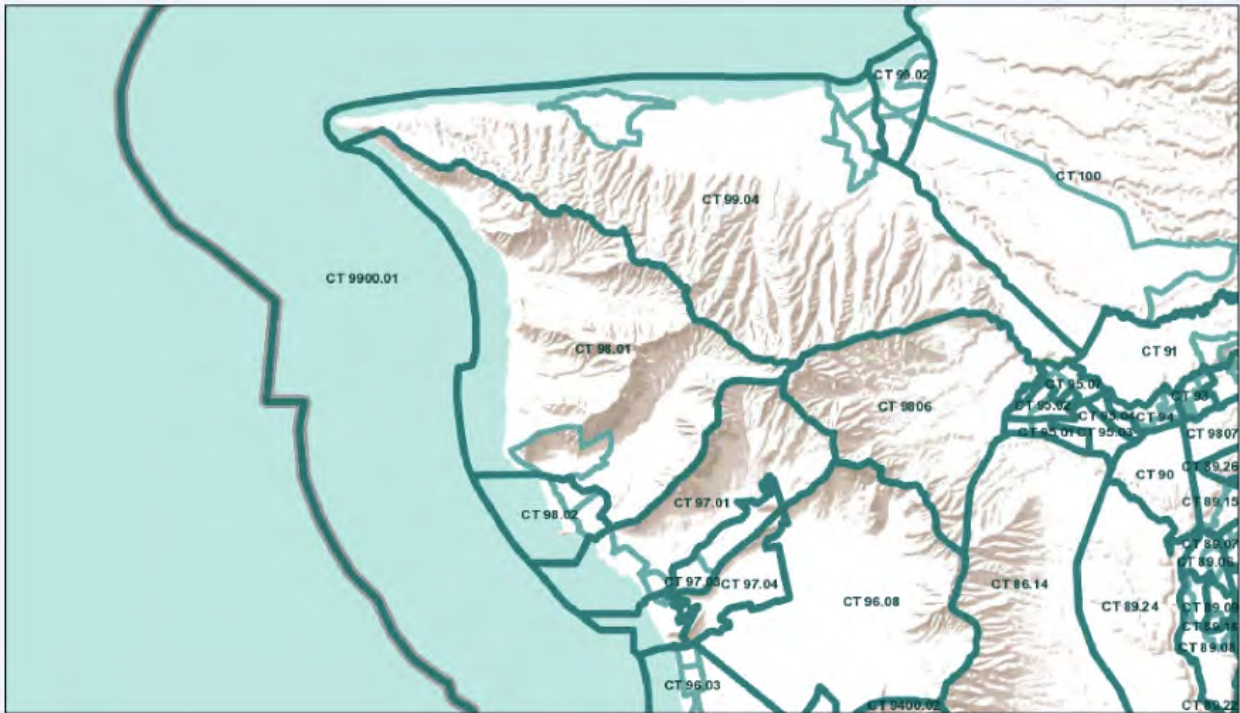


Name
1 CDBG-Adult Friends for Youth
2 CDBG-Domestic Violence Action Center
3 CDBG-Easter Seals Hawaii
4 CDBG-Educational Services Hawaii Foundation
5 CDBG-Family Promise of Hawaii
6 CDBG-Feeding Hawaii Together
7 CDBG-Hawaiian Community Assets, Inc.
8 CDBG-Honolulu Fire Department - McCully- Moiliili Engine
9 CDBG-Parents and Children Together (PACT)
10 CDBG/HOME-DCS WorkHawaii - Tenant Based Rental Assistance Program (HOME) and Work Readiness Program (CDBG)
11 HESG-Hale Kipa
12 HESG-IHS, The Institute for Human Services
13 HESG-IHS, The Institute for Human Services
14 HESG-Kalihi-Palama Health Center
15 HESG/HOME/HOPWA-Gregory House Programs
16 HOME-DCS CAD - Down Payment Loan Program
17 HOME-Honolulu Habitat for Humanity
18 HOME-IHS, Institute for Human Services, Inc.
19 HOPWA-Life Foundation



Name
1 CDBG-Honolulu Fire Department - Waianae Engine
2 HESG-Catholic Charities Hawaii
3 HESG-Child and Family Services
4 HESG-Hale Kipa
5 HESG-United States Veterans Initiative
6 HESG-United States Veterans Initiative
7 HESG-United States Veterans Initiative
8 HESG-United States Veterans Initiative
9 HESG-United States Veterans Initiative
10 HESG-Women in Need
11 HESG-Women in Need
12 HESG-Women in Need
13 HOME-ALEA Bridge

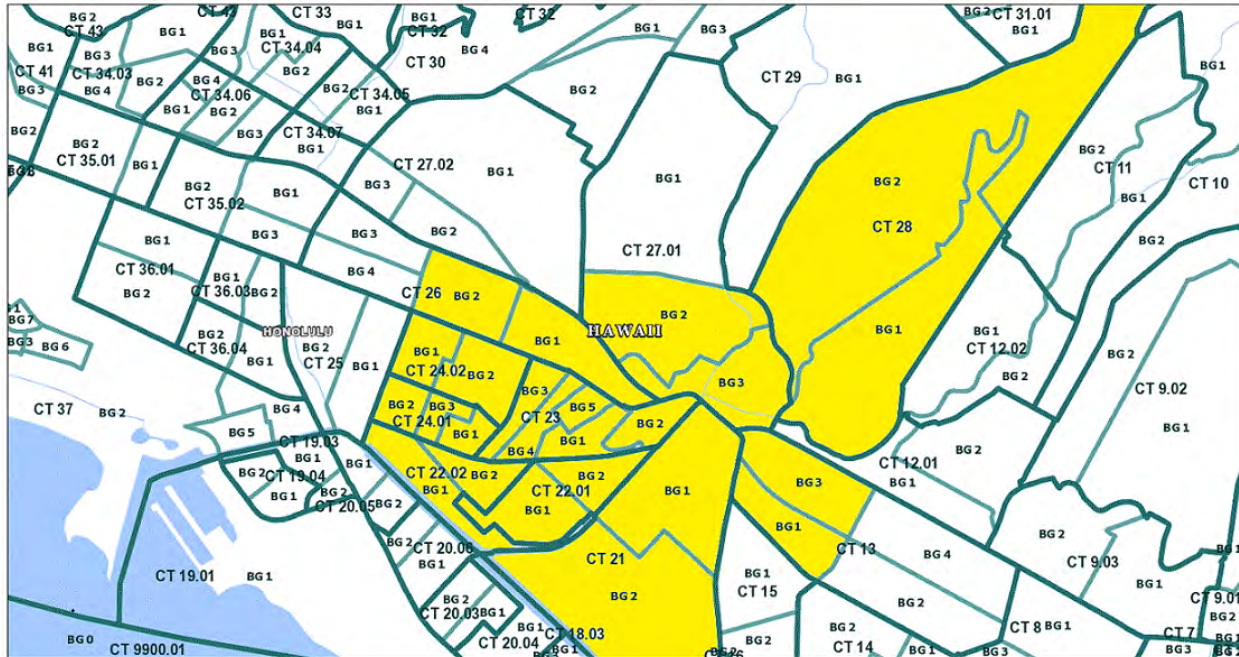
# WAIANAE FIRE STATION



TRACT	BG	L/M	L/M UNIV	L/M %
97.01	1	990	1170	84.62%
97.01	2	1380	2025	68.15%
97.01	3	2145	2880	74.48%
97.03	1	1305	2585	50.48%
97.03	2	810	2205	36.73%
97.03	3	180	875	20.57%
97.04	1	2025	3700	54.73%
98.01	1	1405	1790	78.49%
98.01	2	180	425	42.35%
98.02	1	2225	3040	73.19%
98.02	2	1660	1835	90.46%
98.02	3	795	1220	65.16%
TOTAL		15100	23750	63.58%

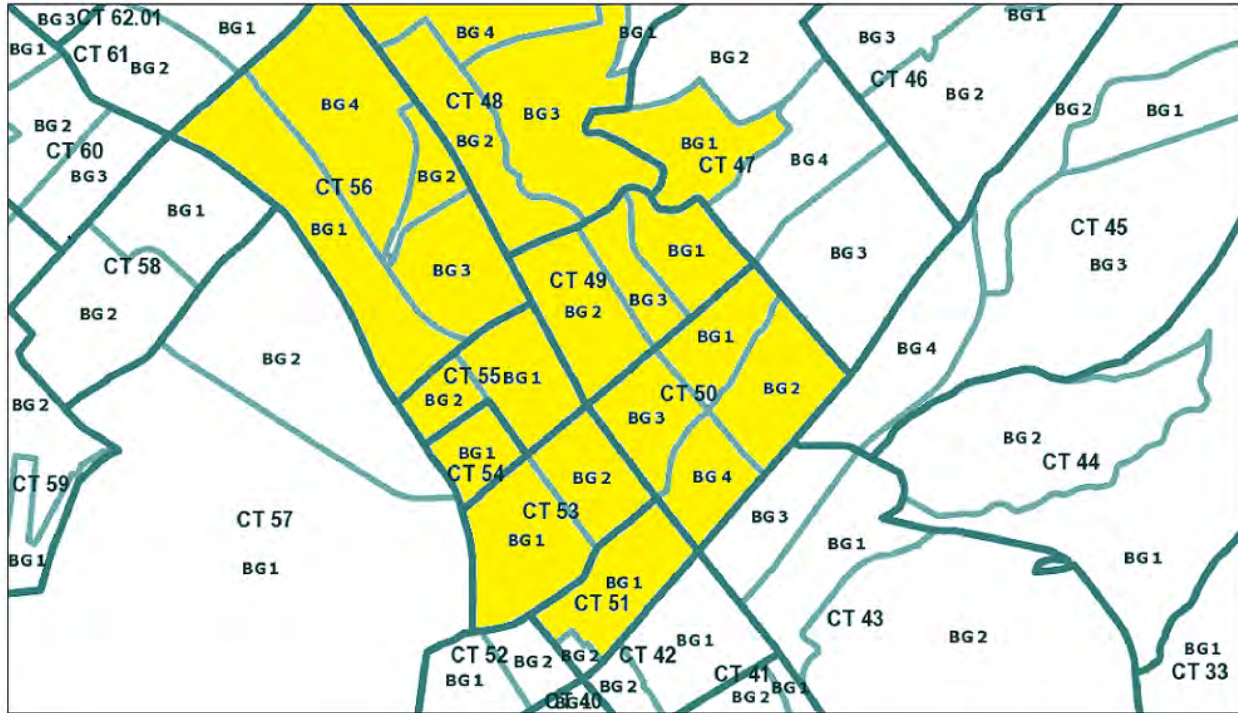


# MCCULLY-MOILIILI FIRE STATION



TRACT	BG	L/M	L/M UNIV	L/M %
13	1	275	850	32.35%
13	3	855	1,175	72.77%
21	1	705	1,435	49.13%
21	2	1,015	2,155	47.10%
22.01	1	1,075	1,665	64.56%
22.01	2	1,500	2,090	71.77%
22.02	1	0	0	0.00%
22.02	2	1,540	3,525	43.69%
23	1	630	1,425	44.21%
23	2	470	980	47.96%
23	3	670	935	71.66%
23	4	1,025	1,405	72.95%
23	5	385	660	58.33%
24.01	1	665	1,045	63.64%
24.01	2	465	685	67.88%
24.01	3	485	845	57.40%
24.02	1	1,135	1,715	66.18%
24.02	2	970	1,380	70.29%
26	1	495	650	76.15%
26	2	325	1,095	29.68%
27.01	2	210	270	77.78%
27.01	3	440	1,155	38.10%
28	1	250	1,470	17.01%
28	2	1,150	2,630	43.73%
TOTAL		16,735	1,240	53.57%

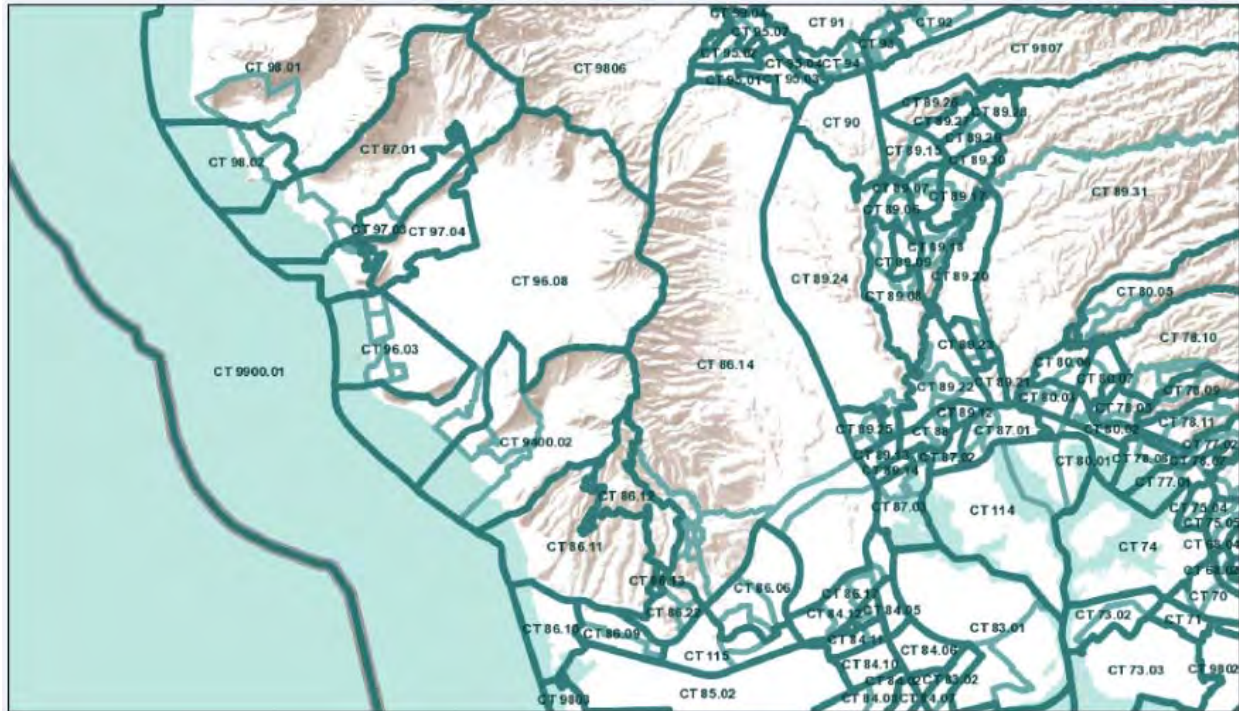
## KUAKINI FIRE STATION



TRACT	BG	L/M	L/M UNIV	L/M %
47	1	155	635	24.41%
48	2	335	895	37.43%
48	3	1520	3065	49.59%
48	4	945	1890	50.00%
49	1	435	1005	43.28%
49	2	560	1055	53.08%
49	3	500	1025	48.78%
50	1	280	680	41.18%
50	2	535	1075	49.77%
50	3	565	990	57.07%
50	4	270	1010	26.73%
51	1	1420	1760	80.68%
53	2	895	1265	70.75%
54	1	1570	1570	100.00%
55	1	140	730	19.18%
55	2	695	1350	51.48%
56	3	1515	2485	60.97%
56	2	325	815	39.88%
TOTAL		12660	23300	54.33%

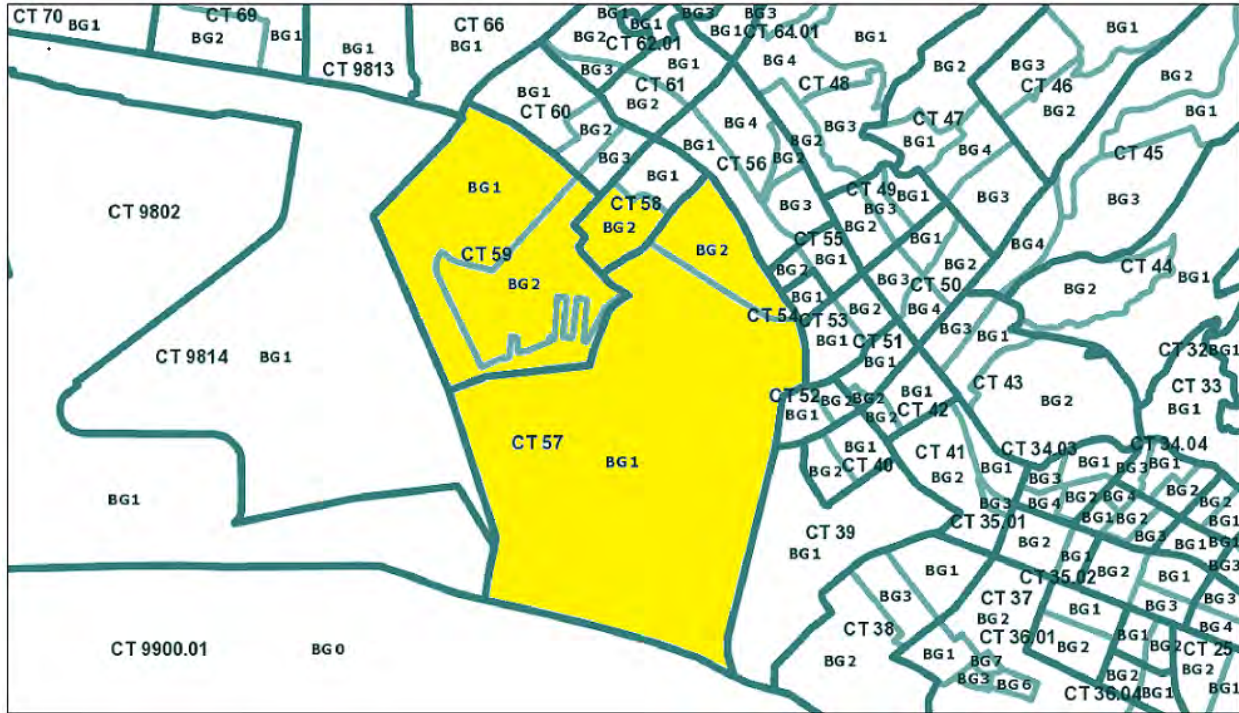


# NANAKULI FIRE STATION



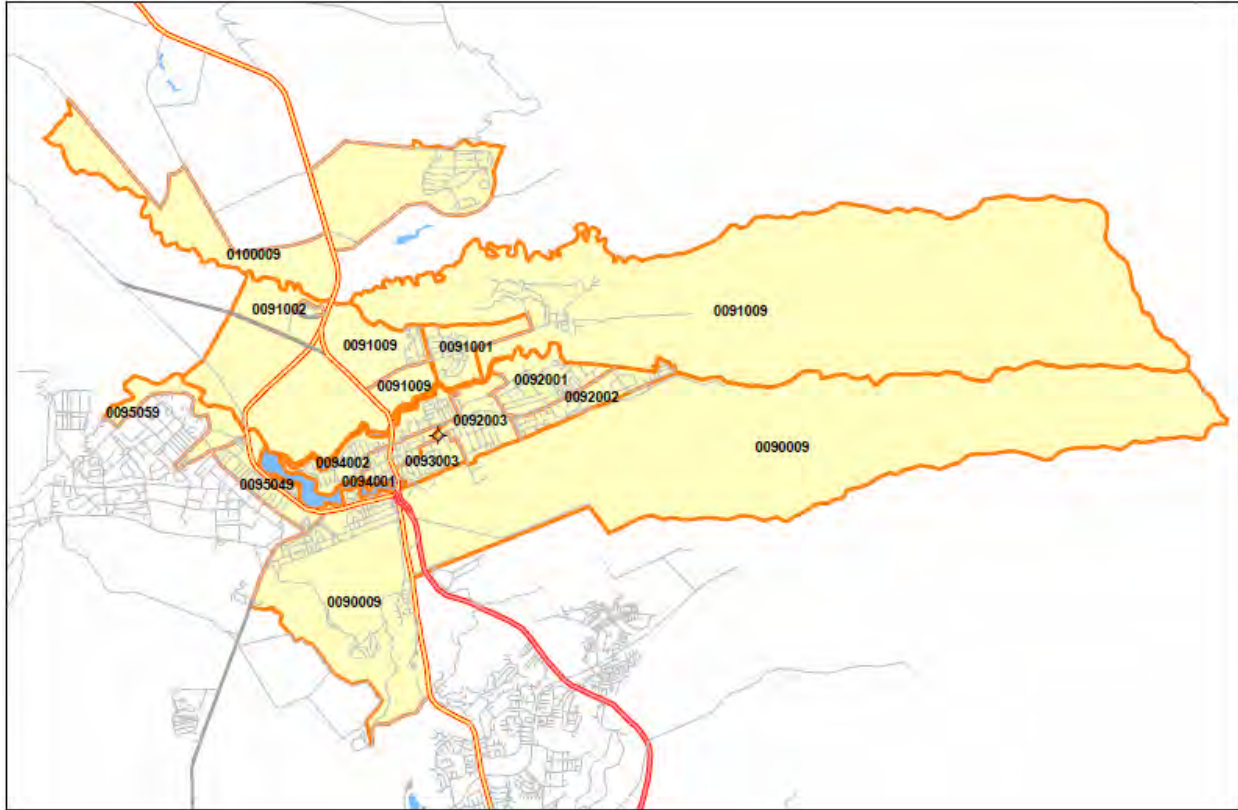
TRACT	BG	L/M	L/M UNIV	L/M %
86.11	1	0	135	0.00%
96.03	1	595	1190	50.00%
96.03	2	1420	2165	65.59%
96.03	3	245	965	25.39%
96.03	4	885	2075	42.65%
96.03	5	1035	1225	84.49%
96.03	6	365	1020	35.78%
96.08	1	1965	2835	69.31%
96.08	2	1865	3200	58.28%
9400.02	1	450	1340	33.58%
9400.02	2	410	1120	36.61%
9400.02	3	630	2490	25.30%
9400.02	4	1925	2640	72.92%
TOTAL		11790	22400	52.63%

## KALIH KAI FIRE STATION



TRACT	BG	L/M	L/M UNIV	L/M %
57	1	155	615	25.20%
57	2	645	700	92.14%
58	2	1575	2260	69.69%
59	1	310	510	60.78%
59	2	900	1190	75.63%
<b>TOTAL</b>		<b>3585</b>	<b>5275</b>	<b>67.96%</b>

# Wahiawa Fire Station



Block Group	L/M	L/M Univ	L/M%
90009 1719		2486	69.15%
91001 1516		2731	55.51%
91002 31		31	100.00%
91002 116		212	54.72%
91009 174		251	69.32%
91009 435		1307	33.28%
92001 889		2242	39.65%
92002 1119		2805	39.89%
92003 650		1879	34.59%
93001 1345		1846	72.86%
93002 369		495	74.55%
93003 947		1927	49.14%
94001 2379		2899	82.06%
94002 767		1861	41.21%
95049 584		1276	45.77%
95059 49		97	50.52%
100009 2124		2335	90.96%
<b>Total</b>	<b>15213</b>	<b>26680</b>	<b>57.02%</b>

## **Appendix 4**

### **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.

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

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about -
  - (a) The dangers of drug abuse in the workplace;
  - (b) The grantee's policy of maintaining a drug-free workplace;
  - (c) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will -
  - (a) Abide by the terms of the statement; and
  - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;



5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted -
  - (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.

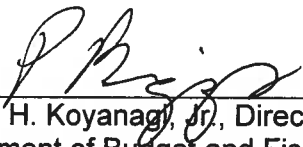
**Anti-Lobbying** – To the best of the jurisdiction's knowledge and belief:

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

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

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

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

  
Nelson H. Koyanagi, Jr., Director  
Department of Budget and Fiscal Services

AUG 14 2017  
Date

## 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) 2009, 2010 & 2011 (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;
3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

The jurisdiction will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to



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

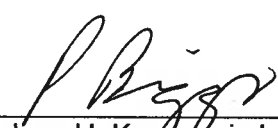
**Excessive Force** – It has adopted and is enforcing:

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

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

**Lead-Based Paint** – Its notification, inspection, testing and abatement procedures concerning lead-based paint will comply with the requirements of 24 CFR §570.608;

**Compliance with Laws** – It will comply with applicable laws.

  
for Nelson H. Koyanagi, Jr., Director  
Department of Budget and Fiscal Services

AUG 14 2017  
Date

## 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;



 Nelson H. Koyanagi, Jr.  
Director of Budget and Fiscal Services

AUG 14 2017

Date

## **ESG CERTIFICATIONS**

I, Kirk W. Caldwell, Chief Executive Officer of the City and County of Honolulu, certify that the local government will ensure the provision of the matching supplemental funds required by the regulation at 24 CFR 576.51. I have attached to this certification a description of the sources and amounts of such supplemental funds.

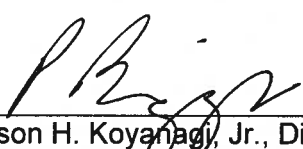
I further certify that the local government will comply with:

1. The requirements of 24 CFR 576.53 concerning the continued use of buildings for which Emergency Solutions Grants are used for rehabilitation or conversion of buildings for use as emergency shelters for the homeless; or when funds are used solely for operating costs or essential services.
2. The building standards requirement of 24 CFR 576.55.
3. The requirements of 24 CFR 576.56, concerning assurances on services and other assistance to the homeless.
4. The requirements of 24 CFR 576.57, other appropriate provisions of 24 CFR Part 576, and other applicable federal laws concerning nondiscrimination and equal opportunity.
5. The requirements of 24 CFR 576.59(b) concerning the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970.
6. The requirement of 24 CFR 576.59 concerning minimizing the displacement of persons as a result of a project assisted with these funds.
7. The requirements of 24 CFR Part 24 concerning the Drug Free Workplace Act of 1988.
8. The requirements of 24 CFR 576.56(a) and 576.65(b) that grantees develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted with ESG funds and that the address or location of any family violence shelter project will not be made public, except with written authorization of the person or persons responsible for the operation of such shelter.
9. The requirement that recipients involve themselves, to the maximum extent practicable and where appropriate, homeless individuals and families in policymaking, renovating, maintaining, and operating facilities assisted under the ESG program, and in providing services for occupants of these facilities as provided by 24 CFR 76.56.
10. The requirements of 24 CFR 576.57(e) dealing with the provisions of, and regulations and procedures applicable with respect to the environmental

review responsibilities under the National Environmental Policy Act of 1969 and related authorities as specified in 24 CFR Part 58.

11. The requirements of 24 CFR 576.21(a)(4) providing that the funding of homeless prevention activities for families that have received eviction notices or notices of termination of utility services will meet the requirements that: (A) the inability of the family to make the required payments must be the result of a sudden reduction in income; (B) the assistance must be necessary to avoid eviction of the family or termination of the services to the family; (C) there must be a reasonable prospect that the family will be able to resume payments within a reasonable period of time; and (D) the assistance must not supplant funding for preexisting homeless prevention activities from any other source.
12. The new requirement of the McKinney -Vento Act (42 USC 11362) to develop 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, foster care or other youth facilities, or correction programs and institutions) in order to prevent such discharge from immediately resulting in homelessness for such persons. I further understand that state and local governments are primarily responsible for the care of these individuals, and that ESG funds are not to be used to assist such persons in place of state and local resources.
13. HUD's standards for participation in a local Homeless Management Information System (HMIS) and the collection and reporting of client-level information.

I further certify that the submission of an amended and approved Consolidated Plan with its certifications, which act as the application for an Emergency Solutions Grant, is authorized under state and/or local law, and that the local government possesses legal authority to carry out grant activities in accordance with the applicable laws and regulations of the U. S. Department of Housing and Urban Development.

  
Nelson H. Koyanagi, Jr., Director  
Department of Budget and Fiscal Services  
for Chief Executive Officer

AUG 14 2017

Date

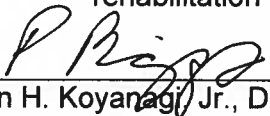
## HOPWA CERTIFICATIONS

The HOPWA grantee certifies that:

**Activities** – Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

**Building** – Any building or structure assisted under that program shall be operated for the purpose specified in the plan:

1. For at least 10 years in the case of assistance involving new construction, substantial rehabilitation, or acquisition of a facility.
2. For at least 3 years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.

  
Nelson H. Koyanagi Jr., Director  
Department of Budget and Fiscal Services

AUG 14 2017  
Date

## **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)

Department of Budget and Fiscal Services  
530 South King Street, 1st, 2nd & 3rd Floors  
Honolulu, HI 96813

Department of Budget and Fiscal Services  
650 South King Street, 4th Floor  
Honolulu, HI 96813

Department of Community Services  
715 South King Street, 2nd & 3rd Floors  
Honolulu, HI 96813

Department of Community Services  
51 Merchant Street  
Honolulu, HI 96813

Department of Community Services  
1000 Ulu Ohia Street #204  
Kapolei, HI 96707

Department of Design and Construction  
650 South King Street, 11th Floor  
Honolulu, HI 96813

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;

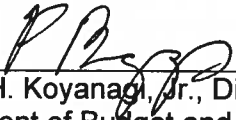
"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"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).

Note that by signing these certifications, certain documents must be completed, in use, and on file for verification. These documents include:

1. Analysis of Impediments to Fair Housing
2. Citizen Participation Plan
3. Anti-displacement and Relocation Plan

  
Nelson H. Koyanagi, Jr., Director  
Department of Budget and Fiscal Services

AUG 14 2017  
Date



## **Appendix 5**

### **DOWNPAYMENT LOAN PROGRAM POLICIES AND PROCEDURES**

**HOME DOWN PAYMENT LOAN (DPL) PROGRAM**  
**Standard Operating Procedures**  
**(Revised 6/29/12)**

**I. REQUEST FOR DPL APPLICATION**

- A. Applicants will apply for the City's DPL through the first mortgage lender.
- B. Lenders or applicants will be notified that units built in 1978 or prior will require a Lead-Based Paint (LBP) Test per Federal requirements. If test results show unacceptable levels of lead, additional repair cost is required. Additional DPL processing time will be needed for testing and/or repair work required for compliance.
- C. Prior to formal loan application submission, a Housing Quality Standards (HQS) inspection will be conducted by a City Inspector after a private home inspection has been completed. The property must first pass the HQS inspection and the Lead Based Paint Test requirement.
- D. When applying for a first mortgage to purchase a property, loan applicants will inform the first mortgage lender that they will be also applying for the City's DPL. The loan applicants' first mortgage lender will submit to the Rehabilitation Loan Branch, a **full loan file submission as outlined in Section II A.**

**II. FORMAL APPLICATION RECEIVED FROM THE APPLICANT**

- A. The first mortgage lender will submit to the Rehabilitation Loan Branch, a copy of the loan applicant's first mortgage loan file according to the **First Mortgage Lender's DPL Loan File Submission Checklist** for underwriting approval which includes the following documents :
  - 1. DPL Loan File Submission Checklist completed by First Mortgage Lender
  - 2. DPL Application and Consent to Release Information Form;
  - 3. Certificate of Completion of HUD certified Homebuyer Education;
  - 4. (FNMA Form 1003) Loan Applications for the 1<sup>st</sup> Mortgage;
  - 5. (FNMA Form 1003) Loan Applications for the DPL as the 2<sup>nd</sup> Mortgage;
  - 6. (FNMA Form 1008) Uniform Underwriting and Transmittal Summary;
  - 7. Automated Underwriting (UW) Findings, Fannie Mae' Desktop Underwriting (DU) or Freddie Mac's Loan Prospector (LP);
  - 8. 1<sup>st</sup> Mortgage Lender's UW Conditional Approval if already completed;

9. Tri-Merged Credit Report;
  10. Income Documents (Federal Income Tax Return, etc used for 1<sup>st</sup> mortgage loan approval);
  11. Asset Documents;
  12. Employment Verification;
  13. Purchase Contract, Rev 5/1/12 including All Addendums & Escrow Deposits;
  14. Private Home Inspection Report;
  15. HUD Housing Quality Standards Inspection Form, if already completed;
  16. Deficient Items Follow-up & Corrections if applicable;
  17. Lead Based Paint Test Assessment if applicable;
  18. All Condominium Document especially the RR105c used for 1<sup>st</sup> Mortgage Lender's UW Approval if applicable;
  19. Preliminary Title Documents;
  20. Appraisal Report if completed at time of DPL submission;
  21. Power of Attorney (POA) or Long Form Trust Documents if applicable
- B. Loan Special will check off the **DPL Application Processing Checklist** to insure all applicable loan documents have been submitted. Loan Specialist will review the loan file submission against the DPL underwriting guidelines and insure the applicant meets DPL qualification. The Loan Specialist will contact applicant or first mortgage lender for clarification and/or for any additional requirements as needed. The borrower's household income may not exceed the current 80% of median income limits for Oahu. In addition, the borrower must complete the HUD certified homebuyer education at time of loan application..
- C. The DPL loan reservation will be considered on a "first come and first served basis." Funds will be reserved only after the Loan Specialist confirms that all applicable loan file documents have been submitted according to the DPL Application Processing Checklist and the applicant meets all initial DPL eligibility and UW requirements. If applicant is eligible for DPL, the Loan Specialist will log on the **DPL Funds Reservation List**.

### III. HUD HOUSING QUALITY INSPECTION (HQS) & CHECKLIST

- A. City Inspector will conduct a HQS inspection upon receipt of the following documents:

1. Purchase Contract, Rev 5/1/12;
  2. Private Home Inspection Report;
- B. Upon receipt and review of the above documents, a City Inspector will schedule a HQS inspection with the DPL applicant lender or seller's realtor. The inspector will complete the **Inspection Checklist (HUD-52580 Form)** indicating whether the unit has passed or failed. If inspection fails, all deficient items will be noted on the report requiring correction. The report will be submitted to the Loan Branch Chief or Loan Specialist.
- C. The Loan Specialist will notify the lender or applicant of the inspection results. If the unit fails inspection and deficient items must be repaired, Loan Specialist will confirm with lender or applicant whether applicant still wishes to proceed with a DPL.

#### IV. CITY'S HOMEBUYER PROGRAM LEAD COMPLIANCE

- A. For homes built prior to 1978, the Loan Branch Chief or Loan Specialist will insure the DPL applicant's first mortgage lender is made aware of HUD's Lead-Based Paint Rules and a lead-based paint (LBP) test to be conducted by HUD/Environmental Protection Agency (EPA) certified lead inspector is required.
- B. LBP test inspection can be conduct at the same time as the private homebuyer's home property inspection if the home inspector is certified to perform a LBP test. If the home inspector is not certified, the DPL applicant will be required to select and schedule a certified LBP inspector to perform the test immediately after the private home inspection.
- C. Upon completion of the LBP test, a written copy of the test report will be sent to the Loan Branch Chief or Loan Specialist for reviewed with the City Inspector.
- D. The City Inspector will verify the LBP test report if lead-based paint is at acceptable or unacceptable tolerance level.
- E. The City Inspector will complete the **City's Homebuyer Program Lead Compliance Document Checklist**. The City Inspector insure all of the following lead compliance documents are completed and included in the DPL loan file:
1. **City's Lead Safe Housing Rule Screening Sheet**
  2. **HUD Housing Quality Standard (HQS) Inspection Checklist (HUD Form 52580)**
  3. **City's Seller Certification (Homebuyer Program)**
  4. **Lead-Based Paint Test Report**

5. **Disclosure of Lead-Based Paint and/or Lead-Based Paint Hazards Form**

6. **City's Lead Hazard Reduction Notice**

V. HUD ENVIRONMENTAL REVIEW RECORD (ERR)

F. The Loan Specialist will fill out **HUD Environmental Review Record (ERR) which includes "Level of Environmental Review" and HUD Environmental Review Categorically Exclusions NOT Subject to 58.5 Activities Checklist**. The ERR will document all the environmental findings pertaining to the subject property. The ERR will be signed by the DCS Director at the time of DPL approval.

G. After DCS Director's DPL approval, the Loan Branch Chief or Loan Specialist will scan and submit ERR to Budget & Fiscal Department (BFS) Federal Grants Unit.

VI. LOAN PROCESSING FOR LOAN APPROVAL SUBMISSION

A. Loan Specialist compiles the DPL file submission documents and gives file to the Sr. Clerk Typist to prepare a red loan submission file for DCS Director's Approval.

B. Loan Specialist assigns loan number and prepares the **Request for Issuance of Loan Check Form** for authorization by the Community Assistance Administrator (CAD), DCS Director, and Fiscal Officer.

C. **DPL file submission for DCS approval** will include the following:

1. **Request for Loan Approval Form;**
2. **UW Income Eligibility Determination Worksheet;**
3. Request for Issuance of Loan Check Form – Prepared Form(Left Hand Side);
4. HUD Level of Environmental Review – Prepared Form (Left);
5. City's Homebuyer Program Lead Compliance Document Checklist (Left)
6. City's Lead Safe Housing Rule Screening Sheet if applicable (Left)
7. HUD Housing Quality Standards Inspection (Left);
8. City's Seller Certification (Homebuyer Program) if applicable - Left
9. Lead Based Paint Test Assessment if applicable (Left);

10. Deficient Items Follow-up & Corrections if applicable (Left);
11. Disclosure of Lead-Based Paint and/or Lead-Based Paint Hazards Form if applicable (Left)
12. Lead Hazard Reduction Notice if applicable (Left)
13. Private Home Inspection Report (Left);
14. HOME Program Regulatory (Recapture) Agreement, Prepared Forms copies requiring DCS Director's approval(Left);
15. 1<sup>st</sup> Mortgage Lender DPL Loan File Submission Checklist;
16. DPL Application and Consent to Release Information Form;
17. Certificate of Completion of HUD certified Homebuyer Education;
18. (FNMA Form 1003) Loan Applications for a 1<sup>st</sup> & 2<sup>nd</sup> Mortgage Transaction;
19. (FNMA Form 1008) Uniform Underwriting and Transmittal Summary;
20. Automated Underwriting (UW) Findings (DU or LP);
21. 1<sup>st</sup> Mortgage Lender's UW Conditional Approval if already completed;
22. Tri-Merged Credit Report;
23. Income Documents (Federal Income Tax Return, etc used for 1<sup>st</sup> mortgage loan approval);
24. Asset Documents;
25. Employment Verification;
26. Appraisal Report or Any Other Property Valuation Document;
27. Purchase Contract;
28. RR105c HI Association of Realtors Property Information Form if Condo;
29. Preliminary Title Documents;
30. Power of Attorney (POA) or Long Form Trust Documents if applicable (Left)

D. If the DPL is DCS **approved**:

1. Loan Specialist notifies the loan applicant by telephone and sends a DPL conditional approval letter to the first mortgage lender subject to property appraisal report, conditional UW approval of 1<sup>st</sup> mortgage loan, and Federal Grants' approval of the ERR;
2. Upon request of 1<sup>st</sup> mortgage lender's UW requirements, the Loan Specialist will work with the lender and provide additional loan documentation or loan information necessary to clear UW conditions for final UW approval of 1<sup>st</sup> mortgage.
3. The Loan Specialist or Loan Branch Chief will submit the HUD ERR and DPL UW summary for review and approval by Federal Grants.

E. If the DPL is **denied**, the Loan Specialist will make the appropriate notification by phone to both 1<sup>st</sup> mortgage lender and applicant and a loan denial letter will be sent to the applicant with explanation.

F. For **final DPL approval**, the Loan Specialist will confirm that initial DPL application submission information used for DCS DPL approval is still current with the 1<sup>st</sup> mortgage lender's final UW approval to insure the DPL applicant still meets the down payment loan program eligibility. The Loan Specialist will obtain the following for the DPL loan file documentation:

1. DPL Loan Submission Checklist for Final Approval;
2. Appraisal Report or any other Property Valuation Documentation;
3. 1<sup>st</sup> Mortgage Lender's Final UW Approval;
4. Federal Grant's Approval of HUD ERR;
5. Appropriate Insurance (Homeowners, Flood, etc.) Binders.

G. In addition to the above documentation, if there are loan application revisions of income, asset, credit, and etc. 1<sup>st</sup> mortgage lender **MUST** submit revised loan application documents for final DPL approval. The Loan Specialist will review and confirm if the DPL application revisions still meets the HOME DPL approval.

H. After Loan Specialist reviews DPL file for final approval, the Loan Branch Chief will also conduct a review of the revised loan submission file for final DPL approval.

VII. LOAN FUNDING

**(Deadline to make the Friday check mail out to the Escrow Company, DCS Fiscal must have the funding request in hand no later than Wednesday 10:00 am of the same week.)**

A. Upon confirmation of loan approval by DCS Director, the Loan Specialist makes a photo copy of the **Request for Issuance of Loan Check** for the Branch File and forwards the original Request for Issuance of Loan Check to the attention of Fiscal Officer (Beryle Matsumura) with:

- Instruction Memo
- **DPL Escrow Proceed Instructions** Letter
- Copy of Federal Grants' email approval of HUD ERR

B. DCS Fiscal will process a check using CITY funds for the DPL in anticipation of the loan closing. BFS Treasury will mail out the funds check and **DPL Escrow Proceed Instructions** letter in the envelope provided in accordance with the above schedule.

C. Escrow will disburse the DPL funds and record on the date as directed by the First Mortgage Lender.

D. Escrow will email copies of the following documents to Loan Specialist when available:

- Stamped recorded copy of Mortgage
- Stamped recorded copy of HOME Regulatory (Recapture) Agreement
- HUD-1 Closing Statements
- ALTA policy in favor of the City for the DPL amount

E. Loan Specialist will forward a copy of the HUD-1 Closing Statement and the client's **HUD Homebuyer Setup and Completion Form** to the designated Planner V of BFS Federal Grants Administration (Iris Young) with cc notification to Rehab Loan Branch Chief and Rehab Loan Branch Sr. Clerk Typist.

F. After successful mortgage closing and inputting of the HUD Homebuyer Setup and Completion Form, DCS Fiscal will draw down HOME funds to repay the City funds advanced for the DPL.



## VIII. LOAN CLOSING

- A. After DPL final approval, the Loan Specialist will coordinate a loan signing/closing date with the 1<sup>st</sup> mortgage lender and applicant.
- B. The Loan Specialist will provide a **Home Loan Settlement Document Preparation Worksheet** to the Sr. Clerk Typist to provide instructions as to the preparation of the loan closing documents.
- C. Senior Clerk Typist prepares the following loan closing documents:
1. DPL Cover Letter;
  2. DPL First Payment Information & Contact Information Confirmation;
  3. DPL Transmittal Letter;
  4. Truth-In-Lending (TIL) Disclosure Statement – 2 Copies;
    - Borrower's copy
    - DPL file copy
  5. Promissory Note – 2 Copies;
    - Borrower's unsigned copy
    - Original Signed for DPL file copy
  6. Real Estate Mortgage -4 Copies;
    - 2 signed notarized copies for loan recording with Escrow
    - Borrower's copy
    - DPL file copy
  7. Mortgage Rider, if condo, incorporated with mortgage – 4 Copies;
  8. HOME Program Regulatory (Recapture) Agreement\* - 4 Copies;
    - 2 signed notarized copies for loan recording with Escrow
    - DPL file copy
    - Borrower's copy
    - DPL file copy
- \*NOTE:** The Regulatory Agreement will be signed by DCS Director when the DPL loan file for DCS approval is submitted.

## 9. Insurance Letter

- D. The Loan Specialist will schedule a loan signing of the DPL documents with the applicant. The Loan Specialist will review the loan terms as well as explain the **HOME DPL owner-occupancy requirement and recapture terms**.
- E. After DPL signing with the applicant, Loan Specialist will have the DPL file be registered by Loan Clerk for DPL log information and loan settlement report.
- F. The Sr. Clerk Typist will prepare the following additional DPL file documents:
  - 1. Loan Ledger;
  - 2. Loan Index Card;
  - 3. Insurance Binder Expiration Follow-Up Card.
- G. The Sr. Clerk Typist will register the DPL into the GMS Loan System and prepare the DPL payment coupons to be sent out to the client.
- H. The Loan Specialist will coordinate with the 1<sup>st</sup> mortgage lender to have the mortgage and the Declaration of Land Use Restrictive Covenants or HOME Recapture Agreement to be recorded simultaneously with the 1<sup>st</sup> mortgage loan documents.
- I. The Loan Specialist completes loan checklist after loan closing of 1<sup>st</sup> mortgage and the DPL.
- J. The Loan Clerk will secure the DPL recorded documents in the Diebold secured file cabinet upon receipt from the escrow company.
- K. The Loan Clerk will prepare the Monthly Rehab Loan Branch Settlement Report to include the DPL closings.

**CITY AND COUNTY OF HONOLULU**  
**HOMEBUYER ASSISTANCE – PROGRAM POLICY<sup>1</sup>**  
**For use with HOME or City Funds**

**OVERVIEW**

The City and County of Honolulu ("City") administers the federal HOME program for homebuyers through a down payment loan program to assist low income families in achieving homeownership. The Department of Community Services, Community Assistance Division, administers the program.

The City uses RECAPTURE provisions when down payment loans using HOME or City funds are provided to eligible borrowers.

**Loan Parameters:**

- Interest rate: 0%.
- Maximum loan payment term: 20 years.
- Maximum loan amount: \$40,000.
- Borrower must provide at least 5% of his or her own funds toward a down payment. An exception may be allowed on a case by case basis to lending partners working with Section 8 Family Self Sufficiency participants.
- Maximum loan to value ratio: 95%. An exception may be allowed for FSS participants with a 3% down payment.
- All applications must be reviewed against the City's current HOME underwriting guidelines (see Attachment 1).

**Homebuyer Requirements:**

- Family income must be at or below 80% of Area Median Income at time of application. The City calculates income for the down payment loan program using the IRS Form 1040 Adjusted Gross Income method, supplemented by current pay stubs and other financial information.
- Family must occupy the property as its principal residence during the entire Period of Affordability.
- At time of application, the borrower(s) must have completed a HUD-certified or City approved homebuyer education class.

**Unit Requirements:**

- Fee simple single family unit or condominium, 99-year leasehold interest or equivalent form of ownership approved by HUD.
- The maximum property purchase price shall not exceed 95% of the area median purchase price for single family homes, as determined by HUD.
- Property must pass a City inspection.
- With HOME funds, units built before 1978 must have a lead based paint (LBP) test completed prior to loan approval.
- With City funds, borrowers may waive the LBP test for units built before 1978.
- The appropriate level of environmental review must be completed prior to loan approval.

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<sup>1</sup> Policy approved by the City 5/21/12

- Property located within a floodplain must maintain flood insurance during the loan term.

**Use of Funds:**

- A second mortgage loan to be used in conjunction with a first mortgage loan in a purchase transaction.
- If allowed, HOME funds may be used for any or all of the reasonable closing costs associated with the home purchase on behalf of the purchaser (not including prior encumbrances, i.e., prior loan payoffs, credit card debt, personal loans, and judgments).

**Affordability Period:**

- For loan amounts of \$15,000 - \$40,000, the homebuyer program requires a 10-year affordability period.
- For loans of \$1,000 - \$14,999, the homebuyer program requires a five-year affordability period.
- The affordability period requirement will be incorporated in an agreement with the borrower through the note, mortgage and terms outlined in the HOME or City-funded Recapture Agreement (see Attachment 2).
- Prepayment does not automatically terminate the affordability period. The borrower shall still be required to maintain the unit as his principal residence unless the City grants termination approval.

**Reduction of Recapture Amount:** The amount of the loan to be repaid to the City will be reduced by an Owner Occupancy Credit for each full year of occupancy, based on the date of loan closing.

- For a 10-year affordability period, the Occupancy Credit will be 5%.
- For a 5-year affordability period, the Occupancy Credit will be 10%
- Examples of the recapture amount based on the Occupancy Credit are shown in Attachment 3.

**Default:** The City may demand payment in full for any of the following reasons:

- Breach of any stated covenant or failure to satisfy any stated condition or regulation including payment.
- Failure to maintain property as family's principal residence.
- In cases of foreclosure or bankruptcy, the Recapture approach requires HOME or City funds to be repaid from the net proceeds of the sale upon transfer.
- For short sales, the Recapture approach requires HOME or City funds to be repaid from the net proceeds of sale after obtaining City's prior approval.

**Loan Subordination:** The City's policy allows subordination on a case by case basis.

**City & County of Honolulu, Department of Community Services  
Rehabilitation Loan Branch**

**HOME Down Payment Loan Program (DPL)  
Fixed Rate 20/20**

**General Underwriting (UW) Guidelines as of 12/31/14**

The City's DPL Program provides a fixed rate second mortgage funded by the HOME Investment Partnership Act, that can be originated with a Fannie Mae 1<sup>st</sup> Mortgage, Freddie Mac 1<sup>st</sup> Mortgage, Federal Housing Administration (FHA) 1<sup>st</sup> Mortgage, Veteran Administration (VA) 1<sup>st</sup> Mortgage, U.S. Department of Agriculture (USDA) Guarantee Rural Housing (GRH) and other financial lenders' (Portfolio) 1<sup>st</sup> Mortgage per their individual product UW guidelines. HOME Investment Partnerships Program regulations cannot be waived. The loan program will be limited to qualified low- and moderate-income (80% of median) borrowers who meet the current income limits established by U.S. Department of Housing and Urban Development (HUD) according to household size for the City & County of Honolulu. Borrowers must also obtain homebuyer education from a HUD-certified home counseling agency to be eligible. This second mortgage program provides a low interest rate loan to assist the qualified homebuyers meet upfront down payment required to qualify for a primary home purchase transaction.

<b>Combined Loan-To-Value (CLTV)</b>						
<b>Max Combined 1st &amp; 2nd Lien Balance</b>	<b>CLTV</b>	<b>Purpose</b>	<b>Units</b>	<b>Occupancy</b>	<b>Credit Score<sup>1</sup></b>	<b>Debt Ratio</b>
Fannie Mae, Freddie Mac, HUD, VA, USDA GRH Conforming Limits, Portfolio Limits	95%	Purchase	1-4	Primary Residence	675	35% <sup>2</sup> /50% <sup>3</sup>
<p>(1) Lower middle credit score of a Tri-Merge Credit Report of all borrowers.            (2) Front-End Ratio = monthly housing expenses divided by the total gross monthly income.            (3) Back-End Ratio or the Debt-To-Income Ratio (DTI) = total monthly debt payments divided by total gross monthly income.</p>						

**Origination / Processing / Underwriting**

**Appraisal**

- Approved Appraisal from a Hawaii Certified appraiser required.
- Age of the appraisal must be ≤120 days from the date of UW submission.
- Type of appraisal will be based on the First Lien UW requirements for a First (1<sup>st</sup>) and Second (2<sup>nd</sup>) Lien purchase transaction.

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**Bankruptcy/Foreclosure**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH, and other Portfolio UW Guidelines as applicable.

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**Borrower Eligibility**

- Owner occupant buyers only – Borrowers must occupy the home during the entire period of affordability.
- Borrower's income at or below 80% of the area median income (AMI) based on current HUD income limits as established by HUD for the City & County of Honolulu. Income eligibility must be recertified after 6 months.
- All Borrowers must attend and successfully complete an in-class homebuyer education program certified by HUD (Any waiver of this requirement is subject to City approval).
- Individual or Inter Vivos (Revocable Living) Trusts.
- Standard Fannie Mae, Freddie Mac, HUD, VA, USDA GRH, and other Portfolio UW guidelines as applicable.
- HOME Investment Partnership Program's Rules as applicable.

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**Condos/Planned Unit Developments (PUDs)****Condos**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH, and other Lenders' property types (Eligible/Ineligible).
- Must meet one of the Condominium Project Approval according to Standard Fannie Mae, Freddie Mac, HUD, VA, USDA GRH, and other Portfolio UW Guidelines as applicable.

**PUDs:**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH, and other Portfolio property types (Eligible/Ineligible).
- Must meet one of the Condominium Project Approval according to Fannie Mae, Freddie Mac, HUD, VA, USDA GRH, and other Lenders' UW Guidelines as applicable.
- HOME Investment Partnership Program's Property Standards as applicable.

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**Co-Signer**

- Not allowed

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**Credit Score**

- Minimum 675 FICO.
- Middle Credit Score on a Tri-Merged Credit Report. (PLEASE NOTE IF MORE THAN ONE BORROWER ON THE LOAN, THEN LOWER MIDDLE SCORE AMONG THE BORROWERS WILL APPLY.)

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**Declining Market Value**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH, and other Portfolio UW Guidelines as applicable.
- The City reserves the right for final loan approval of the DPL for the purchase transaction.

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**Documentation**

- Full income and asset documentation as well as any other applicable loan transaction document verification only.

- See Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW Guidelines as applicable.
- UW file submission for DPL approval must contain copies of the appropriate 1<sup>st</sup> Lien loan file package including a 2<sup>nd</sup> Lien (DPL) loan file with a proposed Form 1003, Uniform Loan Residential Loan Application and Form 1008, Uniform Underwriting Transmittal Summary accounting for the DPL in the "Piggyback" purchase transaction.

#### **Down Payment**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Lenders' UW Guidelines as applicable.
- HOME Investment Partnership Program Rules as applicable.

#### **Energy Efficient Mortgages**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW guidelines as applicable.
- HOME Investment Partnership Program Rules as applicable.

#### **Environmental Review**

- Environmental Review required according to Code of Federal Regulations (CFR) for HOME Investment Partnership Program:
  - Flood Insurance/Flood Determination Protection as applicable.
  - Lead containing & Lead-based paint restrictions apply (See Lead-Based Paint).

#### **Escrow Holdback**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Lenders' UW Guidelines as applicable.
- HOME Investment Partnership Program Rules as applicable.

#### **Exceptions**

- Subject to the City's consideration and approval.

#### **Fees**

- None, all loan transaction fees are associated with the 1<sup>st</sup> Lien Lender
- The City reserves the right for DPL approval based on the Lender's loan fees on the 1<sup>st</sup> Mortgage is "fair and reasonable" for a standard purchase transaction.

#### **First Mortgage (Eligible/Ineligible)**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW guidelines as applicable.
- The City reserves the right for DPL approval based on the eligibility of the 1<sup>st</sup> Mortgage.

#### **Geographic Restrictions**

- City & County of Honolulu only.
- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW Guidelines as applicable.
- HOME Investment Partnership Program's Property Standards as applicable.

#### **Gifts**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW Guidelines as applicable.
- HOME Investment Partnership Program Rules as applicable.

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**Homebuyer Education**

- All borrowers must attend and successfully complete an in-class homebuyer education program certified by HUD to be eligible.
- Waiver of the "in-class" education requirement is subject to the City's approval of the alternative type of the homebuyer education certification.

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**Interest Rate**

- 0% interest.

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**Investment Property**

- Not allowed

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**Lead-Based Paint**

- Lead-based paint requirements for properties constructed prior to 1978 will be addressed prior to purchase. These requirements include:
  - Lead-based paint notification shall be given to the borrower.
  - All properties will be inspected for defective paint surfaces through a lead assessment conducted by a certified lead inspector. If defective paint surfaces are found, the City requires that the defect be properly stabilized before loan approval.

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**Leasehold Estates**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW guidelines as applicable.
- HOME Investment Partnership Program Property Standards as applicable.

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**Loan Amount**

- Minimum: \$1,000 loan amount.
- Maximum: \$40,000 loan amount; NOTE: AT 95% CLTV, \$266,666.67 WILL BE THE MAXIMUM PURCHASE PRICE.
  - Combined first and second lien balance cannot exceed the maximum loan amounts set by UW guidelines (See Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Lenders' UW guidelines as applicable).
  - Exception subject to final loan approval by the City.

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**Loan Subordination**

- Allowed based on City's approval.
- Maximum 95% CLTV.

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**Loan Term**

- Twenty (20)-year monthly loan payments based on 20-year loan term amortization.
- Occupancy credit earned by the borrower each full year of owner occupied residency will reduce the remaining loan balance to zero after 5 years or 10 year depending on the recapture term.

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**Mortgage Insurance**

- Not required at 80% LTV for the 1<sup>st</sup> Mortgage if Fannie Mae or Freddie Mac 1<sup>st</sup> Mortgage in conjunction with a DPL as the 2<sup>nd</sup> Mortgage.
- An insurance premium or guarantee fee will be required for FHAVA/USDA GRH 1<sup>st</sup> Mortgage.



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### **Non-Occupant Co-Borrower**

- Not allowed.

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### **Non-Borrowing Spouse or Co-borrower**

- Standard Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Lender's UW guidelines as applicable.
- Must successfully complete an in-class homebuyer education program certified by HUD.
- Waiver of this requirement is subject to the City's approval of the alternative type of homebuyer education certification.

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### **Non-Salaried Borrower**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and Portfolio UW Guidelines as applicable.
- HOME Investment Partnership Program Rules as applicable

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### **Non-U.S. Citizen**

- Permanent Resident Aliens
  - Allowed, but must meet the eligibility of the Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW guidelines as applicable.
  - Refer to "**Acceptable Evidence of Qualified Aliens**" for details according to the Standard Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW Guidelines as applicable.
  - HOME Investment Partnership Program Rules as applicable
- Non-Permanent Resident Aliens
  - Not eligible.
- Employment Authorization Document (EAD)
  - Not eligible.
- Foreign Nationals
  - Not eligible.
- Borrower with Diplomatic Immunity
  - Not eligible.

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### **Number of Loans**

- Only one qualifying owner-occupancy purchase transaction at a time per use of the loan funds with the HOME Investment Partnership Program.

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### **Occupancy**

- Primary Residence only.

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### **Occupancy Credit**

- 10% Credit each full year of owner occupancy for 10-yr recapture term.
- 5% Credit each full year of owner occupancy for 5-yr recapture term.

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### **Period of Affordability**

- Per HUD CFR, the HOME-assisted unit must meet the affordability requirements for not less than the term of the period of affordability or any longer period stipulated in the City documents.
- Each primary residence assisted with the City's Home Down Payment Loan will meet the **minimum affordability periods** as shown:

<b>Amount of HOME Down Payment Loan Assistance Provided</b>	<b>Minimum Years in the Affordability Period</b>
Under \$15,000	5 years
\$15,000 to \$40,000	10 years
Over \$40,000	15 years

### **Prepayment Penalty**

- No prepayment penalty, but the DPL cannot be fully paid off until the period of affordability has been satisfied.

### **Property Inspection**

- The property must meet Housing Quality Standards (HQS) established by HUD. In addition, property must comply with applicable State and local housing and building code requirements for the duration of the loan.
- Property must be inspected and initial inspection of the property must be approved by a City Inspector before the loan file can be submitted to the City for DPL approval. The City also requires a copy of a recent appraisal as performed by a Hawaii Certified Appraiser and a Termite Inspection Report as performed by a licensed individual and/or company.
- The City also retains the right to do spot inspections of the property for program compliance for the duration of the loan.

### **Property Types (Eligible/Ineligible)**

- Eligible:
  - Fee simple and Leasehold property if meets Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Lenders' UW guidelines as applicable.
  - Properties must be in rural areas as designated by USDA GRH for USDA financing.
  - Legal Ohana permitted property.
  - Mixed use property if meet Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Lenders' UW guidelines as applicable.
  - Condos and PUDs – Fannie Mae or Freddie Mac approved/warrantable.
- Ineligible:
  - Investment Property.
  - Recreational Condos.
  - Condominiums.
  - Co-ops, Manufactured Homes.
- HOME Investment Partnership Program Property Standards as applicable.

### **Ratios/Qualifying Rate**

- 38% Front-End & 50% Back-End (DTI) Ratio
- Exception is subject to the City's approval.

### **Recapture Provision**

- Pre-payment of the City's Down Payment Loan may not terminate the Period of Affordability. The owner will be required to complete the Period of Affordability as his or her principal residence or obtain City Approval.

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**Reserves**

- Minimum two (2) months of the monthly principal & interest, property tax, and homeowners insurance if applicable (PITI).

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**Second Home**

- Not allowed.

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**Seller/Interested Party Contributions**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW Guidelines as applicable.
- HOME Investment Partnership Program Rules as applicable.

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**Source of Funds**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW Guidelines as applicable.
- HOME Investment Partnership Program Rules as applicable.

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**Tax Deferred Exchange**

- Not allowed.

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**Trusts (Inter Vivos)**

- Individual or Inter Vivos (Revocable Living) Trusts only.

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**Underwriting/Automated UW**

- Manual UW only for the DPL, although the Lender's 1<sup>st</sup> Mortgage Automated UW (AUW) Approval Findings based on a "Piggyback" loan purchase transaction will carry a stronger UW consideration for the loan approval.

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**Underwriting/Manual**

Manual Underwriting	HHOC Requirements	Income	Assets	Credit	Debts	Additional Information
<b>Manual Underwriting:</b> <ul style="list-style-type: none"><li>• Manual Underwriting required.</li><li>• UW exceptions will need approval by the City – Department of Community Services (DCS) Director.</li></ul>						
<b>City General Requirements:</b> <ul style="list-style-type: none"><li>• All borrowers must attend and successfully complete the required in-class homebuyer education program.</li><li>• Only Full Documented Loan Files of the 1<sup>st</sup> and proposal DPL to be submitted for UW approval, including all applicable title or escrow required documentation and appraisal.</li><li>• The City is responsible for underwriting and approving the DPL. The City requires a conditional loan approval by the Lender of the 1<sup>st</sup> Lien subject to underwriting the DPL.</li><li>• Lender's 1<sup>st</sup> Lien approval will be subject to Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW guidelines as applicable.</li><li>• All conditional and final DPL approval will be made by DCS Director.</li></ul>						
<b>Employment History:</b> <ul style="list-style-type: none"><li>• Applicant must demonstrate a dependable and legal reoccurring source of income over a</li></ul>						

minimum of a two-year period of continued employment.

- The City must have assurance of applicant's continued future employment. A verification of employment (VOE) must be provided.
- Applicant that has recently completed his/her education, which has prepared applicant for a working career, and has been at present job for more than six months, may be considered for funding if the applicant can provide assurance of continued future employment through a VOE Letter or Form.
- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW guidelines as applicable.

**Income:**

- Income Limitation at or below 80% of AMI for borrowers based on current City & County of Honolulu income limits established by HUD. Eighty percent (80 %) of the median income for City & County of Honolulu is as shown below:

Family Size in Household	Maximum Annual Income for 2014
1	\$53,700
2	\$61,350
3	\$69,000
4	\$76,650
5	\$82,800
6	\$88,950
7	\$95,050
8	\$101,200

- The Internal Revenue Service (IRS) Form 1040 Definition method for income determination will be used, as described in the "Technical Guide for Determining Income and Allowances for the HOME Program, Third Edition, January 2005". Reference the following list of Income Inclusions and Exclusions:
  - **Inclusions**
    - Wages, salaries, tips, etc.
    - Taxable interest.
    - Dividends.
    - Taxable refunds, credits or offsets of State and local income taxes. There are some exceptions - refer to Form 1040 instructions.
    - Alimony (or separate maintenance payments) received.
    - Business income (or loss).
    - Capital gain (or loss)
    - Other gains (or losses) (i.e., assets used in a trade or business that were exchanged or sold).
    - Taxable amount of individual retirement account (IRA) distributions. (Includes simplified employee pension [SEP] and savings incentive match plan for employees [SIMPLE] IRA.)
    - Taxable amount of pension and annuity payments.
    - Rental real estate, royalties, partnerships, S corporations, trusts, etc.
    - Farm income (or loss).
    - Unemployment compensation payments.
    - Taxable amount of Social Security benefits.
    - Other income. (Includes: prizes and awards; gambling, lottery or raffle winnings;

jury duty fees; Alaska Permanent fund dividends; reimbursements for amounts deducted in previous years; income from the rental of property if not in the business of renting such property (NOTE: Rental income will not apply for DPL); and income from an activity not engaged in for profit).

- Exclusions

- Child support.
- Money or property that was inherited, willed or given as a gift.
- Life insurance proceeds received as a result of someone's death.

- Using Previously Filed 1040

If a household has submitted an IRS Form 1040 to the IRS for income tax purposes and that form is less than six months old, we may use the form to determine the eligibility of the applicant for HOME programs. However, using the actual tax return has the following implications:

- IRS Form 4506 "Request for Copy of Tax Form" must be completed and signed.
- Requirement to determine if any of the circumstances as reported on the form have changed or will change in the upcoming 12 months and to make such adjustments.
  - ◆ For example, if the applicant received a raise at his/her job since the submission of the tax return, the current income figure should be used to determine eligibility. We must ensure that everyone in the household is represented through the use of the tax return.
  - ◆ For example, if a husband and wife file a joint return, but their adult son that resides with them files a separate return, the tax return of the husband and wife would not be sufficient for determining income.

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW guidelines as applicable.

#### **Assets:**

- Minimum 2 consecutive months of seasoned assets.
- Treatment of Assets – Income from certain assets must be carefully considered when calculating income under the IRS Form 1040 definition of adjusted gross income.
- The current list of IRS Form 1040 inclusions and exclusions includes, but is not limited to following types of income from assets in the income calculation:
  - Taxable interest.
  - Dividends.
  - Prizes and awards.
  - Gambling, lottery, or raffle winnings.
- In addition, some types of assets are not included in the IRS Form 1040 calculation. Examples include:
  - Life insurance proceeds.
  - Inherited money or property.
- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW guidelines as applicable.

#### **Credit:**

- Fannie Mae, Freddie Mac, HUD, VA, USDA GRH and other Portfolio UW guidelines as applicable.
- Non-Traditional Credit (No Credit Score): Credit reports with one (1) credit score are allowed provided all three (3) repositories were accessed
- If minimum credit score is met:
  - Excluding borrower with a previous bankruptcy/foreclosure, no additional credit or

- rental history analysis is required provided the following conditions are met:
    - All collections/charge offs >\$250 individual or \$1,000 aggregate must be paid in full.
    - All existing delinquent accounts must be brought current.
    - Judgments must be paid.
    - Borrower may be in Consumer Credit Counseling Service (CCCS) provided minimum credit score requirement is met.
    - Adequate funds to settle debts must be verified.
- Co-borrower with no traditional or non-traditional credit history:
  - 30% of the co-borrower's documented income can be used to qualify
  - Credit report must reflect all 3 repositories were accessed with no credit history available.
- Non-Traditional Credit:
  - Allowed on ≤90% LTV only.
- No credit score – If non-traditional credit is used, Credit Counseling and Homebuyer Education are required for applicants who have experienced adverse credit in the past or will experience substantial payment shock.
  - Allowed on ≤90% LTV only.
  - Non-Traditional Credit Evaluation may not be used to offset derogatory credit.
  - Minimum of three (3) sources of non-traditional credit that have been active at least 12 months:
    - Utilities included in rental payment may not be considered an additional source of credit.
    - One source must be for rental housing
    - One source must be a utility company (electric, water, telephone, cable television).
    - No history of delinquency on rental housing payment within the past 24 months (or, inception if less than 24 months):
      - ◆ If landlord is an individual, 12 months cancelled checks are required.
    - If the borrower has no history of housing payments, a minimum of four (4) credit sources are required.
    - The remaining sources may represent any reasonable service or purchase as long as the repayment terms are in writing and the borrower can provide cancelled checks, or money order receipts that show the creditor as the payee to document the payment.
    - Of the remaining accounts, only one may have had a 30-day delinquency in the last 12 months.
    - No collections or judgments (other than medical collections) within the past 24 months:
      - ◆ All judgments must be satisfied.
      - ◆ Collection accounts (including medical) in excess of \$250 per individual account or a total of \$1,000 must be paid in full.
      - ◆ Borrower with a prior bankruptcy or foreclosure must have reestablished credit.
- Erroneous credit report:
  - Errors on the credit report must be documented verifying either the credit is in error or credit does not belong to the subject borrower:
    - Minimum of 4 trade lines at least 2 years old (including installment and revolving debts).
    - Maximum of nine (9) open accounts (if closed 6 months or more, do not count).
    - No collections or judgments (other than medical collections) within the past 24 months.

- No public record information indicating a prior bankruptcy or foreclosure.
- No delinquency in housing debt. Most recent 12 months cancelled checks or paid rent receipts if borrower pays in cash and is noted on receipt.
- Installment Loans – No delinquency in most recent 12 months; no more than 1x30 in prior 13-24 months; no  $\geq 60$  day delinquencies.
- Revolving Accounts - No delinquency in most recent 12 months; no more than 1x30 in prior 13-24 months; no  $\geq 60$  day delinquencies.
- Outstanding revolving account balances represent no more than 50% of available credit line at application (cannot pay down or payoff balance to qualify).

***These UW summary guidelines are provided for reference and are subject to revisions.  
If there are any questions regarding the guidelines listed above, contact the City  
Rehabilitation Loan Branch when originating a concurrent first lien with the City's DPL.***

Final DPL  
Draft  
HOME Program  
Recapture Agr -  
10 Yr Term

LAND COURT SYSTEM

REGULAR SYSTEM

Return by Mail ( ) Pickup ( ) To:  
Department of Community Services  
51 Merchant Street  
Honolulu, Hawaii 96813  
Telephone: 768-7076

TYPE OF DOCUMENT: Agreement

PARTIES TO DOCUMENT:

City & County of Honolulu  
530 South King Street  
Honolulu, Hawaii 96813

PROPERTY DESCRIPTION

DOCUMENT NO. \_\_\_\_\_

DOCUMENT NO. \_\_\_\_\_  
TRANSFER CERTIFICATE OF  
TITLE NO: \_\_\_\_\_

Land Court ( ) Regular ( )  
Double ( )

TAX MAP KEY No.

This document contains \_\_\_\_ pages



## HOME PROGRAM RECAPTURE AGREEMENT

THIS HOME PROGRAM RECAPTURE AGREEMENT (this "Agreement") is entered into as of this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, by and between the **CITY AND COUNTY OF HONOLULU**, a municipal corporation and instrumentality of the State of Hawaii (the "City"), and a qualifying household, on behalf of itself and \_\_\_\_\_ ("Owner").

### PREFACE

WHEREAS, the City has received a formula HOME Investment Partnership (HOME) allocation from the United States Department of Housing and Urban Development (HUD) to carry out eligible activities in accordance with program requirements; and

WHEREAS, Owner is interested in participating in the City's Down Payment Loan Program, and will comply with all program rules and requirements; and

WHEREAS, the City and Owner desire to enter into a transaction pursuant to which the City will make a down payment loan to Owner with HOME funds; and

WHEREAS, Owner will use the proceeds of such loan for the acquisition of the Property (as defined below), and other costs as provided in the Note; and

WHEREAS, as further consideration for the loan and to further the interests of the City, Owner has agreed to enter into and record this Agreement; and

WHEREAS, the purpose of this Agreement is to regulate and restrict the occupancy and ownership of the project for the benefit of project occupants and the people of the City and County of Honolulu.

The covenants in this Agreement are intended to run with the land and be binding on Owner for the full term of this Agreement.

### **NOW, THEREFORE, THE PARTIES MUTUALLY AGREE AS FOLLOWS:**

Owner shall receive City HOME Investment Partnership funds for investment in real property owned by Owner, as evidenced by legal title or a valid contract of sale. Acting in this capacity, Owner will comply with all applicable terms, conditions, requirements and guidelines of (i) the Down Payment Loan Program, as set forth by the City, and (ii) the HOME program, as set forth by HUD, including the following:

## **A. DEFINITIONS**

The following terms have the meanings and content set forth in this Section A where used in this Agreement or attached exhibits.

1. "Affordability Period" means the period commencing on the date of this agreement and ending ten (10) years after the recordation of this Agreement, or at time of sale or transfer, as approved by the City.
2. "Area Median Income" means the median income for the Honolulu, Hawaii Metropolitan Statistical Area (MSA), with adjustments for household size, as adjusted from time to time by HUD.
3. "City" has the meaning set forth in the first paragraph of this Agreement.
4. "Dwelling Unit" means a residential dwelling unit that is located on the Property.
5. "Eighty Percent of Area Median Income" means annual income, which does not exceed eighty percent (80%) of the Area Median Income.
6. "HUD" has the meaning set forth in the Preface.
7. "HOME Funds/HOME Investment" means funds received pursuant to the HOME Investment Partnership Program under the Department of Housing and Urban Development (HUD), codified at 42 United States Code (U.S.C.) Section 12701, et seq., 24 Code of Federal Regulations (CFR) Part 92, to provide funds for affordable housing.
8. "Loan" is any loan of funds provided by the City to any Owner in connection with the Down Payment Loan Program.
9. "Loan Documents" means collectively the Mortgage, Mortgage Rider, Note, this Agreement and any loan agreement, mortgage, or promissory note entered into between the City and Owner with respect to any of the Property, as they may be amended, modified or restated from time to time, along with all exhibits and attachments to these documents.
10. "Mortgage" means any mortgage, assignment of rents, and security agreement placed on the Property or any part thereof as security for any Loan and other obligations with Owner as grantor and the City as grantee, as well as any amendments to, modification of, and restatements of said mortgage.
11. "Net Proceeds" means, in the event of a voluntary or involuntary sale of the

Property, the sales price minus superior loan repayment (other than HOME funds) and any closing costs.

12. "Note" means that certain Promissory Note executed by Owner in favor of the City evidencing any part of a Loan, which is secured by a Mortgage, as well as any amendments to, modifications or, or restatements of said Note. The Note will be on file with the City.
13. "Owner" or "Owners" is the qualifying household that is the purchaser of a Dwelling Unit within the Project.
14. "Project" means the purchase of the Property, which will be affordable to households earning Eighty Percent (80%) of Area Median Income.
15. "Property" means the real property located at: \_\_\_\_\_ and described in the attached Exhibit A, which is hereby incorporated into this Agreement by this reference, and any buildings or improvements now or hereafter situated on said real property.
16. "Qualifying Household" means a household whose income is Eighty Percent of Area Median Income, as determined periodically by HUD, with adjustments in accordance with 24 CFR § 92.254, and who is otherwise eligible to purchase a Dwelling Unit.
17. "Qualifying Sales Price" means a sales price that does not exceed ninety five percent (95%) of the area median purchase price for single-family housing, as determined by HUD.
18. "Recapture Amount" means an amount of HOME funds required to be paid by Owner under certain circumstances, calculated in accordance with Section E.1 below.

## **B. TERM OF AGREEMENT**

This Agreement shall remain in full force and effect during the Affordability Period regardless of any expiration of the term of any Loan, any payment or prepayment of any Loan, any assignment of a Note, any reconveyance of a Mortgage, or any sale, assignment, transfer, or conveyance of the Property, unless terminated earlier by the City in writing or extended by the mutual consent of the parties. However, failure to record this Agreement by the City shall not relieve Owner of any of the obligations specified herein. The covenants in this Agreement will run with the land for the benefit of the City and its heirs, assigns and successors and be binding on Owner and Owner's heirs, assigns and successors for the full term of this Agreement.

### C. USE OF FUNDS

HOME Funds will be used to acquire the Property. Funds will be utilized in an assistance program, which will effectively allow the Qualifying Household to acquire the Property.

### D. AFFORDABILITY

1. The Dwelling Unit will qualify as "affordable housing" (within the meaning of HOME) and will have a Qualifying Sales Price of \$\_\_\_\_\_.
2. The Dwelling Unit must be the principal residence of an Owner that is a Qualifying Household at the time of purchase.
3. The Loan amount for the assisted Dwelling Unit is \$\_\_\_\_\_.
4. Pursuant to 24 CFR § 92.254, the use of HOME funds in a homeownership transaction carries a period of affordability for projects. This Section D will apply for the term of the Affordability Period.

### E. RECAPTURE OF HOME FUNDS

1. Pursuant to 24 CFR § 92.254(a)(5)(ii), the City requires that HOME funds be recaptured if the Dwelling Unit does not continue to be the principal residence of Owner for the duration of the Affordability Period. If all or any part of the Property or any interest in it is sold, rented, refinanced, conveyed or transferred (or if a beneficial interest in Owner is sold, rented, refinanced, conveyed, or transferred and Owner is not a natural person), Owner shall repay to the City the initial Loan amount (set forth in Section D.3 above), less a credit of five percent (5%) of the Loan amount for each full year of occupancy :

Full Years of Occupancy	Owner OccupancyCredit
1	5%
2	10%
3	15%
4	20%
5	25%
6	30%
7	35%
8	40%
9	45%
10	50%

If, for example, the Property is sold, rented, refinanced, conveyed, or transferred after the third year of the term of the Note secured by the Mortgage, Owner shall repay to the City the Loan amount less fifteen percent (15%) of the Loan amount, or eighty five percent (85%) of the Loan amount.

2. In the event that the Net Proceeds are less than the Recapture Amount set forth above, Owner shall remit to the City one hundred percent (100%) of the Net Proceeds. Such remittance shall constitute payment in full of the Recapture Amount. At the end of the Affordability Period, Owner shall no longer be subject to a repayment obligation under this Agreement.
3. The City may permit refinancing without recapture in certain limited circumstances. The City will consider requests to refinance without recapture and to subordinate the City's interest on a case-by-case basis, including, but not limited to, scenarios where the new loan would (a) reduce Owner's monthly housing costs, (b) reduce overall personal debt (e.g., pay off a car loan), or (c) if the loan involves an equity takeout, provide for Property improvements, coverage of Owner's medical expenses or relief from financial hardship.

## **F. PROPERTY MANAGEMENT**

1. Maintenance and Security. During the Affordability Period, Owner shall at his or her own expense maintain the Property in good condition, in good repair, and in decent, safe, sanitary and habitable living conditions for the benefit of that Owner's household and any prospective occupants. Owner shall maintain the Property in conformance with all applicable state, federal and local laws, ordinances, codes and regulations.
2. In the event that Owner fails to maintain the Property in accordance with these standards and after at least thirty (30) business days prior notice to Owner, the City or the City's contractor or agent may, but shall be under no obligation to, enter upon the Property, make such repairs or replacements as are deemed necessary in the City's discretion, and provide for payment thereof. Any amount advanced by the City to make such repairs, together with interest thereon from the date of such advance at the rate of seven (7) percent (unless payment of such an interest rate would be contrary to applicable law, in which event such sums shall bear interest at the highest rate then allowable by applicable law), shall become an additional obligation of Owner to the City and shall be secured by any Mortgage, if not previously reconveyed.

## **G. PREPAYMENT**

Full prepayment of such HOME funds does not terminate the Affordability Period: Owner shall still be required to maintain the Dwelling Unit as its principal residence.

## **H. PROJECT REQUIREMENTS**

Compliance with the following project requirements is required as follows:

1. Maximum per-unit subsidy amount. The amount of HOME funds that a participating jurisdiction may invest on a per-unit basis in affordable housing will not exceed the per-unit dollar limits established by HUD.
2. Property Standards. Housing that is assisted with HOME funds, at a minimum, must meet HUD standards.
3. Occupancy Requirements. The HOME Program requires that occupancy standards must be maintained for the Affordability Period for each of the assisted Dwelling Units as follows:
  - a. The prospective purchaser must be low income; that is, the purchaser must have an annual (gross) income that does not exceed Eighty Percent (80%) of Area Median Income, which will be determined at either the time the household initially occupies the Property or at the time the HOME funds are invested; whichever is later.
  - b. Each Owner must occupy the Property as a principal residence. Only loan default and subsequent foreclosure negate the principal residence limitation.
  - c. The Property will remain affordable, pursuant to this covenant for not less than the Affordability Period, as specified by the affordability schedule at 24 CFR § 92.254(a)(4).
4. Ownership Interest. The purchaser must have ownership in fee simple title or a 99 year leasehold interest in a one- to four-unit dwelling or in a condominium unit, or equivalent form of ownership approved by HUD.

## **I. REVERSION OF ASSETS.**

Owner must transfer to the City any HOME funds remaining in the Property after the time of expiration of the Affordability Period when there is a change to title on the Property or any sale, rental, refinance, conveyance or transfer of Property.

## **J. DEFAULTS AND REMEDIES.**

In the event of any breach or violation of any agreement or obligation under this Agreement, the City may proceed with any or all of the remedies as described in the Mortgage.

#### **K. NON-LIABILITY OF OFFICIALS, EMPLOYEES AND AGENTS.**

No officer, official, director, employee, agent or representative of the City shall be personally liable to Owner for any obligation created under the terms of this Agreement except in the case of actual fraud or willful misconduct by such person.

#### **L. INDEMNITY.**

Notwithstanding the insurance coverage required herein, Owner shall indemnify and hold the City and its officers, officials, directors, employees, agents and authorized representatives (each, an "Indemnified Party," and collectively, the "Indemnified Parties"), free and harmless against any losses, damages, liabilities, claims, demands, judgments, actions, court costs, and legal or other expenses (including attorney's fees) which any Indemnified Party may incur as a direct or indirect consequence of (1) Owner's failure to perform any obligations as and when required by this Agreement; (2) any failure of any of Owner's representations or warranties to be true and complete; or (3) any act or omission by Owner or any contractor, subcontractor, management agent, or supplier with respect to the Property, except where such losses are caused by the sole negligence or willful misconduct of Indemnified Parties. Owner shall pay immediately upon the City's demand any amounts owing under this indemnity. The duty of Owner to indemnify includes the duty to defend Indemnified Parties in any court action, administrative action, or other proceeding brought by any third party arising from the Property. Owner's duty to indemnify Indemnified Parties shall survive the term of this Agreement.

#### **M. SUBORDINATION.**

Notwithstanding anything to the contrary contained herein, the City and Owner acknowledge and agree that this Agreement is subject in all respects to the liens, terms, covenants and conditions of the mortgage or deed of trust securing the Bank Loan. In the event of a foreclosure of such mortgage or deed of trust securing the Bank Loan, any provisions herein restricting the use of the Property to affordable or to low income persons or households, or otherwise restricting Owner's ability to resell the Property, shall have no further force or effect. Any person receiving title to the Property through a foreclosure of the security instrument securing the Bank Loan shall receive title to the Property free and clear from such restrictions.

This Agreement shall be further subordinated in priority only to those certain liens and encumbrances approved in writing by the City in its sole and absolute discretion.

#### **N. MISCELLANEOUS TERMS.**

1. Amendment. Except as provided in subsection 6 below, or as expressly otherwise provided elsewhere in this Agreement, this Agreement may be amended

only by a written amendment executed by both parties.

2. Applicable Law. The provisions of this Agreement shall be interpreted in accordance with the law of the State of Hawaii as that law is construed and amended from time to time.

3. Assignment. Owner may not assign this Agreement or any interest in it for any purpose without the prior written consent of the City.

4. Authorization. Each party warrants to each other party that the individuals executing this Agreement on behalf of the respective parties are authorized to do so. Owner and the person signing for Owner below represent and warrant that there are no restrictions, agreement, limitations on Owner's right or ability to enter into and perform the terms of this Agreement.

5. Binding Effect. Upon its execution by each party, this Agreement shall become binding and enforceable according to its provisions. If more than one party is obligated by any provisions stated in this Agreement, those parties shall be jointly and severally liable for the performance of those obligations. The rights and obligations of each party named in this Agreement shall bind and inure to the benefit of that party, the respective heirs, personal representatives, successors, and assigns of that party.

6. City's Right to Amend. Notwithstanding any provision herein to the contrary, during the term of this Agreement, the City reserves the right, at any time, to amend this Agreement in order to assure compliance with all applicable HUD, City and County of Honolulu, State of Hawaii and other statutes, laws and regulations. All such amendments shall be within the general scope of this Agreement. The City shall provide all such amendments in writing to Owner. Owner agrees that it shall immediately take any and all reasonable steps to comply with such amendments and not to jeopardize the grant or loan as the case may be.

7. Consent; Subsequent Agreement. If a subsequent consent or agreement required of any party by the provisions of this Agreement is requested by a party, it shall not be unreasonably withheld by the party to whom the request is made.

8. Construction. Each party named in this Agreement acknowledges and agrees that:

- (a) Each party is of equal bargaining strength;
- (b) Each party has actively participated in the negotiation and preparation of this instrument;
- (c) Each party has consulted with their respective legal counsel and other



professional advisors as each party has deemed appropriate;

(d) Each party and the party's legal counsel and advisors have reviewed this instrument; and

(e) Each party has agreed to be bound by the terms stated in this instrument following its review and obtaining advice.

9. Counterparts. This Agreement may be executed by the parties in counterparts. The counterparts executed by the parties named in this Agreement and, properly acknowledged, if necessary, taken together, shall constitute a single Agreement.

10. Dates. If any date stated in this instrument falls on a Saturday, Sunday, or legal holiday, such date shall be the next following business day.

11. Defined Terms. Certain terms where they initially are used in this Agreement are set off by quotation marks inside parentheses and subsequently are capitalized. Those designated terms shall have the same meaning throughout this Agreement, unless clearly inappropriate in context.

12. Force Majeure. If any party is prevented from performing its obligations stated in this Agreement by any cause not within the reasonable control of that party, including, but not limited to, fire, an act of God, public enemy, or war, an act or failure to act of a government entity (except on the part of the City), unavailability of materials, or actions by or against labor unions, it shall not be in default of its obligations stated in this Agreement; provided, however, any party delayed by such an event shall request an extension of time to perform its obligations stated in this Agreement by notifying the party to which it is obligated within ten (10) days following the event. If the notified party agrees that the event was the cause of the delay, the time to perform the obligations stated in this Agreement shall be extended by the number of days of delay caused by the event. If no notice is given by the delayed party, no time extension shall be granted.

13. Gender; Number. In this Agreement, the use of any gender shall include all genders and the use of any number in reference to nouns and pronouns shall include the singular or plural, as context dictates.

14. Integration. This Agreement, together with the other Loan Documents, contains all of the agreements of the parties pertaining to its subject matter. Each party acknowledges that no person or entity has made any oral or written representation on which it has relied in entering into this Agreement which set forth herein.

15. Legal Action and Fees. In the event of any controversy, claim or dispute between the parties hereto arising out of or relating to this Agreement, the prevailing party shall be entitled to recover from the non-prevailing party its reasonable

expenses, including attorneys' fees and costs.

16. Memorandum. If required by the provisions of this Agreement or requested by any party, a memorandum of this Agreement shall be executed by the parties, the signatures properly acknowledged by a Notary Public, and recorded in the Bureau of Conveyances, State of Hawaii.

17. No Drafter. No party shall be deemed to have drafted this Agreement. No provision stated in this Agreement shall be construed against any party as its drafter.

18. No Obligations to Third Parties. Unless there is a provision stated in this Agreement to the contrary, the execution and delivery of this Agreement shall not confer rights on any person or entity except the parties herein or obligate either party herein to any person or entity except another party herein.

19. No Offer. The provisions stated in this Agreement shall not bind any party until each party has executed it. The mere delivery of this Agreement is not an offer.

20. No Waiver. No consent or waiver, expressed or implied, by either party to or of any breach or default by the other party in the performance of its obligations hereunder, shall be valid unless in writing. No such consent or waiver shall be deemed or construed to be a consent or waiver to or of any other breach or default in the performance by such other party of any other obligations of such party hereunder. The failure of any party to declare the other party in default shall not constitute a waiver by such party of its rights hereunder, irrespective of how long such failure continues.

21. Non-Agency. The parties acknowledge that neither party hereto is a partner, agent and/or employee of the other.

22. Paragraph Titles. The titles of each provision stated in this Agreement are included only for the convenience of the parties. They shall not be considered in the construction and interpretation of the provisions stated in this Agreement.

23. Required Actions by the Parties. Each party named in this Agreement agrees to execute the instruments and to diligently undertake the acts necessary to consummate the transaction contemplated by this Agreement. Each party shall use its best efforts to consummate the transaction contemplated by this Agreement.

24. Severability. If any provision stated in this Agreement subsequently is determined to be invalid, illegal, or unenforceable, that determination shall not affect the validity, legality, or enforceability of the remaining provisions stated in this Agreement unless that is made impossible by the absence of the omitted provision.

25. Successors and Assigns. This Agreement shall be binding upon and shall inure to the benefit of the respective successors and assigns of the parties hereto (as permitted pursuant to the provisions of this Agreement).

26. Survival. Any representation and warranty stated in this Agreement made by each party shall survive the termination of this Agreement.

27. Time is of the Essence. Time is of the essence with respect to Owner's obligations under this Agreement.

IN WITNESS HEREOF, The City and Owner have executed this Agreement as of the date first set forth above.

CITY AND COUNTY OF HONOLULU

\_\_\_\_\_  
By:  
Its:  
Department of Community Services

OWNER

\_\_\_\_\_  
  
\_\_\_\_\_

APPROVED AS TO FORM AND LEGALITY BY THE DEPARTMENT OF THE CORPORATION COUNSEL,  
CITY AND COUNTY OF HONOLULU  
bda : 07/31/13 : HOME PROGRAM RECAPTURE AGREEMENT

STATE OF HAWAII )  
 ) SS.  
CITY AND COUNTY OF HONOLULU )

On \_\_\_\_\_, before me personally appeared \_\_\_\_\_, to me known to be the person(s) described in and who executed the foregoing instrument and acknowledged that he/she/they executed the same as his/her/their free act and deed.

Print Name: \_\_\_\_\_

NOTARY PUBLIC, State of Hawaii  
My Commission expires:

STATE OF HAWAII )  
 ) SS.  
CITY AND COUNTY OF HONOLULU )

On \_\_\_\_\_, before me personally appeared \_\_\_\_\_, to me personally known, who, being by me duly sworn, did say that \_\_\_\_\_ is the DIRECTOR of the City and County of Honolulu, Department of Community Services, and that the foregoing instrument is executed in the name and behalf of said City and County of Honolulu, by and through its Department of Community Services by said \_\_\_\_\_ as its DIRECTOR, and said \_\_\_\_\_ acknowledged said instrument to be the free act and deed of said City and County of Honolulu, by and through its Department of Community Services. The City and County of Honolulu, Department of Community Services does not have a seal.

Print Name: \_\_\_\_\_

NOTARY PUBLIC, State of Hawaii  
My Commission expires:

**Legal Description**

**"ATTACHMENT A"**

(must be attached prior to recordation)

**DPL Recapture Amount Based on Owner-Occupancy Credit  
5% Occupancy Credit for 10-Year Term Recapture Period & 10% Occupancy Credit for 5-Year Term Recapture Period  
Loan Examples**

**0% Interest Rate, \$40,000 Loan, 20-Year Term, \$166.67 Monthly Payment**

Recapture Year	DPL Loan Amount	DPL Payoff Balance	Total Payments made by Borrower	5% Credit of the DPL Amount for each Full Year of Owner-Occupancy	DPL Recapture Amount (DPL Payoff Balance minus Credit )
1	\$40,000	\$38,000	\$2000	5% = \$2000	\$36,000
2	\$40,000	\$36,000	\$4000	10% = \$4000	\$32,000
3	\$40,000	\$34,000	\$6000	15% = \$6000	\$28,000
4	\$40,000	\$32,000	\$8000	20% = \$8000	\$24,000
5	\$40,000	\$30,000	\$10,000	25% = \$10,000	\$20,000
6	\$40,000	\$28,000	\$12,000	30% = \$12,000	\$16,000
7	\$40,000	\$26,000	\$14,000	35% = \$14,000	\$12,000
8	\$40,000	\$24,000	\$16,000	40% = \$16,000	\$8,000
9	\$40,000	\$22,000	\$18,000	45% = \$18,000	\$4000
10	\$40,000	\$20,000	\$20,000	50% = \$20,000	\$0

**0% Interest Rate, \$15,000 Loan, 20-Year Term, \$62.50 Monthly Payment**

Recapture Year	DPL Loan Amount	DPL Payoff Balance	Total Payments made by Borrower	5% Credit of the DPL Amount for each Full Year of Owner-Occupancy	DPL Recapture Amount (DPL Payoff Balance minus Credit )
1	\$15,000	\$14,250	\$750	\$750	\$13,500
2	\$15,000	\$13,500	\$1500	\$1500	\$12,000
3	\$15,000	\$12,750	\$2250	\$2250	\$10,500
4	\$15,000	\$12,000	\$3000	\$3000	\$9000
5	\$15,000	\$11,250	\$3750	\$3750	\$7500
6	\$15,000	\$10,500	\$4500	\$4500	\$6000
7	\$15,000	\$9750	\$5250	\$5250	\$4500
8	\$15,000	\$9000	\$6000	\$6000	\$3000
9	\$15,000	\$8250	\$6750	\$6750	\$1500
10	\$15,000	\$7500	\$7500	\$7500	\$0



**0% Interest Rate, 10,000 Loan, 10-Year Term, \$83.33 Monthly Payment**

Recapture Year	DPL Loan Amount	DPL Payoff Balance	Total Payments made by Borrower	10% Credit of the DPL Amount for each Full Year of Owner-Occupancy	DPL Recapture Amount (DPL Payoff Balance minus Credit )
1	\$10,000	\$9000	\$1000	10% = \$1000	\$8000
2	\$10,000	\$8000	\$2000	20% = \$2000	\$6000
3	\$10,000	\$7000	\$3000	30% = \$3000	\$4000
4	\$10,000	\$6000	\$4000	40% = \$4000	\$2000
5	\$10,000	\$5000	\$5000	50% = \$5000	\$0

**0% Interest Rate, \$5000 Loan, 10-Year Term, \$41.66 Monthly Payment**

Recapture Year	DPL Loan Amount	DPL Payoff Balance	Total Payments made by Borrower	10% Credit of the DPL Amount for each Full Year of Owner-Occupancy	DPL Recapture Amount (DPL Payoff Balance minus Credit )
1	\$5000	\$4500	\$500	\$500	\$4000
2	\$5000	\$4000	\$1000	\$1000	\$3000
3	\$5000	\$3500	\$1500	\$1500	\$2000
4	\$5000	\$3000	\$2000	\$2000	\$1000
5	\$5000	\$2500	\$2500	\$2500	\$0

**0% Interest Rate, \$1000 Loan, 10-Year Term, \$8.33 Monthly Payment**

Recapture Year	DPL Loan Amount	DPL Payoff Balance	Total Payments made by Borrower	10% Credit of the DPL Amount for each Full Year of Owner-Occupancy	DPL Recapture Amount (DPL Payoff Balance minus Credit )
1	\$1000	\$900	\$100	\$100	\$800
2	\$1000	\$800	\$200	\$200	\$600
3	\$1000	\$700	\$300	\$300	\$400
4	\$1000	\$600	\$400	\$400	\$200
5	\$1000	\$500	\$500	\$500	\$0

## **Appendix 6**

### **HTF ALLOCATION PLAN**

**CITY AND COUNTY OF HONOLULU**

**HOUSING TRUST FUND**

**ALLOCATION PLAN**

**PROGRAM YEAR 2017-2018**

## I. INTRODUCTION

The National Housing Trust Fund Program (HTF) was created by Title I of the Housing and Economic Recovery Act of 2008 (HERA), Section 1131 (Public Law 110-289), and is administered by the U.S. Department of Housing and Urban Development (HUD). The regulations which govern the HTF are contained in 24 CFR Part 93, Housing Trust Fund. The purpose of the HTF is to provide grants to the State governments to increase and preserve the supply of decent, safe, and sanitary affordable housing for extremely low- and very low-income households (with incomes at or below 30% and 50% of the area median income, respectfully), including homeless families.

## II. STATE ALLOCATION PLAN

The Hawaii Housing Finance and Development Corporation (HHFDC) is designated as the HTF Grantee for the State of Hawaii (State). HHFDC's HTF Allocation Plan, which has been approved by HUD, states that the HHFDC will allocate its HTF funds to the City and County of Honolulu (City) and the designated neighbor island county that receives HHFDC's rotated HOME allocation (collectively, the "Subgrantees"), for the purpose of providing affordable rental housing to extremely low-income households (not exceeding 30% of the area median income), including homeless families.

## III. DISTRIBUTION OF FUNDS

Consistent with the State's Consolidated Plan, the City's Consolidated Plan identified a substantial need for affordable housing throughout the City. Consequently, the City will make its allocation of HTF funds available to the following geographic priority areas:

- a. Housing First Model – Scattered sites, in particular the Waianae Coast, Downtown Honolulu, and East Honolulu. These regions are local priority areas based on the City's strategic development scheme and assessment.
- b. Eligible/Approved Neighborhood Revitalization Areas (NRSA). The City currently has one (1) HUD approved NRSA, the Wahiawa NRSA. The City is committed to supporting eligible NRSA's and the creation of new NRSAs.

HHFDC has informed the Subgrantees that the annual distribution of HTF funds will be as described below:

- a. HHFDC will retain 5% of the HTF allocation for allowable administrative and planning expenses.
- b. The balance of the HTF annual allocation will be split (50/50) between the Subgrantees: for PY2016, the City and the County of Kauai were anticipated to

receive the HTF allocation; the next neighbor island allocations would be received by the County of Maui in PY2017, followed by the County of Hawaii in PY2018.

- c. The HTF program requires HHFDC to commit funds within 24 months of HUD's execution of the HTF grant agreement. Should a Subgrantee be unable to identify an eligible HTF project(s) within a specified timeframe, HHFDC, in its sole discretion, may seek alternate activities from the remaining Subgrantees.
- d. The HHFDC anticipates receiving \$3,000,000 in HTF funds for the Program Year 2017-2018, to be distributed as follows:

<b>Program Year 2017 - 2018</b>				
<b>Fund Type</b>	<b>City and County of Honolulu</b>	<b>County of Maui</b>	<b>HHFDC</b>	<b>Total</b>
Project Funds	\$1,350,000	\$1,350,000	\$0	\$2,700,000
Administration	\$75,000	\$75,000	\$150,000	\$300,000
Total	\$1,425,000	\$1,425,000	\$150,000	\$3,000,000

#### IV. ELIGIBLE ACTIVITIES AND EXPENSES

In accordance with HHFDC's Allocation Plan, the City will focus its HTF funds on providing affordable rental housing to extremely low-income households. HTF funds may be used for the production, preservation, and rehabilitation of affordable rental housing through the acquisition, new construction, reconstruction, or rehabilitation of non-luxury housing with suitable amenities.

Eligible activities and expenses include: real property acquisition, site improvements and development hard costs, related soft costs, conversion, demolition, financing costs, relocation assistance, operating cost assistance and reasonable administrative and planning costs for HTF program administration.

The City does not intend to use HTF funds for refinancing of existing debt or homebuyer activities. Therefore, no applicable resale, recapture, or affordability provisions related to homebuyer activities.

#### V. ELIGIBLE RECIPIENTS

The City will award HTF funds as grants to eligible and qualified non-profit agencies who will provide affordable rental housing to extremely low-income households. The Notice of Funding Availability (NOFA) for HTF funds gives specific eligibility requirements for recipients. A recipient must:

- a. Make acceptable assurances to the City that it will comply with the requirements of the HTF program during the entire period that begins upon selection of the recipient to receive HTF funds, and ending upon the conclusion of all HTF-funded activities;
- b. Demonstrate the ability and financial capacity to undertake, comply, and manage the eligible activity;
- c. Demonstrate its familiarity with the requirements of other Federal, State, and/or local housing programs that may be used in conjunction with HTF funds to ensure compliance with all applicable requirements and regulations of such programs; and
- d. Have demonstrated experience and capacity to conduct an eligible HTF activity as evidenced by its ability to own, construct, or rehabilitate, and manage and operate an affordable multifamily rental housing development.

## VI. ELIGIBLE FORMS OF ASSISTANCE

Eligible activities may be supported with the following forms of assistance:

- a. Equity investment;
- b. Interest bearing loans or advances;
- c. Non-interest bearing loans or advances;
- d. Interest subsidies;
- e. Deferred payment loans;
- f. Grants; and
- g. Other forms of assistance approved by HUD.

## VII. AFFORDABILITY PERIOD

All HTF-assisted units will be required to have a minimum affordability period of thirty (30) years.

## VIII. CONSOLIDATED PLAN PRIORITY

The City's Consolidated Plan for Fiscal Years 2016-2020 identified the development of new and preservation of existing affordable rental housing as a top priority. On August 9, 2017 the City amended the Consolidated Plan for Fiscal Years 2016-2020 to include the allocation of HTF funds from the HHFDC. The City will amend its Program Year 2017 Annual Action Plan to include this HTF Allocation Plan and to identify the selected project(s) that received consideration for award of HTF funds.

Note: The City was unable to identify an eligible HTF project for Program Year 2016 and notified HHFDC to allow for alternate activities from other Subgrantees. Therefore, the City's Program Year 2016 Annual Action Plan was not amended to include the HTF Allocation Plan.

## IX. APPLICATION AND AWARD PROCESS

Subject to availability of funds, the City will annually solicit proposals from qualified non-profits for HTF projects. Proposals are reviewed for eligibility and rated using the selection criteria set forth in HHFDC's HTF Allocation Plan. Each application must:

- a. Describe the eligible activity to be conducted with HTF funds in accordance with 24 CFR 93.200;
- b. Demonstrate the Applicant's ability to obligate HTF funds and undertake eligible activities in a timely manner;
- c. Describe the knowledge and recent and relevant experience of the Applicant's project manager and staff (including consultants and contractors) in planning and managing the project being requested;
- d. Specify the extent to which rents for units in the proposed project will be affordable to extremely low income families;
- e. State the duration of the proposed affordability period for HTF-assisted units;
- f. Explain how the proposed project meets priority housing needs of the City, including priorities identified in the City's Consolidated Plan.
- g. Explain how the proposed project relates to the location of existing affordable housing.
- h. Contain performance goals and benchmarks, including schedules for acquisition, construction, rehabilitation, occupancy and operational activities, as well as milestones and expenditure schedules.

- i. Provide updated financial information to include project budget; sources and uses statements to include the amount, source, use and terms of all funding sources, for construction and permanent financing;
- j. Provide written financial commitments or letters of project support from all other funding sources required for the project;
- k. Include the assessments, reports, analyses, and pro forma that are required by minimum threshold requirement numbers 1-5 below, and that establish that minimum threshold requirement numbers 6-9 are assured;
- l. For projects involving new construction of rental housing, explain how the proposed project site (1) provides housing that furthers compliance with civil rights laws, and that promotes greater choice of housing opportunities, and (2) meet the site and neighborhood standards requirements in 24 CFR 983.57(e)(2);
- m. Contain a certification that housing units assisted with HTF will comply with all HTF requirements.

## X. MINIMUM THRESHOLDS

Applicants must meet all of the following Minimum Threshold requirements to be eligible for an award of HTF funds. Failure to meet any Minimum Threshold shall result in the rejection of the application.

### a. Market Assessment

A market assessment of the housing needs of extremely low income individuals to be served by the project must be submitted as a part of the application. The assessment should review the neighborhood and other relevant data to determine that there is current demand for the type and number of housing units being developed.

### b. Site Control

Evidence of site control shall be submitted with the application for HTF funds. Site control shall be substantiated by providing evidence in the form of an executed lease or sales option agreement, fee simple deed, executed land lease, or any other documentation acceptable to the City. Evidence of site control must be provided for all proposed sites.

### c. Capital Needs Assessment (for projects acquiring an existing property.)



To ensure that the proposed rehabilitation of the project is adequate and that the property will have a useful life that exceeds the affordability period, a capital needs assessment of the property by a competent third party shall be submitted with the application. A capital needs assessment is a qualified professional's opinion of a property's current physical condition. It identifies deferred maintenance, physical needs and deficiencies, and material building code violations that affect the property's use, structural and mechanical integrity, and future physical and financial needs. The capital needs assessment shall identify any work that must be completed immediately to address health and safety issues, violation of Federal or State law, violation of local code, or any work necessary to ensure that the building can continue to operate as affordable housing.

d. Debt Service Ratio

1. Projects with hard debt service requirements:

The project is required to evidence a Debt Service Ratio of no less than 1.15x on all hard debt service requirements for the first 15 years

2. Project with no hard debt service requirements:

The project is required to evidence a positive Net Operating Income throughout the 30-year pro forma period.

3. Hard Debt Service:

- a. Defined as scheduled regular and periodic principal and/or interest payments of project loan obligations made for its direct benefit, as evidenced by a note and loan agreement.
- b. The applicant is required to support all hard debt service loans and terms with executed lenders' commitment letters, letters of interest, or term sheets.

4. Underwriting Criteria and Requirements:

To ensure that HTF funding does not exceed the amount necessary, alone or in combination with other governmental assistance, to provide quality affordable housing that is financially viable for the required thirty (30) year affordability period, applications will be analyzed in accordance with the underwriting and subsidy layering requirements set forth in 24 CFR 93.300(b). The review and analysis includes, but is not limited to:

- a. An examination of sources and uses of funds for the proposed project (including any operating or project-based rental assistance) and a determination that all costs are reasonable; and
- b. An assessment, at minimum, of the current market demand in the neighborhood in which the project will be located, the experience of the recipient, the financial capacity of the recipient, and firm written financial commitments for the project.
- c. Applicants are required to use the following parameters and assumptions in the preparation of the project pro forma:
  - i. Annual income inflation rate of 2.0% and annual expense inflation rate of 3.0% for the first 15 years or term of the first mortgage, whichever is greater.
  - ii. Annual income inflation rate of 2.0% and annual expense inflation rate of 2.0% for the remaining term of affordability.
  - iii. Vacancy rate of no less than 5.0%.
  - iv. Annual replacement reserve allocation of no less than \$300 per unit per year.

e. Phase I Environmental Site Assessment

All proposed multifamily (more than four housing units) HTF projects require a Phase I Environmental Site Assessment.

For acquisition/rehabilitation projects, the Phase 1 Environmental Assessment should address lead based paint and asbestos.

f. Developer Fee

- 1. New Construction - maximum developer fee of 15% of the total development costs or \$3,750,000 (whichever is less);
- 2. Acquisition/Rehabilitation – maximum developer fee of 10% of the acquisition costs and 15% of the rehabilitation costs, or \$3,750,000 (whichever is less).

g. Income Limits

All HTF-assisted rental units must benefit households that earn less than 30% of median income or families with incomes at, or below, the poverty line (whichever is greater) upon initial income certification. The income limits for Program Year 2017 are:

<b>Household Size</b>	<b>Annual Income</b>
1	\$22,000
2	\$25,150
3	\$28,300
4	\$31,400
5	\$33,950
6	\$37,910
7	\$42,720
8	\$47,530

h. Rent Limits

Projects are also restricted by the amount of rent that can be charged for HTF-assisted units. The Program Year 2017 rent limits are as follows:

<b>Bedrooms</b>	<b>Monthly Rent</b>
0	\$550
1	\$589
2	\$707
3	\$816
4	\$947
5	\$1,128
6	\$1,099

Note: Rents must include the utilities, or else the tenants must be given a utility allowance. The City's HTF program follows the utility allowances established by the City's Section 8 program.

i. Maximum Per Unit Development Subsidy Limits

For Program Year 2017, HHFDC adopted the HOME Program Maximum Per-Unit Subsidy Limits for the HTF program.

The following table displays the maximum per unit subsidy limits by bedroom size for housing assisted with HTF within the State of Hawaii, for PY 2017:

<b>Bedrooms</b>	<b>PY17 Maximum Per-Unit Subsidy Limit</b>
0	\$141,088
1	\$161,738
2	\$196,672
3	\$254,431
4+	\$279,285

Note: Each year, the State of Hawaii (Grantee) must establish maximum limitations on the total amount of HTF funds that may be invested per-unit for development of non-luxury rental housing projects. The HOME Program Maximum Per-Unit Subsidy Limits have been adopted for the HTF program. The development costs of affordable rental housing across the state are generally higher in comparison with the HOME subsidy limits. However, due to the limited funding, the HTF projects will require leveraging with other significant sources of funds. The HOME subsidy limit provides a reasonable maximum to develop a greater number of HTF assisted units throughout the state.

## XI. SELECTION CRITERIA

- a. Timeliness and Readiness to Proceed (Max. 30 points) - The proposed project is feasible and will meet the required timelines to commit and expend HTF funds. Applicants need to demonstrate project "readiness". Factors to be considered are site control, financial commitments, environmental factors, zoning, utilities and site and neighborhood standards.
- b. Consolidated Plan Priorities (Max. 10 points) - The extent to which the project proposes accomplishments that will meet the rental housing objectives of the HHFDC, and the priority housing needs of the city, such as (1) development of housing to support the City's Housing First approach to ending homelessness, (2) acquisition or renovation of buildings to support Housing First, and (3) development of new and preservation of existing affordable and special-needs rental housing.
- c. Developer Experience and Financial Capacity (Max. 25 points) - Applicant's ability to obligate HTF dollars and undertake funded activities in a timely manner. Need to review evidence of experience in developing and managing projects of similar type and scope, staff qualifications, and fiscal soundness. In addition, applicants who have received federal funds in the past will be evaluated on the basis of their past performance. Qualifications of the proposed project team, personnel and/or contractors to carry out the proposed project including proven record of experience with comparable projects.
- d. Financially Feasible Project (Max. 25 points) - Project pro forma to cover a minimum 30-year HTF affordability period and include rents that are affordable to extremely low-income households. Priority to be given for projects with extended affordability periods and project based rental assistance; and
- e. Use of Non-Federal Funding Sources (Max. 10 points) - Given the 30% area median income targeting requirements, viable projects will require other funding sources compatible with HTF. Priority consideration to the extent project will use non-federal funding sources.

A minimum score of 50 points (out of the 100 total points) must be scored in order to be recommended for the award of HTF funds.

Successful applicant(s) will receive a Notice of Award, which will state that the City's intent to award HTF funds is subject to approval of the applicable HTF Allocation Plan and Program Year Action Plan by the Honolulu City Council, HHFDC, and HUD.

## XII. PERFORMANCE GOALS AND BENCHMARKS

The City anticipates receiving \$1,425,000 annually from HHFDC. In accordance with HHFDC's Allocation Plan, the City will allocate approximately five percent (5%) or \$75,000 of its grant to program planning and administrative cost, with the balance of the grant funds or \$1,350,000 being made available to eligible and qualified non-profit agencies who will provide affordable rental housing to extremely low-income households. Given Hawaii's high construction cost to produce housing restricted to extremely low-income households, the City anticipates producing between four (4) and nine (9) restricted units annually.

Following HHFDC's method of distribution and 2015-2019 Consolidated Plan goal for the HTF to "assist in the development or preservation of twenty-eight (28) affordable housing units over the next four (4) years, for households with incomes at or below thirty percent (30%) of the area median income", and given the cost to produce housing restricted to households earning less than thirty percent (30%) of the area median income, the City estimates that HTF funds will assist in developing approximately four (4) affordable rental units for extremely low-income households annually for a total of sixteen (16) during the Consolidated Plan period.

## XIII. REHABILITATION STANDARDS

Rehabilitation of multi-family projects that utilize HTF funds must comply with all applicable federal, state and local codes, ordinances, requirements, HTF rehabilitation standards and the requirements of 24 CFR 93.301(b). At a minimum, the following property standards and requirements shall apply.

- a. Health and Safety – If the housing is occupied at the time of the initial inspection, all Life-Threatening deficiencies must be identified and addressed immediately. See Appendix A which identifies all life-threatening deficiencies (highlighted in yellow color and boldface) for the property site, building systems, common areas and unit components.
- b. Major Systems – All projects with 26 or more units are required to have the useful remaining life of the major systems determined with a capital needs assessment. Major systems include: structural support, roofing, cladding and weatherproofing (e.g. windows, doors, siding, gutters), plumbing, electrical,

heating, ventilation and air conditioning. If the useful life of one or more major system is less than the affordability period, it must be replaced or rehabilitated or a replacement reserve must be established and monthly deposits made to the reserve account to adequately repair or replace the systems as needed.

- c. Lead Safe Housing Rule – All HTF-funded rehabilitation must meet the requirements of the Lead Safe Housing Rule at 24 CFR Part 35.
- d. Accessibility – Assisted housing must meet the accessibility requirements at 24 CFR part 8 (implementing Section 504 of the Rehabilitation Act of 1973) and Titles II and III of the Americans with Disabilities Act implemented at 28 CFR parts 35 and 36. For “covered multifamily dwellings,” as defined at 24 CFR 100.205, standards must require that the housing meets the design and construction requirements at 24 CFR 100.205. (Note that grantees may use HTF funds for other improvements that permit use by a person with disabilities, even if they are not required by statute or regulation.)
- e. Disaster Mitigation – Housing must meet state and local requirements for disaster mitigation, or requirements established by HUD, where they are needed to mitigate the risk of potential natural disasters.

The City regulations pertinent to mitigating risk and damage from disasters are found in Chapter 16, Building Code.

<b>Disaster</b>	<b>Code Section</b>
Fire	913 Fire Protection, Sprinkler, Standpipe, Smoke Control Systems 1008 Main exit, gates 10126 Openings (escape windows) 1203 Exhausting of contaminants
Rain	1503 Roof slope, roof drains
Flood	1612 design and construction in flood areas
Wind	1603 Wind loads 1609 Protection of openings 3105 Design and construction of awnings, canopies R301/R324 Blocking, straps, anchors to tie roof to Foundation, uplift resistance
Seismic	1604 Seismic use and factor 1605 Load calculations 1613 Additions to existing buildings shall comply with seismic requirements for new structures
Inspections	B913 Fire protection B1704 Structural steel for seismic resistance B1704 Structural wood for lateral force B1704 metal connectors, anchors etc. for load path to resist uplift forces

- f. Local, State or National Codes – All rehabilitation projects must meet all applicable federal, state and local codes, standards, ordinances, rules, regulations and requirements by project completion. In cases where standards differ, the most restrictive standard will apply. Should the adopted codes be modified or updated, the newly adopted code standards will apply.

The City housing codes, which are published in the Revised Ordinances of Honolulu 1990, as amended (ROH), are available on the City's website at <https://www.honolulu.gov/ocs/roh>

- Chapter 16: Building Code
- Chapter 17: Electrical Code
- Chapter 18: Fees and permits for Building, Electrical, Plumbing and Sidewalk Codes.

Note: Specific renovations, per Article 3, are not required to obtain a building permit. For example: reroofing work which will not affect the structural components, installation of siding which will not affect the structural components, retaining walls and fences not more than 30 inches in height, paving within private property, replacement of component parts of existing work which do not aggregate over \$1,000 in valuation in any 12-month period, electrical work done by a licensed electrical contractor which does not aggregate over \$500 in valuation in any 12-month period, plumbing work done by a licensed plumbing contractor which does not aggregate over \$1,000 in valuation in any 12-month period and plumbing repairs when the work does not involve or require the replacement or rearrangement of valves, pipes or fixtures.

- Chapter 19: Plumbing Code
- Chapter 20: Fire Code of the City and County of Honolulu
- Chapter 21: Land Use Ordinance
- Chapter 27: Housing Code

The City's codes, and inspection practices, do not significantly differentiate between rehabilitation standards and new construction standards in regards to methods and materials. The City uses a three phase method towards rehabilitation standards:

- First, to determine whether the project to be rehabilitated is defined as a nonconforming structure, and regulated by Article 4, Section 21-4.110.

For example, if a nonconforming structure contains multifamily dwelling units, under specified ownerships, is destroyed by accidental means, it can be restored to its former condition, provided that such restoration is permitted by the building code and flood hazard regulations, and is started within two years. As another example, a nonconforming dwelling unit, under certain circumstances, can be altered, enlarged, repaired, extended, or moved. If the City perceives the project to be a nonconforming structure, the City would direct the recipient to consult with the City Department of Planning and Permitting to identify the range of rehabilitation options.

- Second, to direct the recipients to inspect the project using HUD's Uniform Physical Condition Standards (UPCS), Attachment A, to identify, and correct, any life-threatening deficiencies. UPCS identifies items which may possess deficiencies but are not regulated by building permits, or City inspectors, such as fences not more than 30 inches in height, play equipment, walkways and parking stalls, and storage sheds not exceeding 120 square feet.
  - Third, to direct the recipients to discuss the rehabilitation with the City Department of Planning and Permitting prior to submitting an application for a building permit. This is because the codes would require the new portions of the rehabilitation to be compliant with current regulations. Interactive discussion between the recipient and the permit reviewers would determine to what extent the existing components of the project would have to be upgraded to become compliant.
- g. Uniform Physical Condition Standards (UPCS) – Upon completion, the project and units must be decent, safe, sanitary, and in good repair as described in 24 CFR 5.703. Appendix A: Uniform Physical Condition Standards for Multifamily Housing Rehabilitation ("Appendix A") identifies the type and degree of deficiencies that shall be addressed.



## **APPENDIX A**

### **UNIFORM PHYSICAL CONDITION STANDARDS FOR MULTI FAMILY HOUSING REHABILITATION**

## Uniform Physical Condition Standards (UPCS) for Multifamily Housing Rehabilitation

All projects funded with NHTF will be required to meet HUD's UPCS to ensure housing will be decent, safe, sanitary, and in good repair as described in 24 CFR 5.703. Standards include the UPCS inspectable items and observable deficiencies for the site, building exterior, building systems, common areas, and units.

Inspectable Item	Observable Deficiency	Type and Degree of Deficiency That Must Be Addressed
<b>NOTE: Deficiencies highlighted in yellow are life-threatening and must be addressed immediately if the housing is occupied.</b>		
<b>Requirements for Site:</b>		
Fencing and Gates	Damaged/Falling/Leaning	An exterior fence, security fence, or gate is damaged and does not function as it should or could threaten safety or security.
	Holes	Hole in fence or gate is larger than 6 inches by 6 inches
	Missing Sections	An exterior fence, security fence or gate is missing a section which could threaten safety or security
Grounds	Erosion/Rutting Areas	Runoff has extensively displaced soils which has caused visible damage or potential failure to adjoining structures or threatens the safety of pedestrians or makes the grounds unusable or there is a rut larger than 8 inches wide by 5 inches deep.
	Overgrown/Penetrating Vegetation	Plants have visibly damaged a component, area or system of the property or has made them unusable or unpassable
	Ponding/Site Drainage	There is an accumulation of more than 5 inches deep and/or a large section of the grounds-more than 20%-is unusable for its intended purpose due to poor drainage or ponding
Health & Safety	Air Quality - Sewer Odor Detected	Sewer odors that could pose a health risk if inhaled for prolonged periods
	<b>Air Quality - Propane/Natural Gas/Methane Gas Detected</b>	Strong propane, natural gas or methane odors that could pose a risk of explosion/ fire and/or pose a health risk if inhaled
	<b>Electrical Hazards - Exposed Wires/Open Panels</b>	Any exposed bare wires or openings in electrical panels (capped wires do not pose a risk)

	<b>Electrical Hazards - Water Leaks on/near Electrical Equipment</b>	Water leaking, puddling, or ponding on or immediately near any electrical apparatus that could pose a risk of fire, electrocution or explosion
	<b>Flammable Materials - Improperly Stored</b>	Flammable materials are improperly stored, causing the potential risk of fire or explosion
	Garbage and Debris - Outdoors	Too much garbage has gathered-more than the planned storage capacity or garbage has gathered in an area not sanctioned for staging or storing garbage or debris
	Hazards - Other	Any general defects or hazards that pose risk of bodily injury
	Hazards - Sharp Edges	Any physical defect that could cause cutting or breaking of human skin or other bodily harm
	Hazards - Tripping	Any physical defect in walkways or other travelled area that poses a tripping risk
	Infestation - Insects	Evidence of infestation of insects-including roaches and ants-throughout a unit or room, food preparation or storage area or other area of building substantial enough to present a health and safety risk
	Infestation - Rats/Mice/Vermin	Evidence of rats or mice--sightings, rat or mouse holes, or droppings substantial enough to present a health and safety risk
Mailboxes/Project Signs	Mailbox Missing/Damaged	Mailbox cannot be locked or is missing
	Signs Damaged	The project sign is not legible or readable because of deterioration or damage
Parking Lots/ Driveways/Roads	Cracks	Cracks that are large enough to affect traffic ability over more than 5% of the property's parking lots/driveways/roads or pose a safety hazard

	Ponding	3 inches or more of water has accumulated making 5% or more of a parking lot/driveway unusable or unsafe
	Potholes/Loose Material	Potholes or loose material that have made a parking lot/driveway unusable/unpassable for vehicles and/or pedestrians or could cause tripping or falling
	Settlement/Heaving	Settlement/heaving has made a parking lot/driveway unusable/unpassable or creates unsafe conditions for pedestrians and vehicles
Play Areas and Equipment	Damaged/Broken Equipment	Equipment poses a threat to safety and could cause injury



	Deteriorated Play Area Surface	More than 50% of the play surface area shows deterioration or the play surface area could cause tripping or falling and thus poses a safety risk
Refuse Disposal	Broken/Damaged Enclosure- Inadequate Outside Storage Space	A single wall or gate of the enclosure has collapsed or is leaning and in danger of falling or trash cannot be stored in the designated area because it is too small to store refuse until disposal
Retaining Walls	Damaged/Falling/Leaning	A retaining wall is damaged and does not function as it should or is a safety risk
Storm Drainage	Damaged/Obstructed	The system is partially or fully blocked by a large quantity of debris, causing backup into adjacent areas or runoffs into areas where runoff is not intended
Walkways/Steps	Broken/Missing Hand Railing	The hand rail for four or more stairs is missing, damaged, loose or otherwise unusable
	Cracks/Settlement/Heaving	Cracks greater than 3/4", hinging/tilting, or missing section(s) that affect traffic ability over more than 5% of the property's walkways/steps
	Spalling/Exposed rebar	More than 5% of walkways have large areas of spalling-larger than 4 inches by 4 inches--that affects traffic ability
<b>Requirements for Building Exterior:</b>		
Doors	Damaged Frames/Threshold/Lintels/Trim	Any door that is not functioning or cannot be locked because of damage to the frame, threshold, lintel or trim
	Damaged Hardware/Locks	Any door that does not function as it should or cannot be locked because of damage to the door's hardware
	Damaged Surface (Holes/Paint/Rusting/Glass)	Any door that has a hole or holes greater than 1 inch in diameter, significant peeling/cracking/no paint or rust that affects the integrity of the door surface, or broken/missing glass
	Damaged/Missing Screen/Storm/Security Door	A security door that is not functioning or is "missing" (Security door should be there but isn't there)
	Deteriorated/Missing Caulking/Seals	The seals/caulking is missing on any entry door, or they are so damaged that they do not function as they should
	Missing Door	Any exterior door that is missing
Fire Escapes	<b>Blocked Egress/Ladders</b>	Stored items or other barriers restrict or block people from exiting

	Visibly Missing Components	Any of the functional components that affect the function of the fire escape--one section of a ladder or railing, for example--are missing
Foundations	Cracks/Gaps	Large cracks in foundation more than 3/8 inches wide by 3/8 inches deep by 6 inches long that present a possible sign of a serious structural problem, or opportunity for water penetration or sections of wall or floor that are broken apart
	Spalling/Exposed Rebar	Significant spalled areas affecting more than 10% of any foundation wall or any exposed reinforcing material--rebar or other

Health and Safety	<b>Electrical Hazards - Exposed Wires/Open Panels</b>	Any exposed bare wires or openings in electrical panels (capped wires do not pose a risk)
	<b>Electrical Hazards - Water Leaks on/near Electrical Equipment</b>	Water leaking, puddling or ponding on or immediately near any electrical apparatus that could pose a risk of fire, electrocution or explosion
	<b>Emergency Fire Exits - Emergency/Fire Exits Blocked/Unusable</b>	The exit cannot be used or exit is limited because a door or window is nailed shut, a lock is broken, panic hardware is chained, debris, storage, or other conditions block exit
	<b>Emergency Fire Exits - Missing Exit Signs</b>	Exit signs that clearly identify all emergency exits are missing or there is no illumination in the area of the sign
	<b>Flammable/Combustible Materials - Improperly Stored</b>	Flammable materials are improperly stored, causing the potential risk of fire or explosion
	Garbage and Debris - Outdoors	Too much garbage has gathered-more than the planned storage capacity or garbage has gathered in an area not sanctioned for staging or storing garbage or debris
	Hazards - Other	Any general defects or hazards that pose risk of bodily injury
	Hazards - Sharp Edges	Any physical defect that could cause cutting or breaking of human skin or other bodily harm
	Hazards - Tripping	Any physical defect in walkways or other travelled area that poses a tripping risk
	Infestation - Insects	Evidence of infestation of insects-including roaches and ants-throughout a unit or room, food preparation or storage area or other area of building substantial enough to present a health and safety risk
	Infestation - Rats/Mice/Vermin	Evidence of rats or mice--sightings, rat or mouse holes, or droppings substantial enough to present a health and safety risk

Lighting	Broken Fixtures/Bulbs	20% or more of the lighting fixtures and bulbs surveyed are broken or missing
Roofs	Damaged Soffits/Fascia	Soffits or fascia that should be there are missing or so damaged that water penetration is visibly possible
	Damaged Vents	Vents are missing or so visibly damaged that further roof damage is possible
	Damaged/Clogged Drains	The drain is so damaged or clogged with debris that the drain no longer functions—as shown by ponding
	Damaged/Torn Membrane/Missing Ballast	Ballast has shifted and no longer functions as it should or there is damage to the roof membrane that may result in water penetration
	Missing/Damaged Components from Downspout/Gutter	Drainage system components are missing or damaged causing visible damage to the roof, structure, exterior wall surface, or interior
	Missing/Damaged Shingles	Roofing shingles are missing or damaged enough to create a risk of water penetration
	Ponding	Evidence of standing water on roof, causing potential or visible damage to roof surface or underlying materials
Walls	Cracks/Gaps	Any large crack or gap that is more than 3/8 inches wide or deep and 6 inches long that presents a possible sign of serious structural problem or opportunity for water penetration
	Damaged Chimneys	Part or all of the chimney has visibly separated from the adjacent wall or there are cracked or missing pieces large enough to present a sign of chimney failure or there is a risk of falling pieces that could create a safety hazard
	Missing/Damaged Caulking/Mortar	Any exterior wall caulking or mortar deterioration that presents a risk of water penetration or risk of structural damage

	Missing Pieces/Holes/Spalling	Any exterior wall deterioration or holes of any size that present a risk of water penetration or risk of structural damage
	Stained/Peeling/Needs Paint	More than 50% of the exterior paint is cracking, flaking, or otherwise deteriorated. Water damage or related problems have stained the paint.
Windows	Broken/Missing/Cracked Panes	Any missing panes of glass or cracked panes of glass where the crack is either greater than 4" and/or substantial enough to impact the structural integrity of the window pane



	Damaged Sills/Frames/Lintels/Trim	Sills, frames, lintels, or trim are missing or damaged, exposing the inside of the surrounding walls and compromising its weather tightness
	Damaged/Missing Screens	Missing screens or screens with holes greater than 1 inch by 1 inch or tears greater than 2 inches in length
	Missing/Deteriorated Caulking/Seals/Glazing Compound	There are missing or deteriorated caulk or seals--with evidence of leaks or damage to the window or surrounding structure
	Peeling/Needs Paint	More than 20% of the exterior window paint is peeling or paint is missing and window frame surface is exposed thereby exposing window frame to water penetration and deterioration
	<b>Security Bars Prevent Egress</b>	The ability to exit through egress window is limited by security bars that do not function properly and, therefore, pose safety risks
<b>Requirements for Building Systems</b>		
Domestic Water	Leaking Central Water Supply	Leaking water from water supply line is observed
	Missing Pressure Relief Valve	There is no pressure relief valve or pressure relief valve does not drain down to the floor
	Rust/Corrosion on Heater Chimney	The water heater chimney shows evidence of flaking, discoloration, pitting, or crevices that may create holes that could allow toxic gases to leak from the chimney
	Water Supply Inoperable	There is no running water in any area of the building where there should be
Electrical System	Blocked Access/Improper Storage	One or more fixed items or items of sufficient size and weight impede access to the building system's electrical panel during an emergency
	Burnt Breakers	Carbon residue, melted breakers or arcing scars are evident
	Evidence of Leaks/Corrosion	Any corrosion that affects the condition of the components that carry current or any stains or rust on the interior of electrical enclosures, or any evidence of water leaks in the enclosure or hardware
	Frayed Wiring	Any nicks, abrasion, or fraying of the insulation that exposes any conducting wire
	Missing Breakers/Fuses	Any open and/or exposed breaker port
	<b>Missing Outlet Covers</b>	A cover is missing, which results in exposed visible electrical connections

Elevators	Not Operable	The elevator does not function at all or the elevator doors open when the cab is not there
Emergency Power	Auxiliary Lighting Inoperable (if applicable)	Auxiliary lighting does not function
Fire Protection	Missing Sprinkler Head	Any sprinkler head is missing, visibly disabled, painted over, blocked, or capped
	<b>Missing/Damaged/Expired Extinguishers</b>	There is missing, damaged or expired fire extinguisher in any area of the building where a fire extinguisher is required

Health & Safety	Air Quality - Mold and/or Mildew Observed	Evidence of mold or mildew is observed that is substantial enough to pose a health risk
	<b>Air Quality - Propane/Natural Gas/Methane Gas Detected</b>	Strong propane, natural gas or methane odors that could pose a risk of explosion/ fire and/or pose a health risk if inhaled
	Air Quality - Sewer Odor Detected	Sewer odors that could pose a health risk if inhaled for prolonged periods
	<b>Electrical Hazards - Exposed Wires/Open Panels</b>	Any exposed bare wires or openings in electrical panels (capped wires do not pose a risk)
	<b>Electrical Hazards - Water Leaks on/near Electrical Equipment</b>	Water leaking, puddling, or ponding on or immediately near any electrical apparatus that could pose a risk of fire, electrocution or explosion
	Elevator - Tripping	An elevator is misaligned with the floor by more than 3/4 of an inch. The elevator does not level as it should, which causes a tripping hazard
	<b>Emergency Fire Exits - Emergency/Fire Exits Blocked/Unusable</b>	The exit cannot be used or exit is limited because a door or window is nailed shut, a lock is broken, panic hardware is chained, debris, storage, or other conditions block exit
	<b>Emergency Fire Exits - Missing Exit Signs</b>	Exit signs that clearly identify all emergency exits are missing or there is no illumination in the area of the sign
	<b>Flammable Materials - Improperly Stored</b>	Flammable materials are improperly stored, causing the potential risk of fire or explosion
	Garbage and Debris - Indoors	Too much garbage has gathered-more than the planned storage capacity or garbage has gathered in an area not sanctioned for staging or storing garbage or debris
	Hazards - Other	Any general defects or hazards that pose risk of bodily injury



	Hazards - Sharp Edges	Any physical defect that could cause cutting or breaking of human skin or other bodily harm
	Hazards – Tripping Hazards	Any physical defect in walkways or other travelled area that poses a tripping risk
	Infestation - Insects	Evidence of infestation of insects-including roaches and ants-throughout a unit or room, food preparation or storage area or other area of building substantial enough to present a health and safety risk
	Infestation - Rats/Mice/Vermin	Evidence of rats or mice--sightings, rat or mouse holes, or droppings substantial enough to present a health and safety risk
HVAC	Boiler/Pump Leaks	Evidence of water or steam leaking in piping or pump packing to the point that the system or pumps should be shut down.
	Fuel Supply Leaks	Evidence of any amount of fuel leaking from the supply tank or piping
	General Rust/Corrosion	Significant formations of metal oxides, significant flaking, discoloration, or the development of a noticeable pit or crevice
	<b>Misaligned Chimney/Ventilation System</b>	A misalignment of an exhaust system on a combustion fuel-fired unit (oil, natural gas, propane, wood pellets etc.) that causes improper or dangerous venting of gases
Roof Exhaust System	Roof Exhaust Fan(s) Inoperable	The roof exhaust fan unit does not function
Sanitary System	Broken/Leaking/Clogged Pipes or Drains	Evidence of active leaks in or around the system components or evidence of standing water, puddles or ponding--a sign of leaks or clogged drains
	Missing Drain/Cleanout/Manhole Covers	A protective cover is missing
<b>Requirements for Common Areas</b>		
Basement/Garage/Carport	Baluster/Side Railings - Damaged	Any damaged or missing balusters or side rails that limit the safe use of an area

Closet/Utility/Mechanical	Cabinets - Missing/Damaged	More than 10% of cabinet, doors, or shelves are missing or the laminate is separating
Community Room	Call for Aid - Inoperable	The system does not function as it should
Halls/Corridors/Stairs	Ceiling - Holes/Missing Tiles/Panels/Cracks	Any holes in ceiling, missing tiles or large cracks wider than 1/4 of an inch and greater than 11 inches long

Kitchen	Ceiling - Peeling/Needs Paint	More than 10% of ceiling has peeling paint or is missing paint
Laundry Room	Ceiling - Water Stains/Water Damage/Mold/Mildew	Evidence of a leak, mold or mildew--such as a darkened area--over a ceiling area greater than 1 square foot
Lobby	Countertops - Missing/Damaged	10% or more of the countertop working surface is missing, deteriorated, or damaged below the laminate-not a sanitary surface to prepare food
Office	Dishwasher/Garbage Disposal - Inoperable	The dishwasher or garbage disposal does not operate as it should
Other Community Spaces	Doors - Damaged Frames/Threshold/Lintels/Trim	Any door that is not functioning or cannot be locked because of damage to the frame, threshold, lintel, or trim.
Patio/Porch/Balcony	Doors - Damaged Hardware/Locks	A restroom door, entry door, or fire door that does not function as it should or cannot be locked because of damage to the door's hardware
Restrooms	Doors - Damaged Surface (Holes/Paint/Rust/Glass)	Any door that has a hole or holes greater than 1 inch in diameter, significant peeling/cracking/no paint or rust that affects the integrity of the door surface, or broken/missing glass
Storage	Doors - Damaged/Missing Screen/Storm/Security Door	Any security door that is not functioning or is missing
	Doors - Deteriorated/Missing Seals (Entry Only)	The seals/caulking is missing on any entry door, or they are so damaged that they do not function as they should
	Doors - Missing Door	Any door that is missing that is required for the functional use of the space
	Dryer Vent - Missing/Damaged/Inoperable	The dryer vent is missing or it is not functioning because it is blocked. Dryer exhaust is not effectively vented to the outside
	Electrical - Blocked Access to Electrical Panel	One or more fixed items or items of sufficient size and weight impede access to the building system's electrical panel during an emergency
	Electrical - Burnt Breakers	Carbon residue, melted breakers or arcing scars are evident
	Electrical - Evidence of Leaks/Corrosion	Any corrosion that affects the condition of the components that carry current or any stains or rust on the interior of electrical enclosures or any evidence of water leaks in the enclosure or hardware
	Electrical - Frayed Wiring	Any nicks, abrasion, or fraying of the insulation that exposes any conducting wire

	Electrical - Missing Breakers	Any open and/or exposed breaker port
	<b>Electrical - Missing Covers</b>	A cover is missing, which results in exposed visible electrical connections
	Floors - Bulging/Buckling	Any flooring that is bulging, buckling or sagging or a problem with alignment between flooring types
	Floors - Floor Covering Damaged	More than 50% of floor covering has stains, surface burns, shallow cuts, small holes, tears, loose areas or exposed seams.
	Floors - Missing Floor/Tiles	More than 50% of the flooring or tile flooring is missing
	Floors - Peeling/Needs Paint	Any painted flooring that has peeling, cracking, flaking, or missing paint if the affected area is more than 4 square feet
	Floors - Rot/Deteriorated Subfloor	Large areas of rot--more than 4 square feet--and applying weight causes noticeable deflection.
	Floors - Water Stains/Water Damage/Mold/Mildew	Evidence of a leak, mold or mildew--such as a darkened area--covering a flooring area greater than 1 square foot

	GFI - Inoperable	The GFI does not function
	Graffiti	Graffiti in 6 or more places
	HVAC - Convection/Radiant Heat System Covers Missing/Damaged	Cover is missing or substantially damaged, allowing contact with heating/surface elements or associated fans
	HVAC - General Rust/Corrosion	Significant formations of metal oxides, flaking, or discoloration--or a pit or crevice
	HVAC - Inoperable	HVAC does not function. It does not provide the heating and cooling it should. The system does not respond when the controls are engaged
	<b>HVAC - Misaligned Chimney/Ventilation System</b>	Any misalignment that may cause improper or dangerous venting of gases
	HVAC - Noisy/Vibrating/Leaking	HVAC system shows signs of abnormal vibrations, other noise, or leaks when engaged
	Lavatory Sink - Damaged/Missing	The sink or associated hardware have failed or are missing. The sink cannot be used
	Lighting - Missing/Damaged/Inoperable Fixture	In more than two rooms, permanent lighting fixtures are missing or not functioning and no other switched light source is functioning in the room



	Mailbox - Missing/Damaged	The U.S Postal Service mailbox cannot be locked or is missing
	<b>Outlets/Switches/Cover Plates - Missing/Broken</b>	Outlet or switch is missing or a cover plate is missing or broken, resulting in exposed wiring
	Pedestrian/Wheelchair Ramp	A walkway or ramp is damaged and cannot be used by people on foot, in wheelchairs, or using walkers
	Plumbing - Clogged Drains	Drain is substantially or completely clogged or has suffered extensive deterioration
	Plumbing - Leaking Faucet/Pipes	A steady leak that is adversely affecting the surrounding area
	Range Hood /Exhaust Fans - Excessive Grease/Inoperable	The exhaust fan does not function
	Range/Stove - Missing/Damaged/Inoperable	Two or more burners are not functioning or oven is not functioning
	Refrigerator - Damaged/Inoperable	The refrigerator does not cool adequately for the safe storage of food
	Restroom Cabinet - Damaged/Missing	Damaged or missing shelves, vanity top, drawers, or doors that are not functioning as they should for storage or their intended purpose
	Shower/Tub - Damaged/Missing	The shower or tub cannot be used for any reason. The shower, tub, faucets, drains, or associated hardware is missing or has failed.
	Sink - Missing/Damaged	The sink or hardware is either missing or not functioning
	<b>Smoke Detector - Missing/Inoperable</b>	Smoke detector is missing or does not function as it should
	Stairs - Broken/Damaged/Missing Steps	A step is missing or broken
	Stairs - Broken/Missing Hand Railing	The hand rail for 4 or more stairs is missing, damaged, loose or otherwise unusable
	Ventilation/Exhaust System - Inoperable	Exhaust fan is not functioning or window designed for ventilation does not open
	Walls - Bulging/Buckling	Bulging, buckling or sagging walls or a lack of horizontal alignment
	Walls - Damaged	Any hole in the wall greater than 2 inches by 2 inches
	Walls - Damaged/Deteriorated Trim	More than 50% of the wall trim has significant areas of deterioration

	Walls - Peeling/Needs Paint	Peeling, cracking, flaking, or otherwise deteriorated paint over more than 4 square feet on any wall
	Walls - Water Stains/Water Damage/Mold/Mildew	Evidence of a leak, mold or mildew--such as a common area--covering a wall area greater than 1 square foot
	Water Closet/Toilet - Damaged/Clogged/Missing	The bowl is fractured or broken and cannot take in waterwater closet/toilet cannot be flushed, because of obstruction or another defect or there is a hazardous condition
	Windows - Cracked/Broken/Missing Panes	Missing or cracked panes of glass
	Windows - Damaged Window Sill	The sill is damaged enough to expose the inside of the surrounding walls and compromise its weather tightness
	Windows - Inoperable/Not Lockable	Any window that is not functioning or cannot be secured because lock is broken
	Windows - Missing/Deteriorated Caulking/Seals/Glazing Compound	There are missing or deteriorated caulk or seals--with evidence of leaks or damage to the window or surrounding structure
	Windows - Peeling/Needs Paint	More than 10% of interior window paint is cracking, flaking or otherwise failing
	<b>Windows - Security Bars Prevent Egress</b>	The ability to exit through the window is limited by security bars that do not function properly and, therefore, pose safety risks
Health & Safety	Air Quality - Mold and/or Mildew Observed	Evidence of mold or mildew is observed that is substantial enough to pose a health risk
	<b>Air Quality - Propane/Natural Gas/Methane Gas Detected</b>	Strong propane, natural gas or methane odors that could pose a risk of explosion/ fire and/or pose a health risk if inhaled
	Air Quality - Sewer Odor Detected	Sewer odors that could pose a health risk if inhaled for prolonged periods
	<b>Electrical Hazards - Exposed Wires/Open Panels</b>	Any exposed bare wires or openings in electrical panels (capped wires do not pose a risk)
	<b>Electrical Hazards - Water Leaks on/near Electrical Equipment</b>	Water leaking, puddling or ponding on or immediately near any electrical apparatus that could pose a risk of fire, electrocution or explosion
	<b>Emergency Fire Exits - Emergency/Fire Exits Blocked/Unusable</b>	The exit cannot be used or exit is limited because a door or window is nailed shut, a lock is broken, panic hardware is chained, debris, storage, or other conditions block exit



	<b>Emergency Fire Exits - Missing Exit Signs</b>	Exit signs that clearly identify all emergency exits are missing or there is no illumination in the area of the sign
	<b>Flammable/Combustible Materials - Improperly Stored</b>	Flammable or combustible materials are improperly stored, causing the potential risk of fire or explosion
	Garbage and Debris - Indoors	Too much garbage has gathered-more than the planned storage capacity or garbage has gathered in an area not sanctioned for staging or storing garbage or debris
	Garbage and Debris - Outdoors	Too much garbage has gathered-more than the planned storage capacity or garbage has gathered in an area not sanctioned for staging or storing garbage or debris
	Hazards - Other	Any general defects or hazards that pose risk of bodily injury
	Hazards - Sharp Edges	Any physical defect that could cause cutting or breaking of human skin or other bodily harm
	Hazards - Tripping	Any physical defect in walkways or other travelled area that poses a tripping risk
	Infestation - Insects	Evidence of infestation of insects-including roaches and ants-throughout a unit or room, food preparation or storage area or other area of building substantial enough to present a health and safety risk
	Infestation - Rats/Mice/Vermin	Evidence of rats or mice--sightings, rat or mouse holes, or droppings substantial enough to present a health and safety risk

Pools and Related Structures	Fencing - Damaged/Not Intact	Any damage that could compromise the integrity of the fence
Trash Collection Areas	Chutes - Damaged/Missing Components	Garbage has backed up into chutes, because the collection structure is missing or broken or compactors or components--chute, chute door, and other components--have failed
<b>Requirements for Units:</b>		
Bathroom	Bathroom Cabinets - Damaged/Missing	Damaged or missing shelves, vanity tops, drawers, or doors that are not functioning as they should for storage or their intended purpose
	Lavatory Sink - Damaged/Missing	The sink cannot be used, because the sink or associated hardware is missing or has failed.
	Plumbing - Clogged Drains, Faucets	Drain or faucet is substantially or completely clogged or has suffered extensive deterioration

	Plumbing - Leaking Faucet/Pipes	A steady leak that is adversely affecting the surrounding area
	Shower/Tub - Damaged/Missing	The shower, tub, faucets, drains, or associated hardware is missing or has failed.
	Ventilation/Exhaust System – Absent/Inoperable	Exhaust fan is not functioning or window designed for ventilation does not open
	Water Closet/Toilet - Damaged/Clogged/Missing	The bowl is fractured or broken or the water closet/toilet is missing, hazardous or cannot be flushed
Call-for-Aid (if applicable)	Inoperable	The system does not function as it should
Ceiling	Bulging/Buckling/Leaking	Bulging, buckling or sagging ceiling or problem with alignment
	Holes/Missing Tiles/Panels/Cracks	Any holes in ceiling, missing tiles or large cracks wider than 1/4 of an inch and greater than 6 inches long
	Peeling/Needs Paint	More than 10% of ceiling has peeling paint or is missing paint
	Water Stains/Water Damage/Mold/Mildew	Evidence of a leak, mold or mildew--such as a darkened area--over a ceiling area greater than 1 square foot
Doors	Damaged Frames/Threshold/Lintels/Trim	Any door that is not functioning or cannot be locked because of damage to the frame, threshold, lintel or trim
	Damaged Hardware/Locks	Any door that does not function as it should or cannot be locked because of damage to the door's hardware
	Damaged/Missing Screen/Storm/Security Door	Any screen door or storm door that is damaged or is missing screens or glass--shown by an empty frame or frames or any security door that is not functioning or is missing
	Damaged Surface - Holes/Paint/Rusting/Glass/Rotting	Any door that has a hole or holes greater than 1 inch in diameter, significant peeling/cracking/no paint or rust that affects the integrity of the door surface, or broken/missing glass
	Deteriorated/Missing Seals (Entry Only)	The seals/caulking is missing on any entry door, or they are so damaged that they do not function as they should
	Missing Door	Any door that is required for security (entry) or privacy (Bathroom) that is missing or any other unit door that is missing and is required for proper unit functionality
Electrical System	Blocked Access to Electrical Panel	One or more fixed items or items of sufficient size and weight impede access to the building system's electrical panel during an emergency

	Burnt Breakers	Carbon residue, melted breakers or arcing scars are evident
	Evidence of Leaks/Corrosion	Any corrosion that affects the condition of the components

		that carry current or any stains or rust on the interior of electrical enclosures or any evidence of water leaks in the enclosure or hardware
	Frayed Wiring	Any nicks, abrasion, or fraying of the insulation that exposes any conducting wire
	GFI - Inoperable	The GFI does not function
	Missing Breakers/Fuses	Any open and/or exposed breaker port
	<b>Missing Covers</b>	A cover is missing, which results in exposed visible electrical connections
Floors	Bulging/Buckling	Any flooring that is bulging, buckling or sagging or a problem with alignment between flooring types
	Floor Covering Damage	More than 10% of floor covering has stains, surface burns, shallow cuts, small holes, tears, loose areas or exposed seams.
	Missing Flooring Tiles	Missing or broken flooring causes a single safety problem
	Peeling/Needs Paint	Any painted flooring that has peeling, cracking, flaking, or missing paint if the affected area is more than 4 square feet
	Rot/Deteriorated Subfloor	Any rotted or deteriorated subflooring greater than 6 inches by 6 inches
	Water Stains/Water Damage/Mold/Mildew	Evidence of a leak, mold or mildew--such as a darkened area--covering a flooring area greater than 1 square foot
Health & Safety	Air Quality - Mold and/or Mildew Observed	Evidence of mold or mildew is observed that is substantial enough to pose a health risk
	Air Quality - Sewer Odor Detected	Sewer odors that could pose a health risk if inhaled for prolonged periods
	<b>Air Quality - Propane/Natural Gas/Methane Gas Detected</b>	Strong propane, natural gas or methane odors that could pose a risk of explosion/ fire and/or pose a health risk if inhaled
	<b>Electrical Hazards - Exposed Wires/Open Panels</b>	Any exposed bare wires or openings in electrical panels (capped wires do not pose a risk)



	<b>Electrical Hazards - Water Leaks on/near Electrical Equipment</b>	Water leaking, puddling or ponding on or immediately near any electrical apparatus that could pose a risk of fire, electrocution or explosion
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Hot Water Heater	<b>Misaligned Chimney/Ventilation System</b>	Any misalignment that may cause improper or dangerous venting of gases
	Inoperable Unit/Components	Hot water from hot water taps is no warmer than room temperature indicating hot water heater is not functioning properly
	Leaking Valves/Tanks/Pipes	There is evidence of active water leaks from hot water heater or related components
	Pressure Relief Valve Missing	There is no pressure relief valve or pressure relief valve does not drain down to the floor

	Rust/Corrosion	Significant formations of metal oxides, flaking, or discoloration--or a pit or crevice
HVAC System	Convection/Radiant Heat System Covers Missing/Damaged	Cover is missing or substantially damaged, allowing contact with heating/surface elements or associated fans
	Inoperable	HVAC does not function. It does not provide the heating and cooling it should. The system does not respond when the controls are engaged
	<b>Misaligned Chimney/Ventilation System</b>	Any misalignment that may cause improper or dangerous venting of gases
	Noisy/Vibrating/Leaking	The HVAC system shows signs of abnormal vibrations, other noise, or leaks when engaged
	Rust/Corrosion	Deterioration from rust or corrosion on the HVAC system in the dwelling unit
Kitchen	Cabinets - Missing/Damaged	10% or more of cabinet, doors, or shelves are missing or the laminate is separating
	Countertops - Missing/Damaged	10% or more of the countertop working surface is missing, deteriorated, or damaged below the laminate -- not a sanitary surface to prepare food
	Dishwasher/Garbage Disposal - Inoperable	The dishwasher or garbage disposal does not operate as it should
	Plumbing - Clogged Drains	Drain is substantially or completely clogged or has suffered extensive deterioration
	Plumbing - Leaking Faucet/Pipes	A steady leak that is adversely affecting the surrounding area
	Range Hood/Exhaust Fans - Excessive Grease/Inoperable	The exhaust fan does not function or you estimate that the flue may be completely blocked
	Range/Stove - Missing/Damaged/Inoperable	The unit is missing or 2 or more burners or the oven is not functioning
	Refrigerator- Missing/Damaged/Inoperable	The refrigerator is missing or it does not cool adequately for the safe storage of food
	Sink - Damaged/Missing	The sink or hardware is either missing or not functioning.
Laundry Area (Room)	Dryer Vent - Missing/Damaged/Inoperable	The dryer vent is missing or it is not functioning because it is blocked. Dryer exhaust is not effectively vented to the outside
Lighting	Missing/Inoperable Fixture	A permanent light fixture is missing or not functioning, and no other switched light source is functioning in the room



Outlets/Switches	Missing	An outlet or switch is missing
	<b>Missing/Broken Cover Plates</b>	A cover plate is missing, which causes wires to be exposed
Patio/Porch/Balcony	Baluster/Side Railings Damaged	Any damaged or missing balusters or side rails that limit the safe use of an area
Smoke Detector	<b>Missing/Inoperable</b>	Smoke detector is missing or does not function as it should
Stairs	Broken/Damaged/Missing Steps	A step is missing or broken
	Broken/Missing Hand Railing	The hand rail for four or more stairs is missing, damaged, loose or otherwise unusable
Walls	Bulging/Buckling	Bulging, buckling or sagging walls or a lack of vertical alignment
	Damaged	Any hole in wall greater than 2 inches by 2 inches
	Damaged/Deteriorated Trim	10% or more of the wall trim is damaged
	Peeling/Needs Paint	10% or more of interior wall paint is peeling or missing
	Water Stains/Water Damage/Mold/Mildew	Evidence of a leak, mold or mildew covering a wall area greater than 1 square foot
Windows	Cracked/Broken/Missing Panes	Missing or cracked panes of glass
	Damaged Window Sill	The sill is damaged enough to expose the inside of the surrounding walls and compromise its weather tightness
	Missing/Deteriorated Caulking/Seals/Glazing Compound	There are missing or deteriorated caulk or seals--with evidence of leaks or damage to the window or surrounding structure
	Inoperable/Not Lockable	Any window that is not functioning or cannot be secured because lock is broken
	Peeling/Needs Paint	More than 10% of interior window paint is peeling or missing
	<b>Security Bars Prevent Egress</b>	The ability to exit through the window is limited by security bars that do not function properly and, therefore, pose safety risks